

**BY ORDER OF THE
DIRECTOR AIR NATIONAL GUARD**

**AIR NATIONAL GUARD MANUAL
33-363**



10 MAY 2018

Communications

**MANAGEMENT OF AIR NATIONAL
GUARD RECORDS**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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

RELEASABILITY: There are no releasability restrictions on this publication

OPR: NGB/A23610CF

Certified by: NGB/A236
(Col Richard R. Neely)

Pages: 17

This Air National Guard Manual (ANGMAN) implements Air Force (AF) Instruction (AFI) 33-322, *Records Management Program*, AF Manual (AFMAN) 33-363, *Management of Records*, and AFI 33-364, *Records Disposition-Procedures and Responsibilities*. The manual defines the roles and responsibilities to effectively manage Air Force records within the Air National Guard (ANG) and establishes the record management program for all ANG units. This publication applies to all ANG military, civilians, and personnel contracted with the DoD who create records in their area of responsibility (AOR). This manual may not be supplemented at the wing level. 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 request 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) AFMAN 33-363, *Management of Records*, and disposed of IAW Air Force Records Disposition Schedule located in the Air Force Records Information Management System. The use of the name or mark of any specific manufacturer, commercial product, commodity, or service in this publication does not imply endorsement by the Air Force.

1. General. DoDD 5105.77, para 1. g., states, “the National Guard Bureau is responsible for developing, establishing, and maintaining an active and continuing Records Management

Program for the National Guard, pursuant to section 3102 of Title 44, U.S.C. (Reference (y)) and DoDI 5015.02 (Reference (z)).” In addition, Chief National Guard Bureau Instruction 5001.01, *National Guard Bureau Records Management Program*, para 4, states, “ANG must continue to adhere to service-specific records management guidelines”. This manual is to be utilized in conjunction with all other AF, DoD, and National Archives and Records Administration policies, however it provides the ANG a centralized, standardized, efficient and sustainable program that eliminates redundancy, workload, confusion and provides one standard for compliance. Use of this manual for ANG bases negates the need for wings to create their own plan in accordance with AFI 33-322, paragraph 4.10.. Units utilizing this manual are required to be fully operational within 6-9 months from the published date of this manual. (T-2).To assist with the implementation of this plan, resources and additional materials will be added to the A2/3/6/CO Guard Knowledge Online SharePoint site at: <https://gkportal.ng.mil/ang/A3/236C/CO/SitePages/Records%20Management.aspx> as they are developed. Wings that want to deviate from this plan, are required to submit an AF Form 679, *Air Force Publication Compliance Item Waiver Request/Approval* and Wing Memorandum outlining their records management plan to the OPR/ANG Command Records Manager (CRM) for approval/denial determination. The memorandum must be signed by the Wing Commander.

2. Roles and Responsibilities. See also AFI 33-322, *Records Management Program*.

2.1. ANG Command Records Manager (CRM).

2.1.1. Serves as the Program Manager for the ANG and direct liaison with Air Force Records Officer and AFSPC/CYSS regarding the ANG Records Management Program. ANG units are not to go directly to SAF for questions or assistance, including inspection compliance clarification or questions for anything concerning this program. ANG CRM and/ANG IG will work together to resolve program deficiencies with the Air Force Records Officer and SAF/IG offices. (T-1)

2.1.2. Works with the ANG IT Portfolio Manager and serves as the Information Technology Investment Portfolio Suite records reviewer for ANG IT investments (e.g., IT systems, databases, etc. registered in Information Technology Investment Portfolio Suite).

2.1.3. Develops and provides Base Records Manager training within 90 days of appointment.

2.1.4. Serves as the approval authority for ANG account requests in National Archives and Records Administration’s Archives and Records Centers Information System.

2.1.5. Responsible for the creation of ANG organizational structure/presence and Base Records Manager accounts in Air Force Records Information Management System.

2.1.6. Tracks ANG non-FOIA records searches and provides compliance statistics to ANG leadership.

2.1.7. Serves as the ANG POC for accounts on National Archives and Records Administration's Electronic Records Archives (ERA) system for accessioning ANG permanent records to National Archives and Records Administration and for proposing records retentions in the AF Form 525, *Records Disposition Recommendation* process.

2.1.8. Serves as the liaison with NGB/RMO regarding the ANG Records Management Program assisting with National Guard Bureau Records Management deficiencies, strategies, action plans, program improvements, etc.

2.1.9. In addition to reporting requirements to the Air Force Records Officer, IAW AFI 33-364, para 5.5.3., the CRM is required to report substantiated unlawful removal, defacing, alternations or destruction of Air Force records to the National Guard Bureau Record Management Officer.

2.1.10. Utilize Air Force Records Information Management System metrics reports to assess areas of compliance and evaluate program resources, training requirements, and inventory of records. Base Records Manager can disseminate reports to commanders directly, brief stats at all calls or standups, and/or put data in another electronic type dashboard for program visibility. (T-1).

2.2. Commanders.

2.2.1. Enforces the E-Government Act of 2002, requiring electronic processes be applied to records created and maintained electronically (T-0).

