

**BY ORDER OF THE
SECRETARY OF THE AIR FORCE**

AIR FORCE INSTRUCTION 33-364



22 DECEMBER 2006

Incorporating Change 1, 6 November 2014

Certified Current 9 April 2015

Communications and Information

**RECORDS DISPOSITION—PROCEDURES
AND RESPONSIBILITIES**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

ACCESSIBILITY: Publications and forms are available for downloading or ordering on the e-Publishing website at <http://www.e-publishing.af.mil>.

RELEASABILITY: There are no releasability restrictions on this publication.

OPR: SAF/XCISI

Certified by: SAF/XCIS
(Col Marcus S. Miller)

Supersedes: AFI37-138, 31 March 1994

Pages: 78

This instruction implements Air Force Policy Directive (AFPD) 33-3, *Information Management*, by listing program objectives and responsibilities, guiding personnel in disposing of special types of records, retiring or transferring records using staging areas, and retrieving information from inactive records. This instruction applies to all Air Force military, civilian, and contractor personnel under contract by the Department of Defense (DoD) who maintain records in their area of responsibility, including the Air National Guard (ANG), Air Force Reserve Command (AFRC), and unified commands for which the Air Force is the executive agent. If a major command (MAJCOM) supplements this instruction, a copy of the supplement must be provided to the Secretary of the Air Force, Cyberspace Capabilities and Compliance (SAF/CIO A6X), 1800 Air Force Pentagon, Washington DC 20330-1800. 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). See [Attachment 1](#) for a glossary of references and supporting information.

SUMMARY OF CHANGES

This interim change revises AFI33-364 by (1) adding tiering, IAW AFIS and AFI 33-360, *Publications and Forms Management*, (2) applying AF Guidance Memoranda with those changes integrated into the Interim Change, and (3) updating office symbols, links, and email addresses to reflect current organizations.

Chapter 1—OVERVIEW AND OBJECTIVES 6

- 1.1. Overview of the Records Disposition Program. 6
- 1.2. Objectives of the Records Disposition Program. 6

Chapter 2—CATEGORIES OF RECORDS 7

- 2.1. Federal Records. 7
- 2.2. Personal Records. 7
- 2.3. Private Organizations’ Records. 8
- 2.4. Permanent Records. 8
- 2.5. Temporary Records. 8
- 2.6. Unscheduled Records. 8
- 2.7. State Records. 8
- 2.8. Records in Other Than Paper Form. 9
- 2.9. Vital Records During Emergency. 9
- 2.10. Contractors’ Records. 10

Chapter 3—TRANSFER OF PERMANENT ELECTRONIC RECORDS TO NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) 11

- 3.1. Current Acceptable Formats Transferable to National Archives and Records Administration 11
- 3.2. Transfer Criteria. 12
- 3.3. Transfer Information. 12
- 3.4. Transfer Requirements for Scanned Images of Textual Records. 13
- 3.5. Image File Format. 13
- 3.6. Acceptable Image Quality Specifications. 14
- 3.7. Transfer Documentation. 14
- 3.8. Transfer Mechanisms for Scanned Images Textual Records. 15
- 3.9. Records in Portable Document Format (PDF). 15
- 3.10. Digital Photographic Records. 18
- 3.11. Digital Geospatial Data Records. 21

3.12.	National Archives and Records Administration (NARA) Records Manager (RM) Guidance for Public Key Infrastructure (PKI) Authenticated and Secure Transaction Records.	22
Chapter 4—PROCEDURES FOR DOCUMENT REMOVAL		25
4.1.	Process to Request Copies or Removal of Official Records.	25
4.2.	Documents Authorized for Removal.	25
4.3.	Statutory and Regulatory Requirements.	26
4.4.	Removal Procedures for employees going to another Federal agency.	26
Chapter 5—DISPOSITION PROCEDURES		27
5.1.	Authority and Implementation.	27
5.2.	Retention and Retirement Standards.	27
Table 5.1.	Retention and Retirement Standards for Active Air Force Activities.	28
5.3.	Emergency Retirement.	32
5.4.	Emergency Disposal of Records, IRCN: 1095-NAR-AR.	32
5.5.	Damage to or Unauthorized Disposition of Records.	33
5.6.	Intra-Air Force Transfer.	34
5.7.	Transfer to the National Archives.	34
5.8.	Transfer to Other Government Agencies.	35
5.9.	Transfer Outside of Government Agencies.	36
5.10.	Authorized Methods of Disposal.	36
Chapter 6—DISPOSITION OF SPECIAL TYPES OF RECORDS		38
6.1.	Records More Than 30 Years Old.	38
6.2.	Records Deteriorating Because of Storage Conditions.	38
6.3.	Foreign Language Records.	38
6.4.	Joint Activities Records.	38
6.5.	International Pact Organization Records.	38
6.6.	“For Official Use Only” (FOUO) Records.	38
6.7.	“Internal Air Force Working Papers” and “Air Force Eyes Only” Records.	38
Chapter 7—DISPOSITION PROCEDURES FOR RECORDS OF UNITS AND ACTIVITIES CHANGING STATUS		40
7.1.	Redesignation or Reorganization of Units and Activities.	40
7.2.	Inactivation of Units and Activities.	40
7.3.	Installations Placed on Inactive or Standby Status.	40

	7.4.	Units Alerted for Overseas Movement.	41
	7.5.	Transferred Units.	41
	7.6.	Air Force Reserve and Air National Guard (ANG) Units.	41
Chapter 8—SHIPPING RECORDS			42
	8.1.	Shipping Containers.	42
Table	8.1.	Number of Copies and Distribution of SF 135.	42
	8.2.	Where To Obtain Boxes.	43
	8.3.	Preparing Records Series for Packing.	43
	8.4.	Packing Unclassified Records Series.	44
Figure	8.1.	Packing Records for Transfer or Retirement.	46
	8.5.	Packing Classified Records Series.	47
	8.6.	Sealing and Marking Boxes.	47
	8.7.	Methods of Shipment.	48
Figure	8.2.	Sample of a Loaded Skid (Contact FRC for specific instructions).	50
	8.8.	For Official Use Only (FOUO) Files.	51
	8.9.	Using Standard Form (SF) 135.	51
Chapter 9—RECORDS STAGING AREAS			53
	9.1.	Purpose of Records Staging Areas.	53
	9.2.	Setting Up Staging Areas.	53
	9.3.	Using Staging Areas.	53
	9.4.	Supervising Staging Areas.	54
	9.5.	Staging Area Space.	54
	9.6.	Staging Area Equipment.	54
	9.7.	Storing Administrative Files.	55
	9.8.	Receiving Procedures.	55
	9.9.	Disposition Procedures.	55
Chapter 10—GETTING INFORMATION FROM INACTIVE RECORDS			57
	10.1.	General Information.	57
	10.2.	Getting Records From an Air Force Organization.	57
	10.3.	Getting Records From a Records Center or Staging Area.	57
Chapter 11—PROCEDURES TO REQUEST CHANGES			60
	11.1.	Revisions to this Instruction and/or AFRIMS RDS.	60

11.2. Suggesting Changes, Additions, or Deletions to This Instruction and AFRIMS RDS.	60
11.3. Justification of Changes.	60
11.4. Dispositions Pending.	61
11.5. Information Collection, Records, and Forms.	61
Attachment 1—GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION	62
Attachment 2—GUIDE TO RECORD CENTERS, REPOSITORIES, AND THE LOCATION OF RETIRED AIR FORCE RECORDS	69
Attachment 3—REGIONAL ARCHIVES AND RECORDS CENTERS	75
Attachment 4—DETERMINING APPLICABILITY: IS IT A RECORD?	78

Chapter 1

OVERVIEW AND OBJECTIVES

1.1. Overview of the Records Disposition Program. Each military agency head must economically and efficiently manage the agency's records according to *Title 44 United States Code* (USC) § 2101-2118; § 3101-3107; 3301-3314; Title 36 Code of Federal Regulations (CFR), Part 1228, *Disposition of Records*, and applicable regulations of the General Services Administration (GSA), Government Accountability Office (GAO), and DoD. In the Air Force, economical and efficient records management involves scheduling all records for retention or periodic destruction, preserving records that reflect the organization, functions, policies, decisions, procedures, and essential transactions of the Air Force, preserving records that protect the legal and financial rights of the Government and of individuals that Air Force actions directly affect, offering records of enduring value for permanent preservation in the National Archives, promptly and systematically disposing of records of temporary value, and setting up safeguards against illegal removal, loss, or destruction of records.

1.1.1. Do not dispose of any record without the specific authority of the Archivist of the United States. This guidance is reflected in the AFRIMS RDS.

1.1.2. See AFI 33-322, *Records Management Program*, for specific responsibilities.

1.2. Objectives of the Records Disposition Program.

1.2.1. Retire long-term (10 years old or older) paper records to authorized Federal Record Centers (FRC). A list of FRCs can be found at [Attachment 2](#). Long-term electronic records are stored within the Air Force. Additional guidance on electronic records is found in the *Electronic Records Management (ERM) Solution Guide* and AFMAN 33-363.

1.2.2. Transfer short-term paper records (less than 10 years old) to authorized local staging areas.

1.2.3. Dispose of short-term holdings as soon as authorized.

Chapter 2

CATEGORIES OF RECORDS

2.1. Federal Records. Official records vary widely to include books, papers, maps, photographs, electronic media, or other documentary materials, regardless of physical form or characteristics, that the Air Force makes or receives under Federal law or during the course of its public business and keeps as evidence of its organization, functions, policies, decisions, procedures, operations, or other activities, and because of the material's informational value. **Exception:** Library and museum material that serves only reference or exhibition purposes, stocks of publications, and blank forms.

NOTE:

Official records are public records and belong to the office, rather than the official.

2.1.1. Collections of official records are known as official files. Removal and destruction of official records must be according to AFRIMS RDS, or other directives authorized in this instruction. Dispose of classified official records according to AFRIMS RDS and AFI 31-401, *Information Security Program Management*. (T-0).

2.2. Personal Records. Personal records relate solely to an individual's private affairs, including papers the individual created before entering Government service, private materials the individual brought into, created, or received in the office, but are not related to Government business and work-related circumstances. Personal records are not used for transacting Government business.

2.2.1. Maintain and dispose of correspondence designated "personal" or "private" but relating to the conduct of public business according to 44 USC §3101-3107.

2.2.2. Do not include classified information in personal records.

2.2.3. Work-Related Personal Records. Work-related personal records include diaries, journals, personal calendars, and appointment schedules that contain work-related information, but exist for the official's personal use (such as reminders and personal observations on work-related topics) and are not for transacting Government business.

2.2.3.1. File personal records separately from the records of the agency.

NOTE:

The Air Force may later designate some of these materials as official records, depending on the circumstances surrounding their creation, maintenance, use, or disposition.

2.2.4. Presidential appointees and other officials in policy-making positions may donate personal records to a presidential library, the National Archives, or the Air Force Historical Research Agency (AFHRA), 600 Chennault Circle, Maxwell AFB AL 36112-6424. Exception: Donated papers must not contain classified material or compartmented, restricted data, or formerly restricted data.

2.2.4.1. Donors who qualify according to AFI 31-401 may be granted access to classified material.

2.2.4.2. Officials may choose to dispose of the reference (or extra copy) file according to approved disposition.

2.2.5. DELETED.

2.2.5.1. Donors who qualify according to AFI 31-401 may be granted access to classified material.

2.2.5.2. Officials may choose to dispose of the reference (or extra copy) file according to approved disposition.

2.3. Private Organizations' Records. Records of private organizations (such as the American Red Cross, Air Force Aid Society, federal credit unions, various national scouting organizations, Little League, American Legion, hobby clubs, and other special interest groups) serving Air Force communities are not official records within the scope of this instruction. (See AFPD 34-2, *Managing Nonappropriated Funds*, for more details on private organizations.)

2.4. Permanent Records. Permanent records include those that the Archivist of the United States decides have enduring value because they document the organization and functions of the Air Force, contain significant information on persons, things (such as historic buildings or manufactured objects), places, events, contingency operations, conflicts, problems, and conditions with which the Air Force has dealt.

2.4.1. Personnel must justify records that they consider worthy of permanent retention (see paragraph [11.3.2](#)).

2.4.2. Only the Archivist of the United States can approve the permanent retention of records. Such approvals take the form of appropriate disposition standards published in AFRIMS RDS; 44 USC § 3301-3314; the National Archives and Records Administration (NARA); General Records Schedule (GRS); Federal Information Resources Management Regulation; and Title 41, CFR, Part 105, *General Services Administration*.

2.5. Temporary Records. Temporary records are any records determined by the Archivist of the United States to have insufficient value to warrant preservation by the National Archives. Temporary records are disposable after a fixed period of time or after an event and according to the AFRIMS RDS.

2.6. Unscheduled Records. Unscheduled records are not disposable under the GRS and have not been approved by NARA; they are described, but not authorized for disposal by NARA because they are on "Disposition Pending" status or NARA has not completed the appraisal. Do not retire unscheduled records to records centers without special permission from the Air Force Records Officer, who will send a waiver request addressing NARA restrictions.

2.7. State Records. These records are created by military members, most specifically ANG members in performance of state-funded activities and belong to the state funding the activity. There may be a thin line separating Federal and State records. For example, during a hurricane or flood an ANG unit may be activated to assist with a state emergency. Should the Federal Emergency Management Agency (FEMA) get involved or Federal dollars be expended toward the emergency, the records created by the ANG become Federal records. State records are the property of the state, and Federal records are the property of the Agency (i.e., Air Force). When there is an issue of whether records are state or Federal property, the ANG unit's Base Records Manager (BRM) will contact the ANG Command Records Manager (CRM) for guidance. If

necessary, the ANG CRM will coordinate with the Air Force Records Officer (and any applicable MAJCOM CRM).

2.7.1. State or Federal records pertaining to AFRC issues should be directed to the AFRC CRM.

2.7.2. State or Federal records pertaining to active duty Air Force issues should be directed to the applicable MAJCOM CRM.

2.7.3. The Air Force Records Officer will provide guidance to the BRM as necessary or in the event the CRM is unavailable.

2.8. Records in Other Than Paper Form. These records include data on servers, hard disk drives, shared drives, all types of compact discs, digital versatile disks (DVD), optical disks, magnetic tapes, floppy disks, computer disk drums, records on hard disks and in electronic databases, paper tapes, information on microform (such as roll films, aperture cards, film jackets, microfiche, ultrafiche, video disks, and tapes) and audiovisual records (such as motion pictures, still photography, and sound recordings). The same general principles of record evaluation and the specific disposition instructions prescribed in the AFRIMS RDS apply regardless of physical form or characteristics of the medium. Records of differing retention periods in the same system are retained for the longest period authorized for any of the recorded data in the system and require backup for records preservation.

2.8.1. Prepare and submit an AF Form 525, *Records Disposition Recommendation*, according to paragraph 11.2 for any records not covered in AFRIMS RDS. When evaluating records in other than paper form consider if all information contained in source documents is committed to the system; if medium involved will be exportable into a readable format for future reference such as audits, accountability, backup data to reports, and so forth; if optical disks, electronic records, and microforms are duplications of records, substitutions of records or new records; and if the records meet the requirements of NARA and GSA concerning the long-term retention value of audiovisual or cartographic records (see paragraphs 5.7.1.4 and 5.7.2).

2.9. Vital Records During Emergency. The Federal vital records program includes two basic categories: emergency operating records and rights and interest records.

2.9.1. Emergency operating records serve the Federal Government if the country is attacked and include records necessary for military efforts and mobilization; protection of material, personnel, services, systems, public health, safety, and order; and those needed to conduct civil defense activities.

2.9.1.1. Emergency operating centers must keep vital records immediately available.

2.9.1.2. The Headquarters United States Air Force, Deputy Chief of Staff, Plans and Programs, (HQ USAF/A8) manages the emergency operation program for the Air Force as part of the Air Force Continuity of Operations Plan, the USAF Operation and Mobilization Plan, and other contingency war or planning programs (see AFI 10-208, *Continuity of Operations (COOP) Program*; AFI 10-401, *Air Force Operations Planning and Execution*; and AFI 10-2501, *Full Spectrum Threat Response [FSTR] Planning and Operations*).

2.9.2. Rights and interest records uphold the legal rights and interests of individual citizens and their Government and include research, Social Security, retirement, payroll, and insurance records.

2.9.2.1. The Social Security Administration maintains social security records.

2.9.2.2. The Office of Personnel Management maintains civilian retirement records.

2.9.2.3. The Air Force Military Personnel and the Air Force Reserve Personnel Centers send the military personnel retirement records to the National Personnel Records Center (NPRC), 9700 Page Avenue, St Louis, MO 63132-5100.

2.9.2.4. The Defense Finance and Accounting Service (DFAS) maintains payroll and accompanying insurance records.

2.9.2.5. The offices of primary responsibility (OPR) send research records to the FRCs when the Air Force no longer needs the records.

2.9.2.6. The OPRs generally send permanent research records to the Washington National Records Center (WNRC).

2.9.2.7. The NARA will store, protect, and maintain rights and interest vital records for agencies desiring permanent storage of their vital records.

2.9.2.8. Each NARA record center has environmentally controlled space for storing records on magnetic tape and photographic film.

2.9.2.9. Transfer rights and interest records to a record center by contacting the Air Force Record Officer (SAF/XCISI) who will coordinate with personnel from the FRC Operations in Washington DC to determine which FRC will receive the records.

2.10. Contractors' Records. Records relating to work that contractors perform are maintained according to AFRIMS RDS, the Federal Acquisition Regulation, and the Defense Federal Acquisition Regulation Supplement, as applicable.

2.10.1. When contractors create data for the government's use, the contract must identify the background data that contractors must deliver to the government for possible reuse.

2.10.1.1. Before identifying the background data that contractors must deliver to the government, program and contracting officers must coordinate with records and information managers, historians and other government agencies as appropriate to ensure that all government needs are met, especially when the data supports new missions or programs.

2.10.1.2. When the background data includes electronic records, the contractor must deliver enough technical documentation to allow the Air Force or other agencies to use the data.

2.10.1.3. Manage all data created for government use or legally controlled by the government according to the records management procedures in this instruction.

Chapter 3

TRANSFER OF PERMANENT ELECTRONIC RECORDS TO NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)

3.1. Current Acceptable Formats Transferable to National Archives and Records Administration (NARA) (36 CFR Part 1228).

3.1.1. Acceptable Format. Electronic records being transferred to NARA must be written in a format that does not depend on specific hardware or software to decode it. Acceptable codes are the American Standard Code for Information Interchange and the Extended Binary-Coded Decimal Interchange Code. All extraneous control characters must be removed, except:

3.1.1.1. Record length indicators for variable length records.

3.1.1.2. Marks delimiting a data element, field, record, or file.

3.1.1.3. Standardized Markup Language tags.

3.1.2. Data files and databases will be transferred as flat files or as rectangular tables, i.e., as two-dimensional arrays, lists, or tables. All records in a database should have the same logical format. Each data element within a record will contain only one data value. A record should not contain nested repeating groups of data items.

3.1.3. Acceptable Media. Media forms currently approved by NARA for electronic records transfer are listed in paragraphs [3.1.3.1](#), [3.1.3.2](#), and [3.1.3.3](#). NARA will copy the contents of the media at the time of accessioning and return the media to the transferring activity unless that activity indicates it does not want the media returned.

3.1.3.1. Open Reel Magnetic Tape. Open-reel magnetic tape shall be on -inch 9-track tape reels recorded at 1600 or 6250 bits per inch (bpi) that meet American National Standard Institute (ANSI) X3.39-1986, American National Standard: Recorded Magnetic Tape for Information Interchange (1600 characters per inch) or ANSI X3.54-1986, American National Standard; Recorded Magnetic Tape for Information Interchange (6250 cpi, Group Coded Recording), respectively.

