

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



**ROBINS AIR FORCE BASE
INSTRUCTION 33-322**

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Communications and Information**

**INSTALLATION RECORDS
MANAGEMENT PLAN**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction documents the Robins AFB Installation Records Management Plan to implement Instruction 33-322, Records Management Program. This instruction outlines responsibilities and procedures unique to Robins AFB, GA, and applies to all RobinsAFB units and tenant units serviced by Robins AFB Records Management Program. This publication may be supplemented at any level, but all direct supplements must be routed to the OPR of this publication for coordination prior to certification and approval. Requests for waivers must come through the chain of command from the commander of the office seeking relief from compliance. Waiver requests must be submitted to the OPR; waiver authority has not been delegated. The waiver approval authority for all compliance items within this publication are at Wing Level (Tier T-3). Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, Recommendation for Change of Publication; route AF Forms 847 from the field through the appropriate functional chain of command. Ensure all records created as a result of processes prescribed in this publication are maintained IAW Air Force Manual (AFMAN) 33-363, Management of Records, and disposed of IAW the Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS). 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. See Attachment 1 for a glossary of references and supporting information.

1. Purpose. As described in AFI 33-322, the Commander/Director has the overall responsibility of implementing the Records Management Program/Plan within their organization. This instruction is the Installation Commander Records Management Plan for Robins AFB, GA.

2. Roles and Responsibilities. The Commander/Director is authorized to designate a Records Inventory Manager (RIM). Recommended minimum grade is GS-07 or E-5 (SSgt). Depending on the size of an organization and to further manage the program, an Office Records Manager (ORM) can be designated to ensure an efficient Records Management (RM) process. See [Attachment 2](#), to assist in designating the RM personnel.

2.1. The Commander/Director will:

2.1.1. Have responsibility for the physical and legal custody of all records within their organization and for ensuring the proper management of all records in accordance with (IAW) the Records Management policies and guidance.

2.1.2. Complete annual training in Advanced Distributed Learning System (ADLS). Current requirement will be to complete the annual role-based training known as the Chief of Office of Record (COR), and Functional Area Records Manager (FARM) or Commander Designated POC Training located AFSPC/CYSS share point <https://cs2.eis.af.mil/sites/13061/Documents1/Forms/Training.aspx>, until new training is published.

2.1.3. Designate in writing a Records Inventory Manager (RIM) to implement the Records Management Program/Plan on their behalf. Provide the designation letters to the Base Records Manager (BRM). Multiple RIMs may be required based on the complexities of the mission and the size of the organization.

2.1.4. The RIM shall have overall understanding of the functions being performed by the organization and the types of records required to accurately document its functional procedures and activities. The RIM will implement all responsibilities within all higher guidance publications for Records Management and this Installation RM plan.

2.1.5. If the appointed RIM is a military member, an alternate civilian is required to ensure coverage during extended periods of absence due to training and/or deployment. Recommend GS-07 or E-5 (SSgt).

2.1.6. Review each records inventory under their purview and digitally sign the records inventory coversheet. The records inventory and coversheet will be downloaded from Air Force Records Information Management System (AFRIMS).

2.1.7. Sign all memos, waivers and plans created to document the compliance or deviations made to the Records Management Program.

2.2. Records Inventory Manager (RIM) on behalf of the Commander/Director will:

2.2.1. Be the primary POC, and will communicate directly with the BRM. It will be the RIMs responsibility to communicate with the Commander/Director on the status of the program.

2.2.2. Create, manage, and maintain ERM folders and paper records IAW AFMAN 33-363, and the *Air Force Electronic Records Management (ERM) Solution Using Existing Resources*, and all other Records Management guidance.

