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SECRETARY OF THE AIR FORCE**



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This Air Force instruction (AFI) implements Air Force Policy Directive (AFPD) 33-3, Information Management; DoDD 5015.2, DoD Records Management Program; DoDD 5100.3, Support of the Headquarters of Combatant and Subordinate Joint Commands; and DoD Standard 5015.02 (DoD 5015.02-STD), Design Criteria Standard for Electronic Records Management Software Applications. It establishes roles and assigns responsibilities for the Air Force Records Management Program.

This instruction applies to all Air Force personnel to include active duty, guard, and reserve military, civilian, foreign nationals employed by the Department of the Air Force and Air Force contractor personnel. Contractors who perform roles associated with records management, defined in this instruction, must fully comply with the duties for their assigned role. Performance work statements for contracts awarded to perform any of the records management roles in this instruction will reflect this requirement.

This instruction sets forth policies regarding penalties associated with unauthorized concealment, removal, mutilation, obliteration or destruction of records without proper authority in paragraph 1.2 that are applicable to civilian and military personnel, including the Air Force Reserve and Air National Guard. Failure by military personnel to observe prohibitions and mandatory provisions of this directive in paragraph 1.2, is also a violation of Article 92, Uniform Code of Military Justice. Violations may also result in administrative disciplinary action for civilian and contractor employee personnel.

In the case of a conflict, this AFI takes precedence over any Air Force publication that addresses Air Force records. Ensure all records created as a result of processes prescribed in this publication are maintained in accordance with (IAW) AFMAN 33-363, *Management of Records*, and disposed of IAW the Air Force Records Disposition Schedule (RDS) located at <https://www.my.af.mil/afirms/afirms/afirms/rims.cfm>. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*; route through the appropriate functional’s chain of command. Send supplements and implementing publications of this instruction to the Chief of Warfighting Integration and Chief Information Officer (SAF/CIO A6), 1800 Air Force Pentagon, Washington DC 20330-1800 for review and coordination prior to publication.

(455AEW) This supplement implements AFI33-322, 4 June 2012 *Records Management Program*. It establishes procedures for the 455th Air Expeditionary Wing (455 AEW) records management program. This supplement applies to all military and civilian personnel assigned to the 455 AEW. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using AF Form 847, *Recommendation for Change of Publications*; route the AF Form 847 from the field through major command (MAJCOM) publications/forms managers. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air Force Manual (AFMAN) 33-363, *Management of Records*, and disposed of in accordance with the Air Force Records Information Management System (AFRIMS) located at <https://my.af.mil/afirms/afirms/afirms/rims.cfm>.

SUMMARY OF CHANGES

This document is substantially revised and must be completely reviewed. Major changes include updating roles and responsibilities for program and portfolio managers, publication OPRs, and specific new responsibilities associated with the Electronic Records Archive (ERA).

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1. General. Air Force records serve a crucial role in supporting the mission of the Air Force by ensuring information is available to support effective decision making through authoritative information and to protect the legal rights of the Air Force, our employees, and the public. Records document official business, serve as the memory of the organization, provide a record of past events, and are the basis for future actions. This publication defines the roles and responsibilities to effectively manage Air Force records. This publication establishes the Air Force program for Records Management (RM).

1.1. Air Force units at all levels have a requirement to document their organization's, functions, policies, procedures, and activities. This documentation serves as the official record of the Air Force. These records must be preserved by implementing effective life-cycle management procedures and must be managed systematically to ensure they are complete, accurate, trustworthy, and easily accessible. Every Air Force activity must manage its records to comply with legal accountability requirements.

1.2. Personnel employed by the Department of the Air Force, shall not conceal, remove, mutilate, obliterate or destroy records without proper authority. Unauthorized concealment, removal, mutilation, obliteration or destruction of records, or any attempt to do so, is a violation of Title 18, U.S.C., Section 2071 and may be punished by up to three years confinement and a fine. Failure to obey the prohibitions in this paragraph is also a violation of Article 92, Uniform Code of Military Justice. Failure of civilian employees to follow the prohibitions in this paragraph may also result in administrative disciplinary action under applicable civilian personnel instructions without regard to otherwise applicable criminal or civil sanctions.

1.3. The keys to an effective Records Management Program are the integrity of the filing system and effectively resourced and trained personnel. The filing system ensures a standard methodology for filing, storing, retrieving, and ultimately disposing of records according to published retention schedules. Criteria for establishing a file plan is provided in AFMAN 33-363 along with the AF RDS. The AF RDS is located in the AF Records Information Management System (AFRIMS) located at

<https://www.my.af.mil/afirms/afirms/afirms/rims.cfm>.

2. Definition of Records. Consistent with the definition of “records” used in 44 U.S.C. § 3301 records include “all 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 is preserved or is appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policy, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.” Materials exempt from the definition of records include extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.

3. Roles and Responsibilities. The Air Force Chief Information Officer (SAF/A6 & CIO) has overall responsibility for the Air Force Records Management Program. The Policy and Compliance Division (SAF/A6PP) develops policy and guidance and administers procedures necessary to implement the Air Force Records Management Program. The Air Force Records Officer (AFRO) administers the program for the CIO, represents the Secretary of the Air Force (SAF) on records management issues, and oversees the legal requirements for the management of Air Force records.

3.1. Effective management of records for an organization, the scope and size of the Air Force, requires a network of records professionals. The network of roles include the AFRO, Command and Agency Records Managers (CRM/ARM), Base Records Managers (BRM), Functional Area Records Managers (FARM), Chiefs of Office of Record (COR) and Records Custodians (RC).

4. Commanders. Commanders and civilian directors at all levels must implement the AF Records Management Program for their organizations IAW this instruction. Commanders and civilian directors:

4.1. Have responsibility for the physical and legal custody of all records within their organization and for ensuring the proper management of all records IAW the AF Records Management policy and guidance.

4.2. MAJCOM A6s serviced by the centralized CRM function at the Air Force Network Integration Center (AFNIC) shall be responsible for working with the CRM to obtain resolution of records management issues at units within their respective commands.