3.1.3.2. Magnetic Tape Cartridge – 18-Track 3480-Class. Tape cartridges shall be 18-track 3480-class cartridges recorded at 37,871 bpi that meet ANSI X3.180-1990, American National Standard: Magnetic Tape and Cartridge for Information Interchange - 18-Track, Parallel, 1/2 inch (12.65 millimeter [mm]), 37871 cpi, Group-Coded - Requirements for Recording. The data shall be blocked at no more than 32,760 bytes per block.

3.1.3.3. Digital Linear Tape (DLT) Type IV. DLT Type IV high-density magnetic cartridge tape was added to NARA's list of acceptable electronic records transfer media in November 2001. DLT Type IV can store up to 40 gigabytes of information on each cartridge. Activities interested in using this media for records transfer should coordinate with the appropriate Joint Staff/Headquarters Combatant Command Records Manager, who will coordinate with NARA's Electronic and Special Media Records Services Division concerning technical limitations prior to initiating such a transfer.

3.2. Transfer Criteria.

3.2.1. Transfers of electronic records must consist of an identifiable, organized body of records (not necessarily a traditional series, e.g., the electronic mail (E-mail) records of the Deputy Secretary from the past fiscal year). The records should be scheduled for transfer to NARA using the Standard Form (SF) 115, *Request for Records Disposition Authority*, prior to transfer if an existing approved schedule does not exist.

3.2.2. E-Mail transfers should come from E-mail systems or from a DoD 5015.2-STD, *Design Criteria Standard for Electronic Records Management Software Applications*, certified Records Management Application (RMA). (**Note:** In the 'II' format (i.e., *little-endian*), byte order is always from the least significant byte to the most significant byte.) If you need to send them from some other kind of system, first contact NARA to see if they can accommodate it.

3.2.3. For preservation purposes, NARA prefers that agencies transfer E-mail and their attachments in a markup language format that contains:

3.2.3.1. Delimiters to indicate the beginning and end of each message and the beginning and end of each attachment, if any. Each attachment must be differentiated from the body of the message, and uniquely identified.

3.2.3.2. Labels to identify each part of the message (Date, To [all recipients, including cc: and bc: copies], From, Subject, Body, and Attachment) including transmission and receipt information (Time Sent, Time Opened, Message Size, File Name, and similar information, if available). Agencies that use an E-mail system that identifies users by codes or nicknames, or identifies addressees only by the name of a distribution list should include information with the transfer-level documentation, to ensure identification of the sender and addressee). (**Note:** For records created after the effective date of this guidance, tagged image file format (TIFF) version 6.0 is recommended and preferred. Versions 4.0 and 5.0 are acceptable. The reference specifications for version 6.0 are defined at <http://partners.adobe.com/public/developer/tiff/index.html#dr>).

3.2.3.3. If a markup language cannot be produced, NARA will accept E-mail messages and their attachments in their native formats. Each attachment should be labeled with its filename and the default file extension to indicate the proprietary software used to create the attachment. If attachment file names do not include the default file extension (e.g., .doc, .xls), agencies must provide documentation identifying the proprietary formats used to create each attachment.

3.2.4. At this time, NARA will not accept E-mail messages that have been converted to a portable document format (PDF) or other image file format. NARA is developing transfer requirements for PDF and scanned images as part of the NARA Electronic Records Management Initiative.

3.2.5. Attachments to E-mail messages may be transferred in their native formats, such as PDF, other image file formats, and common office automation formats.

3.3. Transfer Information.

3.3.1. Transfer records on Type IV DLT or through file transfer protocol (FTP). FTP transfers currently are limited to a maximum size of five gigabytes (5 GB). For FTP

transfers, the offering organization must provide the following information to NARA: internet protocol (IP) address for the FTP site, a temporary user name and temporary password for NARA to use in accessing the FTP site, a designated time or time span for NARA to access the records and download a copy to NARA.

NOTE:

See <http://jitec.fhu.disa.mil/recmgt/register.htm> for a list of Records Management Applications (RMA) compliant with DoD 5015.2-STD.

3.3.2. DoD 5015.2-STD defines intelligent names as clear, uncoded, indications of the individual.

3.4. Transfer Requirements for Scanned Images of Textual Records.

3.4.1. This guidance expands currently acceptable formats to enable the transfer of existing scanned images of textual records to NARA. (**Note:** In the 'II' format (i.e., *little-endian*), byte order is always from the least significant byte to the most significant byte.) The guidance does not apply to "original digital images" or scanned images of primarily nontextual records (e.g., maps and photographs).

3.4.2. NARA will accept transfers of scanned images that have been scheduled as permanent records on an SF 115. To facilitate preservation processing and future access to these records, agencies must comply with the following minimum requirements.

3.5. Image File Format.

3.5.1. NARA will accept scanned images in the following file formats:

3.5.1.1. TIFF, in 'II' format, versions 4.0 (April 1987), 5.0 (October 1988), and 6.0 (June 1992). (**Note:** For records created after the effective date of this guidance, TIFF version 6.0 is recommended and preferred. Versions 4.0 and 5.0 are acceptable. The reference specifications for version 6.0 are defined at <http://partners.adobe.com/public/developer/tiff/index.html#dr>.)

3.5.1.2. Graphics Interchange Format, versions 87a (June 1987), and 89a (July 1990).

3.5.1.3. Basic Image Interchange Format (BIIF), International Standards Organization (ISO) Standard 12087-5, Part 5 (December 1998).

3.5.1.4. Portable Network Graphics, version 1.0 (October 1996).

3.5.2. NARA will periodically update this set of acceptable formats and versions.

3.5.3. NARA prefers uncompressed images. With prior consultation between NARA and the transferring organization, NARA may accept compressed images created using a lossless compression method (e.g., International Telecommunications Unit (ITU) when it is impractical or technically impossible to transfer uncompressed files (e.g., due to limitations on bandwidth or storage media capacities). NARA will not accept images created using lossy compression techniques because the potential information loss that can result from compression can make such images unsuitable for archival preservation. (**Note:** Lossy refers to a method of image compression where some image content is sacrificed in exchange for higher compression ratios).

3.6. Acceptable Image Quality Specifications.

3.6.1. Scanned images of textual records transferred to NARA must meet the following minimum requirements for scanning resolution and pixel (bit) depth to support archival preservation and continued use.

3.6.2. *Bitonal (1-bit) scanned at 300-600 pixels per inch (ppi).* (**Note:** The acronym JPEG stands for the Joint Photographic Experts Group, a standards committee formed in 1982 by the ISO to research methods for electronically transmitting video, still images, and text.) This is appropriate for documents that consist exclusively of clean printed type possessing high inherent contrast (e.g., laser printed or typeset on a white background). Scanning at 600 ppi is recommended.

3.6.3. *Gray scale (8-bit) scanned at 300-400 ppi.* This is appropriate for textual documents of poor legibility because of low inherent contrast, staining or fading (e.g., carbon copies, thermofax, or documents with handwritten annotations or other markings), or that contain halftone illustrations or photographs. Scanning at 400 ppi is recommended.

3.6.4. *Color (24-bit Red, Green, Blue [RGB]) scanned at 300-400 ppi.* Color mode (if technically available) is appropriate for text containing color information important to interpretation or content. Scanning at 400 ppi is recommended.

3.7. Transfer Documentation.

3.7.1. Submit signed SF 258, *Agreement to Transfer Records to the National Archives of the United States.*

3.7.1.1. For each transfer, supply documentation that identifies:

3.7.1.1.1. Imaging system and version (i.e., application software and storage system).

3.7.1.1.2. Records Management Application (if applicable) and version.

3.7.1.1.3. Image file format and version.

3.7.1.1.4. Image quality specifications (i.e., resolution, pixel (bit) depth, compression technique).

3.7.1.1.5. Total number of documents in the transfer.

3.7.1.1.6. Total number of images in the transfer.

3.7.1.1.7. Arrangement of files on the transfer media.

3.7.1.1.8. Operating system and version.

3.7.1.1.9. Structure of image header (if applicable).

3.7.1.2. In addition, supply the following:

3.7.1.2.1. Control information necessary to enable retrieval of each file, including whether the file is a single image or multiple images. Such information can be conveyed through metadata (e.g., a thumbnail index), captured for each document either in the image header or in accompanying documentation.

3.7.1.2.2. Finding aids, indexes, and other information used to retrieve the records also must be transferred to NARA to support future access to the records.

3.7.1.2.3. The Optical Character Recognition (OCR) versions of the images (i.e., additional files enabling full text searches linked to the appropriate scanned image), if available.

3.7.1.3. Supply a description of the quality control inspection performed as part of the imaging process and a report on the results of the last inspection performed on the images and the date of that inspection.

3.7.1.4. For inspections conducted after the effective date of this guidance, agencies must use one of the quality sampling methods presented in ANSI/Association of Information Imaging Managers (AIIM) TR34-1966, *Sampling Procedures for Inspection by Attributes of Images in Electronic Image Management and Micrographic Systems* at <http://www.aiim.org>, or by contacting the Records Management Program Office at usaf.pentagon.saf-cio-a6.mbx.af-records@mail.mil.

3.8. Transfer Mechanisms for Scanned Images Textual Records.

3.8.1. Transfer scanned images as uncompressed and nonaggregated files.

3.8.1.1. Transfer records on DLT Type IV or through FTP. FTP transfers currently are limited to a maximum size of 5 GB. For FTP transfers, the offering agency must provide the following information to NARA: the IP address for the agency FTP site, temporary user name and temporary password for NARA to use in accessing the agency FTP site, designated time or time span for NARA to access the records and download a copy to NARA.

3.8.1.1.1. The “II” format (i.e., little-endian) byte order is always from the least significant byte.

3.9. Records in Portable Document Format (PDF).

3.9.1. This instruction expands currently acceptable formats to enable the transfer of records in PDF to NARA. Find transfer requirements for records in PDF (paragraphs [3.9.2](#) and [3.9.3](#)), records converted to PDF from their native electronic formats (e.g., office automation products), records converted to PDF from scanned paper or image formats such as TIFF.

3.9.2. Transfer Requirements for PDF Records.

3.9.2.1. Transfer PDF records that have been scheduled as permanent records on SF 115. Any organization that has permanent PDF records that do not meet the requirements in this instruction, should contact the NARA appraisal archivist for the Air Force and the Air Force Records Officer. To facilitate future access to the records, organizations must comply with the following minimum requirements:

3.9.2.1.1. Provide PDF File Specification for all PDF records.

3.9.2.1.1.1. PDF records must comply with PDF versions 1.0 through 7.0 (i.e., all existing PDF versions as of the date of this instruction) and meet the requirements outlined in paragraphs [3.9.2](#) through [3.9.2.1.1](#).

3.9.2.1.1.2. NARA periodically updates the list of acceptable PDF versions.

3.9.3. General Requirements for All PDF records.

3.9.3.1. Security Requirements.

3.9.3.1.1. PDF records must not contain security settings (e.g., self-sign security, user passwords, and/or permissions) that prevent NARA from opening, viewing or printing the record.

3.9.3.1.2. PDF records created after 1 April 2004 must have all security settings deactivated (e.g., encryption, master passwords, and/or permissions) prior to transfer to NARA. Deactivation of security settings ensures NARA's ability to support long-term record migration and preservation.

3.9.3.2. Review of Special Features. Because of the complexities associated with certain PDF features, NARA will review PDF records containing special features on a case-by-case basis when the records are scheduled. Examples of special features include but are not limited to: digital signatures; links to other documents, files or sites; embedded files (including multimedia objects); form data; comments and/or annotations.

3.9.4. Requirements for Records Converted to PDF from their Native Electronic Formats (e.g., office automation products).

3.9.4.1. Electronic records that have been converted to PDF from their native electronic formats must include embedded fonts to guarantee the visual reproduction of all text as created. All fonts embedded in PDF records must be publicly identified as legally embeddable (i.e., font license permits embedding) in a file for unlimited, universal viewing and printing.

3.9.4.1.1. PDF records that reference fonts other than the "base 14 fonts" must have those fonts referenced in the record (i.e., as a minimum, subsets of all referenced fonts) embedded within the PDF file. (**Note:** TIFF version 6.0 is recommended and preferred for records created after the effective date of this guidance. Versions 4.0 and 5.0 are acceptable. The reference specifications for version 6.0 are defined at <http://partners.adobe.com/public/developer/tiff/index.html#dr>.)

3.9.4.1.2. PDF records created after 1 April 2004 must have all fonts referenced in the record, including the "base 14 fonts," embedded within the PDF file. This requirement is met by having, as a minimum, subsets of all referenced fonts embedded within the PDF file.

3.9.5. Requirements for Scanned Paper or Image Formats Converted to PDF.

3.9.5.1. Scanned images of textual paper records converted to PDF must adhere to the requirements in NWM 02.2003, Memorandum to Agency Records Officers: *Expanding Acceptable Transfer Formats: Transfer Instructions for Scanned Images of Textual Records* (Scanned Images Transfer Guidance), dated December 23, 2002, located at <http://www.archives.gov/records-mgmt/initiatives/pdf-records.html>.

3.9.5.1.1. Any organization that has PDF records that have not been scanned according to the minimum image quality specifications in the NWM 02.2003 guidance, must contact the Air Force Record Officer (SAF/XCISI) for guidance.

3.9.5.2. PDF records that contain embedded searchable text based on OCR must be identical in content and appearance to the source document. NARA understands that the ability to embed OCR'd text in PDF records enhances access to the records. NARA will accept PDF records with uncorrected OCR'd text. NARA will not accept PDF records

resulting from OCR processes that either alter the content or degrade the quality of the original bit-mapped image.

3.9.5.2.1. NARA will accept PDF records that have been OCR'd using processes that do not alter the original bit-mapped image. An example of an output process that accomplishes this requirement is *Searchable Image - Exact*.

3.9.5.2.2. NARA will not accept PDF records that have been OCR'd using processes that substitute OCR'd text for the original scanned text within the bit-mapped image. Such OCR processes may involve loss of data through imprecise interpretation of scanned characters. Examples of output processes that use this prohibited technique include *Formatted Text and Graphics and PDF Normal*.

3.9.5.2.3. NARA will not accept PDF records that have been OCR'd using processes that use lossy compression to reduce file size (e.g., JPEG). Such OCR processes degrade the quality of the original image and may make such images unsuitable for archival preservation. An example of an output process that uses this lossy compression technique for color and grayscale images is *Searchable Image - Compact*.

3.9.6. Transfer Documentation.

3.9.6.1. This guidance supplements transfer documentation requirements in 36 CFR Part 1228, located at <http://www.archives.gov/about/regulations/part-1228/i.html> to ensure that transfers of records in PDF are clearly identified and described. Organizations must also submit a signed SF 258, as required by 36 CFR Part 1228.

3.9.6.1.1. For each transfer, organizations must supply documentation that identifies the software used to create the PDF records (if available) and the version, and the operating system (if available) and version.

3.9.6.1.2. Organizations must provide all external finding aids for the transferred PDF records (e.g., indexes; descriptive, administrative, or technical metadata; and/or databases of OCR'd text) in formats approved by NARA, with the appropriate documentation required by 36 CFR Part 1228.

3.9.6.1.3. When an organization develops standards or guidelines to assist in formatting, validating, or accessing PDF records (including recommended software or quality settings, and/or guidelines for embedding metadata within PDF records), a copy of these standards or guidelines must be included with the transfer.

3.9.6.1.4. PDF records converted from scanned images also must adhere to the transfer documentation requirements of the Scanned Images Transfer Guidance, <http://www.archives.gov/records-mgmt/initiatives/scanned-textual.html>.

3.9.7. Transfer Mechanisms for PDF.

3.9.7.1. PDF records must not be compressed (e.g., Winzip, PKZIP) or aggregated (e.g., tape archive [TAR]) for purposes of transfer unless NARA has approved the transfer in compressed or aggregated form in advance. In such cases, NARA may require the organization to provide the software to decompress the records (see 36 CFR Part 1228).

3.9.7.2. The basic fonts are: Courier (Regular, Bold, Italic, and Bold Italic), Arial MT (Regular Oblique, and Bold Oblique), Times New Roman PS MT (Roman, Bold, Italic, and Bold Italic), Symbol, and Zap dingbats.

3.10. Digital Photographic Records.

3.10.1. This instruction expands currently acceptable formats to enable the transfer of permanent digital photographic records to NARA.

3.10.2. This instruction applies to digital photographic records that have been appraised and scheduled for permanent retention at NARA. Included under the scope of this instruction are still photographs of natural, real-world scenes or subjects created in support of agency business that are produced from digital cameras (excluding the types of records described below), and scanned images of photographic prints, slides, and negatives.

3.10.3. The instruction applies to master image files of digital photographs created using medium to high quality resolution settings appropriate for continued preservation. (**Note:** In the 'II' format (i.e., *little-endian*), byte order is always from the least significant byte to the most significant byte.)

3.10.4. The following digital photographic records will not be accepted for transfer under this instruction:

3.10.4.1. Low-resolution photographs typically created for posting on organization web sites (i.e., all files created at less than 2 mega pixels, or scanned as less than 2000 line files). (**Note:** For records created after the effective date of this guidance, TIFF version 6.0 is recommended and preferred. Versions 4.0 and 5.0 are acceptable. The reference specifications for version 6.0 are defined at <http://partners.adobe.com/public/developer/tiff/index.html#dr>.)

3.10.4.2. Digital photographs captured within office automation applications (e.g., word processing, spreadsheet, and presentation applications).

3.10.4.3. Digital photographic records such as aerial photography, and photogrammetric and satellite imagery.

3.10.4.4. Vector-based images, such as records created using graphic arts software or computer-aided design applications.

3.10.5. Transfer requirements for digital photographic records. NARA will accept transfers of permanent digital photographic records that meet the specifications of this instruction. The requirements in paragraphs **3.10.5.1** through **3.10.6** list acceptable image file formats, image quality specifications, transfer documentation, and related information on how to transfer these records to NARA. Any organization having permanent digital photographic records that do not meet the requirements in this instruction must contact the Air Force Records Officer for guidance.

3.10.5.1. General Requirements.

3.10.5.1.1. Digital photographic records acceptable for transfer to NARA must meet the provisions of paragraph **3.10.4.1** through paragraph **3.10.4.4** and shall include still photographs produced by digital cameras and scanned images of photographs.

3.10.5.1.2. Digital photographic records must be scheduled for permanent retention and transfer to NARA on SF 115. The records must be organized as either a discrete collection of photographs or by Air Force record series.

3.10.5.2. Image File Format.

3.10.5.2.1. NARA will accept digital photographic records in the following file formats and versions. Additional formats may be added in subsequent iterations of this instruction or in future guidance from NARA.

3.10.5.2.1.1. TIFF, in 'II' format (**Note:** Height and width of an image in pixels). Default file extensions include .TIFF and .TIF.

3.10.5.2.1.2. JPEG File Interchange Format (JFIF), all versions compliant with ISO/International Electrotechnical Commission (IEC) Standard 10918-1: *Information Technology—Digital Compression and Coding of Continuous-tone Still Images (1994)*. (**Note:** The proportion of an image's size given in terms of the horizontal dimension versus the vertical dimension.) Default file extensions include .JPEG, JFIF, and .JPG.

3.10.5.2.2. NARA prefers that organizations transfer digital photographic records with file names that use the default file extension for each of the above formats. Records may be accepted that are named according to organization-specific naming conventions (e.g., organization acronym or NARA-assigned record group number) provided the corresponding computer files can be opened and the organization has transferred adequate documentation describing the file name and format of the files.

3.10.5.3. Image Quality Specifications.

3.10.5.3.1. Records must be provided as continuous-tone gray scale or color raster images, 8-bit or 16-bit per channel.

3.10.5.3.2. Color images must be produced in RGB color mode as 24-bit or 48-bit color files.

3.10.5.3.3. Effective 1 January 2005, digital camera files must be captured as 6 megapixel files or greater with a minimum pixel array of 3,000 pixels by 2,000 pixels. Records produced at this resolution and size are comparable in quality to 35-mm film photographs, which is the minimum quality level for still pictures currently accepted by NARA [see 36 CFR Part 1228].