2.2.1.1. Ensures newly created electronic files remain electronic.

2.2.1.2. Works with the Base Records Manager to decrease demand for a base staging area while exploring the digitization of legacy hardcopy files with medium-term and long-term retentions.

2.2.2. Ensures records searches/litigation holds are coordinated, conducted and completed IAW defined requirements. This includes FOIA and non-FOIA record searches, active and inactive, physical and electronic materials, both classified and unclassified, removable media, home computers, non-.mil email accounts, etc. (T-1).

2.2.3. Ensures deviations from the recommended location on a unit's shared drive for official ANG records meets the requirements of DoD 5015.02-STD, *Design Criteria Standard for ERM Software Applications*. (e.g. backups, disaster response plans, retention, etc). (T-1)

2.2.4. Ensures Offices of Record under their command adhere to Air Force RM policy and perform the duties prescribed herein.

2.2.5. Ensures emergency destructions plans are created and executed for squadron/flight classified records for installation imminent hostile actions (T-1). Refer to AFI 33-364, Records Disposition, Procedures and Responsibilities.

2.2.6. Works with contracting and the Base Records Manager to ensure support agreement, memorandums of understanding, contracts, or similar documents reflect the RM requirements of the organization IAW AFMAN 33-363, para. 6.4. (T-1).

2.2.7. Ensures all personnel complete required annual training IAW DoDI 5015.02, DoD Records Management Program and National Archives and Records Administration Bulletin 2017-01, Agency Records Management Training Requirements. (T-1). This training will be added to Air Reserve Component and the Base Records Manager will have visibility for the entire base for program oversight.

2.2.8. Ensures all records are in approved repositories (T-0). This includes records created, stored or maintained on personal devices, home computers, and/or removable media IAW AFI 17-130, *Air Force Cybersecurity Program Management* and AFMAN 33-363-AFGM 2017, *Management of Records*.

2.3. Communications Focal Point. Inputs any requests for new folders or permission changes and assign them to the Base Records Manager as appropriate. Communications Focal Point personnel should understand the basics of the Base Records Management Program and be available to assist with technical issues and provide backup to the Base Records Manager if needed.

2.4. Network Operations.

2.4.1. Works with the Base Records Manager to ensure a designated space on the Storage Area Network is available for e-files.

2.4.2. Provides Base Records Manager with reports on Data Usage/File Storage/Access Rights.

2.4.3. Ensures backup procedures are performed and are identified in the CF Operations Plan to include disaster recovery requirements IAW AFMAN 33-363, para. 6.3.8. (T-1).

2.4.4. Implements/verifies technical controls in place to ensure policies are enforced.

2.5. Base Records Manager.

2.5.1. Ensures folder creation complies with this directive and AFI 33-322 and manages permissions according to the procedures herein. (T-2).

2.5.2. Uses IAO Express to create and manage security groups.

2.5.3. Serves as the point of contact (POC) for the Archives and Records Centers Information System used for transactions with Federal Records Centers. Requests access to Archives and Records Centers information Systems through the National Guard Bureau A2/3/6/10CF Records Management site <https://gkoportal.ng.mil/ang/A3/236C/CO>.

2.5.4. Periodically conducts audits to ensure proper maintenance and use of the Electronic Record Keeping System. Sends a report of finding to each Office of Record and its commander. (See **Paragraph 5**)

2.5.5. Reviews requests for new top level folders, ensuring they align with an Air Force Records Disposition Schedule Table and Rule, and are not already established on the Inventory of Records. Creates folder and applicable security groups, applying permissions as appropriate.

2.5.6. Uses Air Force Records Information Management System to create and maintain the wing's inventory of records. (T-1).

2.5.7. Works with Commanders, Program Managers/Office of Records to identify records needed for the file inventory and to ensure record data managed in IT Systems (including SharePoint, Guard Knowledge Online) and databases are compliant with Air Force Records Management, including the disposition of the data. (See **Paragraph 3.1**)

2.5.8. Conducts investigation regarding claims of unlawful or inadvertent removal, change, or destruction of Air Force records to the CRM.

2.5.9. Sends/coordinates requests for waivers using AF Form 679, *Air Force Publication Compliance Item Waiver Request/Approval* and Wing Records Management Plan Memorandum to the ANG CRM. (See [Paragraph 1](#)). These plans must include all items identified in AFI 33-322, para 4.10.

2.6. Office of Record/Program Manager. The Office of Record is the organization or administrative unit officially designated for the maintenance, preservation, and disposition of records. The Office of Record is not always the office of origin. While multiple offices may file into the same folder, there is usually one organization that ultimately owns the information or the program that the information resides. Example: T 33 – 25 R 01.00, *Worldwide Military Command & Control System, Threat Documentation, AIS Records* (LAN Account paperwork). While all units create and submit this paperwork, the Communications Flight, and more granularly the Cyber Surety Office is the official Office of Record for these files.

2.6.1. Works with the Base Records Manager to determine records needed for the unit inventory of records. Identifies systems and if a records keeping system ensures location is added in Air Force Records Information Management System.