4.3. Commanders and civilian directors of field operating agencies shall appoint in writing an ARM to manage the records management program within their agency. The appointment memorandum shall be provided to the AFRO. Exceptions are authorized for field operating agencies (FOA) within the National Capital Region that receive records management support through agreement with the HQ USAF Records Manager.

4.4. Host Base Wing Commanders and supporting Air Force Joint Base Wing Commanders shall appoint in writing a BRM to manage the records management program within their Wing and/or Joint Base. The appointment memorandum shall be provided to their respective CRM/ARM. The minimum recommended grade for the primary BRM is a GS-09 or MSgt (7-level).

4.5. Group and/or Squadron Commanders shall appoint in writing, subject matter experts for each functional area to serve as FARM and provide appointment letter to the BRM.

Depending upon span of control the recommended minimum grade is a GS-05 or SrA (5-level). Multiple FARMs may be required based on the complexities of the mission and the size of the organization. The FARM shall have overall understanding of the functions being performed by the organization and the types of records required to accurately document its functional procedures and activities. If the appointed FARM is a military member, an alternate is required to ensure coverage during extended periods of absence due to training and/or deployment.

4.5. (455AEW) Group Commanders will appoint a FARM for their subordinate squadrons identified in **Attachment 2 (Groups are identified in bold)** and forward a current appointment letter to the Base Records Manager (BRM) (455 ECS/SCXK) within 2 weeks of the vacancy.

4.6. Will support and ensure AF records management data calls and records searches are conducted and completed IAW defined requirements.

4.7. Will ensure assigned records professionals have appropriate clearance to access classified records (paper/electronic); to include sensitive compartmental information facilities (SCIF), to ensure proper oversight of classified records and to comply with AF records management data calls and records searches. The BRM, FARM, and RC have a valid need to access Air Force records for the purpose of ensuring compliance with records management policy and guidance.

4.8. Each installation commander shall maintain a base staging facility, ensuring the facility is compliant with Title 36, CFR, *Parks, Forests, and Public Property*, Chapter XII, *National Archives and Records Administration*, Part 1234, *Electronic Record Management Facility Standards*, and that funding is available to cover costs associated transfer to AFRO authorized records centers.

4.9. Each installation commander shall direct the BRM to conduct a base RM program self-assessment every 24 months. Provide signed report of self-assessment to CRM/ARM as appropriate.

5. Users. Defined as all military, civilian, foreign nationals employed by the Department of the Air Force and contractors:

5.1. Complete Total Force Awareness Training (TFAT) – Information Protection training on an annual basis to meet requirements directed in DoDD 5015.2.

5.2. Create and declare records that sufficiently document the function, organization, administration, policies and procedures. File records IAW office procedures.

5.3. Notify the office RC upon notification of retirement, separation, or change of assignment.

5.4. Comply with FARM/RC request to search using provided search terms, for all information including paper, non-electronic, and electronic within his or her assigned workspace, on his or her respective government provided desktop/laptop computer, and personal government e-mail accounts/.psts/and files in time to meet assigned suspense. The search will include all information, regardless of classification or format. All information in the custody, possession, or control of the Air Force is subject to the discovery process and may contain potentially relevant information. Notify the RC when the search has been

completed. If responsive information is found, notify the RC as soon as possible for preservation guidance. Any potentially relevant information shall immediately be suspended from additional modification or destruction.

5.5. Must inform the COR and RC of any actual or potential unlawful or inadvertent removal, change, or destruction of Air Force records.

5.6. Must distinguish records from non-record materials and maintain personal papers separately.

6. Records Professionals. Records professionals must protect record content and comply with FOUO, sensitive, Privacy Act, and other policy and legal requirements.

6.1. Air Force Records Officer.

6.1.1. Works with the National Archives and Records Administration (NARA) and General Services Administration (GSA) using the guidelines from 36 Code of Federal Regulations (CFR), *Parks, Forest, and Public Property* and 41 CFR, *Public Contracts and Property Management*.

6.1.2. Develops and issues policies governing life-cycle management of Air Force records.

6.1.3. Works with the Archivist of the United States in applying standards, rules, and techniques to improve managing records of any media type, to improve how the Air Force identifies, maintains, and protects permanently valuable records, and separates and disposes of records of temporary value in accordance with Titles 36 and 41 CFR.

6.1.4. Certifies to the Archivist of the United States that all temporary records meeting their retention period are no longer of value to the Air Force and shall be disposed. Serves as approving official for the transfer of records with a permanent retention and the Transfer Approving Official in NARA's ERA for the approval and transfer of permanent electronic Air Force records to the Archivist.

6.1.5. Reports to the Archivist of the United States potential unlawful removal, change, or destruction of Air Force records.

6.1.6. Establishes guidance and processes to ensure the Air Force properly creates and preserves records that document all aspects of its business to protect the rights of the United States Government and of persons directly affected by Air Force actions. Ensures that all records including e-mail, electronic documents, databases, and those in automated information systems, Web 2.0 technology or social media, generated by processes and prescribed in Air Force publications are scheduled. Ensures that system developers include official records management requirements in automated information systems development and redesign.

6.1.7. Applies DOD records management functional and system requirements to all electronic record-keeping systems.

6.1.8. Obtains written approval or concurrence from the Comptroller General of the United States to dispose of records of claims and demands by or against the United States Government or accounts affecting the United States Government.