3.10.6. Photographs must be scanned as minimum 2,000 line files (**Note:** 3,000 line files describe digital photographs that are 3,000 pixels across the long dimension of the image) to approximate a 2-megapixel file according to the following image size and resolution guidelines. (**Note:** Image resolution for scanned images of photographs will vary according to the size of the source document, which may affect actual pixel dimensions and aspect ratios). Scan an 8" x 10" original (print, slide, or negative) at 200 dots per inch (dpi) (**Note:** True optical resolution is defined as the maximum or actual resolution of a device without recourse to interpolation. Interpolation (see Note 12) that occurs as part of the normal operation of digital cameras is acceptable) to produce a file that is 1,600 x 2,000 pixels. Scan a 4" x 5" original (print, slide, or negative) at 400 dpi to produce a file that is 1,600 x 2,000

pixels. Scan a 35-mm original (print, slide, or negative) at 1400 dpi to produce a file that is 1,300 x 2,000 pixels.

3.10.6.1. Photographs scanned after 1 January 2005, must be produced as minimum 3,000 line files to approximate a 6 megapixel file according to the following image size and resolution guidelines (**Note:** This process calculates greater or fewer pixels from existing pixels in order to resize an image as either larger or smaller). Records conforming to these guidelines will be comparable in quality to 35-mm film photographs, which is the minimum quality level for still pictures currently accepted by NARA (see 36 CFR Part 1228) Scan an 8" x 10" original (print, slide, or negative) at 300 dpi to produce a file that is 2,400 x 3,000 pixels. Scan a 4" x 5" original (print, slide, or negative) at 600 dpi to produce a file that is 2,400 x 3,000 pixels. Scan a 35-mm original (print, slide, or negative) at 2100 dpi to produce a file that is 2,000 x 3,000 pixels.

3.10.6.2. Effective 1 January 2005, organizations must ensure that digital cameras and scanners produce records with true optical resolution (**Note:** Lossless refers to a method of image compression where there is no loss in quality when the image is compressed or uncompressed). Resizing images or interpolating to a higher resolution from a lower resolution for purposes of transfer will not be permitted. (**T-0**).

3.10.6.3. NARA will accept digital photographs in TIFF file formats that are compressed using a lossless compression method. If available, NARA prefers that organizations transfer uncompressed versions of these files. (**Note:** While there is no standard or industry-recognized metric for determining medium quality, records created using this setting would reveal some degradation of the image without substantive loss of quality when viewed at normal size).

3.10.6.4. NARA will accept permanent digital photographs in the JPEG file format, which uses a lossy (**Note:** While there is no standard or industry-recognized metric for determining high quality, records created using this setting would reveal no noticeable loss of quality or image degradation when viewed at normal size) compression method, provided the records have been created using at least medium quality compression settings (or better) (**Note:** Examples of descriptive metadata elements include Dublin Core and International Press Telecommunications Council (IPTC) metadata).

3.10.6.5. Effective 1 January 2005, agencies must create JPEG files using at least high-quality compression settings (or better). (**Note:** The International Color Consortium [ICC] and Microsoft Windows Image Color Management [ICM] profiles define industry standard methods of generating and interpreting numeric values that describe color for digital screens, scanners, and output devices to ensure color consistency across platforms and devices.) (**T-0**).

3.10.6.6. Effective 1 January 2005, organizations must transfer first generation JPEG files that have not been degraded in quality by multiple revisions and resaving. Making changes to JPEG files (e.g., altering the image size), and then resaving them can result in recompression of the images, leading to additional data loss and degradation of image quality and NARA will not accept them. (**T-0**).

3.11. Digital Geospatial Data Records.

3.11.1. This instruction expands currently acceptable formats to enable the transfer of permanent digital geospatial data records created for Geographic Information Systems (GIS) to NARA.

3.11.2. This instruction applies to digital geospatial data records (i.e., digital cartographic data files that may be processed in GIS) that have been appraised and scheduled for permanent retention at NARA. Excluded are fixed views of the data and other types of reports and output products created as paper maps, other nondigital formats, or fixed digital formats such as GeoTIFF images. NARA, the Air Force Record Officer and the subject matter expert determine specific disposition instructions through the record scheduling process.

3.11.3. Transfer Requirements for Digital Geospatial Data Records.

3.11.3.1. Contact the Air Force Record Officer to schedule permanent digital geospatial data records that do not meet the requirements of this instruction.

3.11.4. General Requirements. Those digital geospatial data records that are appraised as permanent must be scheduled for permanent retention and transferred to NARA on SF 115. The records must be organized as either a logical grouping of information or by Air Force record series.

3.11.5. Geospatial Data Standards. NARA will accept digital geospatial data records that fully implement a non-proprietary, published, open standard maintained by or for a Federal, national, or international standards organization (**Note:** Additional examples of open standards include the International Hydrographic Organization Transfer Standard for Digital Hydrographic Data [IHO 57], Spatial Data Standard for Facilities, Infrastructure and Environment, and Military Standard: The Interface Standard for Vector Product Format [MIL-STD-2407]). Digital geospatial data records created and maintained in proprietary formats must be transferred to NARA in an acceptable geospatial data standard. Examples of acceptable geospatial data standards include, but are not limited to:

3.11.5.1. Spatial Data Transfer Standard. This standard has been incorporated into 36 CFR Part 1228.270 (d) (3). (See <http://mcmweb.er.usgs.gov/sdts/> and <http://www.fgdc.gov/standards>).

3.11.5.2. Geography Markup Language, versions 2 and 3 (Open GIS Consortium). (See <http://www.opengeospatial.org/standards/gml>).

3.11.6. Transfer Documentation. This instruction supplements transfer documentation requirements in 36 CFR Part 1228. For all such transfers, organizations must submit a signed SF 258, as required by 36 CFR Part 1228.

3.11.6.1. For each transfer, organizations must supplement the SF 258 with additional information identifying the standard and version to which the records adhere, the number of files in the transfer, the size (in bytes) of these files, and the logical arrangement of the files (e.g., by subject or date).

3.11.6.2. Organizations must provide descriptive and technical information about the records (i.e., metadata). (**Note:** Examples of descriptive metadata elements for digital geospatial data include the profiles in SDTS, the Federal Geographic Data Committee's

Content Standard for Digital Geospatial Metadata, incorporated into 36 CFR Part 1228.270(e)(3), and the metadata components of the Geography Markup Language, version 3). This metadata should be incorporated into the appropriate section within the approved transfer standard used to transfer the digital geospatial data records to NARA. The metadata must conform to a standard maintained by a Federal, national, or international body. For each transfer the organization must reference the standards to which the data and metadata conform, including version and date, where applicable.

3.11.6.3. When metadata does not conform to a published standard, organizations must provide a full description of the standard and the metadata used. Where the standard is not maintained by a national or international body (i.e., agency specific), a copy and description of the standard must be included.

3.11.7. Transfer Mechanisms.

3.11.7.1. Organizations may transfer digital geospatial data records using any of the approved media or methods listed in 36 CFR Part 1228.270(c). (Note: See <http://www.archives.gov/about/regulations/part-1228/index.html>.)

3.11.7.2. Digital geospatial data records must not be compressed (e.g., Winzip, PKZIP) or aggregated (e.g., TAR) for purposes of transfer unless NARA has approved the transfer in compressed or aggregated form in advance. In such cases, NARA may require the organization to provide the software to decompress the records.

3.12. National Archives and Records Administration (NARA) Records Manager (RM) Guidance for Public Key Infrastructure (PKI) Authenticated and Secure Transaction Records.

3.12.1. Introduction. *The Records Management Guidance for Agencies Implementing Electronic Signature Technologies*, <http://www.archives.gov/records-mgmt/policy/electronic-signature-technology.html>, issued by NARA on 18 October 2000, requires that Federal agencies comply with records management requirements when implementing Public Law (PL) 105-277, *Government Paperwork Elimination Act (GPEA)*. PL 105-277 requires that, when practicable, agencies use electronic forms, electronic filing, and electronic signatures to conduct official business with the public by 2003.

3.12.2. Public key cryptography. Public key cryptography, which is used to implement digital signatures, is one of the principal electronic signature technologies that organizations will use when conducting business electronically. PKI supports the application of digital signature technology. PKI is defined as “a set of policies, processes, server platforms, software and workstations used for the purpose of administering certificates and public-private key pairs, including the ability to issue, maintain, and revoke public key certificates.”

3.12.3. Records Management Guidance. This guidance applies to the three categories of Federal record scope:

3.12.3.1. PKI Transaction-Specific records that may be embedded or referenced within each transaction (e.g., the digital signature, generally the public key certificate and possibly transaction-specific PKI records used for authentication or non-repudiation, such as certificate validation responses).

3.12.3.2. PKI-Unique Administrative records, which are generally retained separate from the transaction data, support authentication, nonrepudiation and the overall trustworthiness of the electronic transaction process (e.g., certificate validation responses used to validate the subscriber/signer's certificate, subscriber agreement, etc.)

3.12.3.3. Other Administrative records (non-PKI records) that can be retained and used to attest to the reliability and overall trustworthiness of the PKI-based transaction process, such as client/browser and server setup and configuration records, application or system testing and validation records, and operational procedures and training documentation.

3.12.4. PKI-Related Record Keeping Principles. All Federal PKI digital signature authenticated and secured transaction records should:

3.12.4.1. Contain the human readable name of the subscriber/signer. This could be the subject name from the public key certificate or other metadata that represents the name of the subscriber/signer.

3.12.4.2. Include a human readable date and time associated with the signing of the transaction that is "at or near the time" that the signing occurred. (**Note:** Federal Rules of Evidence 803(6) - a "[r]ecord of a regularly conducted activity" such as a "memorandum, report, record, or data compilation, in any form" will be admissible if the record was made "at or near the time by..."). (**T-0**).

3.12.4.3. Indicate the intent of the subscriber/signer, i.e., the purpose for applying the PKI digital signature to the transaction. The intent may be obvious in that it relates directly to a purpose included in the text of the transaction, e.g., "approved by" or "submitted by." It could be in the form of a statement that the subscriber/signer takes responsibility for the transaction or that the subscriber/signer is authorized to sign on behalf of someone else. It also may relate to the context of the transaction (e.g., a purchase order form).

3.12.5. For the PKI-related transaction records, the operational or recordkeeping system should:

3.12.5.1. Capture all PKI transaction records that meet the definition of a Federal record. Also, the metadata needed for identification, searching and disposition management of the transaction should be captured "at or near the time" of the transaction.

3.12.5.2. Retain PKI recordkeeping Trust Documentation Sets for at least the same period of time as the digitally-signed transaction to which they pertain.

3.12.5.3. Avoid the retention of PKI transaction records on any individual user's workstation because: (**T-1**).

3.12.5.3.1. Integrity protection is not automatically provided and is limited to user-modifiable file controls (e.g., a reversible read-only setting).

3.12.5.3.2. Accessibility is limited to the users who have access to the files on the workstation.

3.12.5.3.3. Disposition management cannot be programmatically controlled.

3.12.6. NARA Requirements for Permanent Electronically-Signed Records. Section 5.6 of NARA's *Records Management Guidance for Agencies Implementing Electronic Signature Technologies* guidance states that: "For permanent records, agencies must ensure that the printed name of the electronic signer, as well as the date and time when the signature was executed, be included as part of any human readable form (such as electronic display or printout) of the electronic record." NARA requires this so that the name of the signer and the date and time of signing will be preserved as part of the record. Therefore, all electronic transaction records, including PKI authenticated and secured transaction records that are to be transferred to NARA for permanent retention must meet these minimum requirements.

3.12.6.1. For digitally-signed records that have been scheduled and appraised as permanent, NARA currently has no intention of using the digital signature's revalidation capabilities to establish authenticity of the record or of maintaining that capability into the future. NARA currently lacks an infrastructure to support key escrow necessary to maintain digital signature revalidation capabilities. Furthermore, organizations could attest to the authenticity and integrity of the digitally-signed record at the time of transfer of legal custody of the materials to NARA. Finally, based on experience with secondary users of archival records, embedded hand-written ("wet") signatures hold limited value for research. NARA presumes that this use paradigm will continue to apply. It is unlikely that PKI-related records establishing the trust of a particular digitally-signed transaction would be scheduled and appraised as permanent.

Chapter 4

PROCEDURES FOR DOCUMENT REMOVAL

4.1. Process to Request Copies or Removal of Official Records. In order to protect the interests of the Department of the Air Force, transitioning personnel (separating from service, retirement) that desire to take copies of specific documents or official records including email shall submit a request through the Freedom of Information Act process. For information on this process, refer to www.FOIA.af.mil. Otherwise, personnel are not authorized to remove or make copies of documents or official records (e.g., email, Microsoft Office documents, etc.) of the following types:

- 4.1.1. Official record copy or extract from any such document
- 4.1.2. Classified information, restricted data, and formerly restricted data.
- 4.1.3. Diaries that contain official schedules of meetings, appointments, field trips, or other official activities used to transact Government business.
- 4.1.4. A copy of a document containing information exempt from public release under the Freedom of Information Act or stamped "FOR OFFICIAL USE ONLY," whether it is the official record copy or an extra copy (see DoD 5400.7-R/AF Sup, *DoD Freedom of Information Act Program*).
- 4.1.5. Records about sensitive or Privacy Act material (reference AFI 33-332, *Privacy Act Program*).
- 4.1.6. Preliminary or draft documents from other Government organizations, including foreign governments, material (including extra copies) whose removal would create a gap in the logical sequence of essential records.
- 4.1.7. Records required to transact official business of the Air Force or to help in the decision-making process.

4.2. Documents Authorized for Removal. Personnel are authorized to remove:

- 4.2.1. Personal and private unclassified papers that do not refer to official business.
- 4.2.2. Reference books and other personal items.
- 4.2.3. Extra copies of unclassified papers (with agency approval) that they have drafted, reviewed, or otherwise acted upon.
- 4.2.4. Non-record materials are still Government works and must be protected from unlawful removal. Copies of official records shall not be made solely for the purpose of removal or donation. Non-record materials such as copies of training slides received at a conference, copies of stock publications, and any personal meeting notes may be removed by the transitioning personnel without the approval of the AF Records Manager. Use and follow nondisclosure agreements when they apply.
- 4.2.5. No documentary material, though judged to be non-record material, shall be withdrawn if it creates a gap in the official files and impairs the completeness of essential documentation. Indexes or other finding aids, necessary for the use of the official files, may not be removed.

4.3. Statutory and Regulatory Requirements.

4.3.1. Classify official information according to Executive Order (E.O.) 12958, *Classified National Security Information*; as amended by E.O.13292; and AFI 31-401.

4.3.2. Personnel who remove classified material face penalties, including imprisonment in accordance with 18 USC 798. Any personnel who willfully and unlawfully conceal, remove, mutilate, obliterate, or destroy unclassified records are subject to fines or imprisonment in accordance with 18 USC 2071. Violation of the statutory and regulatory limitations governing removal of information by Air Force personnel shall be forwarded to the Air Force physical security office. Under 44 U.S.C. 2905 & 3106 and 36 CFR 1230.14, the Air Force must contact the National Archives and Records Administration (NARA) with knowledge of any actual or potential threat to records (e.g., removal, alteration, or destruction). NARA may then contact the Attorney General at the Department of Justice, if necessary, to assist the AF in the recovery of any unlawfully removed records. **(T-0)**.

4.3.3. Individuals who qualify under AFI 31-401 may be granted limited access to classified records.

4.4. Removal Procedures for employees going to another Federal agency.

4.4.1. Employees going to another Federal agency are not required to use the FOIA process in section 4.1. Prior to leaving the agency, an employee wishing to take any records to the new agency must present those records to the OPR (as per AFMAN 33-302 (the supplement to DoD 5400.7-R), Freedom of Information Act Program) and the COR for approval.

4.4.2. DELETED.

Chapter 5

DISPOSITION PROCEDURES

5.1. Authority and Implementation.

5.1.1. In addition to the guidelines in this instruction, follow the dispositions in the NARA GRS and AFRIMS RDS.

5.1.2. Do not make personal decisions to destroy Air Force records.

EXCEPTION:

Dispose of special intelligence records per AFMAN 14-304, (FOUO) *The Security, Use and Dissemination of Sensitive Compartmented Information*, and AFI 36-2608, *Military Personnel Records System*, for records that are included in the military personnel master record.

5.1.3. Use destruction methods and procedures in AFI 31-401 as authority for disposing of classified documentary records according to agency procedures.

EXCEPTION:

Destroy nonrecord classified material and other temporary material, such as extra copy files and publications, and other materials excluded from the definition of records, as soon as their intended purposes are served.

5.1.4. When disposition schedules and standards change because of new requirements, procedures, and methods, follow these rules:

5.1.4.1. When a changed schedule increases the retention period, apply the standard to all records (including inactive and cutoff records) of that description, regardless of where they are maintained or when they were created.

5.1.4.2. When a changed schedule reduces the retention period, apply the standard retroactively. **Exception:** Specific instructions to the contrary for individual cases.

5.2. Retention and Retirement Standards.

5.2.1. Records must be identified in AFRIMS RDS.

5.2.1.1. Use **Table 5.1** to cut off records identified in AFRIMS RDS.

5.2.1.1.1. Note 1 allows a temporary extension.

5.2.1.1.2. Exceptions as authorized in this instruction and AFRIMS RDS.

5.2.1.2. Retire Air Force personnel records with a retention period of 10 years or more to the National Archives and Records Administration, 700 Pennsylvania Avenue NW, Washington DC 20408-0001. **Exception:** AFRIMS RDS specifies another FRC (such as the National Personnel Records Centers in St. Louis MO, for personnel and medical records or the Rocky Mountain Federal Archives in Denver CO, for Air Force Academy records).

5.2.1.3. Tables in the AFRIMS RDS include specific standards for cutoff, setting up inactive files, retention periods, and specific instructions as to the organizational levels at which the disposition instructions apply. In most cases, however, only general disposition instructions exist, such as “destroy after 3 months,” “2 years,” “10 years,” “when

superseded,” and so forth. Regardless of the disposition standards, unless otherwise stated, retention periods begin after the file cutoff date, rather than the dates of individual records in a file.

5.2.1.4. When a base closes, the RM must first notify SAF/XCISI through the CRM of records that are disposable within 8 years.

5.2.1.5. The Air Force Record Officer will contact NARA, Office of FRC Operations to determine which regional record center near the closing base will retire/accept the temporary records.

NOTE:

This procedure also applies when a base staging area becomes too crowded for storing records.

5.2.1.6. When AFRIMS RDS does not specify a location in column C of the table, assume the standard applies Air Force-wide.

Table 5.1. Retention and Retirement Standards for Active Air Force Activities.

