

**BY ORDER OF THE COMMANDER
HOLLOMAN AIR FORCE BASE**

**HOLLOMAN AIR FORCE BASE
INSTRUCTION 33-301**



17 MAY 2012

Communications and Information

RECORDS MANAGEMENT PROGRAM

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction establishes policies and procedures for the installation's Records Management (RM) Program. This instruction applies to all 49th Wing units, tenants, personnel, contractors and volunteers. This instruction implements AFPD 33-3, *Information Management*. This instruction extends the guidance of AFI 33-322, *Records Management Program*; AFMAN 33-363, *Management of Records*; and AFI 33-364, *Records Disposition-Procedures and Responsibilities*. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air Force Manual 33-363, *Management of Records*, and disposed of in accordance with Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS) located at <https://www.myaf.mil/afrims/afrims/afrims/rims.cfm>. Contact supporting records managers as required. Refer recommended changes and questions to the Office of Primary Responsibility (OPR) using AF Form 847, *Recommendation for Change of Publication*, to 49th Communications Squadron Base Records Management Office (49 CS/SCOK), 1321 Tularosa Rd., Holloman AFB, NM 88330-7928.

Chapter 1

ROLES AND RESPOSIBILITIES

1.1. Base Records Manager (BRM). The BRM administers the Holloman Records Management Program. The BRM will provide records management assistance, manage staging areas and conduct training. Additionally, the BRM will:

1.1.1. Act as the installation Records Disaster Response Team (RDRT) Team Leader. The RDRT will implement HAFB Plan 33-1, *49th Wing Vital Records Disaster Recovery Plan*.

1.1.2. Serve as the Holloman Privacy Official. The BRM will oversee installation privacy act training. Additionally, they will review all Holloman AFB (HAFB) publications and forms for privacy act compliance.

1.1.3. The BRM serves as the Holloman point of contact and authority for the records search, collection, and preservation procedures of the discovery/litigation hold process.

1.1.4. Act as the Freedom of Information Act (FOIA) Managers. The BRM and/or the Communications Squadron Commander are designated as FOIA disclosure authorities.

1.1.5. Manage the Holloman Electronic Records Management Server (ERM).

1.1.6. Administer the Holloman Records Authentication Program.

1.2. Functional Area Records Manager (FARM). The unit commander appoints a FARM by memorandum. Large units may appoint additional FARMS. The signed memorandum is forwarded to the Holloman BRM office. The FARM is also appointed the unit Privacy Act (PA) monitor and the unit Freedom of Information Act (FOIA) monitor unless other circumstances permit another appointee (see DoD Regulation 5400.7-R_AFMAN 33-302 and AFI 33-332). Additionally, the FARM will:

1.2.1. Maintain a FARM book using the structure outlined in Table 1.1. This book may be maintained electronically or in paper.

Table 1.1. FARM Book Table of Content.

TAB A	-- FARM Appointment Memorandums
	-- FARM Appointment Letter
	-- FARM Training Certificates
TAB B	-- Unit's Office of Records Administration
	-- RC and COR Appointment Memorandums
	-- RC and COR Training Certificates
	-- Staging
	-- SAVs of Offices of Records
	-- Waivers
TAB C	-- BRM SAVs and Commander's Report
TAB D	-- Freedom of Information Act (FOIA) Tracking
TAB E	-- Privacy Act (PA) Training Administration/Tracking and Violations Tracking
TAB F	-- Lost or Destroyed Records Reports
TAB G	-- Publications/Forms Program
TAB H	-- ERM and EIM Administration
TAB I	-- Vital Records
	-- AFRIMS Vital Record Report for all offices of record that identify having vital records
	-- HAFB Plan 33-1, 49th Wing Vital Records Disaster Recovery Plan

1.2.2. Ensure that all unit offices of record in their functional area create a file plan in AFRIMS. They will forward appointment letters for newly appointed Records Custodians (RC) and Chief of Office of Record (COR) to the BRM.

1.2.3. Schedule classroom training for RCs and CORs within 90 days of appointment.

1.2.4. Create an AFRIMS account for all newly appointed RCs within 3 days of their scheduled classroom training date.

1.2.5. Ensure that all RC and COR training is current and updated in AFRIMS.

1.2.6. Ensure that all RCs and CORs implement Electronic Records Management (ERM) principles (see AFMAN 33-363) using the approved electronic record keeping system for Holloman AFB. The FARM will make sure all RCs and CORs are trained on how to manage electronic records and that they are able to assist personnel in setting up electronic file plans.