- 6.1.9. Negotiates agreements to transfer Air Force records to NARA, Federal Records Centers (FRC), other Federal agencies, or private organizations and implements agreements to store, service, dispose of, access, or use records.
- 6.1.10. Publishes an RDS authorizing disposal of organization records and directing prompt and proper retention of temporary records and retirement of permanent records. Serves as the Certifying Official in ERA for submission of an AF Records Schedule to NARA for approval.
- 6.1.11. Conducts or directs evaluations of the Air Force Records Management Program during staff visits or Inspector General (IG) team visits, ensuring compliance with Federal, DOD, and Air Force requirements. This may include staff visits to Command or Agency Records Managers as needed or upon request.
- 6.1.12. Issues guidance on authenticating records.
- 6.1.13. Directs CRMs/ARMS/BRMs/FARMS and RCs to conduct non-FOIA record searches upon receipt of a written request from a valid legal or Federal authority.
- 6.1.14. Maintains awareness of developments in the field of records technology and systems, and potential application to the Air Force's record systems.
- 6.1.15. Advises the DOD Records Officer of any matters pertaining to records management that may have DOD-wide implications.
- 6.1.16. Advises personnel on recovery or reconstruction of records.
- 6.1.17. Ensures functional series records dispositions are current. Initiates a functional review of the RDS, on a biennial basis in the month of September, to ensure currency. Any required additions, changes, or deletions will be processed following the procedures in AFMAN 33-363.
- 6.1.18. Establishes initial and annual role based training requirements for all appointed records professionals to include CORs.
- 6.1.19. Establishes metrics and determines frequency of reporting to assess areas of compliance and evaluate program resource and training requirements. AFRIMS will be the data source for metrics associated with program management, i.e., file plan approval rates, staff visits (visited/not visited), training, and staging.
- 6.1.20. Ensures records generated by AF directives and instructions are scheduled.
- 6.1.21. Assigns Air Force Records Office staff to serve as Records Schedulers in ERA for the purpose of developing AF RDSs.
- 6.1.22. Assigns Air Force Records Office staff to serve as Transferring Official in ERA to create records Transfer Requests for submission to the Transfer Approving Official for approval.
- 6.1.23. Serves as the Transfer Approving Official to approve records Transfer Requests in ERA.
- 6.1.24. Serves as the approval authority for accounts in NARA's Archives and Records Centers Information System (ARCIS).

6.1.25. Serves as the decision authority for individuals seeking access to AF records staged at any FRC.

6.2. Chief of the Office of Record (COR). Defined as the individual designated as the head of an office where records are created, received, or maintained. The COR should have working knowledge of the E-Government Act including privacy aspects, the Paperwork Reduction Act, and the Federal Information Quality Act. While it is preferred that the COR be in the senior position of authority in the respective office of record, these duties may be delegated as appropriate. Delegation of the COR must be made in writing to the applicable BRM or ARM as appropriate. Delegation should be made to someone with adequate authority and a thorough knowledge of the office's mission and the records created by the office. The delegation letter should include an overview of the primary responsibilities of CORs and contain information regarding any training required to effectively carry out those responsibilities.

6.2.1. Responsible for the physical and legal custody of all records the office creates or receives, regardless of their physical characteristics. In smaller organizations the COR can also serve as the Records Custodian.

6.2.2. Completes initial COR role-based training upon assignment to the office of record and annual role-based training. Notifies the applicable FARM upon completion to ensure it is documented in AFRIMS.

6.2.3. Ensures the office creates only essential records, permanently preserves valuable records, promptly stages eligible records and disposes of temporary records according to the RDS. Determines records access and enforces RM compliance.

6.2.4. Ensures each office of record under his or her purview develops a file plan and approves by digitally signing the file plan coversheet (reference guidance for digital signatures found in AFI 33-321, *Authentication of Air Force Records*.)

6.2.5. Appoints a primary and alternate (if possible) RC in writing to the FARM. If an RC is unavailable for more than 90 days a new RC shall be appointed.

6.2.5. (455AEW) The COR appoints an individual assigned to the office as the RC within 1 week of the RC vacancy.

6.2.6. Upon appointment provides the RC an orientation to the office to include, at a minimum, what records are created and managed by the office, location of files, office filing procedures, and vital records, if applicable.

6.2.7. Ensures RCs complete all required records management training within 90 days of appointment. Air National Guard (ANG) personnel will be trained within 6 months of appointment.

6.2.8. Ensures a thorough office-wide search for all data calls (e.g. record searches), to include active and inactive, physical and electronically stored final and draft documentary materials both classified and unclassified.

6.2.9. Ensures RC provides written response, preferably in AFRIMS, to all staff visit findings within 30 days of receiving report, and provides written follow-up responses every 30 days until all findings are closed.

6.2.10. Works with RC(s) to properly identify vital records and establish a restoration and disaster recovery plan for paper and electronic records. Ensures identified vital records are included in the base, agency or MAJCOM emergency preparedness plans.

6.3. Command Records Managers (CRM) and Agency Records Managers (ARM).

6.3.1. Oversees the records program within their commands or agencies as specified in Federal laws, NARA guidelines and applicable Air Force 33-series publications.

6.3.2. HQ MAJCOM/FOA/DRU internal record-keeping programs will comply with host base records management program guidelines for storage, staging, retrieval, and training.

6.3.3. Establishes and manages a training program for newly appointed BRMs and for continuing training and education.

6.3.4. Enforces the federal mandate of the E-Government Act of 2002, requiring electronic processes be applied to records created and maintained electronically that have a retention disposition of 10 years or less. If records are to be maintained electronically, ensure Records Professionals verify OPRs have authoritative guidance pertaining to legal recognition and validity before approving transfer (ie. scanning documents) to electronic form. This includes protecting the scanned paper records from destruction until such authoritative guidance is provided.

6.3.5. Reviews MAJCOM/Agency directives and forms before publication to ensure compliance with records management directives. Ensures records generated by command or agency directives and information collections (forms) are scheduled. When a command or FOA is designated as the office of primary responsibility (OPR) for an Air Force publication, the CRM or ARM will ensure records generated by the prescribed processes are scheduled. Send documentation to support this action to the AFRO.

6.3.6. Provides assistance to OPR in submitting and ensuring requests for new, updated, or deleted records retention recommendations are properly coordinated using an AF Form 525, *Records Disposition Recommendation* or its equivalent.

6.3.7. Reviews documentation used to survey electronic data and records in AF information systems on AF Form 1341, *Electronic Record Inventory*. The CRM and ARM validate proposals on information systems managed in their respective MAJCOM, FOA, DRU, and affected unified and specified commands' portfolios containing records or records data with an approved disposition schedule in the AF RDS for less than 25 years.

