

**BY ORDER OF THE COMMANDER
AIR FORCE RESEARCH LABORATORY
(AFRL)**



AIR FORCE INSTRUCTION 33-322

**AIR FORCE RESEARCH LABORATORY
Supplement**

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Communications and Information

**RECORDS MANAGEMENT AND
INFORMATION GOVERNANCE
PROGRAM**

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(AFRL) This Air Force (AF) Research Laboratory (AFRL) supplement expands on Air Force

Instruction (AFI) 33-322, *Records Management and Information Governance Program* by providing AFRL-specific guidance on responsibilities, policies, and procedures for proper handling of records. This supplement applies to all AFRL Mission Organizations (Msn Orgs) Headquarters (HQ) Functional Offices, Site Offices and AFRL organizations aligned under United States Space Force (USSF). Ensure all records generated as a result of processes prescribed in this publication adhere to AFI 33-322, *Records Management and Information Governance Program*, and are disposed in accordance with the Air Force Records Disposition Schedule (RDS), which is located in the Air Force Records Information Management System. This publication may not be supplemented. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR), using DAF Form 847, *Recommendation for Change of Publication*; route DAF Form 847 through the appropriate functional chain of command. Submit requests for waivers through the chain of command to the publication OPR in accordance with (IAW) AFRL Delegation of Waiver Approval Authority of Tier Compliance Items Memorandum.

SUMMARY OF CHANGES

(AFRL) This supplement has been substantially revised and needs to be completely reviewed. Changes include additional AFRL-specific information to AFI 33-322 and streamlined record management roles and responsibilities.

2.2.3.10.1. **(AFRL)** AFRL Records Management Network. To effectively manage records across a large and complex organization, the Air Force Research Laboratory (AFRL) relies on a strong network of records professionals. This network, governed by the AFRL Records Management (RM) program, includes key roles such as the AFRL Commander, Mission Organization Commander/Directors, Commander-Designated Representatives (CDR), AFRL Base Records Managers (BRM),

2.2.3.10.1.1. **(AFRL) AFRL Commander (AFRL/CC).**

2.2.3.10.1.1.2. **(AFRL)** Appoints an AFRL BRM to administer, implement, and oversee the AFRL RM program and provide direct support to the AFRL Commander.

2.2.3.10.1.1.3. **(AFRL)** Publishes a records management plan that implements the AFRL Records Management Program for the Enterprise within 60 days of assuming command.

2.2.3.10.1.1.4. **(AFRL)** Completes *AFRL Commander & Mission Org Commander/Directors RM Training* within 60 days of assignment and maintain proficiency by completing the *Air Force RM User Training* annually.

2.2.3.10.1.2. **(AFRL) Mission Organizations Commander/Directors.**

2.2.3.10.1.2.1. **(AFRL)** Ensures organizations create mission-related records, permanently preserves valuable records, promptly stages eligible records and disposes of temporary records according to the Air Force Record Disposition Schedule (RDS). Determines records access and enforces RM compliance.

2.2.3.10.1.2.2. **(AFRL)** Appoints in writing an ARM to manage the overall Msn Org RM Program. Use the appropriate AFRL appointment memo template available at the AFRL Information Management SharePoint site located <https://usaf.dps.mil/teams/20557/DSO/IM>. AFRL HQ ARM will be appointed by the AFRL Director of Staff.

2.2.3.10.1.2.3. **(AFRL)** Provides leadership support to ensure RM roles are appropriately filled/trained and AF RM data calls/records searches are conducted and completed in a timely manner.

2.2.3.10.1.2.4. **(AFRL)** Completes *AFRL Commander & Mission Org Commander/Directors RM Training* within 60 days of assignment and maintain proficiency by completing the *Air Force RM User Training* annually.

2.2.3.10.1.2.5. **(AFRL)** Coordinates with the ARM to obtain resolution of RM issues within their purview.