2.6.2. Works with the Base Records Manager to determine who needs access to the folder(s), including a quarterly review of the security group to ensure those who need access have it and those who no longer need access to the files are removed. Notify the Base Records Manager when this review is conducted and the result. (See [Paragraph 3.2.2](#) for more information on folder permissions.)

2.6.3. Performs cut-off procedures on the folder to ensure the files are kept IAW with the Air Force Records Disposition Schedule.

2.6.4. Assists Base Records Manager with record search procedures.

2.6.5. Works with Base Records Manager to ensure essential records are identified, and establishes a restoration and disaster recovery plan for paper and electronic records. Ensures identified essential records are included in the base emergency preparedness plan. (T-1).

2.6.6. Works with Base Records Manager to decrease demand for a base staging area, considering the digitization of legacy hardcopy files with medium-term and long-term retentions.

2.6.7. Works with the Base Records Manager to ensure record data managed in IT Systems (including SharePoint/Guard Knowledge Online) and databases are compliant with the Air Force Records Management Program, including the disposition of the data. (See [Paragraph 3.1](#))

2.6.8. Ensures records put into task management tools - or workflows on other platforms - are moved to an approved records keeping system and not allowed to reside in the non-approved records keeping system.

2.6.9. Works with Base Records Manager to determine "By Exception" folders. (See [Paragraph 3.2.1.5](#)). (T-1).

2.6.10. Report potential unlawful or inadvertent removal, change, or destruction of Air Force records to the Commander and Base Records Manager.

3. File Share and File Management. With this process, it is recommended that the wings consolidate all file shares and the ERM drive to one drive as the central location for electronically stored information with the corresponding inventory entered by the Base Records Manager in Air Force Records Information Management System and managed IAW this manual. (T-3). Legacy hardcopy records will be stored within an office location that allows for easy retrieval of information and will continue to be digitized. Inactive hardcopy records will be transferred to the base staging area. New records will be created electronically. The creation of ANG records in non-electronic media is highly discouraged per AFMAN 33-363 and may warrant a re-engineering of the processes that prescribe the creation of hardcopy and paper records. This includes electronic files or data that is maintained on an Air Force approved Electronic Information System (i.e. SharePoint, Guard Knowledge Online, etc.) or locally managed database.

3.1. Inventory. The wing will have one consolidated inventory of records for both electronic and hardcopy files. (T-3). All files, physical and electronic will be added to the Air Force Records Information Management System inventory of records with the location annotated.

3.1.1. Air Force Records Information Management System (AFRIMS).

3.1.1.1. The Base Records Manager will use Air Force Records Information Management System to create and maintain the wing's inventory of records. Sub-divisions should be added to the Air Force Records Information Management System inventory only when files are kept in a different location than the parent files.

Figure 1. Example Air Force Records Information Management System Inventory of Records.

ITEM	TABLE & ROW	DESCRIPTION	LOCATION	RECORD MEDIA	CUT OFF
1	T 33 - 25 R 01:00	Worldwide Military Command & Control System, Threat Documentation, AIS Access Record @ AIS Activity/Facilities	OFFICIAL RECORD DRIVE	ELECTRONIC	NONE
2	T 33 - 42 R 13:00	Staff Meetings and Conference Record and Information Copies Not Filed With Another Series	OFFICIAL RECORD DRIVE	ELECTRONIC	MO
3	T 35 - 01 R 01:01	Public Affairs Releases Originals or Official File Copies (Routine), Card Index File, News Media Visitor Documentation	OFFICIAL RECORD DRIVE	ELECTRONIC	NONE
4	T 35 - 01 R 13:00	Special Events Planning	OFFICIAL RECORD DRIVE	ELECTRONIC	31 DEC
5	T 36 - 33 R 02:00	Special Honors, Trophies and Awards at Initiating Activities. [cont.]	OFFICIAL RECORD DRIVE	ELECTRONIC	31 DEC
6	T 37 - 19 R 23:00	Freedom of Information Act (FOIA) Program	OFFICIAL RECORD DRIVE	ELECTRONIC	NONE
7	T 33 - 17 R 13:00	Photographic Work Orders Electronic and Paper Records	OFFICIAL RECORD DRIVE	ELECTRONIC	NONE
8	T 33 - 44 R 01:11	Temporary Duty Orders to AOR During Conflicts, Peace Maintenance, Disaster Recovery or Similar Activities	OFFICIAL RECORD DRIVE	ELECTRONIC	30 SEP
9	T 36 - 12 R 06:00	Personnel Readiness File (PRF)	VARIOUS OFFICES	PAPER	NONE
9-1		COMMUNICATIONS FLIGHT	BUILDING 26, ROOM 33	PAPER	
9-2		MAINTENANCE GROUP	BUILDING 54, ROOM 2	PAPER	
9-3		OPERATIONS GROUP	BUILDING 26, ROOM 5	PAPER	

3.1.1.2. Roles in Air Force Records Information Management System. The Base Records Manager will be granted access to Air Force Records Information Management System for the maintenance of the inventory of record, auditing tools and staging area inventory. Request access to Air Force Records Information Management System through National Guard Bureau A2/3/6/10CF Records Management site <https://gkoportal.ng.mil/ang/A3/236C/co>.

