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CHAIRMAN OF THE JOINT

CHIEFS OF STAFF

INSTRUCTION

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

CJCSI 5760.01B
26 April 2023

RECORDS AND INFORMATION MANAGEMENT POLICY

References:

See Enclosure B

1. Purpose. In accordance with references a through cc, this instruction establishes policy and identifies organizational responsibilities as they pertain to information (regardless of format) lifecycle management (creation, maintenance, use, and disposition) practices and procedures.
2. Superseded/Cancellation. Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 5760.01A, 30 April 2007, "Records Management Policy for the Joint Staff and Combatant Commands," is hereby superseded.
3. Applicability. This instruction applies to all members within the Joint Staff, the Unified Combatant Commands (CCMDs) and their subordinates, and members of any department, organization, or agency (military or government) within the Department of Defense (DoD) that is responsive to the Office of the Chairman of the Joint Chiefs of Staff (OCJCS).
4. Policy
 - a. This policy requires the establishment, execution, and maintenance of an economically sound and efficient electronic information management program that complies with current rules and guidance detailed in reference h and implemented in reference c with approved electronic information systems (EIS). Compliance will secure the reliability, authenticity, integrity, usability of content, and context that defines an efficient records and information management (RIM) program.
 - b. To establish an efficient and economical RIM program, agencies must:
 - (1) Establish internal policies and standard operating procedures that are in accordance with (IAW) applicable policies, statutes, and regulations.

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(2) Follow telework security protocols by ensuring there is a mutual understanding of RIM responsibilities as it pertains to working from government-approved alternate worksites.

(3) Assign Records Liaisons (RLs) and Records Custodians (RCs) and assign duties/responsibilities as it pertains to an all-inclusive means of lifecycle management regarding information and safeguarding procedures. Management includes conducting periodic staff assistance visits (SAVs) within individual organizations.

(4) Create, preserve, and make accessible records containing documentation of the organization's functions, policies, decisions, procedures, and essential transactions.

(5) Maintain a temporary print-and-file recordkeeping file system for documents as they prepare for their transition into electronic recordkeeping formats.

(6) Initiate and enforce protocols as it pertains to converting paper records to electronic formats by following National Archives and Records Administration (NARA) criteria for digitizing temporary and permanent records.

(7) Design and implement an "Essential" records program and align with continuity of operations plans to protect legal and financial rights of the Joint Staff when operating under national security or other emergencies.

(8) Conduct inventories of all records and include analysis on all EIS used to create, store, and receive records.

(9) Collaborate and consult with key technology assets (including third party commercial providers), the chiefs of information, knowledge management (KM), data management (DM), and artificial intelligence (AI), as well as legal, security, privacy, and Freedom of Information Act (FOIA) representatives, to incorporate relevant and compliant record management requirements and methodologies.

(10) Execute sound social media practices.

(11) Apply a sound Records Risk Management program by identifying, analyzing, evaluating, and reporting risks to records processes and systems to mitigate chances of information being lost, damaged, or for other reasons considered no longer usable, reliable, authentic, complete, or meeting the purposes of the Joint Staff.

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(12) Distinguish between Capstone and Non-Capstone officials and manage e-mails IAW the current rules and regulations that govern protecting and dispositioning e-mail information using the “Capstone Approach.”

5. Definitions. See Glossary.

6. Responsibilities. See Enclosure A.

7. Summary of Changes. Last published in 2007, CJCSI 5760.01A required extensive revision. Substantive changes include:

a. Adds the role of the Senior Agency Official for Records Management (SAORM) and promulgates the delegation of that role to the Director of Management.

b. Describes the support roles that other offices—such as privacy, public affairs (PA), information technology, KM, legal counsel—provide to records management (RM), and encourages Records Officers (ROs) to collaborate with these entities within their commands.

c. Directs RIM stakeholders to create electronic RM, essential records, and RM risk management programs, and designate RLs and RCs to support RM efforts.

d. Changes the title to reflect the modernization of current RM practices and incorporates OMB/NARA Directives M-19-21 and M-23-07, which directed the transition to electronic recordkeeping.

e. Rescinds JS Form 33, “CCMD RM Annual Report to CJCS.”

f. Updates References and Glossary.