	A	B	C	D	E
ITEM	Records retention period	Records accumulated by	Cutoff period	Hold in the current file areas	And (see Note 1)
1	1 month	Any Air Force activity	End of each month	1 month	Dispose per AFRIMS RDS
2	2 months	Any Air Force activity	End of each month	2 months	Dispose per AFRIMS RDS
3	3 months	Any Air Force activity	End of each month (see Note 2)	3 months	Dispose per AFRIMS RDS
4	4 months	Any Air Force activity	End of each month (see Note 2)	4 months	Dispose per AFRIMS RDS
5	6 months	Any Air Force activity	End of each month (see Note 2)	6 months	Dispose per AFRIMS RDS
6	1 year	Any Air Force activity	At the end of each Calendar Year (CY) or Fiscal Year (FY) as applicable (see Note 2)	1 year	Dispose per AFRIMS RDS
7	13 months	Any Air Force activity	At the end of each CY or FY as applicable (see Note 2)	13 months	Dispose per AFRIMS RDS

	A	B	C	D	E
ITEM	Records retention period	Records accumulated by	Cutoff period	Hold in the current file areas	And (see Note 1)
8	15 months	Any Air Force activity	At the end of each CY or FY as applicable (see Note 2)	15 months	Dispose per AFRIMS RDS
9	18 months	Any Air Force activity	At the end of each CY or FY as applicable (see Note 2)	18 months	Dispose per AFRIMS RDS
10	2 years	HQ USAF offices	At the end of each calendar or fiscal year, as applicable (see Note 2)	2 years	Destroy (see Notes 3 and 4) and AFRIMS RDS
11		Activities below HQ USAF	At the end of each CY or FY as applicable (see Note 2)	1 year	Transfer to staging area where it is destroyed after 1 additional year (see Notes 4, 5, 6, and 8) and AFRIMS RDS
12	3 to 8 years	HQ USAF offices	At the end of each CY or FY as applicable (see Note 2)	3 years	If not eligible for destruction, retire to WNRC for retention (see Notes 3, 4, and 6) and AFRIMS RDS
13	3 to 8 years	Activities below HQ USAF	At the end of each calendar or fiscal year, as applicable (see Note 2)	1 year	Transfer to staging area where it is destroyed upon expiration of the remainder of the retention period (see Notes 4, 6, 7, and 8)
14	9 years to permanent	HQ USAF offices	At the end of each calendar or fiscal year, as applicable (see Note 2)	2 years	Retire to WNRC for retention (see Notes 3, 4, and 10) and AFRIMS RDS

	A	B	C	D	E
ITEM	Records retention period	Records accumulated by	Cutoff period	Hold in the current file areas	And (see Note 1)
15	9 years to permanent	Activities below HQ USAF	At the end of each calendar or fiscal year, as applicable	1 year	Transfer to staging area where it is retired after an additional year to WNRC or other designated records center (see Notes 4, 7, 8, 9 and 10) and AFRIMS RDS
16	Based on an event or action such as supersession, obsolescence, or completion of action	All Air Force activities	On the event of completion of the action stipulated	For the appropriate time period as specified in items 1 through 15	Destroy or retire according to AFRIMS RDS
17	Based on a specified time period after an event or action, such as audit, final payment, settlement of a claim, completion of a project, closing of a case file, etc.	All Air Force activities	On the event or completion of the action stipulated, cut off and place in the inactive file, at the end of each calendar or fiscal year, as applicable	For the appropriate time period as specified in items 1 through 15	Destroy or retire according to AFRIMS RDS

NOTE:

1. CRMs may authorize a temporary extension to disposition standards in AFRIMS RDS pending processing of request as indicated in paragraph 9. This also applies to other governments' laws or agreements with the US, which specify longer retention periods. If a

temporary extension is granted by the CRM, retain the records and send the following information immediately by letter through channels to SAF/XCISI:

2. Description of records and prescribing directives; table and rule from the AFRIMS RDS covering records; length of requested extension; volume of records involved; reasons for extension.
3. A statement of the current and proposed physical location of the records, including information on whether the records have been or will be transferred to one or more federal records centers. SAF/XCISI will advise the CRM of final action. If the request is disapproved, follow the disposition criteria in the appropriate AFRIMS RDS, table and rule. If approved, the CRM issues an authorization letter to the requesting activity for attachment to the related files plan.
4. Transitory and reading files and other large volumes of 3-6-month retention files are cut off at the end of each month. When volume or other circumstances justify, and after the RM approves, cut off records with a retention period of 1 year or less on a daily, weekly, monthly, or semiannual basis, and retain for the prescribed retention period.
5. If office space is urgently needed for current records, before the retention period within the office expires, see paragraph 9.2.2.
6. Comply with paragraph 8.7 before retiring classified records to a staging area or records center.
7. If there is no staging area, retain and destroy in the current files area.
8. Retain small volumes of 2-8-year retention in the current files area until eligible for disposal or retirement, if the RM approves and if the office does not need additional space or equipment.
9. If there is no staging area, or the accumulating office is not in close proximity to an Air Force installation having a staging area, transfer records with a 3- to 8-year retention to the Regional FRC serving the area, provided the CRM and NARA approve, and the records center agrees to accept the records. Under the same circumstances for 9-year to permanent records, retain in current files area for 2 years after cutoff, then retire (through the organization's records manager) to WNRC or other designated records centers.
10. If the office needs space for current records, transfer noncurrent records to the staging area earlier, if the RM responsible for the supervision of the staging area approves.
11. The CRM may approve an extension of retention period for records needed for longer than 2 years after cutoff because of frequent reference. Annotate the related SF 135 with the new information. Send requests for extension to SAF/XCISI, who must get NARA's approval for extension of retention period. Place records authorized for indefinite retention at the installation (such as certain civil engineering records and equipment historical files), which are relatively inactive and have infrequent reference in the local staging area by mutual agreement between the accumulating office and the RM responsible for the supervision of the staging area.
12. Hold local series not retireable to WNRC or NPRC.

5.2.2. Unscheduled records are records not identified in AFRIMS RDS. Upon receipt or creation of unscheduled records, procedures in paragraph 11.2 must be followed. If the records take up file space that is needed for active material, the CRM will facilitate the transfer to a staging area until final disposition is approved. Upon transfer of unscheduled records to a staging area, send a copy of the SF 135 to the base RM and the CRM.

5.3. Emergency Retirement. In hostile or potentially hostile areas, during war, or when war seems imminent, get agreement between the chief of the office of record (COR), the RM, the CRM, SAF/XCISI, and NARA to retire records with a retention period of more than 2 years to the proper FRC at any time after cutoff if:

5.3.1. Records may be destroyed by hostile or potentially hostile action and the records are valuable enough to save until the normal retention period ends. Offices retiring records make duplicate copies, if needed, for frequent reference to avoid harm to the unit's mission or place an unrealistic research and reference burden on the FRCs.

5.3.2. The records take space urgently needed for military purposes and personnel do not use them frequently enough to warrant continued local storage. If none of the conditions in paragraphs 5.3.1 and 5.3.2 apply, keep the records and retire them at the times specified in paragraph 5.2 and Table 5.1, or, in an emergency, according to paragraph 5.4.3.

5.3.3. Do not retire material that you plan to keep for less than 2 years unless it is of sufficient importance in protecting the legal or financial rights of individuals and the Air Force. Requests to destroy these short term records must be approved by SAF/XCISI before destruction.

5.4. Emergency Disposal of Records, IRCN: 1095-NAR-AR. Dispose of records without regard to AFRIMS RDS if an emergency arises, as follows:

5.4.1. A Hazard to Health, Life, or Property. A CRM who believes that records have become a hazard to health, life, or property notifies Air Force Records Officer of the nature of the hazard, the kind and quantity of material involved, and its location. Air Force Records Officer notifies NARA. Upon NARA approval, Air Force Records Officer directs immediate destruction or removal of the material. (T-0).

5.4.2. Nitrocellulose-Based Film. If any radarscope, aerial, or other still or motion-picture film on a nitrocellulose base deteriorates to the point where it is soft and sticky, is emitting a noxious odor, contains gas bubbles, or has turned to an acrid powder, and the OPR in charge decides that it is a menace to health, life, or property, the CRM may eliminate the hazard without prior approval of SAF/XCISI. The CRM:

5.4.2.1. Requests the OPR remove the film from inhabited buildings as soon as possible; destroy it in a way to save its silver content, or if the quantity is not large enough to justify saving its silver content, arrange for authorized disposal in approved landfills. Submerge the film to be burned in water-filled drums, and move it to a remote spot that fire authorities have approved for burning. If possible, burn one reel at a time, but never more than 25 pounds. Do not burn the film in a furnace or other confined space to avoid dangerous gases; within 30 days of film destruction, complete and send a report to SAF/XCISI describing the film and stating when, where, and how the destruction took place. Assign Interagency Report Control Number 1095-NAR-AR to this report.

5.4.3. State of War, Threatened War, or Hostile Action Outside the United States:

5.4.3.1. When war seems imminent, destroy records in the custody of a COR outside the territorial limits of the continental United States (CONUS) without regard to disposition standards in AFRIMS RDS and without prior approval if these situations exist; retaining the records would be prejudicial to the interest of the United States (US); records take up space urgently needed for military purposes; records are without sufficient administrative, legal, research or other value to warrant their continued preservation.

5.4.3.2. If the records are considered valuable enough to warrant preservation, retire according to paragraph 5.3. Follow destruction procedures in AFI 31-401 when emergency destruction is required. When you destroy records in an emergency, provide the following information in writing to SAF/XCISI: organization name, location, and commander; record description and authentication date, record security classification (if known), place and date of destruction; and reason for the destruction.

5.5. Damage to or Unauthorized Disposition of Records. The Secretary of the Air Force Office of Information Dominance and Chief Information Officer (SAF/CIO A6), in accordance with AFPD 33-3, ensures that personnel do not dispose of records without authorization. Note: Disposing of records without authorization involves removing them from Air Force custody or destroying or altering them without regard to the schedules in the AFRIMS RDS (44 USC § 2095, 3105, 3106, and 3314).

5.5.1. Upon discovering unauthorized loss, damage, or destruction of records, the COR and record professional responsible for the records must make a reasonable effort to find, restore or reconstruct them.

5.5.1.1. Restoring Records. RMs who believe they can save damaged records should contact the base disaster planning office, follow procedures in NARA's *Vital Records and Records Disaster Mitigation and Recovery: An Instructional Guide*, located at **Error! Hyperlink reference not valid.**, or other material in local libraries, or consult with a local restoration company. The CRM will immediately report the quantity and type of records damaged, source of damage (fire, flood, and so on), extent of damage and a

5.5.1.2. Reconstruction. Replace record sets of publications with copies from reference collections or from stock. Reconstruct other records from extra copies or from other records containing the same information.

5.5.1.3. Disposal. If restoration or reconstruction of damaged records is not practical and the Air Force Records Officer has concurred, the CRM will direct and oversee the immediate disposal of the damaged records. CRMs must identify them as lost or destroyed records on SF 135 when they retire records of the same period to a staging area or FRC. (T-1).

5.5.2. Penalties. U.S. Criminal Code 18 USC § 2071 lists penalties for willfully and unlawfully destroying, damaging or altering records. The maximum penalty is a \$2,000 fine, 3 years in prison, or both; loss of office, and disqualification from holding any US office.

5.5.3. Reporting. CRM must report all unlawful removal, defacing, alteration, or destruction of records to Air Force Records Officer. The report must include a complete description of the records with the volume and dates, name of the office of origin, statement of the exact

circumstances surrounding the violation and steps to safeguard and prevent further instances of record loss. (T-1).

5.5.4. Exclusions. These rules do not cover private or personal files (see paragraph 2.2). Any person or activity having knowledge of impending, actual, or threatened unlawful removal, defacing, alteration, or destruction of records must immediately send written notification to the Air Force Records Officer. (T-1).

5.6. Intra-Air Force Transfer. Permit transfer of files or records from one Air Force organization to another only when retiring them to a staging area or other repository according to the procedures in this instruction, an organization that is changing status transfers them according to paragraph 7.5, or a function responsibility transfers from one unit to another. (T-1).

5.6.1. When MAJCOMs and field operating agencies (FOA) transfer responsibilities, they transfer the active records relating to that responsibility at the same time. The receiving MAJCOM or FOA ensures that the records are properly identified on the files plans. Use SF 135 to transfer records, and send a copy to the losing and gaining CRMs. (T-1).

5.7. Transfer to the National Archives. The Archivist of the United States accepts for deposit with the National Archives any Air Force records that the Archivist decides have sufficient administrative, historical, or other value to keep. Normally the transfer of Air Force records to the National Archives is from the FRCs. However, an organization may offer certain records for direct transfer to the National Archives of the United States by sending a SF 258 to SAF/XCISI describing the contents, nature, and quantity of the material proposed for transfer. SAF/XCISI must sign and send the SF 258 to the National Archives. The OPR, SAF/XCISI, and the NARA arrange the transfer and set up the conditions for using the material. NARA determines the kind of records it will accept and whether to retire them to the FRC or transfer them directly to the National Archives.

5.7.1. Audiovisual Records:

5.7.1.1. Motion Pictures. The FRCs and the NARA normally do not accept Air Force-owned, motion picture records on nitrocellulose-based film because of the potential hazards (see paragraph 5.4.2). Air Force organizations having nitrate motion pictures they decide are valuable enough to keep at records centers or NARA must convert the nitrate film to safety acetate film. Before converting the film, SAF/XCISI must obtain NARA approval that the converted film will be accepted. Normally, the minimum number of copies of motion picture film necessary for security, duplication, and use by NARA is the negative (original or duplicate) that (in descending order of priority): most nearly represents the original capture of actual events, best represents the edited production of actual events and best represents the edited production for which action is staged, with a master positive print and one projection print for actual use. **Note:** In most cases, the projection print is the negative after laboratory cutting, composite negative of sound film, the master fine-grain positive print, and one other print.

5.7.1.2. Still Photographs. A negative and captioned print (whether on film, glass, paper, or other medium) of each still photographic image are necessary for security, duplication, and use by the National Archives. Include such copies when available in collections of still photographs that you transfer.

5.7.1.3. Sound Recordings. Include these types of copies, when available, in collections of sound records that you transfer or retire to NARA:

5.7.1.3.1. For conventional disc recordings, the matrix or stamper of each sound recording unit, or the original instantaneous recording if no matrix or stamper exists, and a pressing or dubbing of the recording.

5.7.1.3.2. For magnetic sound recordings on wire or tape, for scribed or embossed recordings on tape, or for recordings photographically reproduced on sensitized film, a “dubbing” if one exists; otherwise, the original magnetic, embossed, for photographed recording.

5.7.1.4. Reference Material. Transfer copies of existing reference material, such as data sheets, continuities, review sheets, scripts, or indexes for identifying and using audio-visual records with these materials.

5.7.2. Cartographic Records. Offer these cartographic records, when no longer needed, to the National Archives for appraisal and direct transfer:

5.7.2.1. Manuscript maps or maps on which personnel have made manuscript changes, additions, or annotations for record purposes or that bear manuscript signatures to indicate official approval. Keep these maps together with the documents to which they refer.

5.7.2.2. Master sets of maps. Keep master sets separate from stocks of maps for distribution and from maps received from other organizations. A master set includes one copy of each edition or map issued.

5.7.2.3. Index maps, card indexes, lists, catalogs, or other reference materials.

5.7.2.4. Preliminary or intermediate materials, such as manuscript field notebooks or surveys, triangulation and other computations, “Fair drawings” for individual color plates, and aerial photographs for mapping purposes.

5.7.2.5. Related records necessary for preparing, compiling, editing, or printing maps (e.g., project folders containing specifications and appraisals of source materials).

5.7.3. Microforms. Offer permanent microforms to NARA in one silver copy and one work copy. Use a special microfiche box for retiring microforms.

5.7.4. Electronic Records. Contact the Air Force Records Officer for guidance on offering permanent electronic records to NARA (see AFMAN 33-363).

5.8. Transfer to Other Government Agencies.

5.8.1. According to 36 CFR Part 1228.122, do not transfer records from one Government agency to another without written approval by NARA. **(T-0)**.

5.8.1.1. Transfer these records to the Federal Archives, the FRCs, or the National Archives according to paragraphs [5.2](#) and [5.8](#), and set up procedures for loaning records for official use.

5.8.2. Send written requests for exceptions to paragraph [5.8.1](#) to SAF/XCISI before transferring or loaning Air Force records.

5.8.3. Request should include a concise description of the records for transfer (with the volume in cubic feet), restrictions on using records, name and location of the receiving agency (with the names of the persons who will use the records and their intended use), name and location of the organization transferring the records, reason for the transfer (with justification for transfer of records more than 5 years old) and why the transfer is in the best interest of the Government. **Note:** Restrictions because of a law, executive order, or Air Force decision continue after a transfer, although the organization receiving the records may agree to remove the restrictions.

5.8.4. The Air Force Records Officer receives authority from NARA for transferring Air Force records to another Federal agency in instances other than those cited above.

5.9. Transfer Outside of Government Agencies. The Air Force Records Officer gets approval from the NARA to transfer records to organizations outside of the Federal Government. Follow transfer request procedures in paragraph 5.8. **(T-0)**.

5.10. Authorized Methods of Disposal.

5.10.1. Report large record volumes to the Defense Reutilization and Marketing Office (DRMO).

5.10.1.1. DRMO decides whether to destroy or sell the records as waste paper. Contracts for recycling or selling these records must prohibit their future use as records or documents. DoD 5400.7-R/AFSUP1 and AFI 33-332 contain disposal procedures for records exempt from public disclosure. Recycle or sell nonpaper records (film, plastic recordings, and so on) in the same manner as paper records. **(T-0)**.

5.10.1.2. Destroy records that cannot be recycled or sold.

5.10.2. Destroy classified information according to AFI 31-401, sensitive unclassified information (to include Privacy Act, FOUO, privileged, or proprietary information) and personal records that, according to responsible officials, contain information that might be prejudicial to the interests of the government, public, or private individual by any means approved for classified information or by any means that would make it difficult to recognize or reconstruct the information. Methods and equipment used to destroy classified information include burning, crosscut shredding, wet pulping, chemical decomposition, or pulverizing. Only use equipment specified on the National Security product list.

5.10.2.1. Unclassified material is considered destroyed when disposed of in a waste container and/or recycled, or placed in Data Distribution System according to the Air Force or local procedures. Records on electronic or similar media are considered destroyed when you erase, degauss and reuse them.

5.10.3. Record donation to an eligible government (including a foreign government), organization, institution, corporation, or individual that has made application must have prior approval through CRM, the Air Force Records Officer and NARA. The CRM applies to The Air Force Records Officer for approval with a description of the records and organization that owns them. The Air Force Records Officer requests the transfer through NARA; the following conditions must be met: **(T-0)**.

5.10.3.1. The applicant agrees not to sell the records as records or documents.

5.10.3.2. The applicant agrees to take the records without cost to the Government.

5.10.3.3. The records are not classified or do not contain information that laws or regulations prohibit or that would hurt the public interest.

5.10.3.4. A foreign government has an official interest, and is not otherwise prohibited by AFI 16-201, *Air Force Foreign Disclosure and Technology Transfer Program*; AFI 31-401; or other directives.

5.10.3.5. An individual or commercial business shows that the records are necessary for managing properties acquired from the Government.

Chapter 6

DISPOSITION OF SPECIAL TYPES OF RECORDS

6.1. Records More Than 30 Years Old. Send NA Form 13148, *Report to NARA*, for permanent unscheduled records over 30 years old in Air Force custody through the appropriate channels to SAF/XCISI.

6.2. Records Deteriorating Because of Storage Conditions. Request disposition instructions from the Air Force Records Officer through the CRM.

6.3. Foreign Language Records. Maintain and dispose of records written in foreign languages in the same manner as similar material written in English.

EXCEPTION:

Maintain and dispose of material obtained through intelligence collection efforts in the same manner as intelligence records.

6.3.1. If foreign language records are translated into English during the course of normal business practices, file a copy of the translation (or a summary for lengthy material) with the material translated.

6.3.2. Make no special effort to have material translated into English for the sole purpose of filing or retiring material.

6.4. Joint Activities Records.

6.4.1. Joint activities collect administrative records and records covering an organization's participation in a joint mission/activity.

6.4.2. Inactive records of permanent or continuing value are retired to a records center designated by the joint activity's parent agency.

6.4.3. Records of temporary value are disposed of as designated by the parent agency.

6.4.4. Records created as a result of the Air Force serving as either executive agent or mission participant are destroyed according to AFRIMS RDS.

6.4.5. Records created or collected when an Air Force MAJCOM is acting as the executive agent of a joint activity composed of two or more MAJCOMs, the executive agent and the member commands retire or dispose of the records according to AFRIMS RDS.

6.5. International Pact Organization Records. Handle the classified material of an international pact organization (such as the North Atlantic Treaty Organization) according to applicable directives. Use the disposition standards in AFRIMS RDS for controlling and accounting for classified material. Manage unclassified records in the same way as any other US records.

6.6. "For Official Use Only" (FOUO) Records. See DoD 5400.7-R/AFSUP1 and paragraph 4.5.

6.7. "Internal Air Force Working Papers" and "Air Force Eyes Only" Records. Do not release or transfer documents marked "Internal Air Force Working Papers" or "Air Force Eyes Only" to non-Air Force personnel (except Army Air Force Exchange Service (AAFES))

personnel) without the authority of the originator, successor, or a higher authority. Remove, destroy, or rephrase the information that originally made the document restrictive and delete the markings before retiring it to an FRC or the National Archives. Unit Air Force records professional will monitor the review of these records to ensure retention of long-term, permanent, or those of historical value.