6.3.8. Reviews and makes recommendations to the AFRO for their respective MAJCOM, FOA, DRU, and affected unified and specified commands for pre-accessioning and accessioning permanent electronic records in NARA's ERA system.

6.3.9. Works with the IG to:

6.3.9.1. Identify areas requiring special review by command IG teams.

6.3.9.2. Provide compliance evaluation criteria and standards for functional area inspectors.

- 6.3.9.3. Establish crossfeed procedures to ensure command units are aware of records management evaluation contained in IG reports. Send a copy of procedures to SAF/A6PP.
- 6.3.10. Provides guidance to tenants and BRMs on local support agreements for program assistance, training, electronic records storage (where applicable), staff visits, staging, or records shipping services.
- 6.3.11. Directs BRM to conduct non-FOIA records management data calls and records searches upon receipt of an official request from the AFRO.
- 6.3.12. Ensures all subordinate BRMs, FARMs and RCs complete and report responses to non-FOIA records searches in AFRIMS before closing out base response in AFRIMS.
- 6.3.13. Oversees the implementation of the AFRIMS according to AFMAN 33-363.
- 6.3.14. Develops meaningful metrics in the areas of file plan approval rates, staff assistance visits (visited/not visited), staging, and training. The AFRO will establish and determine frequency of reports. AFRIMS will be utilized as much as possible.
- 6.3.15. Accomplishes initial training upon appointment and maintains proficiency by completing the Information Protection module of TFAT and annual role-based training.
- 6.3.16. ARMs will ensure appropriate network permissions for FARMs, CORs, and RCs upon completion of training.
- 6.3.17. ARMs will ensure each Office of Record receives a staff visit at least once every 24 months. ARMs will complete the Base Records Management checklist in AFRIMS for all applicable.
- 6.3.18. ARMs will direct subordinate BRMs and/or FARMs to conduct non-FOIA records management data calls and records searches upon receipt of an official request from the AFRO.
- 6.3.19. Ensures all subordinate BRMs, FARMs and RCs complete and report responses to non-FOIA records searches in AFRIMS before closing out agency response in AFRIMS.
- 6.4. Base Records Manager (BRM).** The BRM administers the installation records management program. Recommended minimum grade for the primary is GS-09 or MSgt (7-level), depending upon span of control. His or her duties fall into three major areas: providing assistance, managing staging areas, and training.
- 6.4.1. Providing Assistance:
- 6.4.1. (455AEW) 19 (Added) Squadron Commanders or equivalent are the approval authority for all 3215 office symbol addition or subtraction changes maintained by the BRM.
- 6.4.1.1. Implements the AF Records Management Program across the base.
- 6.4.1.2. Makes recommendations on records storage issues prior to supporting Communications Squadron or base submitting request to purchase additional storage space. Provides guidance on using document imaging systems for records storage and authorized disposition of paper-based records following imaging.

6.4.1.3. Provides guidance on electronic record-keeping requirements and implements MAJCOM/local procedures for creating, transferring, storing, retrieving, and disposing of electronic records. Performs the role of Electronic Transfer Staff for the purpose of packaging and transmitting electronic records to ERA via an electronic transfer method.

6.4.1.4. Reviews proposals for electronic storage and document imaging of records, makes recommendation to improve processes, and sends the proposal to the CRM before implementation.

6.4.1.5. Implements AFRIMS according to AFMAN 33-363.

6.4.1.6. Implements procedures for processing and approving file plans. The BRM is the file plan approval/disapproval authority and may delegate the authority to the FARMS.

6.4.1.7. Investigates incidences of lost records and unauthorized destruction of records.

6.4.1.7.1. Provides guidance and assistance to reconstruct lost/destroyed records.

6.4.1.7.2. Makes recommendations to management on preventing future records loss.

6.4.1.7.3. Provides a report as prescribed by AFI 33-364, *Records Disposition – Procedures and Responsibilities*.

6.4.1.8. Reviews base directives and forms before publication to ensure compliance with records management directives.

6.4.1.9. Provides instruction to the OPR on submitting AF Form 525, or its equivalent, recommending new, modified, or deletion of a records schedule.

6.4.1.10. Reviews documentation used to survey electronic data and records in AF information systems, (AF Form 1341 or its equivalent) and proposed disposition (AF Form 525 or its equivalent) of system from OPRs and Program Managers. Submits documentation and review to the CRM or ARM. Information systems which contain Privacy Act System of Records, coordinate with the program manager to ensure disposition of data in the survey and schedule is consistent with the records disposition in the System of Records Notice.

6.4.1.11. Serves as the base POC for ARCIS used for transactions with FRCs. Unless otherwise approved by the AFRO, a base will have two ARCIS account holders, one primary and one alternate.

6.4.1.12. Performs staff visit on each unit FARM at least once every 24 months. For short tour bases and in the Area of Responsibility (AOR), staff visits will be performed at least once every 12 months. Schedules, manages and documents all staff visits in AFRIMS using the AF-wide checklist. Open findings must be tracked and documented using AFRIMS.

6.4.1.12. (455AEW) Performs staff visit on each unit FARM every 6 months.

6.4.1.13. Conducts self-assessment of base records management program at least every 24 months. Self-assessment shall be signed by the base commander and a copy of the report of self-assessment provided to the CRM/ARM as appropriate.

6.4.1.13. (455AEW) Conducts self-assessment of base records management program at least every 12 months. Self-assessment shall be signed by the 455 AEW Commander and a copy of the report of self-assessment provided to the CRM as appropriate.

6.4.1.14. Directs FARMs and RCs to conduct non-FOIA records management data calls and record searches upon receipt of an official request from the CRM or ARM.

6.4.1.15. Ensures all subordinate FARMs and RCs complete and report responses to non-FOIA records searches in AFRIMS before closing out base response in AFRIMS.

6.4.1.16. Requests appropriate network permissions for FARMs, CORs and RCs upon completion of training.

6.4.1.16. (455AEW) The BRM establishes electronic records user access for the FARM and RC (read, write, and modify) groups. The 455th Expeditionary Communications Squadron (455 ECS) establishes Electronic Records Management (ERM) (read and write) access rights for other individuals assigned to the office at the direction of the CORs.