1.2.7. Assist RCs and CORs establish a Vital Records Program. The FARM ensures that all offices of record in their functional area identify vital records in AFRIMS and on SF 135, *Records Transmittal and Receipt*.

1.2.8. Become knowledgeable of the references in Attachment 1.

1.2.9. Conduct a Staff Assistance Visit (SAV) on all offices of record once every 24 months on alternate years from the BRM SAV to evaluate record management practices.

1.2.10. Act as the Unit Records Disaster Response Team (UDRT) Leader in accordance with HAFB Plan 33-1.

1.2.11. The FARM serves as the unit point of contact for record searches and is responsible for closing out all record searches in AFRIMS before the suspense.

1.3. Chief of the Office of Records (COR). The COR is the person designated as head of an office where records are created, received or maintained. A COR's responsibility will not be delegated except if the ranking individual in the office is at squadron commander level or above. If the ranking individual in the office is at squadron commander level or above, they may delegate the COR responsibilities to the next in command (deputy, etc.). In that case there needs to be a delegation letter on file with the BRM. The delegation letter must be approved at one level higher than the office of record. The COR is responsible for the physical and legal custody of all records in the office.

1.3.1. The COR appoints the RCs by memorandum and forwards the memorandum to their unit FARM. See AFI 33-322 for a full list of all the COR duties.

1.3.2. The COR will survey office records and identify those meeting the definition of vital records in paragraph 2.1.

1.3.3. CORs will ensure that new offices of record prepare a file plan in AFRIMS and ERM within 90 days of establishment.

1.4. Records Custodians (RC).

1.4.1. Appointed Record Custodians will complete initial training required by MAJCOM and/or AFNIC and will attend BRM classroom training within 90 days of appointment.

Chapter 2

VITAL RECORDS PLAN

2.1. Vital Records. Vital records are those records within an organization or activity that contain emergency, legal, medical, historical, financial, or individual data, including any items in which the only copy is located at Holloman AFB and cannot be re-created. Vital record media include, but are not limited to electronic, paper, microfilm, film, tape, and photographs. More specifically, these records include:

2.1.1. Emergency Operating Records. Emergency operating records are those essential to the mission and function of activities within the agency which support the military effort, mobilization, protection of personnel; resources, services, and systems; maintenance of public health, safety, and order; and the conduct of civil defense business. Emergency operating records are necessary to continue operations of Holloman mission essential functions.

2.1.2. Personnel Records. This would encompass any record that provides evidence of rights and interests of those personnel serving in the activity within an agency.

2.1.3. Legal Records. Records that, regardless of media, are required for the legal rights and interests of individuals and the Federal Government.

2.1.4. Staged Records. Records maintained by Base Records Management (bldg 839) awaiting disposition or transfer to a Federal Records Center.

2.2. Vital Records Disaster Recovery. In an event such as a tornado, fire, flood, water damage, explosion, loss of utilities, or any other situation that causes damage to documentary material designated in Air Force Records Information Systems (AFRIMS) as vital records, HAFB Plan 33-1 will be implemented. Each office maintaining vital records will maintain a copy of HAFB Plan 33-1 with their vital records plan.

2.3. Office Vital Records Plan. Each office of record that identifies having vital records shall maintain a vital records plan in file 1 (T37-19 R02.00) of their office file plan and in file 1 of their Electronic Records Management (ERM) folder. All office of record vital records plans will be reviewed by the unit FARM. At a minimum, offices must include the following in their plan:

2.3.1. Emergency phone numbers of the following:

2.3.1.1. Holloman AFB Fire Department and Medical Clinic.

2.3.1.2. Emergency shut-offs for electrical and water utility service providers – Contact 49th Civil Engineering Squadron at 572-3223/4.

2.3.2. Designate where backup or copy of vital records are stored, if applicable. Describe the frequency that backups are created.

2.3.3. Maintain a copy of Holloman AFB Plan 33-1 with the office vital records plan.

2.3.4. Maintain a copy of the AFRIMS vital record report with the office vital records plan.

2.3.5. Disaster Planning. For the purpose of disaster planning, consider adding the following to the vital records plan:

- 2.3.5.1. Describe response actions necessary unique to the organization.
- 2.3.5.2. List personnel responsibilities unique to the organization.
- 2.3.5.3. Establish the point of operation unique to the organization.
- 2.3.5.4. Describe security requirements unique to each organization's records and/or their level of classification.
- 2.3.5.5. Designate on-site salvage area for a small amount of damaged records. Designate the Holloman Records Recovery Facility in Building 839 for large scale damage.
- 2.3.5.6. List of required supplies and equipment.
- 2.3.5.7. Any other special appendices required to address unique issues and procedures.