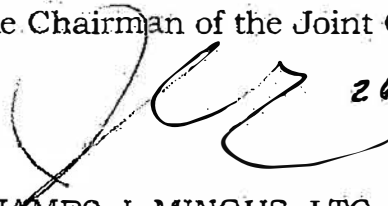
8. Releasability. UNRESTRICTED. This directive is approved for public release; distribution is unlimited on the Non-secure Internet Protocol Router Network. DoD Components (to include the CCMDs), other Federal agencies, and the public may obtain copies of this directive through the Internet from the CJCS Directives Electronic Library at <<http://www.jcs.mil/library>>. Joint Staff activities may also obtain access via the Secure Internet Protocol Router Network directives Electronic Library web sites.

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9. Effective Date. This INSTRUCTION is effective upon receipt.

For the Chairman of the Joint Chiefs of Staff:



26 Apr 23

JAMES J. MINGUS, LTG, USA
Director, Joint Staff

Enclosures

- A - Key Roles and Responsibilities
- B - References
- GL - Glossary

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ENCLOSURE A

KEY ROLES AND RESPONSIBILITIES

1. Chairman of the Joint Chiefs of Staff

a. Develops, implements, evaluates, and refines RIM policies to ensure RIM compliance.

b. Appoints the Director of Management as the SAORM for the Joint community.

c. CJCS has delegated authority for providing supervision and oversight regarding the development, implementation, evaluation, and refinement of Joint Staff community RIM policies and procedures to the SAORM.

2. Office of the Chairman of the Joint Chiefs of Staff. In addition to requirements laid out in paragraph 4 of the base instruction, OCJCS shall conduct the following activities to support RIM programs.

a. Legal Counsel. Serves as the official(s) responsible for providing legal advice and assistance to agency officials and employees. Provides advice to the agency records officer and others regarding the legal value of the agency's records and the issue of public access to them.

b. Inspector General. The Joint Staff Inspector General (IG) Office is responsible for audits pertaining to RM procedures and compliance (including safeguarding against waste and fraud). The IG identifies records and report deficiencies and provides helpful solutions to resolve the deficiencies within those programs.

c. Joint Staff History and Research Office. Collaborates with records managers to ensure preservation of organization information as information progresses through its lifecycle.

d. Joint Staff Privacy Office. Collaborates with records managers and ensures practices are in place to mitigate risk regarding DM and privacy concerns. Joint Staff Privacy Office also provides advice and assistance on the access to stored classified records.

e. Public Affairs. The OCJCS/PA office oversees collection and protection of social media records and adheres to social media records retention policy. OCJCS/PA also plays a key role in the transition of the CJCS and Top 4 for

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incoming and outgoing information collection. Serves as the official office responsible for coordinating information releasable to the public (news releases, speeches, media presentations). Works with the records liaison to ensure release of information is compliant with Federal and agency PA directives.

3. Directorate of Management. In addition to requirements laid out in paragraph 4 of this policy, the Directorate of Management (DOM) will conduct the following activities to support RIM programs:

a. Senior Agency Official for Records Management. Assumes delegated responsibilities from the CJCS and supports the Federal Records Act; enforces RIM statutes, regulations, and policies; and provides the Joint Staff community with strategic direction regarding the implementation of economically sound and efficient record management programs.

b. Secretary, Joint Staff. The Secretary, Joint Staff (SJS), through the Chief, Joint Staff Information Management Division (IMD), will provide for the proper creation, maintenance, disposition, and preservation of Joint Staff and CCMD records through direction of an active Joint Staff and CCMD RM program.

c. Chief, Joint Staff Information Management Division. The Chief, Joint Staff Information Management Division (IMD) is responsible for the implementation and supervision of the Joint Staff RIM program and collaborates with the SAORM, SJS, and Joint Staff Chief Records Officer (JSCRO) to ensure compliance.

d. Joint Staff Chief Records Officer. The JSCRO is a dual-hatted position and is responsible for the execution of the Joint Staff RIM program, as well as the oversight and assessment of CCMD RIM programs. The JSCRO is primarily responsible for:

(1) Oversight and execution of the Joint Staff RIM Program and serves as the Chief of the IMD Records and Research Branch (RRB).