6.4.1.17. Coordinates on the local base Disaster and Recovery Plan to account for the Vital Records Program. At a minimum, plan will include a description of how vital records are protected and recovered during a disaster or link to the vital records plan.

6.4.1.18. Reviews all support agreements for records management issues.

6.4.2. Managing Staging Areas:

6.4.2.1. Manages a staging area for temporary storage of records pending destruction or transfer to a FRC including centralized storage of electronically stored inactive records.

6.4.2.2. Provides records staging service for Air Force tenant activities, or other DOD tenants as provided for in a support agreement.

6.4.2.3. Maintains custody of and accountability for staged records, and accountability for records transferred to other agencies or FRCs by maintaining the Standard Form (SF) 135, Records Transmittal and Receipt, in AFRIMS and an official copy on ERM drive or AFRO approved system, as prescribed in AFI 33-364.

6.4.2.4. Conducts an annual inventory of records in base staging area and validates holdings staged to FRC(s).

6.4.2.5. Makes the determination as to whether records have met criteria for disposition. Where required, the BRM negotiates contracts for the disposal of paper-based records stored in the staging area.

6.4.2.6. Shall ensure vital records maintained in the staging area are readily identified and properly documented in AFRIMS as to their location in the staging area.

6.4.3. Training:

6.4.3.1. Accomplishes initial training upon appointment and maintains proficiency by completing the Information Protection module of TFAT and annual role-based training.

6.4.3.2. Trains all records professionals within 3 months of assignment, including tenant activities' personnel. ANG personnel will be trained within 6 months of appointment.

6.4.3.2. **(455AEW)** Trains all records professionals within 30 days of assignment, including tenant activities' personnel.

6.4.3.3. Training shall include command-unique or local operating procedures or requirements, particularly where electronic storage processes are implemented.

6.5. Functional Area Records Manager (FARM). Serves as the point of contact for and monitors the Records Management Program of their unit or functional area. Shall have knowledge of the categories of records created and used by the units under his or her functional area. Serves as liaison with the BRM for his or her functional area. The FARM:

6.5. (455AEW) 12 (Added) Briefs newly delegated RCs on required records management training and provides desk-side training after RCs complete the mandatory training. Maintain the training completion documentation for the CORs and RCs.

6.5.1. Accomplishes initial training upon appointment and maintains proficiency by completing the Information Protection module of TFAT and annual role-based training.

6.5.2. Assists in preparing files maintenance and disposition plans.

6.5.3. Conducts staff visits on each Office of Record at least every 24 months using the AFRIMS Staff Visit module. Staff visits will be performed at least every 12 months for short tour bases and in the AOR. If the FARM also serves as the Office of Record RC, the BRM will perform the staff visit on the respective office.

6.5.3. **(455AEW)** Conducts staff visits on each Office of Record at least every 6 months using the AFRIMS staff visit module. FARM will use prescribed checklist (see [Attachment 4](#)).

6.5.3.1. **(Added-455AEW)** FARMs will schedule offices for evaluation and forward a copy of the schedule to 455 ECS/SCXK NLT 60 days after appointment and advise 455 ECS/SCXK of any rescheduled visits. Schedule the offices to ensure 50 percent completion by the end of the third month of FARMs rotation and 100 percent by month 6. The FARM performs staff assistance visits (SAVs) on offices of record every 6 months, except the offices surveyed by records management personnel. The FARM will out brief the COR and complete the SAV checklists in AFRIMS NLT the 5th workday following the SAV. Notify the BRM after completion of the SAV checklist. Enter the latest FARM SAV dates in AFRIMS.

6.5.4. Assists offices of record to retire eligible records.

6.5.5. Schedules attendance for all records professionals in their unit or functional area to take base records management classroom, hands on, or one-on-one training sessions. Ensure CORs and RCs complete required annual role-based training.

- 6.5.5. **(455AEW)** Schedules attendance for all records professionals in their unit or functional area to take base records management classroom training sessions within 15 days of appointment. Ensure CORs and RCs complete required annual role-based training prior to attending classroom instruction.
- 6.5.6. Assists the BRM in providing guidance on using document imaging systems and electronic storage media for records. Evaluates the effect of document imaging and electronic storage on creating, transferring, storing, retrieving, and disposing of office records. Reports problems to the COR and BRM.
- 6.5.7. Guides and assists assigned personnel in maintaining and disposing of records.
- 6.5.8. Creates AFRIMS accounts for RCs; reviews and documents user accounts biannually to ensure records professionals are current.
- 6.5.9. Reviews record and non-records drives to ensure proper records management practices and procedures.
- 6.5.10. Works with COR in conducting non-FOIA records management data calls and record searches upon receipt of an official request when the appointed RC will be unavailable to respond in a timely manner.
- 6.5.11. Ensures all subordinate RCs complete and report responses to non-FOIA records searches in AFRIMS before closing out assigned unit(s) in AFRIMS.
- 6.5.12. **(Added-455AEW)** Briefs newly delegated RCs on required records management training and provides desk-side training after RCs complete the mandatory training. Maintain the training completion documentation for the CORs and RCs.
- 6.5.13. **(Added-455AEW)** Maintains a listing of offices that stage records. The listing will include the office's name, tables and rules, and series title. Validate the listings each rotation, and forward to 455 ECS/SCXK.
- 6.5.14. **(Added-455AEW)** Is also the Privacy Act monitor.
- 6.5.15. **(Added-455AEW)** Maintains a FARM continuity book using [Attachment 3](#) format.
- 6.5.16. **(Added-455AEW)** Maintains the administrative portion of the AFRIMS database current (names of CORs and RCs with appointment and training dates, office titles, office mailing addresses, office phone numbers, organizational e-mail accounts and latest SAV dates).
- 6.5.17. **(Added-455AEW)** Approves RCs file plan. If the FARM is also the RC the BRM will approve their file plan.
- 6.5.18. **(Added-455AEW)** Establishes AFRIMS user accounts for CORs and RCs and enter the assignment and training date in AFRIMS.
- 6.5.19. **(Added-455AEW)** FARMs are required to transfer eligible records to the BRM no later than 15 days after either fiscal year (30 Sep) or calendar year (31 Dec) according to table and rule for cutoff of record. Create the SF 135s utilizing the staging module in AFRIMS in coordination with the FARM. Remove all fasteners, paper clips, staples, extra paper, etc. Maintain the official record of the SF 135 in active files.

