This Air Force instruction (AFI) implements DoDD 5015.2, DoD Records Management Program, DoDD 5100.3, Support of the Headquarters of Combatant and Subordinate Joint Commands, Air Force Policy Directive (AFPD) 33-3, Information Management, 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 by Title 32 ANG military personnel may subject members to prosecution under their respective State Military Code or result in administrative disciplinary action without regard to otherwise applicable criminal or civil sanctions for violations of related laws. 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. Send recommended changes or comments to
Cyberspace Capabilities and Compliance (SAF/CIO A6X), 1800 Air Force Pentagon, Washington DC 20330-1800, through appropriate channels, using Air Force (AF) Form 847, Recommendation for Change of Publication. The authorities to waive wing/unit level requirements in this publication are identified with a Tier (“T-0, T-1, T-2, T-3”) number following the compliance statement. See AFI 33-360, Publications and Forms Management, Table 1.1 for a description of the authorities associated with the Tier numbers. Submit requests for waivers through the chain of command to the appropriate Tier waiver approval authority, or alternately, to the Publication OPR for non-tiered compliance items. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with (IAW) Air Force Manual (AFMAN) 33-363, Management of Records, and disposed of IAW Air Force Records Disposition Schedule (RDS) located in the Air Force Records Information Management System (AFRIMS). The use of the name or mark of any specific manufacturer, commercial product, commodity, or service in this publication does not imply endorsement by the Air Force.

**SUMMARY OF CHANGES**

This interim change revises AFI 33-322 by (1) standardizing record management roles and responsibilities, (2) updating roles for Commanders, BRMs, and AFRO, (3) adding the Senior Agency Official for Records Management role, (4) replacing file plan with inventory of records and (5) removing COR, FARM, and RC roles from AFI. A margin bar (|) indicates changed material. NOTE: For purposes of this AFI, “CRM” includes Agency Records Managers.

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. (T-0).
1.3. The key to an effective Records Management Program is the identification, storage, search, retrieval, protection, and disposition of records per the AF RDS located in the AF Records Information Management System (AFRIMS). Ownership on the part of every Airman coupled with Commander’s involvement is essential.

2. **Definition of Records.** Consistent with the definition of “records” used in the Presidential and Federal Records Act Amendments of 2014, which updated the definition in 44 U.S.C. § 3301, records “includes all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes; or duplicate copies of records preserved only for convenience.”

3. **Roles and Responsibilities.** The Air Force Chief Information Officer (SAF/CIO A6) has overall responsibility for the Air Force Records Management Program. The Senior Agency Official (SAO) for Records Management, appointed by the SAF/CIO A6 has overall agency-wide responsibility for records management and is responsible for ensuring that the Air Force efficiently and appropriately complies with all applicable records management statues, regulations, National Archives and Records Administration (NARA) policies, the requirements of U.S. Office of Management and Budget (OMB) Memorandum M-12-18, *Managing Government Records*; OMB Circular No. A-130, *Managing Information as a Strategic Resource*; and DoDI 5015.02, *DoD Records Management Program*. The Air Force Records Officer (AFRO) develops policy and guidance and administers procedures necessary to implement the Air Force Records Management Program. The AFRO also administers the program for the SAF/CIO A6, represents the Secretary of the Air Force on records management issues, and oversees the legal requirements for the management of Air Force records.

3.1. Dedicated roles within the Air Force Records Management Program include the AFRO, Command and Agency Records Managers (CRM/ARM) and Base Records Managers (BRM).

4. **Commanders.** Commanders and civilian directors at all levels must implement the AF Records Management Program for their organizations IAW this instruction. They should have a working knowledge of the Federal Records Act, E-Government Act including privacy aspects, the Paperwork Reduction Act, and the Federal Information Quality Act. They are responsible for the physical and legal custody of all records within their organization to include: (T-1)

4.1. Ensure organizations create mission-related records, permanently preserve valuable records, promptly stage eligible records, and dispose temporary records and accession permanent records according to the AF RDS. Determine records access and enforces RM compliance.