2.2.3.10.1.3. (AFRL) **Commander-Designated Representatives (CDR)** . This individual is the head of the office of records for which the inventory of records is maintained. It is recommended the inventory of records be no lower than the division level when possible. The CDR may delegate this duty to a military or civilian with adequate authority and a thorough knowledge of the office's mission and records created (e.g., deputy division chief). Delegation of the CDR responsibilities must be made in writing using the AFRL CDR delegation memo template.

2.2.3.10.1.3.1. (AFRL) Completes *AFRL Record Professional Initial Training* within 60 days of appointment and maintains proficiency by annually completing the *Records Management - Commander/Designated POC Training* and *Air Force RM User Training*.

2.2.3.10.1.3.2. (AFRL) Ensures and assists in the development of the inventory of records using AFRIMS for the office of record under their purview. Approves by signing the cover sheet.

2.2.3.10.1.3.3. (AFRL) Reviews the inventory of records and reapproves on an annual basis. Regardless of changes, the CDR must sign the new cover sheet to indicate review and approval.

2.2.3.10.1.3.4. (AFRL) Ensures an inventory of records review is completed and documented annually using the AFRL Inventory of Records Review Memo template.

2.2.3.10.1.3.5. (AFRL) Ensures the proper management of classified records, including sensitive compartmental information, and that all activities processing classified records comply with the Air Force RM program. Ensures appropriate personnel have the necessary access to exercise oversight.

2.2.3.10.1.3.6. (AFRL) Responsible for physical and legal custody of all records the office creates or receives, regardless of their physical characteristics.

2.2.3.10.1.3.7. (AFRL) Appoints an ARP and may appoint one additional alternate ARP in writing using the AFRL appointment memo template. When there is a new CDR, a new ARP appointment memo must be accomplished within 30 days.

2.2.3.10.1.3.8. (AFRL) A replacement CDR must be appointed if the CDR is vacant for more than 90 days.

2.2.3.10.1.3.9. (AFRL) Ensures a thorough office-wide search to include all data drives, active/inactive, physical/electronic, draft/final, documentary materials, unclassified or classified records for all data calls, record searches, litigation holds, and other requests for information are conducted and completed.

2.2.3.10.1.3.10. (AFRL) Approves ARP written responses to all inspection, audit, and self-assessment findings within 30 days of receiving a report. Additionally, ensures written follow-up responses are submitted every 30 days until the findings are closed at the appropriate level.

2.2.3.10.1.3.11. (AFRL) Works with ARP to properly identify essential records for the organization's restoration and disaster recovery plan regarding physical and electronic records. If no essential records are identified, completes and sign the No Essential Records memo.

2.2.3.10.1.3.12. (AFRL) Completes the Management Internal Control Toolset (MICT) *Records Management and Information Governance Program – Commanders or Commander's Designated POC* checklist annually and validated by Msn Orgs ARM/HQ ARM.

2.2.3.10.1.4. **Assistant Records Manager (ARM).** (AFRL) The ARM provides oversight and management of the Msn Orgs/HQ RM Program in addition to serving as a liaison to the AFRL BRM.

2.2.3.10.1.4.1. (AFRL) Completes *AFRL Record Professional Initial Training* as well as training identified by AFRL BRM within 30 days of appointment. Maintains proficiency by annually completing *Records Management Commander/Designated POC Training* and *Air Force RM User training*.

2.2.3.10.1.4.2. (AFRL) Guides and assists CDRs and ARPs in maintaining official electronic files. Ensures the Content Server/Livelihood mirrors the AFRIMS inventory of records and that the appropriate rule-level folders, and appropriate RM classifications are established.

2.2.3.10.1.4.3. (AFRL) Creates, modifies and deletes AFRIMS accounts for ARPs; reviews user accounts annually to ensure ARPs are current.

2.2.3.10.1.4.4. (AFRL) Ensures the office of record follows the AFRIMS RDS.

2.2.3.10.1.4.5. (AFRL) Reviews each inventory of records for accuracy prior to approval in AFRIMS. Ensures CDRs and ARPs have completed and documented an annual review using the AFRL Inventory of Records Review Memo template.