6.6. Records Custodian (RC). The RC maintains and disposes of the office's active and inactive records IAW the RDS. Each RC must learn the functional mission of the office of record that the records support and know the purposes the records serve. If assigned, a knowledge operator (Air Force Specialty Code 3D0X1) will be the RC; otherwise any military career field, civil service series, or contractor can perform these duties. The RC:

6.6.1. Accomplishes initial training upon appointment and maintains proficiency by completing the Information Protection module of TFAT and annual role-based training.

6.6.2. Develops and maintains the office file plan within AFRIMS, and establishes electronic and paper records in IAW AFI 33-364 and AFMAN 33-363. Creation of new paper records is only authorized with approval of the AFRO.

6.6.3. Promptly and properly transfer eligible records to the base staging area or the designated FRC. Create the SF 135s utilizing the Staging module in AFRIMS in coordination with the FARM. Maintains the official record of the SF 135 in active files.

6.6.4. Must be proficient on the equipment used for storing and retrieving records.

6.6.5. Knows and implements the records maintenance, use, and disposition policies and procedures for records maintained.

6.6.6. Consults with the COR and FARM as necessary on problems that affect creating, maintaining, using, and disposing of records.

6.6.7. Conducts non-FOIA records management data calls and record searches.

6.6.8. Responds to questions on records requirements and the RDS.

6.6.9. Provides office orientation to newly assigned personnel (to include new CORs).

6.6.10. **(Added-455AEW)** The RC establishes the ERM files structure on the base shared (S:) and official (O:) network drive. The RC trains the COR and assigned individuals on maintaining electronic records.

7. Portfolio Manager (Pfm) of IT investments.

7.1. Communicates AF Records Office guidance and direction to his or her IT program/project managers and others responsible for IT portfolio management data collection and maintenance. Partners with them to collect and manage data to support the Air Force Records Management process in addition to Air Force IT portfolio management and other processes in AFI 33-141, *Air Force Information Technology Portfolio Management and IT Investment Review*.

7.2. Informs the IT program/project managers' functional process owner of non-compliance.

8. Program Manager (PM) of an IT investment.

8.1. Ensures records or records data in IT investments under his or her purview are compliant with records management requirements per AFMAN 33-363.

8.1.1. Ensures accuracy of records management requirements in Enterprise Information Technology Data Repository (EITDR).

8.1.2. Prepares AF Form 1341 or its AFRO-approved equivalent, to survey the IT investment's records data and system characteristics as required by AFMAN 33-363 and

36 CFR 1236.26, *What actions must agencies take to maintain electronic information systems?*

8.1.3. Proposes a customized records disposition using an AF Form 525, or its AFRO-approved equivalent, IAWAFMAN 33-363 and AFI 33-364 if an approved, applicable records disposition does not exist or if an existing one cannot be executed in the IT investment. Coordinates the AF Form 525 with relevant stakeholders before submission to Records Professionals and the AF Records Officer for review and approval.

8.1.4. Ensures compliance with approved disposition for IT investment records or records data during normal operations and responds to authorized suspensions.

8.1.5. Ensures the records or records data is not prematurely disposed upon decommissioning of the IT investment. Maintains required hardware and software to access records or records data until approved disposition is met.

9. Publication and Form Office of Primary Responsibility (OPR).

9.1. A publication OPR ensures that records created as a result of processes prescribed in his or her publication has a NARA approved RDS.

9.2. A form OPR ensures the form has a NARA approved RDS.

9.3. If an approved disposition does not exist in the AF RDS, the publication or form OPR shall propose a customized records disposition using an AF Form 525, or its AFRO-approved equivalent, IAWAFI 33-364 and AFMAN 33-363. The OPR shall coordinate the AF Form 525 with relevant stakeholders before submission to records professionals and the AF Records Officer for review and approval.

WILLIAM T. LORD, Lt Gen, USAF
Chief of Warfighting Integration and
Chief Information Officer

(455AEW)

JOSEPH T. GUASTELLA Jr., Brigadier General,
USAF
Commander

ATTACHMENT 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

Title 36, CFR, *Parks, Forests, and Public Property*, Chapter XII, *National Archives and Records Administration*, Subchapter B, *Records Management*

Title 36, CFR, *Parks, Forests, and Public Property*, Chapter XII, *National Archives and Records Administration*, Part 1234, *Electronic Record Management Facility Standards*

DoDD 5000.01, *The Defense Acquisition System*, May 12, 2003 (certified current as of November 20, 2007)

DoDD 5015.2, *DoD Records Management Program*, March 6, 2000 (certified current November 21, 2003)

DoD 5015.02-STD, *Design Criteria Standard for Electronic Records Management Software Applications*, 25 April 2007

DoDD 5100.3, *Support of the Headquarters of Combatant and Subordinate Joint Commands*, November 15, 1999, Change 1, March 23, 2000, Change 2, December 5, 2003 (certified current March 24, 2004)

AFPD 33-3, *Information Management*, 8 Sep 2011

AFI 33-141, *Air Force Information Technology Portfolio Management and IT Investment Review*, 23 Dec 2008