3.1.2. Finding Aid. To ensure consistency in managing the drive and ensure program integrity, wings should implement the use of a finding aid. Base Records Manager will add T 37 – 19 R 02.00 Files Maintenance and Disposition to the inventory, name the folder so it will display as the first folder on the drive, and store the finding aid in that folder. (See [Figure 4.](#))

3.1.2.1. Manual Finding Aid. The Base Records Manager should export the Air Force Records Information Management System Inventory of Record and add columns to capture additional detail to include the folder number, effective title, Office of Record, Security Group and any additional notes

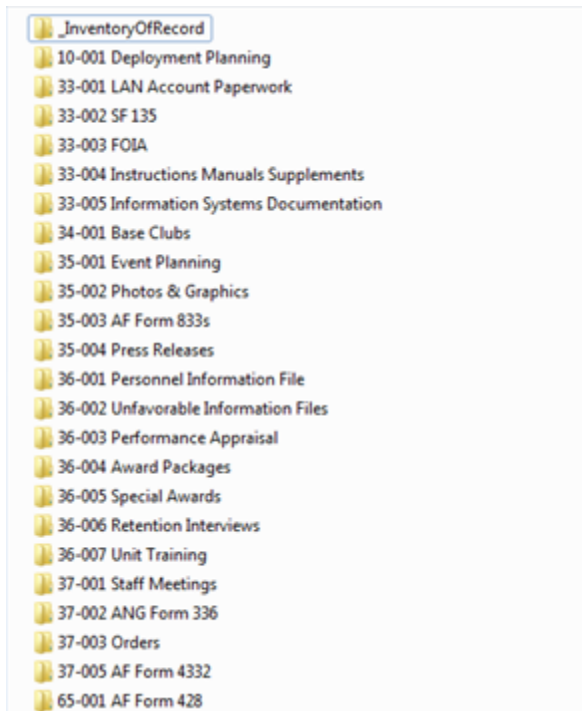
Figure 2. Example Finding Aid.

Item#	Category	Collection Name	Folder number	Folder Title	Office of Record	Classification/Restrictions	Retention Category	Location	Notes
2	1	Worldwide Military Command & Control Systems, Threat Documentation, AID Access	33-001	LAN Access Paperwork	33A SCIS	NLN			Command Support Staff, Security Managers, Corps Flight
3		Record @ AIT Activity/Facilities	33-002	SP 155	33A SCIS	NLN			
4		Retirement, Transfer, or Shipment of Records for Records Placed in Staging Areas	33-003	FOIA	33A SCIS	3 years after release	g		FOIA Monitor, iAG
5		Freedom of Information Act (FOIA) Program	33-004	Event Planning	33A SCIS or PA	4 years from date of event			
6		Special Event Planning	33-005	Product & Strategy	Public Affairs				
7		Photographs and Digital Still Images	33-006	AF Form 883a	PA	2 year after CY performed			
8		9	Photographic Work Orders Electronic and Paper Records	33-007					
9	10	12 T-36 - 12-9 02.00	36-001	Personnel Information File					Inheritance broken at level 2 - Unit Commanders need to approve permissions
10	11	13 T-36 - 14-9 01.00	36-002	Unfavorable Information File	36A USMWD				Inheritance broken at level 2 - Unit Commanders need to approve permissions
11	12	14 T-36 - 12-9 04.00	36-003	Performance Appraisal	USO*	4 years from date of event Destroy after decration is awarded or 2 year after disapproval			Inheritance broken at level 2 - Unit Commanders need to approve permissions
12	13	15 T-36 - 31-9 11.00	36-004	Approved/Unapproved Decorations and Awards at Infantry and Intermediate Monitoring	36A USMWD				
13	14	16 T-36 - 31-9 02.00	36-005	Special Honors, Trophies and Awards and Initiating Activities	36A USMWD	2 year from date			
14	15	17 T-36 - 41-9 11.00	37-001	Staff Meetings and Conference Record and Information Copies Not Filed With Another	37A SCIS	1 year from date of meeting			
15	16	18 T-36 - 44-9 01.00	37-002	Temporary Orders (Originals and Record Copies)	37A SCIS Functional	36 years			
16	17	19 T-36 - 44-9 01.00	37-004	Background Material to Orders	37A SCIS Functional	2 year from FR			
17	18								
18	19								
19	20								
20	21								
21	22								
22	23								
23	24								
24	25								
25	26								
26	27								
27	28								
28	29								
29	30								
30	31								
31	32								
32	33								
33	34								
34	35								
35	36								
36	37								
37	38								
38	39								
39	40								
40	41								
41	42								
42	43								
43	44								
44	45								
45	46								
46	47								
47	48								
48	49								
49	50								
50	51								
51	52								
52	53								
53	54								
54	55								
55	56								
56	57								
57	58								
58	59								
59	60								
60	61								
61	62								
62	63								
63	64								
64	65								
65	66								
66	67								
67	68								
68	69								
69	70								
70	71								
71	72								
72	73								
73	74								
74	75								
75	76								
76	77								
77	78								
78	79								
79	80								
80	81								
81	82								
82	83								
83	84								
84	85								
85	86								
86	87								
87	88								
88	89								
89	90								
90	91								
91	92								
92	93								
93	94								
94	95								
95	96								
96	97								
97	98								
98	99								
99	100								
100	101								
101	102								
102	103								
103	104								
104	105								
105	106								
106	107								
107	108								
108	109								
109	110								
110	111								
111	112								
112	113								
113	114								
114	115								
115	116								
116	117								
117	118								
118	119								
119	120								
120	121								
121	122								
122	123								
123	124								
124	125								
125	126								
126	127								
127	128								
128	129								
129	130								
130	131								
131	132								
132	133								
133	134								
134	135								
135	136								
136	137								
137	138								
138	139								
139	140								
140	141								
141	142								
142	143								
143	144								
144	145								
145	146								
146	147								
147	148								
148	149								
149	150								
150	151								
151	152								
152	153								
153	154								
154	155								
155	156								
156	157								
157	158								
158	159								
159	160								
160	161								
161	162								
162	163								
163	164								
164	165								
165	166								
166	167								
167	168								
168	169								
169	170								
170	171								
171	172								
172	173								
173	174								
174	175								
175	176								
176	177								
177	178								
178	179								
179	180								
180	181								
181	182								
182	183								
183	184								
184	185								
185	186								
186	187								
187	188								
188	189								
189	190								
190	191								
191	192								
192	193								
193	194								
194	195								
195	196								
196	197								
197	198								
198	199								
199	200								
200	201								
201	202								
202	203								
203	204								
204	205								
205	206								
206	207								
207	208								
208	209								
209	210								
210	211								
211	212								
212	213								
213	214								
214	215								
215	216								
216	217								
217	218								
218	219								
219	220								
220	221								
221	222								
222	223								
223	224								
224	225								
225	226								