2.2.3.10.1.4.6. (AFRL) Ensures each inventory of records contains the appropriate and necessary tables and rules for the records being created in the office of record. Ensures the CDR has completed an annual review and signed a new cover sheet. ARMs are the final approval/disapproval authority.

2.2.3.10.1.4.7. (AFRL) Uses AFRIMS to schedule and conduct Staff Assistant Visits (SAV) on each office of record every 24 months. Utilizes the AFRIMS office checklist during the SAV and document inspection results in a SAV report memo addressed to the CDR and ARP.

2.2.3.10.1.4.8. (AFRL) Ensures all ARPs have completed the required AFRL Records Professional Initial Training, completing RM Commander Designated POC as well as role-specific training in myLearning, and all additional training identified by AFRL BRMs. Ensures training certificates are filed in the Electronic RM notebook.

2.2.3.10.1.4.9. (AFRL) Ensures all users in the organization have completed the Air Force RM User Training in myLearning on an annual basis.

2.2.3.10.1.4.9. (AFRL) Ensures the ARP has provided a response to all non-FOIA records searches and litigation requests within their scope of responsibility before closing the request in AFRIMS. If the ARP position is vacant, the CDR will oversee non-FOIA RM data calls and record searches. Ensure all Msn Orgs/HQ responses are reported within 30 days of receipt, unless otherwise noted, prior to closing the request in AFRIMS.

2.2.3.10.1.4.10. (AFRL) Conducts and documents a minimum biannual RM training.

2.2.3.10.1.4.11. (AFRL) Completes ARM MICT checklist annually. Ensures the MICT checklist is being utilized as an ongoing assessment to facilitate effective monitoring of the organization's RM processes. ARM checklist will be validated by Msn Orgs leadership. HQ ARM checklist will be validated by AFRL BRMs.

2.2.3.10.1.4.13. (AFRL) Ensures copies of the following records are maintained in the appropriate Msn Orgs/HQ ARM Electronic RM Notebook.

- 2.2.3.10.1.4.13.1. (AFRL) Appointment and Delegation Memos.
- 2.2.3.10.1.4.13.2. (AFRL) Listing of Offices on Record Training Matrix.
- 2.2.3.10.1.4.13.3. (AFRL) Training. Include training certificates.
- 2.2.3.10.1.4.13.4. (AFRL) ARM Meetings. Include attendance sheet, briefing, charts, etc.
- 2.2.3.10.1.5. (AFRL) **Area Records Professional (ARP)**. The ARP maintains active and inactive records in accordance with (IAW) the RDS. Knowledge of the functional mission of the office and purpose of the records is essential.
 - 2.2.3.10.1.5.1. (AFRL) Completes AFRL Records Professional Initial Training, as well as training identified by AFRL BRM within 30 days of appointment. Maintains proficiency by completing annual *Records Management - Commander/Designated POC Training* and *Air Force RM User Training*. Ensures current training certificates are filed in official files.
 - 2.2.3.10.1.5.2. (AFRL) Develops and maintains the office inventory of records in AFRIMS and establishes by default electronic records IAW Office of Management and Budget (OMB) M-19-21-Transition to Electronic Records.
 - 2.2.3.10.1.5.3. (AFRL) Content Server/Livelihood will mirror the AFRIMS inventory of records with the appropriate rule-level folders and RM classifications enabling the automatic preservation and dispositioning of official records per the RDS.
 - 2.2.3.10.1.5.4. (AFRL) Ensure the annual approval of the inventory of records. Also, ensure approval whenever a new CDR is assigned, even if no changes have been made to the inventory. A new cover sheet must be created and signed by the CDR and then filed in accordance with established procedures.
 - 2.2.3.10.1.5.5. (AFRL) Reviews and completes an annual review with the CDR. Document review using the AFRL Inventory of Records Review Memo template.
 - 2.2.3.10.1.5.6. (AFRL) Ensures folders that contain Personally Identifiable Information (PII) are identified and appropriate permissions are set accordingly.
 - 2.2.3.10.1.5.7. (AFRL) Demonstrates proficiency in storing and retrieving records.
 - 2.2.3.10.1.5.8. (AFRL) Understands and implements the records maintenance, use, and disposition policies and procedures for records maintained.
 - 2.2.3.10.1.5.9. (AFRL) Consults with the CDR and ARM, as necessary, on problems that affect creating, maintaining, using, and disposing of records.
 - 2.2.3.10.1.5.10. (AFRL) Conducts non-FOIA RM data calls and record searches.
 - 2.2.3.10.1.5.11. (AFRL) Responds to questions on records requirements and the RDS.
 - 2.2.3.10.1.5.12. (AFRL) Provides search results for all record searches in AFRIMS.
 - 2.2.3.10.1.5.13. (AFRL) Reviews the inventory of records with all users to educate in the operation of the RM program.
 - 2.2.3.10.1.5.14. (AFRL) Assist with tracking Air Force User Training completion for users within the office of records.