AFI 33-321, *Authentication of Air Force Records*, 3 Aug 2011

AFI 33-360, *Publications and Forms Management*, 18 May 2006

AFI 33-364, *Records Disposition - Procedures and Responsibilities*, 22 Dec 2006

AFMAN 33-363, *Management of Records*, 1 Mar 2008

AFI 63-101, *Acquisition and Sustainment Life Cycle Management*, 8 Apr 2009

Prescribed Forms

AF Form 525, *Records Disposition Recommendation*, 1 Jul 1999

AF Form 1341, *Electronic Record Inventory*, 1 Jan 1995

Adopted Forms

AF Form 847, *Recommendation for Change of Publication*, 22 Sep 2009

Standard Form 135, *Records Transmittal and Receipt*, July 1985

Abbreviations and Acronyms

AF CIO—Air Force Chief Information Officer

AFI—Air Force Instruction

AFMAN—Air Force Manual

AFPD—Air Force Policy Directive
AOR—Area of Responsibility
ARCIS—Archives and Records Centers Information System
ARM—Agency Records Manager
CFR—Code of Federal Regulations
COR—Chief of the Office of Record
CRM—Command Records Manager
CUI—Controlled Unclassified Information
DOD—Department of Defense
DoDD—Department of Defense Directive
DRU—Direct Reporting Unit
EITDR—Enterprise Information Technology Data Repository
ERA—Electronic Records Archives
FARM—Functional Area Records Manager
FOA—Field Operating Agency
FRC—Federal Records Centers
GSA—General Services Administration
HAF—Headquarters Air Force
IAW—In Accordance With
IG—Inspector General
IMT—Information Management Tool
ISO—Information System Owner
IT—Information Technology
MAJCOM—Major Command
NARA—National Archives and Records Administration
OPR—Office of Primary Responsibility
OSD—Office of the Secretary of Defense
PfM—Portfolio Manager
PM—Program Manager
RC—Records Custodian
RDS—Records Disposition Schedule
RM—Records Managers

SAV—Staff Assistance Visit

SCIF—Sensitive Compartmental Information Facility

TFAT—Total Force Awareness Training

U.S.C.—United States Code

Terms

Agency Records Manager (ARM)—Records managers at FOAs, DRUs, and Combatant Commands for which the Air Force is the executive agent.

Area of Responsibility (AOR)—The geographical area associated with a combatant command within which a combatant commander has authority to plan and conduct operations.

Certifying Official—Electronic Records Archives role assigned to the individual who will certify that the agency is officially submitting a Records Schedule to NARA for approval. The paper equivalent of this role is the person who signs in Box 6 of the paper Request for Records Disposition Authority (SF 115).

Chief of the Office of Record (COR)—Person designated as head of an office where records are created, received, or maintained; has responsibility for physical and legal custody of records. COR duties may be delegated, as appropriate, to someone with adequate authority and a thorough knowledge of the office's mission and the records created by the office.

Command Records Manager (CRM)—Records managers responsible for management and oversight of MAJCOM records programs centrally located at the AFNIC, with the exception of the ANG CRM.

Disposable—Temporary and approved by NARA for disposal, either immediately or after a specified retention period.

Disposition—(1) A comprehensive term that includes destruction, salvage, or donation; transfer to a staging area or records center; transfer from one organization to another; (2) Actions taken with inactive records. These actions may include erasure of data, transfer to a records center, or transfer to the National Archives (Title 36, CFR, Chapter XII, Part 1234).

Disposition Instructions—Precise instructions in the Air Force RDS located in AFRIMS, specifying the date or event for cutoff, transfer, retirement, or destruction of records.

Electronic Records Archives—ERA is a technology system designed to preserve and manage NARA's electronic records and to manage the lifecycle of paper records and other holdings, including support for records retention schedules and the accessioning process for all Federal records.

Electronic Transfer Staff—A role in ERA that is used to package and transmit electronic files to ERA via an electronic transfer method to the Transfer Approving Official.

File—An organized collection of related data, usually arranged into logical records that are stored together and treated as a unit.

Office of Primary Responsibility (OPR)—Any headquarters, agency, or activity having primary functional interest in, and responsibility for, a specific action, project, plan, program, or problem.

Office of Record—An office within an organization, defined by its mission or function, that is responsible for the creation and management of records that sufficiently document its function, organization, administration, policies and procedures. Recommend geographically separated offices be identified as individual offices of record. At Headquarters level, the span of control for an office of record should be no larger than a staff agency or branch; at Squadron level, the span of control for an office of record should be at or below flight level.

Personal papers—Include family and personal correspondence and materials documenting professional activities and outside business or political pursuits. These materials belong to the individual, and the Government exerts no control over them. Personal papers shall be clearly designated as such and kept separate from Air Force records.

Program Manager (PM)—The individual specifically designated to be responsible for the life cycle management of a system or end item. The PM is vested with full authority, responsibility, and resources to execute and support an approved Air Force program. The PM is accountable for credible cost, schedule, and performance reporting to the Milestone Decision Authority (DoDD 5000.01, *The Defense Acquisition System*). Throughout this document the term “Program Manager” is used for consistency with DOD policy and documentation. Air Force organizations may use “System Program Manager” as an equivalent to the DoDD 5000.01 “PM” term. (AFI 63-101, *Acquisition and Sustainment Lifecycle Management*).

Records—Records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, created or received by the Air Force in connection with the transaction of public business and preserved or appropriate for preservation by the Air Force as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Air Force or because of the informational value of the data in them. 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 are not included. Records are media neutral. Different content types such as e-mail, data in IT systems, web pages, and instant messaging, etc. may be considered an Air Force record if they meet this definition.

Records Custodian—Person designated within an office of record to manage the internal record keeping program, having guardianship and control of records.

Records Professional— Individual whose area of expertise advances beyond introductory records management. The term record professional encompasses AFRO, COR, CRM, ARM, BRM, FARM, and RC. RP skills extend beyond familiarity to intermediate or advanced record management.

Records Scheduler—Role in ERA assigned to users who prepare records retention schedules for submission to the Certifying Official for approval.

Retire—The transfer of inactive records to a Federal Records Center (FRC).

Routine Use—A disclosure of records to individuals or agencies outside DOD for a use that is compatible with the purpose for which the Air Force created the records

Scheduled—Having final retention approved by NARA. Scheduling provides mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business.

Transfer Approving Official—A role in ERA assigned to users who have authority to approve Transfer Requests and the Legal Transfer Instruments on behalf of the agency. The paper equivalent of this role is the person who signs in Box 2A of the paper Agreement to Transfer Records to the National Archives of the United States (SF 258).