not need to be numbered or added in Air Force Records Information Management System. Permission will be granted at the top level only, except for a few “by exception” folders. (See [3.2.1.5](#)). IAW AFI 33-332, para 5.4 and DoD 5200.01V4, Page 14, Enclosure 3, Section C. Folders will not be labeled FOUO but instead files. (See [Paragraph 3.2.3.15](#)).

3.2.1.1. To keep like items together, the folders will be named using the functional code (usually the first 2 numbers of the Air Force Records Disposition Schedule table and rule), a three digit numeral, and the effective title that is annotated on the finding aid. (See [Figure 4](#))

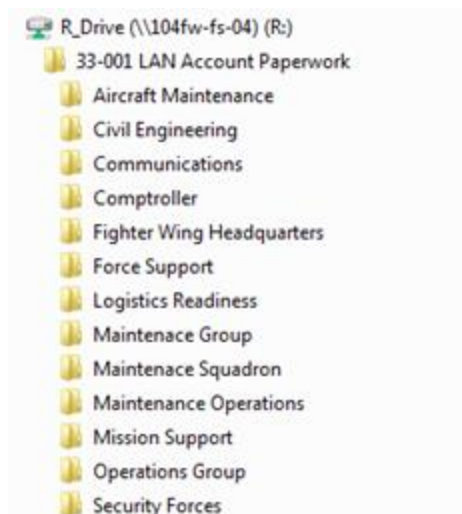
Figure 4. Example of Folder Naming Convention.



3.2.1.2. Effective Titles. The Office of Record will name folders in a consistent, logical, and predictable way to help facilitate the storage and retrieval of files. Folders should have a clear meaning to the organization and give users a clear idea of what is stored in them. Avoid using acronyms, especially ones that have multiple meanings/uses. Avoid excessively long titles and duplicating information already in the top level folder(s).

Figure 5. Effective Titles and Subdivisions.

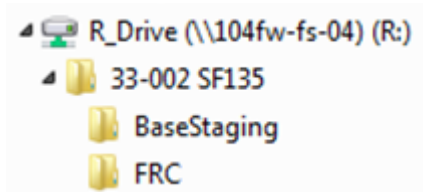
3.2.1.3. Subfolders. For simplicity and ease of navigation, folder depth should not exceed 3 levels (including the top level folder). Subfolders will not be numbered or entered onto the Air Force Records Information Management System inventory of record or finding aid.

Figure 6. Folder depth.**Figure 7. Example of top-level folder with Squadron subdivisions for managing high volumes of records.**

3.2.1.4. Nesting folders. Sometimes it will make sense to nest what would normally be a few top level folders under one program folder. The example below shows how T 37 – 19 R 04.00 Retirement, Transfer, or Shipment of Records for Records Placed in Staging Areas and T 37 – 19 R 05.00 Retirement, Transfer, or Shipment of Records