Chapter 7

DISPOSITION PROCEDURES FOR RECORDS OF UNITS AND ACTIVITIES CHANGING STATUS

7.1. Redesignation or Reorganization of Units and Activities.

7.1.1. When the Air Force redesignates or reorganizes a unit or activity with a change in function or mission, cut off the files on the day before the redesignation or reorganization and ensure that the successor unit or activity maintains them as a separate entity. Destroy or retire files according to the program action directive and the tables and rules in AFRIMS RDS.

7.1.2. When the Air Force redesignates or reorganizes a unit or activity with no change in function or mission, maintain the files and cut off in the same manner and at the same time as if no change of status had occurred.

EXCEPTION:

All files that are created after redesignation display the new designation.

7.1.2.1. When files for a reorganized or redesignated unit or activity are retired, mark the SF 135 to show the organizational change.

7.2. Inactivation of Units and Activities. The term inactivation includes discontinuance, disbandment, and reduction to zero strength.

7.2.1. When the organization is not transferring responsibilities, destroy records as permitted by AFRIMS RDS, transfer records (that are disposable within 8 years) to the appropriate staging area until they are eligible for disposal, and retire records to WNRC that are to be kept for at least 9 years or that current directives do not require at another organization or records center.

7.2.1.1. If the organization has no staging area or is being inactivated, send a list of records and volumes through records management channels to SAF/XCISI. SAF/XCISI queries NARA as to which FRC to send the records and notifies the CRM of the appropriate disposition.

7.2.2. When an organization transfers responsibilities, it must transfer all records to the successor organization to preserve their administrative origin.

EXCEPTION:

When needed to support a particular transaction, event, or function.

7.2.2.1. Use SF 135 to transfer records.

EXCEPTION:

When inappropriate (such as for personnel folders).

7.3. Installations Placed on Inactive or Standby Status. Keep records required for the continued maintenance of an installation placed on an inactive or standby status at the installation. Dispose of the records according to AFRIMS RDS and the special information Base Realignment and Closure provide on base closures.

7.4. Units Alerted for Overseas Movement. Before a unit moves to or from the CONUS, records destruction should be completed within the limits established by the AFRIMS RDS. (T-1).

7.4.1. If there is no staging area at the unit's last permanent station, the unit requests a transfer to the FRC.

7.4.2. If the staging area cannot receive classified material, transfer it to any organization that the commander considers appropriate, notify the CRM of its location, and retire records to the FRC NARA chooses.

7.5. Transferred Units. When the Air Force transfers a unit from one MAJCOM to another, or from one place to another, the unit retains its current records; when a unit is transferred without personnel and equipment, it transfers only those records that the unit's new commander considers essential. The unit disposes of the remaining records in one of the following ways: retires them to an appropriate FRC, keeps them in the staging area of the former installation, or destroys them according to AFRIMS RDS.

EXCEPTION:

When a unit leaves its former responsibility or mission to another unit, the new unit may keep any required records, if the CRM approves. The unit keeps these records intact to preserve their administrative origin, except when another organization needs them to support a particular transaction, event, or function.

7.6. Air Force Reserve and Air National Guard (ANG) Units.

7.6.1. Air Force Reserve Units Entering Active Duty. Cut off record sets of orders the day before entering active duty. Other active records the unit requires while on active duty will accompany the unit. Transfer remaining records with the record sets of orders to a staging area designated by the former CRM for retention or retirement, or destroy the records before the unit enters active duty according to AFRIMS RDS.

7.6.1.1. If a unit changes back to Reserve status during the same calendar year in which it entered active duty, remove the record sets of orders issued before the active duty from the staging area and continue the same series with the normal cutoff as specified by Headquarters Air Force Reserve.

7.6.2. ANG Units Entering on Active Duty. Active records that the unit requires while on active duty accompany the unit. Cut off remaining records and dispose of or retire them according to appropriate ANG regulations before the unit enters on active duty.

7.6.3. Air Force Reserve Units Changing Back to Reserve Status. Cut off record sets of orders and other records that a Reserve unit created or collected during active duty on the last day of active duty. Transfer the records to a staging area that the former CRM chooses for retention or retirement or destroy according to AFRIMS RDS.

7.6.4. ANG Units Changing Back to State Control. Cut off records created or collected by the ANG unit during active duty on the day before active duty ends. Transfer the records to a local staging area and notify the CRM. Retain, retire, or dispose of the records as instructed by the CRM and the unit's State Headquarters.

Chapter 8

SHIPPING RECORDS

8.1. Shipping Containers.

8.1.1. Use the containers listed below to retire, ship, or transfer Air Force records to the FRC, staging area, or other organization.

8.1.2. When transporting records in overseas areas by water carrier, wrap boxes in waterproof material or ship in cargo transporters.

8.1.3. Package and handle nitrocellulose-base motion picture and X-ray film, including shipments mixed with nonflammable film, and ship them by air according to AFMAN 24-204(I), *Preparing Hazardous Materials for Military Air Shipments*.

8.1.4. As a rule, do not ship papers that have become wet until they are completely dry. If wet paper records must be shipped by air, seal them hermetically in metal containers and pack the containers in wooden boxes or larger, airtight metal container according to AFMAN 24-204(I).

8.1.5. If using wooden boxes in staging areas, repack records into the containers specified in paragraph 8.3 before shipping them to an FRC.

8.1.6. When shipping electronic records refer to [Chapter 3](#) to ensure that records have been prepared in the correct format. Scan and imbed in the media a copy of the approved SF135.

Table 8.1. Number of Copies and Distribution of SF 135.

	A	B	C
Item	For Records	Prepare SF 135	And (see Note)
1	Retired to any records center	5 copies	File 1 in suspense; send 4 to RM for actions; after return by records center, file 1 copy in front of first box of each accession; seal, mark, and ship boxes. Destroy suspense when receipted copy is received from center, or send receipted copy to retiring office if applicable, and retain suspense copy for monitoring purpose and record of all shipments made.
2	Placed in staging area at another Air Force installation	2 copies (3 copies for classified records requiring a receipt)	Send two copies to staging area with shipment; and retain for file receipted copy returned from staging area.

	A	B	C
Item	For Records	Prepare SF 135	And (see Note)
3	Placed in staging area at installation of assignment	4 copies	Retain 1 in suspense; send original and 1 to staging area with shipment; send 1 to losing activity RM; destroy suspense copy when receipted copy is received from staging area.
4	Transferred to another Air Force unit or activity within the same major command	5 copies	Send original and 1 with transferred documents; 1 to losing activity RM; 1 to gaining and losing CRMs (SAF/XCISI for Air Staff offices); and retain 1 for file.
5	Transferred to another Air Force unit or activity of another major command, or to HQ USAF	6 copies	Send original and 1 with transferred documents; 1 to losing activity RM; 1 to gaining and losing CRMs (SAF/XCISI for Air Staff Offices); and retain 1 for file.
6	Transferred from Air Force to government or a nongovernment agency	5 copies	Send original and 1 with transferred records; 1 to losing activity RM; 1 to losing CRM; 1 to SAF/XCISI; and retain 1 for file.

8.2. Where To Obtain Boxes. Get boxes from a normal supply source.

8.3. Preparing Records Series for Packing. For this chapter, a series is a block of records having the same disposition date and following the same rule from the tables in AFRIMS RDS.

8.3.1. Standard-size record boxes:

14¾ by 12 by 9¾ inches (tuck-bottom) national stock number (NSN) 8115-00-117-8249

14¾ by 12 by 9¾ inches NSN 8115-00-117-8344

15 by 12 by 10 inches NSN 8115-00-290-3379

8.3.2. Special size boxes:

Half-size boxes

14¾ by 9¾ by 4 7/8 inches NSN 8115-00-117-8338

Magnetic tape box

14¾ by 11¾ by 11¾ inches NSN 8115-00-117-8347

Microfiche box

14¾ by 6¾ by 4¾ inches NSN 8115-01-025-3254

Microfiche box (archival)

14¾ by 6¾ by 5 inches NSN 8115-01-132-1932

X-ray box

18 by 15 by 5¾ inches NSN 8115-00-290-3386

8.3.3. Remove all nonrecord material such as metal staples and paper clips, rubber bands, and extra copies of records from official records. Noncorrosive, rustproof staples are acceptable in instances when paper records are strong and flexible. They should not be used on records of high intrinsic value or on records that are weak and brittle. When staples are used, they should be positioned through strips of archival bond paper to help support and protect the documents.

8.3.4. Group together series for an office, unit, or headquarters by item number and cutoff date. Separate classified from unclassified material. **Exception:** Do not separate classified and unclassified material when necessary to maintain continuity of files or when most of the material is classified. However, if only a few classified documents are in a case or file, use DD Form 2861, *Cross-Reference*, according to AFMAN 33-363.

8.3.5. Unclassified Records. As a rule, keep series separate when transferring.

EXCEPTION:

If a series is small in volume, combine it with another as long as the retention periods are the same. This procedure also applies to permanent records.

8.3.5.1. Temporary records must consist of at least one box and normally have only one closing-year date for a series.

8.3.5.2. Transfer only those records covered in AFRIMS RDS.

8.3.5.3. Do not routinely accept unscheduled, contingent, and frozen records for transfer. Offices transferring records must first gain approval from SAF/XCISI.

EXCEPTION:

Closing bases may receive exceptions for these types of records.

8.3.6. Classified Records. The COR or designated person reviews all classified records before retiring them to a staging area or FRC to determine whether they can be downgraded or declassified according to AFI 31-401. The COR certifies on SF 135 that the downgrading or declassification review took place and puts new classification marks on the records.

8.4. Packing Unclassified Records Series.

8.4.1. You may pack records from more than one office in the same box, labeling the first folder of each office with the organization and office symbol. Do not include disposition guides (guide cards with the disposition control label).

EXCEPTION:

Include disposition guides for inactivated units or discontinued responsibilities.

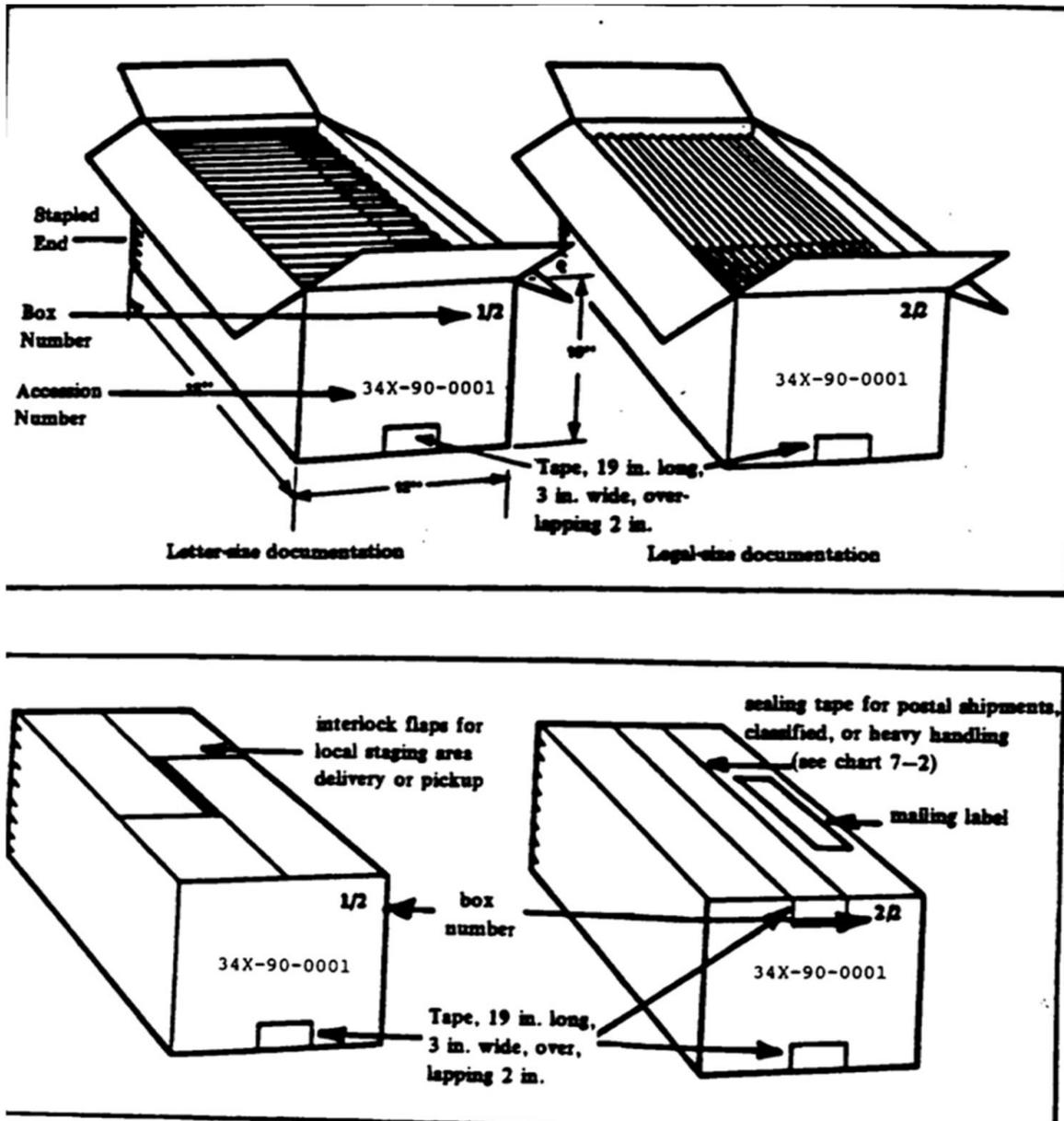
8.4.2. Without disturbing the existing filing arrangement, pack each series according to these steps:

8.4.2.1. For shipments to WNRC and other FRCs, pack each series for each named or numbered unit in a separate box or boxes.

8.4.2.2. For other shipments, pack the series in the order shown in paragraph 8.3.

8.4.2.3. Pack records in shipping containers loosely enough to permit others to remove files freely or to add more files later. (See [Figure 8.1](#) for packing, closing, and sealing shipping containers.)

Figure 8.1. Packing Records for Transfer or Retirement.



8.4.2.4. Place records in boxes in an upright position in the sequence listed on SF 135 and as illustrated in [Figure 8.1](#) with the label facing the numbered end of the box. Do not place folders on top of folders. If the box contains only a few legal-size files mixed with letter-size files, fold the bottom edge of the legal-size files to fit the width of the box.

NOTE:

The standard shipping container holds 1 cubic foot of records when filled to capacity.

8.4.2.5. Standard shipping containers filled to capacity do not need packing material. If the last box in a series is partially filled, use crumpled or wadded paper or other suitable packing material (no wood shavings, shredded paper, wax paper, additional file material, or surplus file folders) to prevent movement during shipment. Do not send one partially filled box, except for wartime records. Mark the SF 135 for wartime records with the contingency or conflict name (i.e., Operation ENDURING FREEDOM).

8.4.2.6. FRCs do not accept storage containers of less than one cubic foot. Hold a series until a cubic foot becomes available by combining successive years of the series or until the anticipated date of destruction of the series according to AFRIMS RDS.

EXCEPTION:

One full microfiche-shipping container, NSN 8115-011-025-3254 or NSN 8115-01-132-1932 (archival), holds one-fourth cubic foot of microfiche. Ship boxes one at a time as they are filled.

8.4.2.7. Get approval from the CRM to:

8.4.2.7.1. Combine small volumes of permanent records (governed by the same table and rule) from two or more units within the MAJCOM or FOA to make a cubic foot shipment.

8.4.2.7.2. Combine small volumes of temporary records (governed by the same table and rule) of two or more units within the same MAJCOM or FOA to make a cubic foot, if they are eligible for retirement to a FRC.

NOTE:

Only offices that the MAJCOM or FOA records management officers designate may retire the records in paragraph [8.4.2.7.2](#).

8.4.2.8. If combining small volumes of records:

8.4.2.8.1. Pack permanent and temporary records in separate boxes.

8.4.2.8.2. List the retiring organization on SF 135.

8.4.2.8.3. Use labeled dividers within the box to separate the files of the organizations.

8.4.2.8.4. The collection point will keep a copy of each SF 135.

8.4.2.8.5. Send a copy of SF 135 to each organization retiring the records, to MAJCOM and FOA records management officers, and other specified offices.

8.5. Packing Classified Records Series. Pack series classified TOP SECRET, SECRET, or CONFIDENTIAL in the same way as unclassified records, but for large quantities also remember to:

8.5.1. Stamp standard shipping containers of each classified series with the highest classification in the box.

8.5.2. Wrap the outside of the box before shipping it by registered mail to the FRC .

8.6. Sealing and Marking Boxes.

8.6.1. Sealing. Seal boxes for a FRC, or postal shipments to any location with one-inch filament tape NSN 7510-00-582-4772.

EXCEPTION:

Boxes sent as registered mail. Seal boxes personnel have placed in a staging area. Do not plan to ship via postal channels with the gummed tape described in paragraph 8.2 or fold the top flaps (for unclassified material) as illustrated in Figure 8.1. When sending boxes or packages as registered mail, seal with two-inch filament tape, NSN 7510-00-159-4450, according to DoD 4525.8-M/AFMAN 33-306, *DoD Official Mail Manual*. Observe the size and weight limitations and other procedures of DoD 4525.8-M/AFMAN 33-306 when sending boxes by the parcel service.

8.6.2. Identification.

8.6.2.1. Place the shipper and addressee name and address on the top of each box according to DoD 4525.8-M/AFMAN 33-306 when shipping to an FRC or through postal channels to any location. Omit this information when delivering boxes directly to the WNRC in Washington DC.

8.6.2.2. For shipments to other than a FRC, enter the box number and the total number of boxes, in consecutive numerical sequence, in the upper right-hand corner of the unstitched front end of each box or in the appropriate label printed on the tuck-bottom box NSN 8115-00-117-8249. For example, if a shipment includes three boxes, number them 1/3, 2/3, 3/3. Use a felt-tip pen or its equivalent to mark the boxes or use tuck-bottom boxes with printed label on the front of the box. Mark the accession number and box number with numerals at least 1 $\frac{3}{4}$ inch high. If packing boxes in several locations combine them later into a single shipment, assigning temporary numbers in pencil, but remove numbers before starting to number the complete shipment. Do not let boxes containing records of one office get mixed with those of another office.

8.6.2.3. For shipments to WNRC or other designated FRCs, use the box-marking instructions sent with the approved SF 135. If the FRC does not send instructions, number the boxes for each shipment in consecutive order in the upper right-hand corner of the unstitched front end of each box or on the printed label on the new tuck-bottom box. Begin each accession with box number "1." For example, if a shipment has two boxes, number them as 1/2, 2/2. The box numbers must be the same as the box numbers in item 6(e) of SF 135. Place the accession number in the center of the front end of each box or on the printed label on the new tuck-bottom box. Make sure the sealing tape does not cover the accession number. Put the accession number in the space provided when using boxes with pre-stenciled labels.