4.2. MAJCOMs serviced by the centralized CRM function at the Air Force Space Command Cyberspace Support Squadron (AFSPC CYSS) shall be responsible for working with the CRM to obtain resolution of records management issues at organizations within their respective commands. (T-1)
4.3. Commanders and civilian directors of field operating agencies (FOA) and Direct Reporting Units (DRU) shall ensure an ARM has sufficient access to records management systems to manage the records management program within their agency. Exceptions are authorized for organizations within the National Capital Region that receive records management support through the HQ USAF Records Manager. (T-1)

4.4. Installation Commanders and Air Force Joint Base Wing Commanders shall ensure that the role of BRM is filled, and that this role is appropriately reflected in the job or position description. At Joint Bases where the Air Force is not the Supporting Component, the Supported Component Commander shall appoint a BRM to manage Supported Component records. The minimum recommended grade for the primary BRM is a GS-09 or MSgt (7-level). (T-1)

4.5. Should leverage the Commander’s Support Staff to assist in the accomplishment and oversight of their organization’s records management program. Installation Commanders shall work directly with the BRM to ensure the integrity of their installation’s records management program, and shall ensure the BRM is appropriately aligned to accomplish wing-level tasks. (T-1)

4.6. Ensure AF records management data calls, record searches, litigation holds and other requests for information are conducted and completed per AFMAN 33-363, Management of Records, and as defined requirements in AFRIMS. (T-1)

4.7. Ensure proper management of classified records; to include records classified as sensitive compartmental information (SCI), and that all activities possessing classified records comply with AF records management data calls and records searches. As needed, Commanders will ensure appropriate personnel, including the BRM, have the necessary access to exercise oversight. (T-1)

4.8. Installation Commander shall maintain a base staging facility for temporary storage of records pending destruction or transfer to a Federal Records Center (FRC) including centralized storage of electronically stored inactive records. The base staging facility shall comply with 36 CFR 1234, Facility Standards for Records Storage Facilities. If base staging facility is unable to comply with the standards, Commanders shall ensure risk mitigation procedures are in place to preserve the records from damage, loss, unauthorized access and destruction, and to work with the BRM to submit a risk mitigation plan annually to the Command Records Manager for coordination, who will make the plan available and continually accessible for the AFRO. (T-1)

NOTE: If the base maintains a facility with over 25,000 cubic feet of records, it is required to comply with 36 CFR 1234. If the base maintains a facility with under 25,000 cubic feet of records, it is required to comply with 36 CFR 1234.10 – 1234.14. (T-0)

4.9. Ensure eligible records are promptly and properly transferred to the base staging area or the designated FRC IAW AFI 33-364, Records Disposition – Procedures and Responsibilities.

4.10. (Added) All Commanders shall work with the BRM and SJA or other legal counsel to develop and document a records management plan that implements the AF RM program for their organization within 60 days of taking command. The plan will be submitted through the BRM to the Command Records Manager for approval. For FOA/DRUs, the plan will be
submitted to AFRO for approval. The plan will be made available and continually accessible for the AFRO. Once approved, the plan should be available and accessible to organizational members. Upon request, the plan should also be available and accessible to the respective IG, legal, and other authorized stakeholders. Documentation is not only intended as guidance for the organization but also to provide a record of procedures in the event of a litigation hold or deposition. The plan shall be in memorandum format and signed by the Commander. See Appendix A for sample plan template. (T-1):

4.10.1. **(Added)** Structure: Describe the structure of the RM process; including specific roles and responsibilities of unit members. This will include identifying primary and alternates for each responsibility, if so designated.

4.10.2. **(Added)** Records Lifecycle: Describe how records will be managed throughout their lifecycle, including paper and electronic, such as how they will be created (electronic by default), where they will be stored/preserved/backed up (IT systems, shared drives, SharePoint, Records Management Application), how they will be protected (especially those with Personally Identifiable Information (PII), which should have data-at-rest encryption in addition to access controls and passwords), how "Privacy Act system of records" can be identified to the BRM and Base privacy manager, how essential records (formerly known as vital records) are identified and incorporated into the local continuity of operations plan, how inactive records will be staged (in particular, how will users send/notify medium-to-long term retention hardcopy records to staging), and how the records will be disposed IAW AF RDS and AFI 33-364 (on base shredding, private vendor with chain-of-custody of records to be disposed).

4.10.3. **(Added)** Training/Orientation/Awareness: Describe what RM guidance is provided to local users (e.g., lost records prevention and reporting, records searches, and in/out-processing responsibilities with respect to official records).