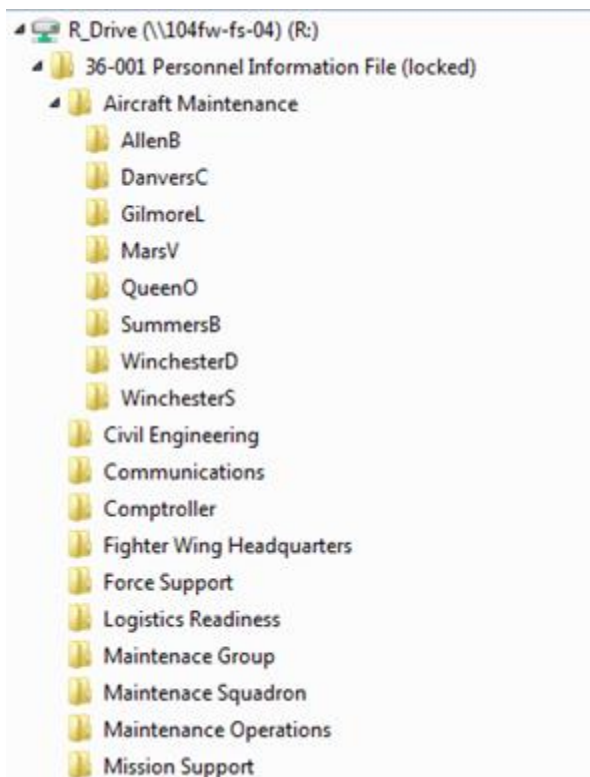
for Records Placed in Records Centers under the SF 135 folder. These files will be listed on the inventory of record with the location noted as the file path.

Figure 8. Example of nested folders.



3.2.1.5. “By Exception” folders. Files will be protected IAW AFI 33-332, *The AF Privacy and Civil Liberties Program*. In instances where folders contain Personally Identifying Information (PII), Health Insurance Portability and Accountability Act (HIPAA), and personal information (e.g. performance appraisals, letters of reprimand), permission inheritance may be broken from the top level folder and security groups created for the sub folder. In most cases the commanders of the organization will approve access requests for their unit’s folders within the top level folder.

Figure 9. “By exception” folder breakdown.



3.2.2. Folder Permissions.

3.2.2.1. Security Groups will follow the naming conventions outlined in TO 00-33D-2001, *AFNET Enterprise Services Naming Conventions*. The security group name should have some indication of the level of permissions afforded that group so any

user can see the group name and know whether it's full control, modify, read only or denied access.

3.2.2.2. Requests for new top-level folders will be sent through the Wing's Communications Focal Point and assigned to the Base Records Manager. The requestor should include the Air Force Records Disposition Schedule Table and Rule the folder will fall under and provide details as to what the files the folder will contain. The Base Records Manager will ensure the Table and Rule doesn't already exist on the Wing's Inventory of Record before creating a new folder. If the Table and Rule does exist, the Base Records Manager will help the requestor and the Office of Record coordinate handling the new files.

3.2.2.3. Requests for permissions to folders will be made through the Wing's Communications Focal Point and assigned to the Base Records Manager. The requestor should be the Office of Record. In cases where the requestor is not the Office of Record the Base Records Manager will coordinate with the Office of Record before making any changes to the security groups.

3.2.3. Files. Apply logical structuring of files within folders relating to projects or issues, keeping things in the same place and making them easy to find. File shares have limitations on file path size and naming criteria. Moreover, file shares have searching limitations when standard naming conventions are not used. Based on these limitations all users must consider the following when working in files shares:

3.2.3.1. Do not use special characters like * : \ / < > | { } [] + = () & \$ % ^, etc.

3.2.3.2. Do not use initials, non-commonly understood acronyms, and non-standard abbreviations.

3.2.3.3. Separate file names with a hyphen or underscore. Users may also use camel case (example PayrollRosters). Avoid the use of spaces, in particular for ANG records which have a permanent retention and will eventually be accessioned to National Archives and Records Administration.

3.2.3.4. Where possible, keep file titles to a single word.

3.2.3.5. Capitalize the entire acronym and the first letter of the following word. (i.e. UTA_Payroll_Rosters.xlsx or UTA Payroll Rosters.xlsx)

3.2.3.6. Omit words that add length to the file but do not add value (e.g. a, an, then, and). Additionally, avoid redundancy in file names and file paths (e.g./.../Airshow/AirshowAssignments.docx). The name should imply the usage such as "Personnel Documents" or "Shared Pictures"

3.2.3.7. Numbers in File Names. Always use a two-digit number, unless it is a year or another number with more than two-digits. This will force the file directory to display the names in alphanumeric order. (e.g. AN01-Smith.pdf)

3.2.3.8. Dates. SharePoint automatically generates and populates "date created" and "last modified" columns. Sometimes it will be necessary to include dates in the file name (example meeting minutes not completed or uploaded until the next day).

3.2.3.9. Dates will always be presented in the YYYYMMDD format. This will keep files maintained in chronological order (e.g. 20150915_Minutes.pdf). Note: Users can set the file to display the documents in ascending or descending order.

3.2.3.10. Recurring event files. Meeting minutes, papers, budgets, reports, etc., will include the dates and the event name or a concise description so the record can be easily retrieved. (e.g. PostalBudgetFY2014-2015.xlsx, 20150917SharePointAnalytics.pdf)

3.2.3.11. Word Order in File Names. The order of the words in the file name should be ordered according to the way the record will be retrieved. For example, meeting minutes and agendas are more likely to be retrieved by date, whereas events would be retrieved by the name of the event rather than the date.