8.7. Methods of Shipment.

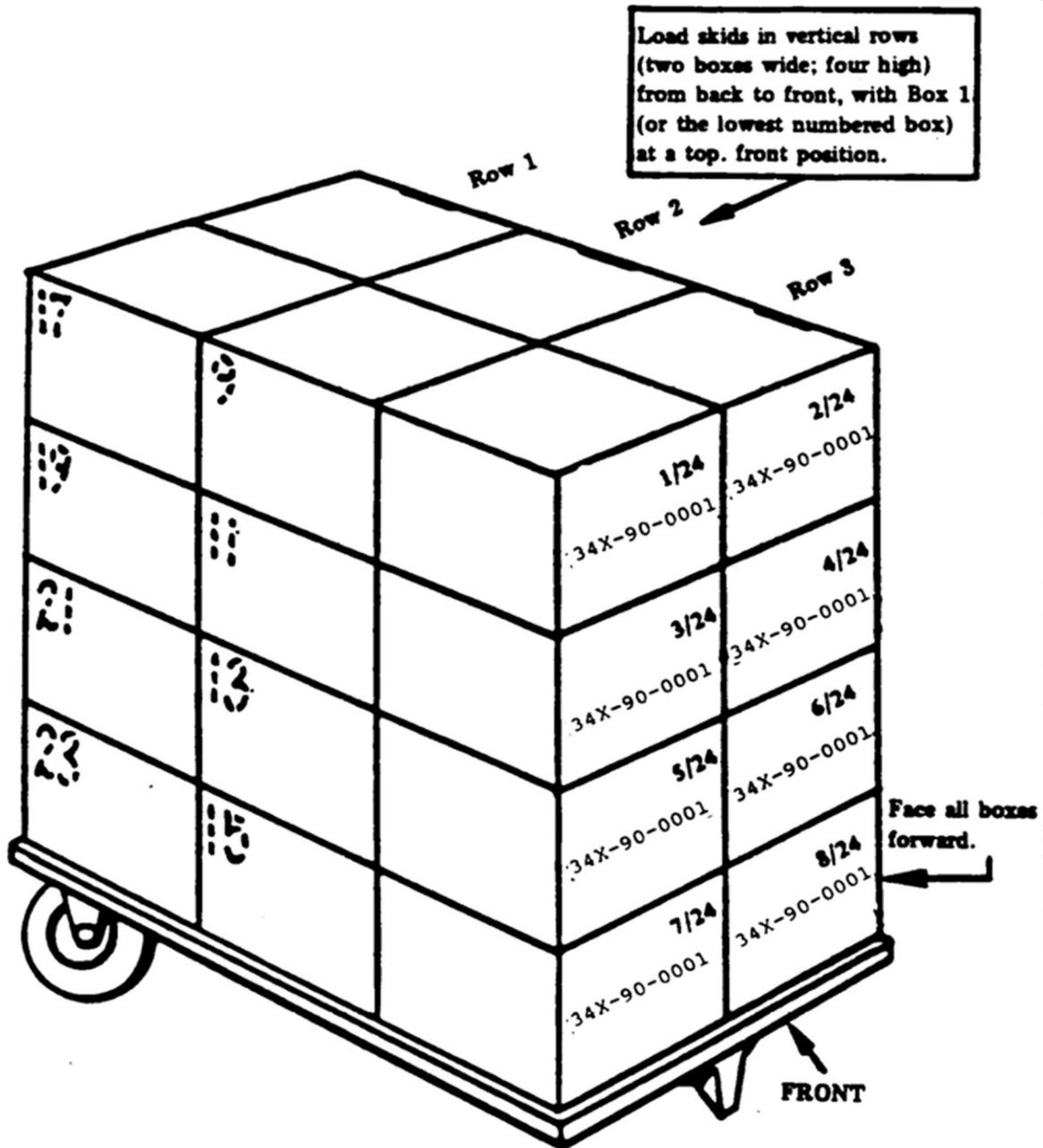
8.7.1. Use the most economical means of shipment from outside the Washington, DC area to WNRC or to another FRC. Motor or rail freight shipment satisfies this requirement within CONUS. When rapid transportation is required, use parcel service. If using parcel service, follow the weight and size restrictions and other procedures in DoD 4525.8-M/AFMAN 33-306. Ship TOP SECRET, SECRET, and CONFIDENTIAL material according to AFI 31-401 and DoD 5200.1-R, *Information Security Program*. Do not ship TOP SECRET material through postal channels. Ship TOP SECRET material through the TOP SECRET Control Officer and an appropriately cleared courier of the Defense Courier Service, or as AFI 31-401 requires. Use local Transportation Management Office for large, unclassified shipments. For shipments of 50 boxes or more, call WNRC to schedule a shipping date and instruct the

commercial carrier to contact WNRC 24 hours before delivery. Write this instruction on the bill of lading.

8.7.2. From organizations within Washington DC area to WNRC. **Note:** The Washington DC area includes the District of Columbia, Montgomery and Prince George's Counties in Maryland, and Fairfax and Arlington Counties (the Pentagon), and the Cities of Alexandria, Fairfax, and Falls Church in Virginia.

8.7.3. The organization retiring the records delivers or arranges the delivery to the building's loading platform for pickup on dates that WNRC has scheduled. Telephone WNRC for scheduled pickup dates at (301) 778-1550. (See [Figure 8.2](#) for instructions for loading skids).

Figure 8.2. Sample of a Loaded Skid (Contact FRC for specific instructions).



(Note: Do not place classified on the same skid with unclassified.)

8.7.4. If a building does not have a loading platform, arrange for pickup by telephoning WNRC at (301) 778-1550.

8.7.5. Each record manager ensures offices combine shipments, when possible, on the loading platform on the WNRC scheduled pickup dates. When WNRC pick-up is not

practical, the organization retiring records will contact the appropriate Base Information Transfer Center for delivery to WNRC by US official mail.

8.7.6. If a shipment is SECRET or CONFIDENTIAL, determine scheduled pickup dates before packing and sealing boxes, in case the facility lacks sufficient storage for the boxes until delivery to the loading platform. TOP SECRET record delivery to WNRC is arranged through the TOP SECRET Control Officer via the Defense Courier Service.

8.8. For Official Use Only (FOUO) Files. Do not separate records and files carrying the FOUO protective marking. Pack and ship them with unclassified records.

8.9. Using Standard Form (SF) 135.

8.9.1. Use SF 135 to identify records for retirement to a FRC or staging area or to transfer records to another organization. When the compiled folder list exceeds the single page of the SF 135, attach additional pages in the form of text documents or spreadsheets. These documents serve:

8.9.1.1. As a packing list for transferred or retired records.

8.9.1.2. As a medium for controlling the location, retrieval, reference, and disposition of records in staging areas and the FRC.

8.9.1.3. As a receipt for retired records.

8.9.1.4. To identify and account for lost, destroyed, or withheld records personnel normally would have retired. (See reverse side of SF 135 for preparation of SF 135 and [Table 8.1](#) for copying and distributing the SF 135).

8.9.2. Prepare a separate SF 135 for each series of temporary records in a shipment. Prepare a separate SF 135 for permanent records. Prepare a separate SF 135 for unclassified, SECRET, CONFIDENTIAL, and TOP SECRET records, regardless of volume, when:

8.9.2.1. Placing records in a staging area. Prepare a separate SF 135 for each:

8.9.2.1.1. Office of record

8.9.2.1.2. Staff element.

8.9.2.1.3. Unit.

8.9.3. Distribute copies of the SF 135 according to [Table 8.1](#).

8.9.4. Do not use these forms when retiring or shipping military or civilian personnel records or Navy - Air Force Interface official personnel folders to the National Personnel Records Center.

8.9.5. Get advance approval for shipments to FRC. Send the original and one copy of the SF 135 to the FRC at least 3 weeks before the planned shipment date or E-Mail. The FRC staff reviews the SF 135 and returns one copy with accession numbers after approval. Upon receipt of the approved SF 135, place a copy in the first box of each accession. One copy of the SF 135 is retained for suspense and reference. Ship the records as soon as possible. Shipments must arrive at the FRC within 90 days after SF 135 approval for CONUS and 120 days for overseas. If the FRC does not receive the shipment within these time frames, the SF 135 is returned to the originating organization and the paperwork must be resubmitted. Upon

receipt of the shipment, the FRC returns a receipt of the SF 135 showing the box locations for the organization's files. The RM keeps one copy and sends one copy to the office retiring the records.

Chapter 9

RECORDS STAGING AREAS

9.1. Purpose of Records Staging Areas. Record staging areas are storage areas that receive and maintain inactive records in less costly space and equipment than Air Force uses in current files areas. These facilities keep and dispose of records with a retention period of less than 9 years to eliminate the expense of transporting records to the FRCs. Staging areas also combine shipments of records of permanent and long-term (9 years or more) value before transferring them to the FRCs.

9.2. Setting Up Staging Areas.

9.2.1. At Air Force Installations. Record staging areas should not exceed 5,000 square feet of space for an installation or off-base organizations annually collecting 100 or more cubic feet of records with a retention period of over 2 years. An installation or off-base organization may operate only one staging area for tenant units or organizations on or near the base. When two or more off-base organizations share the same geographical location, but are not located near a FRC, or it is impractical or uneconomical to use the nearest staging area, the BRM and CRM will facilitate the set-up of a single area for all or most of the organizations to use jointly. (T-1).

9.2.1.1. The CRM may waive the instructions in paragraph 9.2.1 when high rent or inadequate space makes a staging area impractical or uneconomical.

9.2.1.2. In the event of a waiver by the CRM, personnel may either keep records that are to be retained for 8 years or less in available space and equipment or retire them to the regional FRC. Send the request for transferring records to a FRC to SAF/XCISI. SAF/XCISI will send the request to the NARA. (See Table 5.1, Note 7, and Attachment 3.)

9.2.1.3. In the event of a waiver by the CRM, personnel may retire records with a retention period of more than 8 years to the appropriate FRC (see Table 5.1, Item 15, Note 7).

9.2.1.4. The CRM may waive the requirement to set up a single staging area when special circumstances exist (such as security precautions, unusual tenant requirements, off-base activities, limited storage facilities, distance, and so on). If mutually acceptable, other DoD organizations may use Air Force staging areas. Make a support agreement for tenants who wish to have staging area support. The CRM will send a copy of any waivers and a complete justification to the Air Force Records Officer.

9.2.2. No record staging areas exist for organizations in the National Capital Regional area. If these organizations urgently need space for active records, they may transfer inactive records with a retention period of at least 3 years or more remaining to WNRC. Requests for exceptions to the 3-year retention period must be sent to the Air Force Records Officer with justification. (See Table 5.1, Items 12 and 14, and Note 3.)

9.3. Using Staging Areas. Store both permanent and temporary records with a retention period over 2 years or more in staging areas until they are eligible for disposal or retirement to an FRC. Personnel may store large volumes of records with shorter retention periods in staging areas if

they use space and equipment economically, and if the COR and the BRM agree. Do not store active records in staging areas. Consider records rarely used but kept indefinitely (e.g., installation management records and equipment historical files) as inactive and store them in staging areas. Records with short retention periods may be kept in available space and equipment until they are eligible for destruction.

9.4. Supervising Staging Areas. The wing or base RM supervises the installation staging area except at Air Intelligence Agency (AIA), National Air and Space Intelligence Center, and Air Force Technical Applications Center. Restrict the time that personnel spend in staging areas to the minimum necessary to receive, search for, and dispose of records. Do not staff staging areas full-time.

9.5. Staging Area Space. The staging area must be weather tight, and, if practical, fire-resistant. The space must have adequate light, heat, ventilation, and be close to restroom facilities. Seal holes in walls and floors against insects and rodents. If insects are found, eliminate them using a dry-base insecticide. The facility must meet the security safeguards in AFI 31-401 if using to store classified material. **(T-0)**.

9.5.1. Limit the amount of space to the minimum required for the staged records and the necessary office space when the staging area is the custodian's permanent, full-time location. Save space by using the equipment in paragraph 8.3 and by limiting aisles between shelving units to 34 inches or less. The minimum files-to-space ratio acceptable in staging areas is 2 cubic feet of files to each square foot of floor space.

NOTE:

Seek a ratio of three or more cubic feet of files to each square foot of floor space under optimum conditions for ceiling height, floor load capacity, and suitability of space.

9.5.2. Use warehouse space for records staging areas when possible; when warehouse space is not accessible use office space. When possible, obtain a ratio of at least 2¾ cubic feet of files to each square foot of office floor space; if unacceptable or not feasible apply paragraph 9.2.1.

9.6. Staging Area Equipment.

9.6.1. Shelving. Use open steel shelving from Federal Prison Industries, Inc. If other types of shelves are already installed, use them until they are no longer serviceable. Ensure that each unit of shelving has 10 shelves, with each shelf approximately 42 by 30 inches, with 11 inches of clearance between shelves. When ceiling height or floor load capacity does not permit the use of units 10 shelves high, use fewer shelves. Use Save-an-Aisle files in a permanent building rather than a warehouse with BRM and CRM approval.

9.6.2. Containers:

9.6.2.1. Boxes. Use standard records retirement boxes (see paragraph 8.3.1 for a description of retirement boxes).

9.6.2.2. Classified storage. Per AFI 31-401, use GSA-approved security containers or approved secure storage areas for keeping classified records in properly secured staging areas. Do not use GSA-approved security containers for storing unclassified records.

EXCEPTION:

Staging areas that receive small volumes of records (less than one cubic foot) from command units may use file cabinets to store those files until unit personnel can combine them for retirement to a FRC.

9.7. Storing Administrative Files. Keep only administrative files in records staging areas:

9.7.1. Locator and Disposition File. This file consists of original SF 135 (and/or attached Word/Excel continuation sheets) arranged by the headquarters, installation, activity, or unit whose records are in the staging area. This file helps personnel locate and dispose of holdings.

9.7.2. Charge-Out File. Use Optional Form (OF) 11, *Reference Request-Federal Records Center*, or AF Form 614, *Charge-Out Record*, or AF Form 614a, *Charge Out Record (Continuation)*, to keep track of loaned, classified, and unclassified material.

9.8. Receiving Procedures.

9.8.1. Transfer of Records. The office transferring records to a staging area prepares the SF 135.

9.8.2. The RM uses AFRIMS to place and retrieve staging area records.

9.9. Disposition Procedures. The RM manages the staging area and may ask for labor assistance from organizations using the staging area.

9.9.1. Disposing of Records. Destroy or restore eligible records in the staging area. Review the shipment lists in the locator and disposition file before the end of each calendar or fiscal year for records ready for disposition. If in good condition, reuse file folders, guide cards, and fasteners.

9.9.2. Retiring Records:

9.9.2.1. Retire records having a retention period of more than 8 years coming from units and organizations inactivated or moved from the installation to the appropriate FRC according to **Chapter 8**.

9.9.2.2. Avoid numerous small shipments to keep postal and handling costs to a minimum when retiring records for installations or separate organizations. FRCs normally accept only records with 3 years or more retention remaining. WNRC does not store records scheduled for destruction in less than 1 year.

EXCEPTION:

Base closure.

9.9.2.2.1. The FRC considers exceptions to the 3-year rule on an individual basis and only after approval has been granted through records management channels to SAF/XCISI. For tenant units' records stored in a host staging area, the tenant RM works with the host RM to dispose of tenant's records in staging areas. Resources permitting, the host RM includes all material tenants want to retire in combined shipments to the FRC. When insufficient resources are available, the host RM will request resources (personnel, boxes, etc.) from the tenants.

EXCEPTION:

Tenants whose parent MAJCOM has specified otherwise or who have made other arrangements or agreements with the host RM.

9.9.2.2.2. For large volumes or several tenants, the host RM may ask the tenant RM or Functional Area Records Manager (FARM) to help in disposing or preparing the tenant shipments. When tenants records are part of a host combined shipment to an FRC, separate SF 135 must be prepared for each unit and include the unit's designation in item 5 of the SF 135, with the parent MAJCOM in parentheses. The host RM gives the tenants involved in the shipment either a copy of the FRC SF 135 receipt (showing accession numbers, location numbers, and so on) or the accession and location number for the tenants to add to their copies of the SF 135 that were used to transfer the records to the staging area. If the unit has been inactivated, the host RM gives a copy of the receipted SF 135 to the parent MAJCOM of the inactivated unit.

NOTE:

This information is essential to the tenant for future research or record retrieval. Recommend the tenant give its parent organization or MAJCOM a copy of the SF 135 or the accession and location information.

9.9.2.3. Posting Disposition Action. Add certificates of destruction for destroyed classified material to the locator and disposition file.

Chapter 10

GETTING INFORMATION FROM INACTIVE RECORDS

10.1. General Information. Getting information from inactive records is the same as for active records, regardless of their location.

10.2. Getting Records From an Air Force Organization. Write directly to the organization to request this information.

10.3. Getting Records From a Records Center or Staging Area. These organizations may search for and borrow retired records from:

10.3.1. The organization that created the records.

10.3.2. Successor organizations.

10.3.3. A higher headquarters.

10.3.4. Other organizations designated by the OPR or those the RM chooses. WNRC keeps a list of persons authorized to request, receive, and pick up classified and unclassified records stored at the WNRC. MAJCOM, FOA and direct reporting unit (DRU) RMs compile these lists annually and provide security clearance information for those individuals requesting classified records to SAF/XCISI for processing.

10.3.5. WNRC requires Air Force to submit annual update/verification of individuals authorized to pick up and withdraw records from the center.

10.3.6. Authorizations at base-level are restricted to the RM and one alternate. **(T-1)**.

10.3.7. To preclude interruption of access, submit authorizations to the supporting CRM before the end of the fiscal year. This access is for WNRC only and does not affect either personnel or medical record retrieval.

10.3.8. Approving Loan Requests for Retired Records. The RM or the OPR approves loan requests for retired records only after verifying:

10.3.8.1. The loan will not subject the records to abnormal risk of loss or damage.

10.3.8.2. The loan will not slow down other business of a higher priority.

10.3.8.3. The records center or staging area can meet the loan request.

10.3.9. Using OF 11. Use OF 11 to recall records or use records from any FRC or staging area. Use Centers Information Processing System (CIPS) or the World Wide Web to request records stored at any record center nationwide. CIPS is the Record Centers Program automated reference requesting system, which enables customers to electronically request their records stored at any record center nationwide. Send CIPS access requests through the Air Force Records Office (SAF/XCISI).

EXCEPTION:

A request for military master records at the NPRC. Use a separate OF 11 for each item requested. Always include as much of this information as possible on each OF 11 or a separate sheet of paper when OF 11 is not available:

10.3.9.1. Accession number, stack location, box number, specific file, folder, order (number and date) or document desired, and file designation if known; name and location of the organization that created the files; the box number shown on the signed copy of SF 135 returned to the organization doing the retiring; the accession number as shown on the returned, signed copy of the SF 135; the location number as shown on the returned, signed copy of SF 135; requester's name and phone number, agency, office, room number, building name and number, street, city, state, or ZIP Code; and any other information that would help center personnel identify and locate documents or files. Do not include classified information on OF 11 or other written search or loan requests.

NOTE:

For urgent requests to WNRC, telephone area code (301) 763-7010. For emergency information after duty hours, within HQ USAF, contact the Air Force Watch Duty Officer at (703) 695-7220 or DSN 225-7720 or the Air Force Watch Controller (703) 697-6103 or DSN 227-6103. NRPC charges a small fee for certain types of service. If a request involves a service charge, the center tells the requester of the charge.

10.3.10. Using SF 180, *Request Pertaining to Military Records*. Use SF 180 to get information from military personnel records. The SF 180 also lists the correct mailing addresses and location of military personnel records.

10.3.10.1. Send requests for transcripts to the Community College of the Air Force, 130 West Maxwell Boulevard, Maxwell AFB AL 36112-6613, or via the Internet at <http://www.maxwell.af.mil/au/ccaf/transcripts.asp>.

10.3.10.2. When SF 180 is not available or the location of the personnel records is unknown, provide as much of this information as possible to National Personnel Records Center (Military Personnel Records), 9700 Page Ave, St Louis MO 63132-5100:

10.3.10.2.1. The names military personnel used during service (last, first, middle).

10.3.10.2.2. Branch of service, all service numbers and Social Security Number.

10.3.10.2.3. Date and place of birth.

10.3.10.2.4. If deceased, date and status at death (active duty, retired, etc.).

10.3.10.2.5. Dates of service (active, Reserve, and National Guard).

10.3.10.2.6. Present status of the individual (active, Reserve, Fleet Reserve, deceased, etc.).

10.3.10.2.7. Complete name and address of the requester, including business and home telephone.

10.3.10.3. For the NRPC (Military Personnel Records) to provide the best service, limit telephone requests to urgent or emergency matters; mail requests instead.

10.3.10.4. Use NRPC's customer service number (314) 801-0800 during regular working hours (0700 to 1700 CST) and emergencies.