- 2.2.3. Maintain a records inventory in AFRIMS. The RIM will ensure all records and records locations are correctly identified and documented before the BRM will approve the inventory.
- 2.2.4. Ensure all Electronic Records Management (ERM) folders containing Privacy Act and/or Personal Identifiable Information (PII) sensitive documents are marked and locked down with the PA/PII permission group. 78 ABW/SC, System Administrator will create the permission groups when requested thru the Information Technology Service Management (ITSM) tool, located thru the blue star icon on desktop.
- 2.2.5. Review and identify any essential records on the record inventory and document in AFRIMS and provide essential records protection plan.
- 2.2.6. Conduct and document an annual review of all records (paper and electronic) within your purview.
- 2.2.7. Prepare records for staging IAW with AFMAN 33-363 and coordinate with the Staging Manager office.
- 2.2.8. Request access for users to the organization ERM and access to PA/PII folders, as determined. Access requests are processed by submitting a ticket in ITSM. Review as needed to ensure accuracy of user's access. Only those with a need to know will have access to PA/PII folders.
- 2.2.9. Maintain current listing of users with access to unit's ERM.
- 2.2.10. Complete annual training in Advanced Distributed Learning System (ADLS). Current requirement will be to complete the annual role-based training known as the Functional Area Records Manager training (FARM) and Chief of Office of Record (COR) both are now required. Send BRM certificates. Initial training for RIMs, and ORMs, will be scheduled by the BRM. All RM training to be completed within 90 days from assignment date, located in AFRIMS.
- 2.2.11. Provide organizational user training for users within the unit. This is unit specific training. Organizational user training will be conducted upon arrival within the unit and annually thereafter.
- 2.2.12. Submit AF 679, *Air Force Publication Compliance Item Waiver Request/Approval* and submit to the BRM for final approval, as needed. Common waivers include: staging, non- standard supplies, and file coding. Waivers must be reviewed and resubmitted for approval each year.
- 2.2.13. Ensure classified records have been identified and maintained IAW AFMAN 33-363.
- 2.2.14. Ensure a thorough office-wide search for all data calls (e.g. record searches), to include active and inactive, physical and electronically stored final and draft documentary materials for both classified and unclassified. All record search requests must be completed by all affected users and the reported review is documented within AFRIMS by the suspense date given by the BRM.
- 2.2.15. Conducts inspection on each Office of Record at least every 24 months using the AFRIMS Staff Visit module.

2.2.16. Promptly and properly transfer eligible records to the base staging area. Will create the SF 135s utilizing the Staging module in AFRIMS.

2.3. Office Records Managers (ORM) will:

2.3.1. Be a designated POC within an office, flight or section. They will work directly with the RIM to implement and manage the RM Program within their purview.

2.3.2. Ensure records are identified and filed in either paper or electronic form and maintained in approved locations only and is IAW all governing publications for the Records Management Program.

2.3.3. Conduct the annual reviews. Document with annual review memo.

2.3.4. Request, via the RIM, access for users with a requirement for ERM depository.

2.3.5. Ensure all ERM folders containing PA/PII sensitive documents are marked and locked down with the permission group.

2.3.6. Promptly and properly transfer eligible records to the base staging area. Works with the RIM to create the SF 135s utilizing the Staging module in AFRIMS.

2.3.7. Complete annual training in Advanced Distributed Learning System (ADLS). Current requirement will be to complete the annual role-based training known as the Record Custodian training. Send certificate to RIM for update of AFRIMS system.

2.3.8. Assist in training users.

2.4. Users will:

2.4.1. Identified as all government employees whether civilian, active duty, contractors, or reservist.

2.4.2. Use all Records Management tools setup by the BRM, and implemented by the RIM, ORM, or Commander/Director.

2.4.3. Maintain all e-records within the official ERM folders or in approved IT systems only.

2.4.4. Complete all training as directed.

2.4.5. Properly file all records on a regular basis and prior to out-processing from the unit.

3. Training/Orientation/Awareness. All Commanders/Directors, RIMS, and ORMs, will take the following training, as directed:

3.1. Upon appointment of RIMs or ORMs, you will be notified via email by the BRM office to attend the Initial Records Management Class. RM initial training is to be completed within 90 days of assignment to duty. This date is located in AFRIMS. RM CBT training is required prior to set up of new AFRIMS accounts.