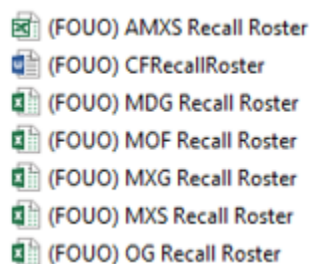
3.2.3.12. Personal Names. Records can only be filed and retrieved by a record subject's name or other identifier when allowed pursuant to a published System of Records Notice (SORN). When files are retrieved by personal name do not use call signs or first names, always use the last name first. (e.g. Doe John.pdf)

3.2.3.13. Correspondence Files. E-mails, letters, and memoranda are often filed as part of a record set. The file names should include the correspondent, the subject (if not evident), the date and whether it was received or sent. (e.g. Smith_J_20150917.msg, Smith J 20150917rcvd.msg, Jones-M-Appeal-20150917.msg) Do not file by name of record subject unless allowed pursuant to a published System of Record Notice.

3.2.3.14. File names may be assigned according to a guideline standard format which begins with an office symbol, program name or other identifying markings. When typing file names, capitalize the first letter of each word and place an underscore between the words.

3.2.3.15. IAW AFI 33-332, para 5.4 and DoDM 5200.01V4, *DoD Information Security Program: Controlled Unclassified Information (CUI)*, Page 14, Enclosure 3, Section C, files containing Privacy Act (PA) or For Official Use Only (FOUO) information must be labeled FOUO (e.g. Privacy Act, HIPAA, etc) at the beginning of the file name. (T-1).

Figure 10. Example of naming convention for files containing FOUO information.



(FOUO) AMXS Recall Roster
(FOUO) CFRrecallRoster
(FOUO) MDG Recall Roster
(FOUO) MOF Recall Roster
(FOUO) MXG Recall Roster
(FOUO) MXS Recall Roster
(FOUO) OG Recall Roster

NOTE: Window Explorer limits the file name to 260 characters/spaces; count starts at first directory. Do not create long title names for documents.

3.2.4. Emails will be filed within the folder of the project to which they pertain. User's back-up folders (.pst) can only be kept on the user's computer (c:\) and are not authorized on the file share.

3.2.5. Higher headquarters publications such as AFIs are not to be placed or stored on network drives or in SharePoint. Instead links or shortcuts should be created to these publications to the official (authoritative) source.

3.2.6. In accordance with DoD 5015.02, records (e.g. Enlisted Performance Reports, training certificates, etc.) that are created in a system should reside within that system for the disposition of that record. Avoid making additional copies to post in environments due to the redundancy and workload requirements of maintaining those records.

3.3. Information maintained on an Air Force approved Electronic Information System (e.g. SharePoint, Guard Knowledge Online, etc.) or database. Tools like Microsoft SharePoint are designed for collaboration for planning purposes and ease of sharing information. However, these are files that must be accounted for on the Air Force Records Information Management System Inventory of Record and maintained IAW the Air Force Records Disposition Schedule. Only current, low risk records with short dispositions -- appointment letters, meeting slides, meeting minutes, project planning -- should be kept on an Electronic Information System and the information management policy settings will be set with the appropriate retention. Sites with inactive information (i.e. an event collaboration site for an event that has already taken place) need to be archived in the appropriate manner. The Base Records Manager should be notified in this instance.

3.4. Hard Copy File Management. All efforts should be made to go digital. Digitally signed files are required to be maintained in the digital format. Printing files with digital signatures invalidates the signature (as there is no way to validate the signature). If hard copy files need to be maintained, the files will be added to the Air Force Records Information Management System inventory of record with the appropriate location annotated. Hard copy files will be kept IAW AFMAN 33-363.

3.5. Retention/Disposition . All files, electronic and hardcopy will be managed IAW, and disposed of IAW the Air Force Records Disposition Schedule in AFRMS and AFI 33-364, *Records Disposition – Procedures and Responsibilities*. No user, at any level will make a personal decision to destroy or keep records.

3.5.1. Cut-off Procedures. Users at all levels should frequently review files that have a retention of "no-longer needed" or "none" to ensure files are deleted when they no longer hold any business value. The Office of Record should be aware of the cut-offs of the folders they own and turn down or delete the files when appropriate. The Base Records Manager is available for assistance and will spot check that proper retention is being practiced as part of auditing.

3.5.2. Automated Cut-off Procedures for electronic records. Wings may develop a process for achieving the same goals by using Windows PowerShell to automate the cut-off procedures.

3.5.2.1. Files kept on Microsoft SharePoint will have the Information Management Policy set on the document library and lists to ensure that the information is kept IAW the Air Force Records Disposition Schedule.

3.5.2.2. For hard copy records destruction units can utilize authorized shredders per the classification of the records being destroyed. Private vendors also offer destruction options that can be utilized as an on-call service or scheduled contract. Base Records Managers need to ensure record destructions are documented (vendor receipt, SF 135 annotated, logged, etc).