2.2.3.10.1.5.15. (AFRL) Ensures users have a way to file official records in the electronic unrestricted and restricted inboxes associated with the appropriate office of records.

2.2.3.10.2. (AFRL) Record Lifecycle.

2.2.3.10.2.1. (AFRL) IAW OMB M-19-21-Transition to Electronic Records, all official records must be created, maintained, and managed in electronic format with appropriate metadata. Units should only create paper records if there is a legal requirement (i.e., law) that these records/documents remain paper.

2.2.3.10.2.2. (AFRL) AFRL mandates Content Server/Livelink as its enterprise-wide RM system. All Msn Orgs and HQ Functional Offices must utilize this system for managing official records. This ensures a consistent and compliant organization-wide approach to records management, enhancing governance, accountability, and information accessibility.

2.2.3.10.2.2.1. (AFRL) To maintain compliance and data integrity, the use of stand-alone workstations, Microsoft Teams, OneDrive, organizational SharePoint sites, removable drives, or shared drives for the storage of official records is prohibited. All official AFRL records must be stored in Content Server/Livelink.

2.2.3.10.2.2.2. (AFRL) Content Server/Livelink will mirror the AFRIMS inventory of records with the appropriate rule-level folders and RM classifications enabling the automatic preservation and disposition of official records per the RDS.

2.2.3.10.2.6. (AFRL) The AFRL BRM team provides oversight for the official records in Content Server/Livelink and serves as the POC for electronic RM permissions.

2.2.3.10.3. (AFRL) Training/Orientation/Awareness.

2.2.3.10.3.1. (AFRL) AFRL specific RM training can be located on the AFRL Information Management SharePoint site located at <https://usaf.dps.mil/teams/20547/IM/SitePages/Home1.aspx?FreeStandingSourceUrl=%2Fteams%2F20547%2FIM%2Fdefault%2Easpx>.

2.2.3.10.3.2. (AFRL) All AFRL users shall complete Air Force RM User Training annually in myLearning.

2.2.3.10.4. (AFRL) Inspection/Self-Assessment.

2.2.3.10.4.1. (AFRL) MICT will be used as an ongoing assessment to facilitate effective monitoring of the RM processes.

2.2.3.10.4.2. (AFRL) SAVs for all offices of records will be scheduled in AFRIMS and conducted every 24 months.

2.2.3.10.5. (AFRL) **Record Searches.** Upon receipt of a litigation hold or other records search request, AFRL BRM will forward a copy of the request to the Msn Orgs/HQ functional offices workflow and ARMs for execution IAW AFI 33-322.

2.2.3.10.5.1. **(AFRL)** Msn Orgs/HQ ARM ensures record searches are conducted on all physical, non-electronic (e.g., microfiche), and electronically stored information within their area of responsibility. The search is to include official records in the inventory of records, active and inactive records, Content Server/Livelink, external electronic media, desktops/laptops, shared drives, and any other information systems used by the organization to process records. Any records identified as responsive to the search will be placed in a litigation hold area.

2.2.3.10.5.2. **(AFRL)** Msn Orgs/HQ ARM shall identify any proprietary/organizational information systems that may contain relevant information and direct the respective program manager for each system to conduct a search using the criteria identified in the search.