3.2. Annual role-based training for the RIM is located in Advanced Distributed Learning System (ADLS) and currently titled Functional Area Records Manager (FARM) and Chief of Office of Record (COR). Both are required to be completed at time of appointment. Both computer based training's (CBT) are required until the new Commander/Directors annual training is created and published. If an ORM is appointed they will take the annual role-based

training titled Records Custodian (RC), until the new training is published. Training for the Commander/Directors will be accomplished thru ADLS known as the Chief of Office of Record (COR), and Functional Area Records Manager (FARM) or Commander Designated POC Training located AFSPC/CYSS share point <https://cs2.eis.af.mil/sites/13061/Documents1/Forms/Training.aspx>, until new training is published.

3.3. ADLS training certificates will be submitted to the BRM.

3.4. BRM will create Initial Records Management training, as directed in AFI33-322.

4. Inspection/Audits. The Commander/Director will ensure the Management Internal Control Toolset (MICT) is being utilized as an ongoing assessment to facilitate effective monitoring of a unit's RM processes. Program requirements will be inspected by the Wing Inspection Team (WIT) and reported through the Inspector General (IG) office.

5. Rules of Engagement. Records Management includes creating, managing, and maintaining government records. The management of information will help to create records needed to do the business of the office, simplify processes and procedures, and create a continuity for the office.

5.1. Records will not be maintained on SharePoint or organizational shared drives. SharePoint is designed to "share" the documents or information. Organizational shared drives can be used for working documents and/or templates. Just remember once a document is signed or project completed, the documents are moved to the official ERM folder and removed from the shared drive. Records will not be maintained on personal equipment or personal drives.

5.2. Electronic records must be maintained in the official Robins ERM or approved IT systems. IT systems must appear as approved in Information Technology Investment Portfolio System (ITIPS) in order to be used as an official location to maintain records.

5.3. All ERM folders containing Privacy Act (PA) and/or Personal Identifiable Information (PII) or sensitive information must be locked down with group permissions. All permission groups are created and maintained by the 78 ABW/SC System Administrator office. RIMs will request the creation of PA/PII groups thru ITSM.

5.4. Records review: The records reviews will be conducted on a monthly, fiscal and/or a calendar year basis.

5.4.1. Monthly: First business day of the month, all monthly disposition table and rules, including 90 day dispositions, will be reviewed and deleted or transferred.

5.4.2. Fiscal year: Starting 1 October all tables and rules that cutoff on a fiscal year basis will be reviewed. Tables and rules noted with (FY) will be transferred from the ACTIVE section into the appropriate year of the INACTIVE section of the paper and electronic record files. This includes the "parent" folder when transferring electronic records and the green guide cards when transferring paper records. Any fiscal year records that have met their disposition will be destroyed at this time. This review must be completed no later than (NLT) 30 October of each year. Document this review with a memorandum for record and file in the #01-File Maintenance section.

5.4.3. Calendar year: Starting on 2 January all other tables and rules, folders, and files must be reviewed no matter the cutoff date. If the fiscal year review was completed correctly, they will be excluded from the calendar year review. Tables and rules noted with (CY) will be transferred from the ACTIVE section into the appropriate year of the INACTIVE section of the paper and electronic files. This includes the “parent” folder when transferring electronic records and the green guide cards when transferring paper records. Any records that have met the disposition can be destroyed at this time. This review must be completed no later than (NLT) 30 January for file inventories containing less than 30 different tables and rules no matter the volume of records kept. Any record inventories containing more than 30 different tables and rules have until 15 February to complete the review. RIMs needing more time, must have written approval from the BRM office. The review must be documented with a perpetual records/annual review memo which will include a listing of all perpetual records on your record inventory. This documents all records have been reviewed and everything is current and update.

5.5. The essential records memo will document that the record inventory review was conducted, the date and by whom. If no essential records were identified, the memo is sufficient; however, any identified records must have an essential records recovery/protection plan in place.

6. Naming Convention for electronic files and attachments . Labeling, naming, and filing conventions for e-records should be short and simple.

6.1. When creating a file name the following should be considered: Create unique file names. Duplicate file names will cause problems. File names should be simple and easy to understand. File names, which include the full server name, shall not exceed 256 characters.

6.1.1. Use only alpha-numeric characters. Avoid using special characters such as: / \$ % & ^ #. \ : < >. Special characters are often reserved for use by the operating system.

6.1.2. Use underscores (_) and dashes (-) to represent spaces. Spaces are often reserved for operating system functions and might be misread.