Transferring Official—A role in ERA assigned to users who will create Transfer Requests and submit them to the Transfer Approving Official for approval.

Users—All Air Force personnel to include military active duty, reserve, guard, civilian, foreign national' s employed by the Department of the Air Force and Air Force contractor employees.

Working Documents/Drafts—Documentary materials in any media or format that have not been signed or officially released; can be altered and are discoverable in response to litigation or FOIA requests.

Attachment 1 (455AEW)**GLOSSARY OF REFERENCES AND SUPPORT INFORMATION***Abbreviations and Acronyms*

455 AEW—455th Air Expeditionary Wing

455 ECS—455th Expeditionary Communications Squadron

455 ECS/SCXK—Base Records Manager

AFRIMS—Air Force Records Information Management System

BRM—Base Records Manager

ERM—Electronic Records Management

Attachment 2 (Added-455AEW)

ORGANIZATIONAL LISTING

455th Air Expeditionary Wing

455 AEW/CCE
455 AEW/CCEA
455 AEW/CCP
455 AEW/HO
455 AEW/PA
455 AEW/SE
455 AEW/HC
455 AEW/CP
455 AEW/SARC
455 AEW/XP
455 AEW/FM
455 AEW/EO
455 AEW/ATFP
455 AEW/JA

455th Mission Support Group

455 EMSG Command Staff
455 ELRS
455 EFSS
455 EMSG
455 ECES
455 ESFS
455 ECS
455 EAPS

455th Expeditionary Operations Group

455 EOG Command Staff
455 EOSS
774 EAS
83 ERQS
4 ERS
455 EAES
104 EFS

455th Expeditionary Maintenance Group

455 EMXG Command Staff
455 EAMXS
455 EMXS

Attachment 3 (Added-455AEW)
FARM CONTINUITY BOOK

Table A3.1. Contents for FARM Continuity Book.

TAB	RECORDS	COMMENTS
A	FARM /RC/COR Appointment Letters – Signed by the Commander. Training certificates.	N/A
B	SAV Schedule and Completed AFRIMS SAV Checklists	Maintain the SAV checklists electronically. Completed paper copies can be kept.
C	AFRIMS Listing of Vital Records	Maintain the listing electronically. Paper copies can be kept.
D	Records Staging Listing	Maintain in the electronic files and identify location at this tab.
E	Unit Privacy Act Training Records/Certificates	Maintain the certificates electronically. Completed paper copies can be kept.

Attachment 4 (Added-455AEW)

BAF FARM/RC CHECKLIST

Table A4.1. FARM/RC Checklist.

Unit:				Date:	
FARM Checklist				SAT	UNSAT
1	Has a FARM been appointed at each unit, principal staff office within an AF organization, or contractor unit?	AFI 33-322, para 4.5.	Critical		
2	Has the Chief of the Office (COR) appointed a Records Custodian?	AFI 33-322, para 6.2.5.	Critical		
3	Has the COR taken the Role-Based CBT?	AFMAN 33-363, para 6.1.1.2.6.1			
4	Has the RC received RM training and completed the RC Role-Based CBT?	AFI 33-322, para 8.5. and AFMAN 33-363, para 6.1.1.2.6.1			
5	Does the FARM ensure each office of record under their purview develop a file plan?	ERM Guide, Attachment 2			
6	Does the FARM ensure each RC creates office file plans in AFRIMS?	AFMAN 33-363, para 6.1.1.4.2.1.	Critical		
7	Does the FARM/RC ensure records are maintained under the correct Table and Rule from the AFRIMS RDS?	ERM Guide, Attachment 2	Critical		
8	Does the FARM ensure each office file plan is official/signed by the COR?	AFMAN 33-363, para 2.2.1.			
9	Are all file plans approved and current?	ERM Guide, Table 4.3.			
10	Does the RC maintain the office file plan and accountability for Active and Inactive records?	AFI 33-322, para 6.6.	Critical		
11	Does the FARM/RC ensure the RDS is followed and records are properly destroyed, cutoff, or staged?	AFMAN 33-363, para 2.1.	Critical		
12	Are files reviewed at least annually, cutoff according to the RDS, and are Active records separated from Inactive?	AFMAN 33-363, para 4.4.			

13	Are all media types correctly marked in AFRIMS?	ERM Guide, Table 4.3.			
14	Does the FARM use AFRIMS to track appointments, training, staff assistance visits, and staging area data?	AFI 33-322, para 6.5.3.	Critical		
15	Does the FARM ensure each office of record receives a SAV at least once every 6 months and follow-up with the COR on corrective actions for discrepancies noted during visits? (CRITICAL)	AFI 33-322, para 6.5.3.	Critical		
16	Are disposition guide cards and AFRIMS-generated disposition control labels prepared for each record series on a file plan for both active and inactive files?	AFMAN 33-363, para 2.2.3.			
17	Are official electronic records set up and filed according to the latest version of the AF ERM Solution?	AFMAN 33-363, para 6.1.1.2.7.	Critical		
18	Is the RC ensuring all official documents have been transferred and maintained on the O: drive?	ERM Guide, 4.3			
19	Are all AFRIMS file plan disposition and folder titles replicated to the O: drive including CY and FY markings?	ERM Guide, 4.6.2.	Critical		
20	Does the FARM ensure end-users are utilizing the Official-Drive electronic repository for storing records?	ERM Guide, Attachment 2	Critical		
21	Do FARMs have access to all directories and shared drives under their purview to ensure final and draft e-records are maintained according to ERM policies?	AF ERM Solution, para 4.1.3.			
22	Is access restricted on electronic folders containing sensitive and privacy act data using controlled passwords and/or group permissions?	AFMAN 33-363, para 6.1.1.4.6.2.	Critical		
23	Are vital e-records marked with a "V" or the word Vital after the folder title?	AF ERM Solution, para 4.2.13	Critical		

Critical items are identified as anything that is important to the program but does not constitute an automatic "Unsat" rating on inspection.