Chapter 3

RECORDS MANAGEMENT

3.1. File Plan. Item one of the file plan, Files Maintenance and Disposition (Medial Neutral), will contain the following:

- 3.1.1. File plan with signed cover sheet.
- 3.1.2. RC and COR Appointment letter.
- 3.1.3. Waiver letters (if applicable).
- 3.1.4. Vital records plan and HAFB Plan 33-1 (if applicable).

3.2. Electronic Records Management (ERM) Access. ERM access will be limited to the RCs, CORs, and Users listed on the office's records management appointment letter. Additional read only access will be granted to the Commander of the unit if requested. RCs and CORs will have modify rights. Users will have read only rights.

Chapter 4

TRAINING

4.1. Training. The BRM will make records management classroom training available to all records professionals on Holloman AFB.

4.1.1. Upon appointment, FARMS, CORs, and RCs will complete initial MAJCOM and/or Air Force Network Integration Center (AFNIC) required training (i.e., role-based).

4.1.2. Records Professionals, to include BRMs, FARMS, CORs and RCs will complete annual MAJCOM and/or AFNIC required training (i.e., role-based).

4.1.3. Within 90 days of appointment, FARMS, CORs and RCs will attend classroom records management training at Base Records Management (bldg 839). CORs may request to be sent the COR training via email rather than attend classroom training. If the COR requests to receive the training via email, the COR will document their training by memorandum and forward it to their unit FARM.

4.1.4. The BRM may require any appointed FARM, COR or RC to attend additional classroom training.

Chapter 5

ELECTRONIC RECORDS MANAGEMENT

5.1. Electronic Records Management. To the maximum extent permissible, official versions of information assets will be maintained, controlled and disposed of electronically (see AFPD 33-3). Paper records will be limited to those occasions when electronic media cannot be accepted in accordance with the Public Law 107-347, *E-Government Act of 2002* or the Public Law 105-277, *Government Paperwork Elimination Act (GPEA)*.

5.1.1. To promote electronic business processes throughout the life cycle of information assets, the *Air Force Electronic Records Management (ERM) Solution* (available in AFRIMS) will be used for maintaining and preserving electronic records. The enforcement of ERM Solution will be highlighted during inspections and staff assistance visits.

5.1.2. Electronic records will only be maintained on the approved ERM system for Holloman AFB. Records will not be maintained on SharePoint or shared drives.

Chapter 6

SEARCH REQUEST AND LITIGATION HOLD PROCEDURES

6.1. Search Request/Litigation Hold. When a search request or litigation hold is received impacting the base, the BRM will notify the Communication Squadron Commander, the Operations Flight Commander and any other pertinent functional area office.

6.1.1. The BRM will task the Network Operations Element (NOE) to conduct a search of all information on the base network using the search criteria provided in the records search details provided in AFRIMS.

6.1.2. The BRM will ensure that the search procedures outlined in AFMAN33-363 (Atch 6) are followed for all search requests.

DAVID A. KRUMM, Colonel, USAF
Commander

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

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

AFI 33-322, *Records Management Program*, 7 October 2003

AFI 33-332, *Air Force Privacy Act Program*, 16 May 2011

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

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

Air Force Electronic Records Management (ERM) Solution: Using Existing Resources, 4 September 2007

DOD 5400.7_AFMAN 33-302, *Freedom of Information Act Program*, 21 October 2010

HAFB Plan 33-1, *49th Wing Vital Records Disaster Recovery Plan*, October 2011

Public Law 107-347, *E-Government Act of 2002*, 17 December 2002

Public Law 105-277 (Title XVII, Sec. 1701-1710), *Government Paperwork Elimination Act (GPEA)*, 21 October 1998

Prescribed Forms

No forms prescribed.

Adopted Forms

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

SF 135, *Records Transmittal and Receipt*, July 1985

Abbreviations and Acronyms

49 CS/SCOK—49th Communications Squadron Base Records Management Office

AFI—Air Force Instruction

AFMAN—Air Force Manual

AFNIC—Air Force Network Integration Center

AFPD—Air Force Policy Directive

AFRIMS—Air Force Records Information Management System

BRM—Base Records Manager

COR—Chief of Office of Record

ERM—Electronic Records Management

FARM—Functional Area Records Manager

FOIA—Freedom of Information Act

HAFB—Holloman Air Force Base
OPR—Office of Primary Responsibility
NOE—Network Operations Element
PA—Privacy Act
RC—Records Custodians
RDS—Records Disposition Schedule
RDRT—Records Disaster Response Team
RM—Records Management
SAV—Staff Assistance Visit