4. Training.

4.1. The Office of Record will receive RM training conducted by the Base Records Manager.

4.2. All users will complete initial records training within 6 month of released Air Force RM Training. Training will be required to be completed annually on the anniversary date thereafter.

4.3. Commanders have a responsibility to provide RM Orientation/Awareness for all members that report to them. Base Records Managers will provide Commander Talking Points (e.g. slide deck) to utilize during rollcalls, commander's call, staff meetings, etc. In addition, the commander can request the Base Records Manager to brief section personnel directly.

5. Inspection/Audits. The Base Records Manager will use the ANG Checklist ([Attachment 2](#)) to annually audit and assess the RM process. (Wings may consider using products like TreeSize to help assist with audits). The Base Records Manager will ensure the ANG Management Internal Control Toolset is being used as an ongoing assessment to facilitate effective monitoring of the Wing's RM process. The Base Records Manager will spot check folders throughout the year to ensure the program is being used effectively. Violations of policy (other than PII breaches) will be sent to the Office of Record of the folder for action and a curtesy copy sent to the commanders. Privacy breaches have their own mandated process IAW AFI 33-332.

6. Records Searches/Litigation Holds.

6.1. The Base Records Manager will notify the Commanders that a search/litigation hold has been assigned and search all unit electronically stored information, including active and inactive records, and the hard copy files stored in local staging areas and/or unit records staged at a Federal Records Center.

6.2. The Base Records Manager will also review the Inventory of Records for any hard copy files (coordinating with applicable Office of Records) or proprietary/organizational information systems that may contain relevant information and direct the respective Program Manager for each system to conduct a search using the criteria identified in the search.

6.3. Positive findings will be handled IAW AFMAN 33-363, para A6.1.11.

L. SCOTT RICE, Lieutenant General, USAF
Director, Air National Guard

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

AFI 17-130, *Air Force Cybersecurity Program Management*, 31 August 2015, GM2016-01, 18 Oct 2016

AFI 33-321, *Authentication of Air Force Records*, 3 Aug 2011 (Certified Current July 21, 2016)

AFI 33-322, *Records Management*, 4 Jun 2012, Change 2, May 25, 2017 (Certified Current May 25 May 2017)

AFI 33-332, *Privacy and Civil Liberties Program*, 12 Jan 2015, Change 1, November 17, 2016

AFI 33-364, *Records Disposition – Procedures and Responsibilities*, 22 Dec 2006, Change 1, November 6, 2014, GM2017-01, 25 May 2017

AFI 33-396, *Knowledge Management*, 7 Nov 2014

AFMAN 33-363, *Management of Records*, 1 March 2008, Change 2, June 9, 2016, GM2017-01, 2 June 2017

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

DoDI 5015.02, *DoD Records Management Program*, 24 February 2015, Change 1, 17 August 2017

DoDD 5105.77, *National Guard Bureau*, October 30, 2015

DoDM 5200.01V4, *DoD Information Security Program: Controlled Unclassified Information (CUI)*, February 24, 2012

TO 00-33D-2001, *AFNET Enterprise Services Naming Conventions*, 11 Jan 2017

AF Records Disposition Schedule

Adopted Forms

AF Form 525, *Records Disposition Recommendation*

AF Form 679, *Air Force Publication Compliance Item Waiver Request/Approval*

AF Form 847, *Recommendation for Change of Publication*

Abbreviations and Acronyms

AFI—Air Force Instruction

AFMAN—Air Force Manual

ANGMAN—Air National Guard Manual

IAW—In Accordance With

IT—Information Technology

HIPAA—Health Insurance Portability and Accountability Act of 1996

OPR—Office of Primary Responsibility

POC—Point of Contact

SORN — System of Record Notice

Attachment 2**AUDIT CHECKLIST**

- A2.1.** Is the retention schedule aligned with the folder appropriate?
- A2.2.** Are files being retained IAW the Air Force Records Disposition Schedule?
- A2.3.** Are files of mixed Air Force Records Disposition Schedule/mixed retention together?
- A2.4.** Are the appropriate security groups applied to folders?
- A2.5.** Folders named in a consistent, logical, and predictable way?
- A2.6.** Are file names following the suggested naming conventions?
- A2.7.** Do security groups follow the naming conventions outlined in TO 00-33D-1001?
- A2.8.** Are folders containing FOUO information appropriately locked down to just those with a need to know?
- A2.9.** Is the “by exception” rule only applied to those folders that truly are the exception?
- A2.10.** Are folders that contain essential records identified?
- A2.11.** Are nested folders appropriately identified on the Wing’s inventory of record?
- A2.12.** Is the appropriate Office of Record identified?
- A2.13.** Does the Office of Record conduct a quarterly review of the members of the security groups and notify the Base Records Manager when the review is complete?
- A2.14.** Are cut off procedures being performed on files?
- A2.15.** Are records put into task management tools or workflows on other platforms moved into the approved ERK System?
- A2.16.** Are electronic records added to the Air Force Records Information Management System inventory of records?
- A2.17.** Are hard copy files added to the Air Force Records Information Management System inventory of records and are the location annotated?
- A2.18.** Are emails filed within the folder of the project they pertain to?