10.3.11. Restrictions on Release of Information. Service personnel may get almost any information from their own records. The next of kin, if the veteran has died, and authorized Federal offices with an official purpose, may get most types of information from a military

service or medical record. Other requesters must have a release signed by the veteran. Employers and others needing proof of military service may accept as authentic the information shown on Armed Forces documents (such as DD Form 214, *Certificate of Release or Discharge from Active Duty*) at the time a service person left the military.

10.3.12. Using SF 127, *Request for Official Personnel Folder (Separated Employee)*. Use SF 127 to request the NPRC send civilian personnel records of former military personnel. Send two copies to the FRC.

10.3.13. Use DD Form 877, *Request for Medical/Dental Records or Information*, to request medical and dental records from the NPRC.

10.3.14. Removing Records Permanently. Borrowed records may not be permanently removed from any FRC or staging area without written approval of the RM, or the CRM for inactivated organizations. Send written approval to the FRC or RM with OF 11 for the records. If the records center retires the records again at a later date, prepare a new set of SF 135s and handle as a new retirement action.

10.3.15. Returning Borrowed Records. The COR must ensure borrowers return records to the records center or staging area.

10.3.16. Loaning Already Borrowed Records. Borrowers do not ordinarily loan out records they have already borrowed from a FRC or staging area. If borrowers must provide papers from borrowed files to other agencies or offices they:

10.3.16.1. Promptly notify the FRC or RM.

10.3.16.2. State the reasons for needing to loan out the borrowed records.

10.3.16.3. Describe the records in question.

10.3.16.4. Provide an approximate date of return.

10.3.16.5. Do not lend official Air Force files to activities outside Air Force.

EXCEPTION:

Rare occasions preapproved by Air Force Record Officer and NARA.

10.3.16.6. Get a signature for release on a SF 135.

10.3.16.7. Get permission from NARA. Preferably, make copies for the other interested person.

10.3.17. Addressing Inquiries. To keep rerouting to a minimum, send inquiries on retired organization and installation records directly to the FRC maintaining the records for the period involved. See [Attachment 3](#).

10.3.18. Withdrawing Records by Reactivated Installations and Units. FRCs and RMs approve requests for records by reactivated units or installations to assist administration under the following conditions:

10.3.18.1. Loans initially last for a 3-month period, with the privilege of renewal.

10.3.18.2. FRC or RM may recall the loans.

Chapter 11

PROCEDURES TO REQUEST CHANGES

11.1. Revisions to this Instruction and/or AFRIMS RDS.

11.1.1. Amend or reaccomplish file plans and file disposition control labels to reflect new disposition standards or add additional record series. Review inactive files to ensure dispositions are updated according to new or revised standards. Amend the SF 135 for staging area records to reflect changes.

11.1.1.1. The CRM provides instruction to the OPR on submitting record disposition recommendations (AF Form 525).

11.1.1.2. The CRM submits changes or negative replies based upon review of functional series records dispositions through the functional RM to SAF/XCIS. When processes change, are deleted, or new ones implemented, submit record scheduling information as previously stated.

11.2. Suggesting Changes, Additions, or Deletions to This Instruction and AFRIMS RDS. Send suggestions on AF Form 847 to make comments and suggested improvements in this instruction and AF Form 525 to request changes to tables or rules in AFRIMS RDS through the RM and CRM to Cyberspace Capabilities and Compliance (SAF/CIO A6X), 1800 Air Force Pentagon, Washington DC 20330-1800.

11.2.1. Using AF Form 525. Use AF Form 525 to recommend or request changes, additions, or deletions to AFRIMS RDS. Prepare four copies; keep one in suspense. Coordinate the AF Form 525 with appropriate personnel at each level before sending it to the next higher level.

11.2.1.1. The CRM coordinates with other MAJCOM or FOA RMs who have a prime or joint interest in the records before sending the suggestion to the Air Force Records Officer. The CRM coordinates with the command history office on changes relating to historical records and permanent records. The CRM coordinates with the judge advocate's office on suggestions relating to the legal rights of individuals or the Air Force. Show the coordination of the judge advocate on the AF Form 525. The CRM indicates in item 17 if the records are Privacy Act records. Send two copies of approved recommendations to the Air Force Records Officer. For further information concerning CRMs (to include name, phone numbers, E-mail, mailing address, etc.), reference AFRIMS RDS.

11.3. Justification of Changes.

11.3.1. When a proposed new or revised record or a directive requires records not covered in AFRIMS RDS, the OPR sends AF Form 525 to the records management office. The affected records will be considered pending. The OPR may delay the draft of the directive while submitting AF Form 525, to include a qualifying statement such as: "Proposed disposition is tentative while needs of the users are determined." In such instances, the RM or CRM holds AF Form 525 for at least 6 months and then asks the OPR to confirm the proposed disposition.

11.3.2. Completely justify all recommendations to keep records permanently or to increase an existing retention period. Justify the permanent retention of records in terms of their value for historical administration or for research, organizational changes, or protecting the legal rights of persons and the Government. In many instances, this type of justification requires a painstaking and searching analysis and evaluation and strong cooperation between records management personnel and subject matter specialists, legal advisors, and historians. Try to determine how many Air Force records are really essential; whether they effectively document Air Force activities and transactions; whether the Air Force can reduce retention periods; and how many so-called “permanent” records are of real enduring value. Since “enduring value” means keeping the records indefinitely (eventually offered for deposit to the National Archives of the United States), analysts accept that “permanent is forever.” No routine techniques can simplify the evaluation of permanent records. No substitute exists for a thorough and careful analysis by competent individuals.

11.3.3. Completely justify records that protect the legal and financial rights of personnel and the Air Force. Coordinate the items on legal rights with the judge advocate’s office. Send its comments with the AF Form 525. NARA and SAF/XCISI use these comments to make an informed decision on the retention value of the records.

11.3.4. Dispose of electronic media that generates paper or microform records (see AFMAN 37-123 [will become AFMAN 33-363]).

11.4. Dispositions Pending. The Air Force Records Officer will notify all MAJCOM RMs when an AF Form 525 has been submitted, informing them that the disposition is pending until further notice, and AFRIMS will be annotated with disposition pending.

11.5. Information Collection, Records, and Forms.

11.5.1. Information Collections. IRCN 0285-NAR-AR, *Damage to and Unauthorized Disposition of Records*, is mandated by this publication. See paragraph 5.5.3 Note.

11.5.2. Records. Records pertaining to IRCN 0285-NAR-AR are created by this publication (paragraph 5.5.3 Note). Retain and dispose of all records according to the AFRIMS RDS.

11.5.3. Forms (Adopted and Prescribed).

11.5.3.1. Adopted Forms. DD Form 214, *Certificate of Release or Discharge from Active Duty*; DD Form 877, *Request for Medical/Dental Records or Information*; DD Form 2681, *Cross-Reference*; SF 115, *Request for Records Disposition Authority*; SF 127, *Request for Official Personnel Folder (Separated Employee)*; SF 135, *Records Transmittal and Receipt*; SF 180, *Request Pertaining to Military Records*; SF 258, *Agreement to Transfer Records to the National Archives of the United States*; and OF 11, *Reference Request—Federal Records Center*; NA Form 13148, *Report to NARA*; AF Form 614, *Charge-Out Record*; AF Form 614a, *Charge-Out Record (Continuation)*; AF Form 847, *Recommendation for Change of Publication*.

11.5.3.2. Prescribed Forms. AF Form 525, *Records Disposition Recommendation*.

MICHAEL W. PETERSON, Lt Gen, USAF
Chief, Warfighting Integration and
Chief Information Officer

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

E.O. 12958, *Classified National Security Information* (<http://www.archives.gov/isoo/policy-documents/eo-12958-amendment.html>)

PL 105-277, *Government Paperwork Elimination Act (GPEA)*

ISO/IEC Standard 10918-1: *Information Technology—Digital Compression and Coding of Continuous-tone Still Images (1994)*

36 CFR Part 1228, *Disposition of Federal Records*

41 CFR Part 105, *General Services Administration*

18 USC § 2071

44 USC § 2101-2118

44 USC § 3101-3107

44 USC § 3301-3314

DoD 5015.2-STD, *Design Criteria Standard for Electronic Records Management Software Applications*, June 19, 2002

DoD 5200.1-R, *Information Security Program*, January 1997

DoD 4525.8-M/AFMAN 33-306, *DoD Official Mail Manual*, 12 October 2006

DoD 5400.7-R/AFSUP, *DoD Freedom of Information Act Program*, 24 June 2002

AFPD 33-3, *Information Management*, 28 March 2006

AFPD 34-2, *Managing Nonappropriated Funds*, 7 January 1994

AFI 10-208, *Continuity of Operations (COOP) Program*, 1 December 2005

AFI 10-401, *Air Force Operations Planning and Execution*, 25 April 2005

AFI 10-2501, *Full Spectrum Threat Response (FSTR) Planning and Operations*, 3 August 2005

AFI 16-201, *Air Force Foreign Disclosure and Technology Transfer Program*, 1 December 2004

AFI 31-401, *Information Security Program Management*, 1 November 2005

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

AFI 33-332, *Privacy Act Program*, 29 January 2004

AFI 36-2608, *Military Personnel Records Systems*, 30 August 2006

AFMAN 14-304, (FOUO) *The Security, Use and Dissemination of Sensitive Compartmented Information*, 1 May 1999

AFMAN 24-204(I), *Preparing Hazardous Materials for Military Air Shipments*, 12 October 2004

AFMAN 37-123, *Management of Records*, 31 August 1994 (will become AFMAN 33-363)

USAFINTEL 201-1, *The Security, Use, and Documentation of Sensitive Compartmented Information*, 1 May 1990

AFRIMS RDS, https://afrims.amc.af.mil/rds_series.cfm

Vital Records and Records Disaster Mitigation and Recovery: an Instructional Guide, (<http://www.archives.gov/records-mgmt/vital-records>)

Electronic Records Management (ERM) Solution Guide, https://afrims.amc.af.mil/web_links.cfm

ANSI/AIIM TR 34-1966, *Sampling Procedures for Inspection by Attribute of Images in Electronic Image Management and Micrographic Systems*

The Records Management Guidance for Agencies Implementing Electronic Signature Technologies, 18 October 2000 (<http://www.archives.gov/records-mgmt/policy/electronic-signature-technology.html>)

NWM 02.2003, Memorandum to Agency Records Officers: *Expanding Acceptable Transfer Formats: Transfer Instructions for Scanned Images of Textual Records*, December 23, 2002

Abbreviations and Acronyms

AF—Air Force (when used as a form title)

AFMAN—Air Force Manual

AFHRA—Air Force Historical Research Agency

AFRC—Air Force Reserve Command

AFRIMS—Air Force Records Information Management System

AFPD—Air Force policy directive

AIIM—Association of Information Imaging Managers

ANG—Air National Guard

ANSI—American National Standard Institute

ARPAS—Air Reserve Pay and Allowance System

bpi—bits per inch

BRM—Base Records Manager

CFR—Code of Federal Regulation

CIPS—Centers Information Processing System

CONUS—continental United States

COR—Chief of the Office of Record

CRM—Command Records Manager

DFAS—Defense Finance and Accounting Service

DLT—digital linear tape

DoD—Department of Defense
dpi—dots per inch
DRMO—Defense Reutilization and Marketing Office
DRU—direct reporting unit
DVD—Digital Versatile Disk
E-mail—electronic mail
ERM—Electronic Records Management
FARC—Federal Archives and Records Center
FARM—Functional Area Records Manager
FEMA—Federal Emergency Management Agency
FOA—field operating agency
FOUO—For Official Use Only
FRC—Federal Records Center
FTP—file transfer protocol
GAO—Government Accountability Office
GB—gigabyte
GIS—Geographic Information Systems
GRS—General Records Schedule
GSA—General Services Agency
HQ AFCA—Headquarters Air Force Communications Agency
HQ USAF—Headquarters United States Air Force
IEC—International Electrotechnical Commission
IP—internet Protocol
ISO—International Standards Organization
ITU—International Telecommunications Unit
JFIF—JPEG File Interchange Format
JPEG—Joint Photographic Experts Group
MAJCOM—major command
mm—millimeter
NARA—National Archives and Records Administration
NPRC—National Personnel Records Center
NSN—National Stock Number

OCR—Optical Character Recognition

OF—Optional Form

OPR—office of primary responsibility

PDF—portable document format

PKI—public key infrastructure

ppi—pixels per inch

RDS—Records Disposition Schedule

RM—Records Manager

RMA—Records Management Application

SAF—Office of the Secretary of the Air Force

SF—Standard Form

TAR—tape archive

TIFF—tagged image file format

U.S.C.—United States Code

VA—Veterans Administration

WNRC—Washington National Records Center

Terms

Appraisal—The process of determining the value and thus the final disposition of a record, making it either temporary or permanent (Federal Records Management Glossary). The NARA is the only federal agency with the authority to appraise government records.

Authenticate Record—That which proves the authenticity of the record.

Authentication—Provides background regarding both the potential applicability of PKI at each assurance level and as a baseline for determining the records that may need to be retained as part of the Trust Documentation Set for PKI digital signature authenticated and secured electronic transactions in accordance with OMB M-04-04 E-Authentication Guidance.

Command Records Manager (CRM)—Records managers at MAJCOM, FOA, DRU, and Unified or Specified Commands for which the Air Force is the executive agent.

Disposition—(1) A comprehensive term that includes destruction, salvage, or donation; transfer to 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 (36 CFR Part 1234).

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

Documentation—(1) The act or process of substantiating by recording actions and/or decision. (2) Records required planning, developing, operating, maintaining, and using electronic records

and software. Included are systems specifications, file specifications, codebooks, record layouts, user guides, and output specifications.

E-Mail—A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message.

Electronic Records—Any information that is recorded in a form that only a computer can process and that satisfies the Federal record in 44 USC § 3301.

Electronic Records Management (ERM) Solution Guide—An ERM solution developed by an Air Force Records Management Integrated Process Action Team (IPT) to manage electronic records using existing resources. This guide has not been incorporated into a publication because of rapid changes as the Enterprise Information Management (EIM) tools are deployed. The ERM guide will be incorporated into AFMAN 33-363. Until release of AFMAN 33-363, find the current version in AFRIMS or by contacting SAF/CIO A6XA, Attn: Air Force Records Officer, 1500 Wilson Blvd, Suite 220, Arlington, VA 22209 or by email to usaf.pentagon.saf-cio-a6.mbx.af-records@mail.mil.

FARM—Functional Area Records Manager. The FARM is the point of contact and monitors the Records Management Program within his or her functional area.

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

Frozen Records—Are temporary records that cannot be destroyed on schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.

Non-record—Federally owned informational materials that do not meet the legal definition of a record or have been excluded from coverage by the definition. Excluded materials are 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.

Non-record Material—Material not usually included within the definition of Records, such as extra copies of documents, but only if the sole reason such copies are preserved is for convenience of reference; library and museum material, but only if such material is made or acquired and preserved solely for reference or exhibition purposes; and stocks of publications.

This latter category does not include records sets of publications, posters, and maps that serve as evidence of Agency activities and have value for the information they contain. Nonrecord material existing in offices must also be managed.

Federal Record—Recorded information, regardless of media, maintained by an agency to comply with its legal obligations or created as a result of its transaction of public business. Excluded as records are library and museum materials, extra copies of documents preserved for convenience or references, stocks of publications, and blank forms.

Lossy—Method of image compression where some image content is sacrificed in exchange for higher compression ratios.

Non-record Material—Material not usually included within the definition of Records, such as extra copies of documents, but only if the sole reason such copies are preserved is for

convenience of reference; library and museum material, but only if such material is made or acquired and preserved solely for reference or exhibition purposes; and stocks of publications.

Permanent Records—Records the Archivist of the United States has appraised and approved for permanent retention by the Government of the United States, and for accessioning into the National Archives.

Preservation—(1) The provision of adequate facilities to protect, care for, or maintain records; (2) Specific measures, individual and collective, undertaken to maintain, repair, restore, or protect records.

Records—"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 preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of 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." (44 USC § 3301)

Record Copy—The official, or file, or coordination copy created by an action office, complete with coordinations, enclosures, or related background papers that form a complete file or history of the action.

Reference Copies—A collection of extra copies of official records on a specific action used for ready reference.

Retention Period—The length of time the Air Force keeps a record before disposing of it according to the disposition schedules. Records not authorized for a specific disposition have a retention period of "permanent."

Scheduling—The process of developing a schedule for the disposition of the records, using AF Form 525, *Records Disposition Recommendation*, so the disposition instructions can be published in AFRIMS RDS.

Series of Records—A group of related records having a distinct title, application, and disposition schedule that are covered by the same table and rule from AFRIMS RDS.

State Records—These records are created by military members, most specifically ANG members in performance of state-funded activities and belong to the state funding the activity. There may be a thin line separating Federal and State records. For example, during a hurricane or flood an ANG unit may be activated to assist with a state emergency. Should FEMA get involved or Federal dollars be expended toward the emergency, the records created by the ANG become Federal records. State records are the property of the state and Federal records are the property of the agency (i.e., Air Force). When there is an issue of records being State or Federal, the ANG Unit Base Records Manager will contact the ANG CRM for guidance. If necessary the ANG CRM will coordinate with the Air Force Records Officer (and any applicable MAJCOM CRM).

Vital Records—Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the

rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights-and-interests records. Vital records considerations are part of an agency's records disaster prevention and recovery program.

Working Files— (1) Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation and analysis of other documents. (2) In electronic records, temporary files in auxiliary storage. An accumulation of working files may also include nonrecord material and technical reference files. Federal regulation requires working files and similar materials to be maintained as records, for purposes of adequate and proper documentation, if:

- (a) They were circulated or made available to employees, other than the creator, for official purposes such as approval, comment, action, recommendation, follow-up, or to communicate with agency staff about agency business; and
- (b) They contain unique information, such as substantive annotations or comments that adds to a proper understanding of the agency's formulation and execution of basic policies, decisions, actions, or responsibilities. (see Record Copy)

Attachment 2**GUIDE TO RECORD CENTERS, REPOSITORIES, AND THE LOCATION OF
RETIRED AIR FORCE RECORDS****A2.1. National Personnel Records Center (NPRC), 9700 Page Ave., St. Louis MO 63132-5100:**

A2.1.1. Inactive permanent and temporary organizational documentation.

A2.1.1.1. From 1916-1966:

A2.1.1.1.1. Research and development records.

A2.1.1.1.2. Claims files.

A2.1.1.1.3. Record sets of regulations, manuals, letters, staff digests, bulletins, and operating instructions.

A2.1.1.1.4. General correspondence by major and major subordinate command headquarters.

NOTE:

For those records after 1966, see [Chapter 6](#).

A2.1.1.2. From 1916-1967:

A2.1.1.2.1. Record sets of administrative orders (such as general, special, aeronautical, movement, and reserve orders).

A2.1.1.2.2. Personnel action forms involving duty status changes.

A2.1.1.2.3. Courts-martial orders.

A2.1.1.2.4. Special courts-martial records not involving a bad conduct discharge.

A2.1.1.2.5. Individual training records, including hospital intern and resident training.

A2.1.1.2.6. Radiation and radium therapy clinical record forms.

A2.1.1.2.7. Operating room schedules, medical research and experimental files, and medical professional papers.

NOTE:

For those after 1967, see [Chapter 6](#).

A2.1.1.2.8. 1942-1951 sick reports.

A2.1.1.2.9. 1951-1957 excused-from-duty reports.

A2.1.1.2.10. September 1947-June 1966 morning reports.

A2.1.2. Military personnel and medical records of Regular, Reserve, and Air National Guard (ANG) personnel, and deceased retired officers and enlisted personnel who have left the Air Force and its predecessor organizations (Army Air Force, Air Corps, Air Service, and Aviation Section of the Signal Corps).

A2.1.3. Master personnel and medical records of officers and enlisted personnel who retired with pay, including the inpatient and outpatient records of their treatment at a service medical facility. **Exception:** (Generals and personnel on the temporary disability retirement list).