(2) Assigning RM duties to RRB staff to assist in the oversight of the Joint Staff RIM program by conducting periodic SAVs and reporting findings and providing recommendations for improvements.

(3) Appointing members of RRB to serve in critical areas of RIM programs to provide advice, assistance, and training to mission essential programs (including Essential Records Program and Release of Information).

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(4) Serving as the mentor and liaison to Joint Staff Records Officers (JSROs), military, and government agencies.

(5) Ensuring RIM training for the Joint Staff community is available and reflects the most up-to-date relevant information.

(6) Providing advice and assistance to departing Senior Leaders to ensure out-briefings are available and tenure records are captured and retained under the “Capstone Approach” rules and guidelines.

(7) Collaborating with the Joint Staff Declassification Branch to provide support for Automated Declassification Reviews, FOIA searches, and guidance on Joint Staff and CCMD RM.

(8) Operating as the primary point of contact for all annual reporting requirement activities.

(9) Assisting CCDRs in identifying and implementing RM Plans of Action and Milestones to ensure RM compliance and successful transition to electronic RM that meet NARA current guidelines.

e. Knowledge Management. Joint Staff KM and RM actively collaborate and develop a close working relationship as it pertains to implementing knowledge practices through socialization, internalization and externalization, or a combination of both. KM supports RM through the development of innovation and RM supports KM by implementing the practices developed and instilling trustworthiness of content management.

4. Combatant Commanders. CCDRs are responsible for the establishment of command RIM programs while receiving guidance and assistance from the JSRO and support from the SAORM. CCDRs will manage all records IAW this policy and associated manuals.

a. CCDRs will establish an internal CCMD RM Program that provides lifecycle management of CCMD records recorded on any media, to include records identification, maintenance, storage, retirement, and destruction.

b. CCDRs will identify and assign/hire a command records manager (CRM), who must obtain and retain the NARA Agency Records Officer Credential (AROC) within six months after selection and acceptance of the position.

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c. CCDRs will ensure that AROC designees attend training as required, and that renewal is executed every three years to remain in AROC compliance.

d. The CRM will administer the CCMD RM Program for all command records to facilitate collection of all relevant documentation, including Top Secret-Sensitive Compartmented Information, Special Access Programs, and Alternative Compensatory Control Measures records.

e. CCDRs will ensure personnel engaged in CCMD RM are trained to meet joint RM requirements, including conducting periodic assistance visits to all subordinate joint activities and agencies.

f. CCDRs will provide for records collection and retention in mobilization planning and crisis action procedures, to include command operations center records; ensure inclusion of RM annexes in appropriate operations plans, concept plans, and operations orders specifying how records will be collected and retained.

g. CCDRs will ensure the adequacy of the command's RM program from a historical perspective; facilitate liaison between the historian and the CRM to ensure key documents, including electronic records, are reviewed, organized, and secured in accordance with reference a.

5. Defense Information System Agency. Provides and collaborates with Joint Service Provider representatives command and control, information sharing capabilities, broad-spectrum information accessibility, organizational frameworks, and operating processes that aligns with current capabilities and protects against attempts to damage the organizations networks.

6. Joint Staff Records Liaison/Custodian, Other Personnel, and Separate Offices. In addition to requirements laid out in paragraph 4 of this base instruction, all organizations shall conduct the following activities to support the RIM program:

a. Joint Staff Directorates and Separate Offices. Joint Staff Directorates and heads of separate offices are responsible for implementation and supervision of the Joint Staff RIM Program within their staff elements.

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

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c. Records Liaison. The RL supports the RO in all matters regarding RIM programs. The RL performs the day-to-day administrative requirements and serves as a liaison between the organization and the organization's RO.

d. Records Custodian. The RC collaborates with the RL and ensures privacy compliance of records by managing personnel access to information. The RC is responsible for capturing and updating best practices and procedures, as well as managing and fulfilling records request.

e. Joint Staff Personnel. All Joint Staff personnel are responsible for familiarizing themselves with the policies and procedures contained in this Instruction. This includes maintaining personal papers separate from official files, removing from records only those items authorized, and disposing of materials only in accordance with disposition standards.

7. Service Components. The Service components are responsible for providing the Joint Staff and CCMD RM Programs with administrative and logistical support consistent with reference e.

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ENCLOSURE B

REFERENCES

- a. CJCSI 5320.01 Series, "Guidance for the Joint History Program"
- b. CJCSI 5780.01 Series, "Joint Knowledge Management Policy"
- c. CJCSM 5760.01 Series, "Joint Staff and Combatant Command Records Management"
- d. DoD 5015.2-STD, 25 April 2007, "Design Criteria Standard for Electronic Records Management Software Applications"
- e. DoD 5100.03, 9 February 2011 (incorporating change 1, 7 September 2017), "Support of the Headquarters of Combatant and Subordinate Joint Commands"
- f. DoD 5144.02, 21 November 2014, as amended, "DoD Chief Information Officer (DoD CIO)"
- g. DoD 5400.11-R, August 1993, "Department of Defense Privacy Program," authorized by DoD Directive 5400.11, 16 November 2004
- h. DoDI 5015.02, 17 August 2017, "DoD Records Management Program"
- i. DoDI 5230.09 25 January 2019, "Clearance of DoD Information for Public Release"
- j. DoDI 5230.29 CHG#2, 8 February 2022, "Security and Policy Review of DoD Information for Public Release"
- k. DoDI 5400.17 CHG#1, 24 January 2023, "Official Use of Social Media for Public Affairs Purposes"
- l. DoDI 8170.01, 24 August 2021, "Online Information Management and Electronic Messaging"
- m. DoDI 8500.01CHG #1, 7 October 2019, "Cybersecurity"
- n. Hatch Act Guidance on Social Media
- o. M-12-18, April 2016, "Success Criteria for Managing Email Records in Compliance with the Managing Government Records"

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- p. M-19-21, 28 June 2019, "Transition to Electronic Records"
- q. M-23-07, 23 December 2022, "Update to Transition to Electronic Records"
- r. Memorandum for Pentagon Senior Leadership, 5 May 2021, "Creating Data Advantage"
- s. NARA Bulletin 2012-02, "Guidance on Managing Content on Shared Drives"
- t. NARA Bulletin 2015-02, "Guidance on Managing Electronic Messages and 44 USC sec. 2911"
- u. NARA Bulletin 2015-04, 15 September 2015, "Metadata Guidance for Transfer of Permanent Electronic Records"
- v. NARA Bulletin 2017-02, "Guidance on Senior Officials for Records Management"
- w. NARA Bulletin 2023-02, 5 January 2023, "Expanding the Use of a Role-Based Approach (Capstone) for Electronic Messages"
- x. NARA Essential Records Guide, August 2018
- y. NARA Guidelines for Digitizing Archival Materials for Electronic Access
- z. NIST Special Publication 800-46, June 2016, "Guide to Enterprise & Telework and Remote Access Security"
- aa. Presidential memo, 28 November 2011, "Managing Government Records"
- bb. Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management"
- cc. Title 44, U.S. Code, chapters 21, 29, 31, 33, and 35