4.10.4. **(Added)** Inspection/Audit/Self-Assessment: Describe how and when the local RM processes will be inspected/audited internally.

4.10.5. **(Added)** Records Searches: Describe how the organization/unit will conduct non-FOIA records searches when tasked to do so including who the Commander directs to execute searching the affected organizations, how the BRM disseminates the records searches from AFRIMS to targeted local organizations, e.g., organizational emails or task management workflow.

4.11. **(Added)** Shall establish, review, and maintain an inventory of records in AFRIMS consisting of but not limited to description of the record, location of the record, and records disposition. (T-1) Ensures inventory disposition and folder titles are replicated within the e-record storage area. Do not include subfolders.

4.12. **(Added)** Ensure records containing Privacy Act, PII, sensitive or classified information are appropriately marked, controlled, and maintained from creation through disposition.

4.13. **(Added)** Shall ensure that actual or potential unlawful or inadvertent removal, change, or destruction of Air Force records are reported to and investigated by the BRM. (T-1)
4.14. **(Added)** Identify essential records and establish a restoration and disaster recovery plan for paper and electronic records. Ensure identified essential records are appropriately marked, have valid back-ups appropriately stored, and are included in the base, agency or MAJCOM emergency preparedness plans. (T-1)

4.15. **(Added)** Installation Commander, especially at OCONUS locations, shall document and execute an emergency destruction plan for records, especially classified records, in the event the installation faces imminent hostile action. The first course of action should be to procure transportation vehicles, especially aircraft, to transfer records to a suitable location outside of hostile action. Reference AFI 33-364, *Records Disposition - Procedures and Responsibilities*, regarding destruction of records pending imminent hostile action, which should be done as a last resort. (T-1)

4.16. **(Added)** Ensure support agreements, memorandums of understanding, contracts, or similar documents reflect the records management requirements of the organization.

4.17. **(Added)** Complete records management training module on ADLS (currently the Chief of the Office of Records and Functional Area Records Manager courses) and any other required training. Shall ensure all personnel accomplish training on an annual basis to meet requirements directed in DoDI 5015.02, *DoD Records Management Program* and NARA Bulletin 2017-01, *Agency Records Management Training Requirements*. (T-0)

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

5.1. All users have the responsibility to ensure that information within their care is available to support effective decisions, meet legal and regulatory data calls, document official business, and to pass on custodianship when appropriate. Users must protect record content and comply with Privacy Act, PII, sensitive or classified information, and other policy and legal requirements. (T-0). Users must store and manage records consistent with organizational requirements and procedures. (T-1)

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

5.3. Comply with organization guidance regarding records preservation or transfer upon notification of retirement, separation, or change of assignment.

5.4. When tasked with a litigation hold and/or search, comply with AFMAN 33-363 and any additional direction to search all information including paper, electronic, and non-electronic within assigned workspace, on respective government-provided desktop/laptop computer, government-provided mobile devices 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. Follow organization guidance when the search has been completed and if responsive information is found. Any potentially relevant information shall immediately be suspended from additional modification or destruction. (T-1)

5.5. Must inform Commander of any actual or potential unlawful or inadvertent removal, change, or destruction of Air Force records. (T-1)
5.6. Must distinguish records from non-record materials and maintain personal papers separately.

5.7. *(Added)* Protect files and folders containing sensitive, Privacy Act data prior to filing by using available access control (passwords, group permissions, etc.). For files with PII, use data-at-rest encryption IAW OMB Circular A-130.

5.8. *(Added)* File electronic and paper records promptly IAW AF RDS. Regardless of media, the draft and official records must be segregated and filed, ensuring records are available and accessible. Destroy the draft records as needed. (T-1)

5.9. *(Added)* Avoid using laptops and removable storage devices for long-term record storage. Ensure records created on laptops and/or removable storage devices are transferred to an approved storage as soon as possible via approved means; deployed personnel will follow procedures established at their deployed location. (T-1)

5.10. *(Added)* Create e-records by default. E-records will be kept within the designated location on the organizational shared drive, SharePoint e-document library, or other authorized electronic record keeping system. (T-1)

5.11. *(Added)* Save and file attachments to e-mails with the original e-mail.

5.12. *(Added)* Complete training on an annual basis.

6. **Records Professionals.** Records professionals must protect record content and comply with FOUO, sensitive, Privacy Act, and other policy and legal requirements. (T-0).

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 for Agency, HAF and ANG units. Serves as the approving official for the transfer of records with a permanent retention and the Transfer Approving Official in NARA’s Electronic Records Archives (ERA) system 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.


6.1.13. Directs CRMs/ARMs/BRMs in coordination with identified Commanders 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 AF RDS, on a periodic basis, to ensure the AF RDS remains current. Any required additions, changes, or deletions will be processed following the procedures in AFMAN 33-363 and AFI 33-364, Records Disposition - Procedures and Responsibilities. (T-1)

6.1.18. Establishes initial and annual role based training requirements.

6.1.19. Establishes metrics and determines frequency of reporting to assess areas of compliance and evaluate program resource, training requirements, and inventory of records. AFRIMS will be the primary data source for metrics associated with program management. (T-1)
6.1.20. Ensures records generated by AF directives and instructions are scheduled.

6.1.21. Serves as the Transfer Approving Official to approve records Transfer Requests in ERA.

6.1.22. Assigns appropriate roles in ERA to accession permanent records and to submit proposed record retentions to NARA for approval.

6.1.23. Serves as the primary AF Administrator of NARA’s Archives and Records Centers Information System (ARCIS).

6.1.24. Unless delegated, serves as the approval authority for accounts in ARCIS for Agencies, HAF, and ANG units.

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

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6.2.10. (Deleted)

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. If records are to be maintained electronically, ensure BRMs provide authoritative guidance pertaining to legal recognition and validity before transfer (i.e. 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. (T-1).

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, or AFRO-approved equivalent, e.g., IT Investment Portfolio System (ITIPS) (replacing Enterprise Information Technology Data Repository - EITDR). The CRM and ARM validate proposals on information systems managed in their respective MAJCOM, FOA, DRU, and affected unified and specified commands’ portfolios.

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. Establishes cross feed procedures to ensure command units are aware of records management evaluations contained in IG reports. Send a copy of procedures to the AFRO. (T-1)

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 BRMs complete and report responses to non-FOIA records searches in AFRIMS before closing out the base’s response in AFRIMS. (T-1)

6.3.13. Oversees the implementation of the AFRIMS according to AFMAN 33-363.

6.3.14. Develops meaningful metrics in the areas of inventories of records, staging, and training in AFRIMS. The AFRO will establish and determine frequency of reports. (T-1)

6.3.15. Accomplishes initial training upon appointment and maintains proficiency by completing annual role-based training.

6.3.16. (Deleted)

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6.3.18. (Deleted)

6.3.19. (Deleted)

6.3.20. Cyberspace Support Squadron (CYSS) Command Records Management (CRM)

6.3.20.1. Serves as the approval authority for account requests at commands CYSS supports in NARA’s Archives and Records Centers Information System (ARCIS).

6.3.20.2. Serves as the approval authority for NARA Form 13001, Notice of Eligibility for Disposal, for commands CYSS supports and are eligible for disposal.

6.3.20.3. Advises AFRO on grammatical/spelling errors, out-of-date references and incorrect mailing addresses to the AF RDS and makes appropriate corrections to the AF RDS upon AFRO approval.

6.3.20.4. Conducts research and aligns current tables and rules from AF RDS into proposed bucket schedule for the AF. Serves as records scheduler in ERA for submission of an AF records schedule to NARA for approval.

6.3.20.5. Develops role-based training for CRMs/ARMs, and BRMs. Courses will be reviewed periodically to ensure content is relevant and appropriate actions taken, if any. (T-1)

6.3.20.6. Serves as the Transferring Official in ERA for commands CYSS supports.

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:

6.4.1.1. Provides direct support to Wing/Installation Commander and implements and oversees the AF Records Management in coordination with the unit Commanders 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 local procedures and requirements on record-keeping. 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. Advises on methods of electronic storage and document imaging of records and makes recommendations to improve processes.