6.1.3. Use leading zeros with the numbers 0-9 to facilitate proper sorting and file management.

6.1.4. Dates should follow the ISO 8601 standard of YYYY-MM-DD, YYYY_MM_DD, or YYYYMMDD. This maintains chronological order. If dates of creation are used, these can make following retention schedules easier.

6.1.5. Keep the file name as short as possible and always include the three character file extension preceded with a period (e.g., .jpg or .doc) to prevent file corruption.

6.2. Sample Naming Conventions:

Table 1. Alphabetical Naming Convention.

<i>What-is-it_Unit-Office_YYYYMMDD</i>	Explanation
GPCApptLtr_78ABW-SCGCK_20160911	GPC appointment ltr for 78ABW-SCGCK dated 11 Sep 16

Table 2. Chronological Naming Convention.

<i>YYYYMMDD_Unit-Office_What-is-it</i>	Explanation
20160901_78ABW-SCGCK_FacMgrAptLtr	Facility Manager Appt Ltr for 78ABW-SCGCK dated 01 Sep 16
20160916_78ABW-SCGCK_StaffMtgSlides	78ABW-SCGCK Staff Meeting Slides

Table 3. Geographical Naming Convention.

<i>Where-is-it_What-is-it_Unit-Office_YYMMDD</i>	Explanation
Bldg1294_FacMgrAptLtr_78ABW-SCGCK_20160901	Facility Manager Appt Ltr for Building 1294

Table 4. Numerical Naming Convention.

<i>Number_What-is-it_Unit-Office</i>	Explanation
123456_HP-Elitbook_78ABW-SCGCK	HP Elitebook laptop with serial number 123456

Table 5. Organizational Naming Convention.

<i>Unit-Office_What-is-it_YYYYMMDD</i>	Explanation
78ABW-SCGCK_FacMgr-AptLtr_20160901	Facility Manager Appt Ltr for 78ABW-SCGCK dated 01 Sep 16

6.3. ERM Folder Naming Conventions: Records professionals will not be able to mirror all table and rule title descriptions reflected in AFRIMS. They are too long for operating systems. Abbreviate folder names where possible.

6.3.1. Folder numbers will be utilized to agree with the record inventory sequence created in AFRIMS for each office of record.

6.3.2. Title of Folders: 00-AbbriateTbleNmcs_NoSpaces_LmitUseofUndrscor

6.3.3. Subfolders/categories are authorized in ERM but Do NOT have to be reflected on the record inventory in AFRIMS.

LYLE K. DREW, Colonel, USAF
Commander

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

AFI33-322, *Records Management Program*, Certified Current 25 May 2017

AFMAN33-363, *Management of Records*, AFGM2017-01, 02 June 2017

AFI33-364, *Records Disposition-Procedures and Responsibilities*, AFGM2017-01, 25 May 2017

Air Force Electronic Records Management (ERM) Solution Using Existing Resources, 04 Sept 2007

Adopted Forms

SF135, *Records Transmittal and Receipt*

AF Form 847, *Recommendation for Change of Publication*

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

Abbreviations and Acronyms

ADLS—Advanced Distributed Learning System

AFRIMS—Air Force Records Information Management System

BRM—Base Records Manager

CBT—Computer based training

COR—Chief of Office of Record

CY—Calendar year

ERM—Electronic Records Management

FARM—Functional Area Records Manager

FOUO—For Official Use Only

FY—Fiscal year

IAW—In Accordance With

IG—Inspector General

IT—Information Technology

ITSM—Information Technology Service Management

ITIPS—Information Technology Investment Portfolio Suite

MICT—Management Internal Control Toolset

NLT—no later than

ORM—Office Records Manager

PA—Privacy Act

PII—Personal Identifiable Information

POC—Point of Contact

RC—Records Custodian

RM—Records Management

RIM—Records Inventory Manager

SA—System Administrator

SOP—Standard Operating System

TFAT—Total Force Awareness Training

WIT—Wing Inspection Team

Attachment 2

ORGANIZATIONAL CHAIN OF COMMAND

Figure A2.1. Organizational Chain of Command.