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GLOSSARY

PART I – ABBREVIATIONS AND ACRONYMS

AI	artificial intelligence
AROC	Agency Records Officer Credential
CCDR	Combatant Commander
CCMD	Combatant Command
CFR	Code of Federal Regulations
CJCS	Chairman of the Joint Chiefs of Staff
CJCSI	Chairman of the Joint Chief of Instruction
CJCSM	Chairman of the Joint Chiefs of Staff Manual
CRM	Command Records Manager
CUI	Controlled Unclassified Information
DoD	Department of Defense
DoDI	Department of Defense Instruction
DM	data management
EIS	Electronic Information System
ERM	Electronic Records Management
FOIA	Freedom of Information Act
GRS	General Records Schedule
IAW	in accordance with
IG	Inspector General
IMD	Information Management Division
KM	knowledge management
LC	Legal Counsel
NARA	National Archives and Records Administration
OCJCS	Office of the Chairman of the Joint Chiefs of Staff
PA	public affairs
RC	Records Custodian
RIM	records information management

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RL	Records Liaison
RM	records management
RO	Records Officer
RRB	Records and Research Branch
SAV	staff assistance visit
SAORM	Senior Agency Official for Records Management

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PART II – DEFINITIONS

Archive. To safely preserve inactive information in digital format.

Artificial intelligence. Implemented in Electronic Information System and mimics human intelligence to perform tasks and can improve themselves based on the data collected.

Capstone approach. The Capstone approach is a simplified form of electronic e-mail management that allows for the capture and preservation of permanent records from the e-mail accounts (including alias accounts) of officials at or near the top of an agency or an organizational subcomponent.

Capstone Official. Capstone Officials are identified by duty position and scope of work. Normally, Capstone Officials are the policy and decision makers of an organization.

Content management. The process for collection, delivery, retrieval, governance, and overall management of information in any format.

Classified information. Information that protects against unauthorized disclosure and is marked to indicate its classification status.

Data. Raw, unorganized facts that needs to be processed. Data can be something simple, random, and useless until assessed, organized, and processed.

Data management. The collecting, organizing, protecting, and storing data so it can be captured and analyzed for organization decisions making practices.

Disposition. Steps taken after federal records are determined no longer needed in the workspace.

Electronic Information System. An approved information system where information (records, electronic messages, etc.) is stored and made accessible and retrievable.

Electronic records. Any information processed by using a computer or government-issued mobile device and meets the criteria of a federal record.

Essential records. Records the Joint Staff will need to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or protect the legal and financial

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rights of the Government and those affected by Government activities (legal and financial rights records).

Essential Records Program. Policies, plans, and procedures the Joint Staff develops and implements along with resources needed to identify, use, and protect essential records. This is an important program element of this agency's emergency management function.

File. The act of placing information in its appropriate location.

Information. Data that is processed, organized, structured, and given context.

Joint Staff community. Joint Staff Directorates; Combatant Commands; boards, committees, and councils under Joint Staff sponsorship; and any other agency (military or government) who respond to and/or through the CJCS.

Knowledge management. Multidiscipline approach that integrates people and processes enabled by tools throughout the information lifecycle to create shared understanding, increase organizational performance, and improve decision-making.

Metadata. Information describing the characteristics of data.

Non-record. Federally owned informational materials that do not meet the statutory definition of records contained within title 44, U.S. Code, section 3301 or that are excluded from coverage by the definition. Excluded materials are extra copies of documents and library or museum materials intended solely for reference or exhibit.

Record. Information in any medium, including operational, logistical, support, and other materials created or received by Department of Defence components in training, contingency, and wartime operations as well as in all routine and peacetime business.

Records management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, maintenance, and use disposition.

Records system. Information system that captures, manages, and provides access to records through time.

Retention. The act of classifying and storing records according to a defined schedule.

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Risk. Effect of uncertainty.

Risk mitigation. A strategy used to prepare for and lessen the effects of identified vulnerabilities and catastrophic threats.

Risk management. Identification, evaluation and prioritization of risks followed by actionable plans to mitigate, monitor and control risk.

Staff assistance visit. A systematic approach to assessing and evaluating agencies performance and ensuring compliance.

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