6.4.1.5. Implements AFRIMS according to AFMAN 33-363.

6.4.1.6. Creates/modify AFRIMS account for the Commander(s) - who will receive the records search tasker or provide inputs for the inventory of records. The Commander may be granted FARM accounts within AFRIMS. Disable inactive accounts after one year.
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, RecordsDisposition – 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. Acts as the base POC for all non-FOIA records searches by coordinating with the Commander, tracking the search and closing it in AFRIMS.

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. (T-1).

6.4.1.14. Executes litigation holds IAW AFMAN 33-363 and coordinates other non-FOIA records management data calls with the affected Unit Commanders upon receipt of an official request from the CRM or as directed by AFRO.

6.4.1.15. Ensures all tasked organizations complete and report responses to litigation holds or other non-FOIA record searches IAW AFMAN 33-363 before closing out base response in AFRIMS. (T-1)

6.4.1.16. Requests appropriate network permissions for personnel as needed.

6.4.1.17. Coordinates on the local base disaster and recovery plan to account for the essential records program. At a minimum, the plan will include a description of how essential records are protected and recovered during a disaster or link to the essential records plan. (T-1)
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 by maintaining the Standard Form (SF) 135, Records Transmittal and Receipt, in AFRIMS. For FRCs, use ARCIS.

6.4.2.4. Conducts an annual inventory of records in base staging area and validates holdings staged to FRC(s). (T-1).

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 essential records maintained in the staging area are readily identified and properly documented in AFRIMS as to their location in the staging area. (T-1)

6.4.3. Training:

6.4.3.1. Accomplishes initial training upon appointment and maintains proficiency by completing the annual role-based training (T-1).

6.4.3.2. Ensures that Commanders receive training regarding their role within the base’s Records Management Program. (T-1)

6.4.3.3. Provides orientation/refresher training to users including command-unique or local operating procedures or requirements, particularly where electronic storage processes are implemented.

6.5. (Deleted)

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   6.6.1. (Deleted)
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   6.6.3. (Deleted)
   6.6.4. (Deleted)
   6.6.5. (Deleted)
   6.6.6. (Deleted)
   6.6.7. (Deleted)
   6.6.8. (Deleted)
   6.6.9. (Deleted)

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 ITIPS.

   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?* (T-0).

   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. (T-0).


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 J. BENDER, Lt Gen, USAF
Chief, Information Dominance and
Chief Information Officer
ATTACHMENT 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References


(Added) OMB Circular No. A-130, Managing Information as a Strategic Resource

OMB Memorandum M-12-18, Managing Government Records Directive


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)


AFPD 33-3, Information Management, 8 Sep 2011


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

Archives and Records Centers Information System (ARCIS)—the web-based IT system of the Federal Records Centers (FRCs) of the National Archives and Records Administration and online portal through which the Air Force can do business with the FRCs.

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.

**Inventory of Record**—(1) Documentation designating the physical location(s) where an agency’s files will be maintained, the specific types of files, and the organizational element(s) having custodial responsibility. (2) Documentation containing the identifying number, title or description, and disposition authority of files held in an office.

**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*).

**Recorded information**—Includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.

**Records**—Includes all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes; or duplicate copies of records preserved only for convenience.
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 records professional encompasses AFRO, CRM, ARM, Commander, and BRM. RP skills extend beyond familiarity to intermediate or advanced records 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 nationals 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 2 (Added)

APPENDIX A

Sample Plan Template
MEMORANDUM FOR Command Records Manager
FROM: [Base X] Installation or Unit Commander
SUBJECT: Base or Organizational Records Management Plan for [Base X]

1. Purpose. This memorandum documents the [Base X] plan to implement the AF Records Management Program IAW AFI33-322, Records Management Program, AFMAN 33-363, Management of Records and AFI 33-364, Records Disposition-Procedures and Responsibilities. This memorandum defines the roles and responsibilities to effectively manage Air Force records. This instruction establishes the records management program for all subordinate units.

2. Roles and Responsibilities. (SAMPLE TEXT – Complete paragraph two only if different than roles and responsibilities outlined in AFI 33-322) Commander and/or their designated POC(s) if one is designated will be responsible for communication between their respective unit and the BRM. Depending on the size and scope of organization, some units could have multiple POCs with AFRIMS accounts to ensure efficient RM process. This instruction supplements the roles and responsibilities in AFI33-322 with the following.

2.1. Commander and/or Designated POC(s). (SAMPLE TEXT) Manages the records management program within their unit(s).

2.1.1. Ensures that all e-records are backed-up and will validate restore capability periodically and kept for a specified minimum and a maximum number of days based on Communication Squadron guidance.

2.1.2. Decreases demand for a base staging area, explore the digitization of legacy hardcopy records with medium-term and long-term retentions (records with a permanent retention requires a “Notification” to NARA before scanning).

2.1.3. Provides leadership support to ensure Air Force records management data calls and records searches are conducted and completed in a timely manner. AFRIMS will be used by the designated POCs to receive directions and report findings for record searches.

2.1.4. Establishes and reviews the inventory of records (formerly file plan) of records at least annually. AFRIMS file plan module will be used by the designated POC to create inventory.

3. Records Lifecycle: (SAMPLE TEXT) The base will use the R: Drive as the central location for official electronic stored information with the corresponding inventories of records entered into AFRIMS. Legacy hardcopy records will be stored within an office location that allows for easy retrieval of information and will continue to be digitized in the base’s strategic RM plan. Inactive hardcopy records will be transferred to the base staging area. New records will be created electronically. Records containing personal identifiable information will be protected IAW instructions from AFI 33-332, Privacy and Civil Liberties Program. All records created will be managed IAW AFMAN33-363, Management of Records, and disposed IAW with the AF Records Disposition Schedule (RDS) in AFRIMS and AFI 33-364, Records Disposition – Procedures and Responsibilities. The BRM will work with the Commander or designated POCs to ensure records data in IT systems and databases are compliant with AF Records Management, including the disposition of the records data.

4. Training/Orientation/Awareness. (SAMPLE TEXT) Commander and/or designated POC(s), if designated, will receive RM training conducted by the BRM. Commander and/or designated POC(s) provide training to the members of their unit. All training materials will be posted by the BRM on the Base SharePoint Site. Individuals in/out-processing from the base will coordinate with their supervisor to ensure official records are maintained in the office IAW AFI33-364, Records Disposition – Procedures and Responsibilities.

5. Inspections/Audits. (SAMPLE TEXT) The BRM will create a standard checklist for units to use to annually assess their RM process. Checklist will be filed in the unit, unless requested by the BRM. The BRM, Unit Commander, or member designated by the Unit Commander will ensure the Management Internal Control Toolset (MICT) is being utilized as an ongoing assessment to facilitate effective monitoring of a unit’s RM processes.

6. Record Searches. (SAMPLE TEXT) Upon receipt of a litigation hold or other records search request, the BRM will forward a copy of the request to the Installation Commander and the relevant Unit Commander or POC for execution IAW AFMAN 33-363.
6.1. Tasked Commander and/or designated POC(s) shall search all paper, non-electronic (e.g., microfiche), and electronically stored information within their area of responsibility to include official records in file plans, active and inactive records, external electronic media, desktops/laptops, and any other information systems used by the organization to process records and identified on the file plan, to include those transferred for short and long term storage in base staging or offsite at a FRC which the records professionals reasonably expects to contain information responsive to the search request and Litigation Hold.

6.2. Tasked Commander and/or designated POC(s) shall identify any proprietary/organizational information systems that may contain relevant information and direct the respective Program Manager for each system to conduct a search using the criteria identified in the search.

6.3. Tasked Commander and/or designated POC(s) shall notify all unit personnel who may have relevant information of the search request and ensure all tasked personnel perform thorough searches and provide appropriate responses. Along with the unit Knowledge Operators, shall assist personnel with preserving and collecting information, including ESI.

6.4. Each tasked Commander and/or designated POC, Program Manager and tasked user shall complete a Litigation Hold Worksheet certifying the search efforts undertaken and the search results.

6.5. Tasked Commander and/or designated POC(s) shall forward all Litigation Hold Worksheets and relevant documents to the BRM upon completion of the search. All searches shall be completed within 30 days of receipt unless otherwise noted in the search request.

7. RELEASABILITY: There are no releasability restrictions on this memorandum. INSERT ANY OTHER PERTINENT INFORMATION TO INCLUDE LOCAL PROCEDURES AS APPROPRIATE.

INSTALLATION / UNIT COMMANDER
SIGNATURE BLOCK