2.2.3.10.5.3. **(AFRL)** Msn Orgs/HQ ARM shall notify all unit personnel who may have relevant information for the search request, ensure all tasked personnel perform thorough searches, and provide appropriate responses.

2.2.3.10.5.4. **(AFRL)** Msn Orgs/HQ ARM will ensure all searches are completed within 30 days of receipt, unless otherwise noted in the search request, and all Litigation Hold Worksheets and relevant documents are held in the litigation area until further guidance from the BRM.

2.2.4. **(AFRL) AFRL End Users.** Defined as all military, civilian, foreign nationals employed by the Department of the Air Force, and contractors working for AFRL.

2.2.4.1. **(AFRL)** Completes the Air Force RM User Training annually in myLearning.

2.2.7. **(AFRL) AFRL Base Records Manager (BRM)** . The Information Management Team Lead, located in the Integration and Operations Division (AFRL/DSO), is AFRL BRM for all AFRL organizations. The BRM provides direct support to the AFRL Commander and administers, implements, and oversees the RM Program.

2.2.7.1. **(AFRL)** Conducts an Msn Orgs/HQ RM Program inspection/audit/self-assessment every 24 months and provides a signed report to the ARM. Conducts a follow-up review until all discrepancies are closed based on the ARM's response to the corrective actions.

2.2.7.2. **(AFRL)** Ensures the MICT Self-Assessment Communicator (SAC) is being utilized as an ongoing assessment to facilitate effective monitoring of the Msn Orgs/HQ RM processes.

2.2.7.3. **(AFRL)** Creates, modifies, and deletes AFRIMS accounts for the ARMs.

2.2.7.4. **(AFRL)** Develop role-based training as needed for ARMs, CDRs and ARPs. Provides additional training when requested.

2.2.7.5. **(AFRL)** Coordinates with the Digital Capabilities Directorate (AFRL/IZ) to ensure all electronic records are backed-up on a scheduled basis and the capability exists to restore these records as needed.

2.2.7.6. **(AFRL)** Completes all BRM and additional training as directed by the Air Force Records Officer.

2.2.7.7. **(AFRL)** Ensure Air Force RM data calls and record searches are conducted and completed in a timely manner. AFRIMS and the AFRL workflow will be used to notify the Msn Orgs/HQ Functional Offices and Geographically Separated Units of the records search, provide the directions associated with the search. Will monitor and track records searches and coordinate with respective units to close searches by suspense date.

3.6.2. **(AFRL) Essential Records.** An essential records plan identifies records vital for continuing operations and protecting legal and financial rights. If an inventory of records identifies essential records, Msn Orgs will develop a consolidated essential records plan and include it in their Continuity of Operations Plan (COOP). If no essential records are identified, offices must complete the No Essential Records memo.

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Attachment 1 (AFRL)**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

AFI 33-322, *Records Management and Information Governance Program*, 28 July 2021

AFI 33-332, *Air Force Privacy and Civil Liberties Program*, 10 March 2020

OMB-M-19-21, *Transition to Electronic Records*, 28 June 2019

Adopted Forms

DAF 847 – *Recommendation for Change of Publication*

Abbreviations and Acronyms

AF—Air Force

AFI—Air Force Instruction

AFRIMS—Air Force Records Information Management System

AFRL—Air Force Research Laboratory

ARM—Assistant Records Manager

ARP—Area Records Professional

BRM—Base Records Manager

CC—Commander

CD—Deputy Commander

CDR—Commander-Designated Representative

FOIA—Freedom of Information Act

HPW—Human Performance Wing

HQ—Headquarters

IAW—In Accordance With

MICT—Management Internal Control Toolset

MSN ORGS—Mission Organizations

OMB—Office of Management and Budget

OPR—Office of Primary Responsibility

POC—Point of Contact

PII—Personally Identifiable Information

RDS—Records Disposition System

RM—Records Management

SAC—Self-Assessment Communicator

SAV—Staff Assistant Visit

USSF—United States Space Force