A2.1.4. Military personnel and medical records of ANG enlisted personnel who left the ANG after 1 January 1953.

A2.1.5. Clinical records of Air Force personnel on active duty and other military personnel, including retired, who received treatment at an Air Force medical facility. Inpatient medical records of dependents of Air Force personnel who received treatment at a Naval medical facility. Outpatient medical records of Public Health Service and Coast and Geodetic Survey personnel on active duty or retired and their dependents who received treatment at an Air Force medical facility. Medical records of cadets and midshipmen of service academies who received treatment at an Air Force medical facility. Outpatient service and dental health records for retired Air Force military members.

A2.1.6. Interim X-rays for Air Force military personnel taken at US Naval medical facilities; X-rays taken of military personnel at USAF medical facilities before the X-rays were eligible for destruction. Diagnostic X-rays (5-year records) of retired Air Force members, mammograms, and 50-year X-ray records from closing bases.

A2.1.7. Individual pay records for retired personnel and records designating trustees to receive money on behalf of mentally incompetent personnel before and including 1967. (For those records after 1967, see paragraph [A2.1.4](#))

A2.1.8. Decoration files listing all decorations to Air Force personnel.

A2.1.9. Leave records for civilian employees who left the Air Force from 1961-1967. For those after 1967, see [Chapter 2](#).

A2.1.10. Veterans Administration (VA) beneficiaries' clinical and outpatient medical and dental treatment records, including X-ray film of VA outpatient clinics from 1968 to the present. For those for 1967 and before, see [Chapter 3](#).

A2.2. National Personnel Records Center (NPRC), 111 Winnebago St., St Louis MO 63132-5100:

A2.2.1. Official personnel folders of civilian employees who have left the Air Force and comparable files collected before the setting up of Official Personnel Folders. Service record cards (SF 7, *Service Record* (now obsolete), or its equivalent) for employees who left or transferred from inactivated stations (those cards still within their 3-year retention period include individual earnings and service cards; medical treatment folders (clinical and dental records) on dependents of Air Force military personnel and civilian employees who received treatment at an Army or Air Force medical facility; and medical treatment folders of nonmilitary foreign nationals and dependents of allied or neutral Armed Forces personnel who received treatment at an Army or Air Force medical facility.

A2.2.2. Inpatient medical records of Public Health Service and Coast and Geodetic personnel on active duty or retired and their dependents who received treatment at an Air Force medical facility. Outpatient medical records include dependents of Air Force personnel who received treatment at a Naval medical facility; medical records of congressmen who received treatment at Air Force medical facilities; final (for both entrance to and separation

from the military) X-ray film for officers and airmen on enlistment, appointment, student status at Air Force and US military academies, relief from active duty, disability, and disqualification for Reserve enlistment and flying status; leave records of discontinued installations for the current 10-year period; selective service records of World War I, including policy files and personnel records and the records of local and appeal board members.

A2.2.3. Government Accountability Office (GAO) accounts and other combined files of accounting papers on the receipts and disbursements (including transcripts of pay) of the Department of the Army, including Army Air Force and the Department of the Air Force after September 1947 have the vouchers, payrolls, final statements, and related financial files covering the period from 1936 to 30 June 1949; payrolls for Reservists paid training assemblies and 2-week active duty training through 31 March 1951; control ledgers for each GAO disbursing officer's accounts, the disbursing records, and related papers; files containing data pertinent to pay and deductions (such as from pay for allotments); and leave records for Air Force civilian personnel who left the Air Force after 1967. (For those records before 1967, see paragraph [A2.1](#)).

A2.2.4. Federal Records Center, 2312 E. Bannister Rd., Kansas City MO 64131-3011 and the National Archives-Central Plains Region, 2312 E. Bannister Rd., Kansas City MO 64131-3011, have VA outpatient clinics keep outpatient medical records for 3 years before transferring them to the Kansas City Federal Archives and Records Center (FARC). Since 1979, the VA has had a moratorium on destroying medical records, while the Air Force evaluates a longer retention period. In the meantime, personnel do not destroy medical records at the Kansas City FARC or other facilities.

A2.2.5. FRC, Building 48, Denver Federal Center, P.O. Box 25307, Denver CO 80225-0307 and the National Archives-Rocky Mountain Region, Building 48, Denver Federal Center, P.O. Box 25307, Denver CO 80225, have the audited accounts of the Air Force, including: Original copies of accounting and finance officers' disbursing accounts, including all vouchers, capital papers, statements of accountability, and supporting documents; all military pay record jackets for both active duty and members who have left the Air Force before 1980; personal financial records for members who left the Air Force before 1980; original military pay orders and Joint Uniform Military Pay System (JUMPS) source documents that accounting and finance offices have sent to the Air Force Accounting and Finance Center; original substantiating documents for the Air Reserve Pay and Allowance System (ARPAS) that ARPAS payroll offices have sent to the Air Force Accounting and Finance Center; pay records of Air Force retired personnel whose accounts were terminated after 1967 (paragraph [A2.1.1](#) for pay records for accounts terminated before 1968); and records designating trustees to receive money on behalf of mentally incompetent personnel if termination of the trusteeship occurred after 1967 (paragraph [A2.1.7](#) for records for trusteeships terminated before 1968.)

A2.2.6. Original copies of contracts with supporting documents before 31 March 1974. Original microform of the JUMPS master military pay account for active duty members. Original microform of the Retiree and Annuitant Master File History for retired members and their annuitants. Original microform of the ARPAS quarterly history containing Air Force Reserve and ANG members' pay accounts. (See paragraph [A2.2.12](#) for keeping records at the

Air Force Accounting and Finance Center before retiring them to Denver Federal Archives and Records Center.)

A2.2.7. Federal Records Center, 1557 St Joseph Ave., East Point GA 30344-2593 and the National Archives-Southeast Region, 1557 St Joseph Ave., East Point GA 30344-2533: Shipment records before 1 January 1959, consisting of troop movement records, household goods shipment records, transportation requests, car record books, inbound and outbound bills of lading, and bill of lading registers. Shipment records since January 1959, consisting of troop movement records and transportation requests. Selective service records of World War I under the Selective Service Act of 1917, consisting of registration cards of male persons born on or after 12 September 1873 and before 12 September 1900 and classification records.

A2.2.8. Washington National Records Center (WNRC), National Archives and Records Administration, 700 Pennsylvania Avenue NW, Washington DC 20408-0002. Inactive records from 1955 to the present of the Secretary of the Air Force and HQ USAF, including the Office of the Secretary, general and special staffs, other headquarters offices, boards, and committees, and joint organizations in which the Air Force was the executive agent. GAO accounts, including transcripts of pay vouchers, payrolls, final statements, and related financial files of the Department of the Army, including the Army Air Force, before 1 January 1936. Files of the Judge Advocate General's Office (such as courts-martial registers, card indexes, courts-martial activities, general courts-martial records, and special courts-martial records involving a bad conduct discharge and litigation and claims files). Mortuary and cemetery files since 1966 that Air Force field mortuary offices retired. (For those before 1966, see paragraph [A2.1.1](#).)

A2.2.9. Inactive permanent and temporary organizational records: From 1967 to present: Research and development records; claims files; record sets of regulations, manuals, letters, staff digests, bulletins, headquarters operating instructions, and general correspondence files for major and major subordinate command headquarters. (For those records before 1967, see paragraph [A2.1](#)) From 1958 to the present: Record sets of administrative orders (such as special, aeronautical, movement, and reserve orders); personnel action forms involving duty status changes; courts-martial orders; special courts-martial records not involving a bad conduct discharge; individual training records, including hospital intern and resident training; radiation and radium therapy clinical records forms; operating room schedules; medical research and experimental files; and medical professional papers. (For those records before 1966, see paragraph [A2.1](#).)

A2.2.10. Air Force Personnel Center, 550 C Street West, Suite 1, Randolph AFB TX, 78150-4703 (See AFI 36-2608).

A2.2.11. Air Reserve Personnel Center, 6760 E Irvington Place, Denver CO, 80280-5000: Military personnel and medical records for Air Force Reserve officers below the grade of general not serving on extended active duty and for living retired Air Force Reserve members, including Air National Guard officers, in a nonpay status. Files of Air Force officers discharged and immediately commissioned in the Air Force Reserve; and the master personnel files for retired personnel in a pay status and holding a Reserve commission. Military personnel and medical records for Air Force Reserve personnel not serving on extended active duty; Air National Guard personnel who left the National Guard with a

remaining Reserve obligation and those who accepted an Air Force Reserve appointment; Reserve and Air National Guard personnel on the retired (nonpay) list.

A2.2.12. Defense Finance and Accounting Service (DFAS), formerly Air Force Accounting and Finance Center, 6760 E. Irvington Place, Denver CO 80279. Original copies of accounting and finance officers (AFO) disbursing accounts, including all vouchers, capital papers, statements of accountability, and supporting documents, and original military pay orders and JUMPS source documents submitted by AFOs; DFAS retires these records to the Denver Federal Archives and Records Center 18 months from the date of the account. Original substantiating documents that ARPAS payroll offices have sent for the ARPAS; DFAS retires these records to the Denver Federal Archives and Records Center 18 months from the date of the account. Pay records of all Air Force retired personnel; DFAS retires these records to the Denver Federal Archives and Records Center 1 year after termination of the pay account. Records designating trustees to receive money on behalf of mentally incompetent personnel; DFAS retires these records to the Denver Federal Archives and Records Center 1 year after termination of trusteeship. Don't send originals of contracts with supporting documents to DFAS. DFAS has retired all contracts that it received before 31 March 1974 to the Denver Federal Archives and Records Center. DFAS retires the original microform of the JUMPS master military pay account, Retiree and Annuitant Master File History, and ARPAS quarterly history to the Denver Federal Archives and Records Center immediately after creation. DFAS keeps operational copies for 3 to 6 years and then destroys them.

A2.2.13. USAF Academy/RR, 2304 Cadet Drive, Suite 342, USAF Academy CO, 80840-5025. Personnel records of Air Force Academy cadets. USAF Academy/RR retires these records to the Rocky Mountain Federal Regional Archives, P.O. Box 25307, Denver CO, 80225.

A2.2.14. Air Force Historical Research Agency (AFHRA), 600 Chennault Circle, Bldg. 1405, Maxwell AFB AL 36112-6424. Unit histories and supporting documents, monographs, historical studies and reports, for the Air Force and its predecessor organizations (Army Air Force, Air Corps, Air Service, and Aviation Section of the Signal Corps) spanning the life of the Air Force from 1907.

A2.2.15. Military Repository, Military Dog Records, Military Dog Veterinary Service, Wilford Hall USAF Hospital, 1219 Knight Street, Lackland AFB TX. 78236-5631. Files for sentry dogs from 1957 to present. Organizations keep these records during a dog's assignment. Lackland AFB keeps these records when the dogs undergo training and retraining, transfer to a nonmilitary agency, or die.

A2.2.16. Defense Mapping Agency, Aerospace Center, 3200 South Second Street, St. Louis MO 63118-3399. Originals of compilation instructions and histories; specification and research reports; charging source files; reproduction negatives of certain cartographic items. Complete sets of printed, photos processed, and similarly produced charts and maps, aeronautical information publications.

A2.2.17. Air Force Inspection Agency, formerly Air Force Inspections and Safety Center, 9700 G Avenue SE, Kirtland AFB NM 87117-5670: Aircraft, missile, explosive, life support accident, and incident records; flight records; ground accident records and inspection records.

A2.2.18. Personnel Investigation Control Center, Defense Security Service, ATTN: DO620, P.O. Box 454, Baltimore MD 21203-0454. All DoD personnel security investigations.

A2.2.19. Director, Federal Bureau of Investigation, Identity Section, 935 Pennsylvania Avenue NW, Washington DC 20535-0001. Complete set of fingerprints of applicants, inductees, and enlistees in the Air Force.

A2.2.20. Medical Director, American Red Cross, 430 17th Street NW, Washington, DC 20006-5307. Dental, inpatient, and outpatient clinical records, including X-ray films, for members of the American Red Cross who received treatment at Air Force medical facilities.

A2.2.21. Director, Department of Education (in which the school is located). Section Six school records, consisting of the school register, elementary school cumulative record cards, and other school records. (Individual schools keep records for as long as they operate.)

A2.2.22. Veterans Administration Center, 10 Casia Street, San Juan PR 00921-3201. Medical records, including X-ray film, of VA beneficiaries who received treatment before 1966 at an Air Force medical treatment facility located in Puerto Rico.

A2.2.23. Veterans Administration Regional Office. Air Force military personnel clinical records for hospital patients (or nonpatients) who left the Air Force or retired for disability reasons while in a patient status remain with the VA regional office servicing the area in which the patient resides if the patient has applied for VA benefits.

A2.2.24. Special Intelligence Central Repository, AIA/IMI (formerly AFIC/IMOR and previously known as ESC/DAD), San Antonio TX 78243. Communications security and special intelligence documentation that has a retention period of more than 8 years and that personnel created within the Air Force according to USAFINTEL 201-1, *The Security, Use, and Documentation of Sensitive Compartmented Information*, 1 May 1990. (Copies of these publications are available from the supporting Special Security Office.)

A2.2.25. National Climatic Data Center, ATTN: CIB, Federal Building, Asheville NC 28801-5001. Records as described in the weather tables of AFRIMS RDS.

A2.2.26. National Geophysical Data Center, NOAA Code E/GC2, 325 Broadway Boulder, CO 80305-3328 Records as described in the weather tables of AFRIMS RDS.

A2.2.27. NASA Goddard Space Flight Center, Greenbelt MD 20771-0001. Documentation as described in the weather tables of AFRIMS RDS.

Attachment 3

REGIONAL ARCHIVES AND RECORDS CENTERS

A3.1. Federal Records Centers.

Table A3.1. Addresses of Federal Records Centers and Regional Archives and Areas They Serve.

Addresses	Areas Served
National Personnel Records Center (Military Personnel Records) 9700 Page Avenue St. Louis MO 62132-5100	Designated records of Department of Defense and US Coast Guard
National Personnel Records Center (Civilian Personnel Records) 111 Winnebago Street St. Louis MO 63118-4199	Entire Federal Government for personnel records of separated federal employees; medical records of civilian employees of the Army, Navy, Air Force; records of agencies in greater St. Louis area (Missouri only)
National Archives and Records Administration 700 Pennsylvania Avenue, NW Washington DC 20408-0002 Shipping Address: Washington National Records Center, GSA	District of Columbia, Maryland, Virginia, West Virginia (except US Court records), Azores, Europe, Africa, Middle East
Federal Records Center 380 Trapelo Road Waltham MA 02452-6399	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, Rhode Island, Greenland, Iceland, Labrador
Federal Records Center Bldg 22, Military Ocean Terminal Bayonne NJ 07002-5388	New York, New Jersey, Puerto Rico, Virgin Islands, Panama (Canal Zone)
Federal Records Center 14700 Townsend Road Philadelphia PA 19154-1096	Delaware, Pennsylvania, and US Court records for Maryland, Virginia, West Virginia
Federal Records Center 1557 St Joseph Avenue East Point GA 30344-2593	Kentucky, North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida
Federal Records Center 7358 South Pulaski Road Chicago IL 60629-5898	Illinois, Wisconsin, Minnesota, and US Court records for Indiana, Michigan, Ohio
Federal Records Center 3150 Springboro Road Dayton OH 45439-1883	Indiana, Michigan, Ohio, except US Court Records
Federal Records Center 2312 East Bannister Road Kansas City MO 64131-301	Kansas, Nebraska, Iowa, Missouri (except greater St Louis area)

Addresses	Areas Served
Federal Records Center 501 West Felix Street P.O. Box 6216 Fort Worth TX 76115-3405 Shipping Address only: 4900 Hemphill Street Building 1, Dock 1 Fort Worth TX 76115-3405	Texas, Oklahoma, Arkansas, Louisiana, New Mexico
Federal Records Center Building 48, Denver Federal Center P.O. Box 25307 Denver CO 80225-0307	North Dakota, South Dakota, Colorado, Wyoming, Utah, Montana
Federal Records Center 1000 Commodore Drive San Bruno CA 94066-2350	Nevada, (except Clark County), California (except Southern California), American Samoa
Federal Records Center 23123 Cajalco Road Perris CA 92570-7298	Arizona, Clark County of Nevada, Southern California-Counties of San Luis, Obispo, Kern, San Bernadino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, San Diego
Federal Records Center 6125 Sand Point Way, NE Seattle WA 98115-7999	Washington, Oregon, Idaho, Alaska, Hawaii, Pacific Ocean area (except Samoa)

A3.2. Regional Archives.

Table A3.2. Regional Archives.

Addresses	Area Served
National Archives-New England Region 380 Trapelo Road Waltham MA 02452-6399	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, Rhode Island, Greenland, Iceland, Labrador
National Archives—Northeast Region 201 Varick Street, 12 th Floor New York NY 10014- 4811	New York, New Jersey, Puerto Rico, Virgin Islands, Panama (Canal Zone)
National Archives—Mid Atlantic Region 9th and Market Streets, Room 1350 Philadelphia PA 19107-4292	Delaware, Pennsylvania, and US Court Records for Maryland, Virginia, West Virginia
National Archives-Southeast Region 1557 St. Joseph Avenue East Point GA 30344-2593	Kentucky, North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida
National Archives-Great Lakes Region 7358 South Pulaski Road Chicago IL 60629-5898	Illinois, Wisconsin, Minnesota, and US Court records for Indiana, Michigan, Ohio

Addresses	Area Served
National Archives-Central Plains Region 2312 East Bannister Road Kansas City MO 64131-3011	Kansas, Nebraska, Iowa, Missouri (except greater St Louis area)
National Archives-Southwest Region 501 West Felix Street P.O. Box 6216 Fort Worth TX 76115-3405	Texas, Oklahoma, Arkansas, Louisiana, New Mexico
National Archives-Rocky Mountain Region Building 48, Denver Federal Center P.O. Box 25307 Denver CO 80225-0307	North Dakota, South Dakota, Colorado, Wyoming, Utah, Montana
National Archives-Pacific Southwest Region 2400 Avila Road Laguna Niguel CA 92677-3497	Arizona, Clark County of Nevada, Southern California-Counties of San Luis, Obispo, Kern, San Bernadino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, San Diego
National Archives-Pacific Sierra Region 1000 Commodore Drive San Bruno CA 94066-2350	Nevada (except Clark County), California (except Southern California), American Samoa
National Archives-Pacific Northwest Region 6125 Sand Point Way, NE Seattle WA 98115-7999	Washington, Oregon, Idaho, Hawaii, Pacific Ocean area (except Samoa)
National Archives-Alaska Region 654 West Third Avenue Anchorage AK 99501-2145	Alaska

Attachment 4**DETERMINING APPLICABILITY: IS IT A RECORD?****A4.1.** It is a Record if:

- 1). It is identified in the AF Records Disposition Schedule (RDS) or NARA's General Records Schedule (GRS);
- 2). The information was received and/or created by an agency employee (includes contractors), on agency time to facilitate agency business; to include telework;
- 3). It documents substantive information about agency business;
- 4). The information is maintained and controlled by the agency;
- 5). The information was distributed and used by employees to conduct agency business;
- 6). It required action, supports your area of work, or provides specific instruction;
- 7). It documents what happened, what advice was provided, who was involved, order of events, and the decision-making process; and,
- 8). If it contains information restricted from release under the Privacy Act of 1974, preservation order, or an on-going investigation.

A4.2. It is an E-mail record if it:

- 1). Was made or received to conduct or respond to Agency business;
- 2). Provides information of value on important Agency activities;
- 3). Documents significant Agency decisions or adds to the proper understanding of Agency operations and responsibilities;
- 4). Provides key substantive comments on draft memoranda;
- 5). Documents the formulation and execution of basic policies and decisions and the taking of necessary actions;
- 6). Documents important meetings;
- 7). Will facilitate action by agency officials and their successors;
- 8). Makes possible a proper scrutiny by the Congress or by duly authorized agencies of the Government; and
- 9). Protects the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions.