



DEPARTMENT OF THE AIR FORCE  
WASHINGTON, DC

AFI33-322\_DAFGM2025-01  
26 JUNE 2025

MEMORANDUM FOR DISTRIBUTION  
MAJCOMs/FLDCOMs/FOAs/DRUs

FROM: SAF/CN  
1800 Air Force Pentagon  
Washington D.C. 20330-1630

SUBJECT: Department of the Air Force Guidance Memorandum (DAFGM) to Air Force Instruction (AFI) 33-322, *Records Management and Information Governance Program*

By Order of the Secretary of the Air Force this DAFGM implements changes to AFI 33-322, *Records Management and Information Governance Program*, 23 March 2020. Compliance with this memorandum is mandatory. To the extent its directions are inconsistent with other Air Force publications, the information herein prevails, in accordance with Department of the Air Force Instruction (DAFI) 90-160, *Publications and Forms Management*.

This memorandum provides updates to the Records Management program. The Department of the Air Force Records Office (DAFRO) are working on an Interim Change (IC) with more significant updates to the overall program. This GM provides organizations, commanders, and all records professionals with the most significant changes needing to be implemented until the IC is certified and approved.

Changes found in this GM include updating policy and guidance references, specifies record search actions, and modifying responsibilities for Headquarters Cyber Capabilities Center and Base Records Managers.

This memorandum becomes void after one year has elapsed from the date of this memorandum, or upon publication of an IC or rewrite of the affected publication, whichever is earlier.

JENNIFER M. OROZCO, SES, DAF  
Acting Chief Information Officer

Attachment:  
Guidance Changes to AFI 33-322, *Records Management and Information Governance Program*

## AFI33-322\_DAFGM2025-01

### Attachment *Guidance Changes*

**(MODIFY)** Certified by: SAF/CNZ (Mr. James Bishop)

**(MODIFY)** This Air Force Instruction implements Air Force Policy Directive 33-3, *Information Management*. It establishes the Air Force records management program. This publication applies to all civilian employees and uniformed members of the Regular Air Force, United States Space Force, Air Force Reserve, Air National Guard, and government contractors who create or maintain Air Force records. All individuals who are bound to comply with this instruction are hereinafter collectively referred to as “personnel.” This publication may be supplemented at any level, but all supplements must be routed to the OPR of this publication for coordination prior to certification and approval. Send suggestions on AF Form 847, *Recommendation for Change of Publication*, to make comments and suggested improvements in this instruction. The authorities to waive wing, unit, or delta level requirements in this publication are identified with a Tier (“T-0, T-1, T-2, T-3”) number following the compliance statement. See Attachment 10 of DAFMAN 90-161, *Publishing Processes and Procedures*, 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 requestor’s commander for non-tiered compliance items. A reference to an internal paragraph that contains the authority and directions is also permitted. Failure to obey paragraph 6.1.6. constitutes a violation of Article 92(1), UCMJ—failure to obey lawful order or regulation. Article 92(1) of the UCMJ does not apply to members of the ANG while in Title 32 status (that is, activated for state duty under state command), but ANG members may be subject to an equivalent article under a state military justice code. Violations may also result in administrative disciplinary action for civilian and contractor employee personnel. Civilians who violate information records management and information governance policy may be disciplined in accordance with Department of the Air Force Instruction 36-148, *Discipline and Adverse Actions of Civilian Employees*. 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. Ensure all records generated as a result of processes prescribed in this publication adhere to Air Force Instruction 33-322, *Records Management and Information Governance Program*, and are disposed in accordance with the Air Force Records Disposition Schedule, which is located in the Air Force Records Information Management System.

#### **(MODIFY) (Table of Contents) 7.3. Controlled Unclassified Information Files**

**(ADD)** 1.3.4.3. Some DAF organizations may also be involved with records of Mission Essential Functions. Reference Department of the Air Force Instruction 10-208, *Continuity of Operations (COOP) Program*.

**(MODIFY)** 2.2.3.3. Ensure appropriate records professional roles (command records managers, agency record managers and base records managers) must be filled within their organization. **(T-1)**. Must ensure the account information of the commander’s and, if designated, office points of contact, is current, accurate and active in the Air Force Records Information Management

System (AFRIMS). **(T-1)**. Must ensure resourcing of all offices of records. **(T-1)**. Must reconcile and validate on a quarterly basis the account information of the commander, and, if designated, office points of contact, is completed, accurate, and active in the Air Force Records Information Management System. **(T-1)**. Records professionals will have sufficient access to records management systems. **(T-1)**. Role shall be reflected within the relevant job or position description. **(T-1)**. **Exceptions:** authorized for organizations within the National Capital Region that receive records management support through the Headquarters Air Force Records Manager. At Joint Bases where the Air Force is not the Supporting Component, the Supported Component commander shall appoint a base records manager to manage Supported Component records. **(T-1)**.

**(MODIFY)** 2.2.3.5. Will ensure records management data calls, record searches, litigation holds and other requests for information are conducted by each office of record and completed by the assigned suspense date in the Air Force Records Information Management System and/or from the managing attorney. **(T-1)**.

**(MODIFY)** 2.2.3.7.2. Unless the Office of Management and Budget and the National Archives and Records Administration grants an exception request, the National Archives no longer accepts temporary and permanent hardcopy records from federal agencies after 30 June 2024, which is included in the 2018 *Government Reform Plan* and the Office of Management and Budget (OMB) Memorandum M-23-07, *Update to Transition to Electronic Records*. **(T-0)**.

**(MODIFY)** 2.2.3.10.3. Training/Orientation/Awareness: Describe what records management guidance is provided to local users (e.g., lost records prevention and reporting, records searches, and in/out-processing responsibilities with respect to official records). Within the first 60 days of assuming duties, personnel and senior leaders will acknowledge their responsibility in the authorized and unauthorized removal of documents from the organization prior to transitioning or retirement. Discuss how to tailor annual training to users based on their involvement with records in daily operations while adhering to the topics in National Archives and Records Administration Bulletin 2017-01, *Agency Records Management Training Requirements*.

**(MODIFY)** 2.2.4.1. Ensure that information within their custody is available to support effective decisions, meet legal and regulatory data calls, and document official business. Pass on custodianship when appropriate. Users must protect record content and comply with Controlled Unclassified Information, sensitive, Privacy Act, and other policy and legal requirements. Users (including contractors per the contract) must store, file, and manage records consistent with organizational requirements and procedures. **(T-1)**.

**(MODIFY)** 2.2.4.7. Shall protect files and folders containing sensitive, Controlled Unclassified Information, Privacy Act data prior to filing by using appropriate access controls (passwords, group permissions, encryption, least privilege, etc.). **(T-0)**. Reference Air Force Instruction 33-332, *Air Force Privacy and Civil Liberties Program*, and Air Force Instruction 17-130, *Cybersecurity Program Management*, for additional requirements on the storing of electronic records with personally identifiable information and controlled unclassified information on government approved cloud solutions, SharePoint® and shared drives. Safeguard all personal data within records, in accordance with DoD Instruction 5400.11, *DoD Privacy and Civil*

*Liberties Programs.* Protect all personal data within health-related records in accordance with DoD Instruction 6025.18, *Implementation of the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule in DOD Health Care Programs*. Adhere to records access procedures in Privacy Act System of Records Notices to ensure records are provided to those properly authorized, having a valid need to know, and satisfying any other requirements in Air Force Instruction 33-332. Adhere to records request from the general public per DODM 5400.07\_AFMAN 33-302, *Freedom of Information Act Program*.

**(MODIFY)** 2.2.6.5. Review major command and agency directives and forms before publication to ensure compliance with records management directives.

**(ADD)** 2.2.6.5.1. Review Privacy Act System of Records Notices and Privacy Impact Assessments to ensure compliance with records management, including dispositions.

**(DELETE)** 2.2.6.15.3.

**(DELETE)** 2.2.6.15.4.

**(DELETE)** 2.2.6.15.5.

**(DELETE)** 2.2.6.15.6.

**(MODIFY)** 2.2.7.1.4. Identifies commander(s) in the Air Force Records Information Management System. As required, creates and modifies the Air Force Records Information Management System account for the commander(s). Must validate the account information of the commanders and POC(s), if designated, on a quarterly basis. Ensure the account information is filled, current, accurate and active in the Air Force Records Information Management System. **(T-1)**. Reconcile user accounts and delete inactive accounts after one year. **(T-1)** Air National Guard base records managers follow Air National Guard Manual 33-363, *Management of Air National Guard Records*, for account creation.

**(MODIFY)** 2.2.7.1.5. Shall investigate incidences of lost records and unauthorized destruction of records, and provides a report of this activity as directed. **(T-1)**. Provides guidance and assistance to reconstruct lost or destroyed records and makes recommendations to management on preventing future records loss. Validates training completion for all involved in the chain of custody when reporting lost or damaged records. Shall explore ways to prevent lost records situations, establish general shredding procedures, use removable labels and tags on boxes, and generate a continuity plan to be reviewed regularly.

**(MODIFY)** 2.2.7.1.6. Reviews base directives and forms before publication to ensure compliance with records management directives. Shall conduct Staff visits to organizations/units under their purview every two years. **(T-1)**. Upload the final results into AFRIMS, and notify the commander.

**(ADD)** 3.2.2.1. Users who do not access their Air Force Records Information Management System account after an allotted timeframe will have their accounts automatically placed in Inactive status. Users will work with their Base Records Managers to re-activate their account.

**(MODIFY)** 3.3.1. Inventory of records titles and folder subtitles will not contain sensitive, classified, Controlled Unclassified Information, or Privacy Act information. From the Air Force Records Information Management System, inventories of record replicated on electronic records management shared drives containing folders with sensitive information/records must include the appropriate marking in the folder title. **(T-1)**. Restrict access to users with approved authority (to include clearance), an official need to know, and any additional requirements (e.g., a signed non-disclosure agreement). Review and properly place personnel in the appropriate permission groups in the applicable inventory of records to allow access to electronic records needed for business purposes. Primary folder titles reflect the inventory of records title; sub-folders are not numbered to allow project naming and alphabetical sorting by the action officers and are not reflected on the inventory of records. Sub-folders will contain only the record types described in the table and rule of the primary folder. **(T-1)**. Segregation of records by disposition is required by the National Archives. The commander or base records manager will approve the inventory of records. **(T-1)**.

**(MODIFY)** 3.4.12. Text messages on government owned/issued devices that conduct government business are records per the Federal Records Act of 1950 and Presidential and Federal Records Act Amendments of 2014. As such, all business-related text messages must be filed in the appropriate electronic records keeping system. **(T-0)**. Text messages are not authorized for use when conducting government operations. All members will use an electronic service provided by the DAF for all messaging. **(T-0)**. If a record occurs in text, it is permissible to do so by using the screen shot feature on the mobile device and forwarding the file via e-mail for filing to the appropriate inventory of record, or by any other authorized means. The commander ensures the transfer of records to the electronic records keeping system is accomplished within 48 hours.

**(ADD)** 3.4.12.1. When generating information online and/or sending/receiving information using official or personal electronic messaging services, information will compliance with: (1) Chapters 31 and 33 of Title 44, U.S.C., *Records Management by Federal Agencies* (2) DoDI 5015.02, *DoD Records Management Program* (3) DoDI 8170.01, *Online Information Management and Electronic Messaging* (4) Air Force records management policies and procedures. Consistent with Section 2911 of Title 44, U.S.C., an officer or employee of an executive agency may not create or send a record using a nonofficial electronic messaging account unless such officer or employee: (1) Copies an official electronic messaging account of the officer or employee in the original creation or transmission of the record; or (2) Forwards a complete copy of the record to an official electronic messaging account of the member after the original creation or transmission of the record. **(T-0)**.

**(ADD)** 3.5.4. Requests for removal of non-record materials outside of the Department of the Air Force must be reviewed by the proper Department of the Air Force authority. **(T-1)**. Unclassified documents, including e-mail, are not automatically publicly releasable.

**(ADD)** 3.5.5. Maintain accountability of Department of the Air Force records when they are loaned and transferred to other DoD components or federal agencies. Accept possession and management responsibility when the loaned records are returned to the Department of the Air

Force. Continue life-cycle management of the records per Department of the Air Force Records Disposition Schedule outlined within AFRIMS.

**(MODIFY) 4.1. Electronically Stored Information**

This chapter describes the particulars of managing Electronically Stored Information throughout all phases of its lifecycle to include innovating records management solutions, with a future focus on the Microsoft 365 environment known as DAF365. Electronically Stored Information is subject to the regulations and guidance that govern all records, as well as some that pertain to Electronically Stored Information. These are published to address issues associated with the preservation and production of all information in digital form. See Chapter 9.

**(ADD) 4.2.4.** Users maintain non-records on a government approved Cloud solution such as Microsoft Teams file share, SharePoint Online, and OneDrive. Storing non-records on local shared drives is discouraged since that capability is subject to being decommissioned. Defined in paragraph 1.3.7, non-records include reference material, working files, drafts, collaboration files. **Note:** Microsoft Teams should not be utilized as the primary ERM solution until more guidance and business rules can be established.

**(MODIFY) 4.6.2.3.** Base records managers can create e-staging areas to hold e-records of long-term temporary retention and permanent retention. Units will complete Standard Form 135s, to reflect the e-records of which the base records manager has taken custody.

**(MODIFY) 4.9.2.** Reference National Archives Bulletin 2014-02, *Guidance on Managing Social Media Records*, <https://www.archives.gov/records-mgmt/bulletins/2014/2014-02.html> and *NARA White Paper, Best Practices for the Capture of Social Media Records*, <https://www.archives.gov/files/records-mgmt/resources/socialmediacapture.pdf> provide insights into responsibilities involving social media. Also, reference Social Media Education and Training, <https://dodcio.defense.gov/Social-Media/SMEandT/#records>.

**(MODIFY) 5.1.1.** Due to the OMB M-19-21 and OMB M-23-07, base staging facilities should have closed as of 30 June 2024. **(T-0).** Beginning 1 July 2024, all other legal transfers of permanent records must be in electronic format, to the fullest extent possible, regardless of whether or not the records were originally created in electronic formats. **(T-0).** Digitize permanent records in analog formats before transferring to the National Archives in accordance with its regulations and guidance, including metadata requirements and digitization standards. Unless granted a waiver or exception to the United States Office of Management and Budget and the National Archives mandate, use commercial storage facilities to store temporary analog records in inactive status and permanent analog records prior to accessioning to the National Archives. **(T-0).**

**(DELETE) 5.1.2.**

**(MODIFY) 5.4.3.** Transfer of Records. The organization transferring records to a staging area prepares Standard Form 135 in the Air Force Records Information Management System. The organization prepares an index or inventory list for each box to be shipped to a federal records center. The base records manager uses the Air Force Records Information Management System

to manage, accept, and retrieve staging area records. The base records manager will place a copy of the Standard Form 135 in the first box of each transfer before placing on the shelf. For boxes being shipped to a federal records center, the base records manager will use Archives and Records Centers Information System (ARCIS).

**(MODIFY)** 6.1.2.5.3. If storing records at another Air Force base is not an option, the Air Force Records Officer will contact National Archives and Records Administration, Office of Federal Records Center Operations to determine which regional record center near the closing base will retire/accept the temporary records. Due to the 30 June 2024 deadline in the OMB M-23-07, consider National Archives-approved commercial storage, <https://www.archives.gov/records-mgmt/storage-standards-toolkit/commercial-records-storage-facilities-by-state>.

**(MODIFY)** Table 6.1. (Only Note 7 replace)

Note 7: Transfer records prior to 30 June 2024 to the fullest extent possible. Due to the OMB M-23-07, the National Archives will no longer accept hardcopy records after 30 June 2024, and base staging facilities must be closed by 30 June 2024. <b>(T-0)</b> . Possible options after 2024 include digitizing the hardcopy records or shipping the hardcopy records to a National Archives approved commercial vendor.
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**(MODIFY)** 6.1.7.2. Destroy classified information according to Department of Defense Manual 5200.01-V3, *DoD Information Security Program: Protection of Classified Information*, sensitive unclassified information (to include Privacy Act, Controlled Unclassified Information, privileged, or proprietary information) and personal records that, according to responsible officials, contain information that might be damaging 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.

**(MODIFY)** 6.1.8.6. Records and Controlled Unclassified Information. See Department of Defense Manual 5200.01-V3.

**(MODIFY) 7.3. Controlled Unclassified Information Files**

Do not separate records and files carrying the Controlled Unclassified Information protective marking. Pack and ship them with unclassified records.

**(MODIFY)** 8.1.1.3.2.2. Forms managers must be consulted in advance to analyze any data collection tools that project officers have determined feasible and reliable for digital signature, vice physical signature. **(T-1)**. Additional guidance can be found in DAFI 90-160.

9.2. Responsibility for Search. Responsibilities for conducting searches, collecting and preserving relevant information, and reporting results are shared among the records professionals, the Department of the Air Force Records Officer, and Record Holders within identified organizations. In accordance with Air Force Judge Advocate internal guidance, Department of the Air Force legal representative and/or authorized designee will submit request for Electronically Stored Information directly to the designated Air Force Network focal point

and, if required, the Defense Information Systems Agency focal point, to initiate search actions based on criteria outlined in litigation hold document. **(T-1)**.

**(MODIFY)** 9.2.4. Base records managers serve as the local point of contact and authority for the search, collection, and preservation procedures of the discovery/litigation hold process. Base records managers will monitor and track records searches and coordinate with respective units to close searches by suspense date. **(T-2)**.

**(DELETE)** 9.2.6.

**(MODIFY)** 9.3.1. Records professionals will provide guidance to Record Holders on procedures to search assigned workspaces and their assigned desktop/laptop computers for potentially relevant information. **(T-1)**. A link to procedures on how to perform a search of assigned computers and Microsoft Outlook files will be included at the bottom of the details portion of all record searches loaded in the Air Force Records Information Management System. **(T-1)**. Records professionals and commander designated records point of contacts will follow-up to ensure searches are completed by each tasked organizations and responses are completed and annotated in Air Force Records Information Management System by the suspense date. **(T-1)**.

**(DELETE)** 9.7.1. Within given authorities for Air Force networks, Air Combat Command Headquarters Cyberspace Capabilities Center will direct the execution of Air Force network searches for all Air Force network electronically stored information of the pertinent organizations or individuals, based on search terms and criteria defined in Litigation Hold requests. **(T-1)**.

**(MODIFY)** 9.7.5.8. The base records manager will monitor, track, and reconcile units' responses reporting results in the Air Force Records Information Management System. **(T-1)**. The base records manager will coordinate with respective units to ensure reporting in the Air Force Records Information Management System suspense dates are completed and met. **(T-1)**.

**(MODIFY)** 9.7.6.4. Commanders or records professionals will report search results in the Air Force Records Information Management System whether positive or negative in accordance with the Litigation Hold memorandum and any unique procedural requirements. **(T-1)**. The response shall identify the individuals and organizations who conducted searches, locations searched, and search methodology (e.g. search terms, date range). **(T-1)**. Positive findings require a separate entry for each potentially relevant item of information to include comments that provide the point of contact and location of the information. Alternatively, the Air Force legal representative may make available a separate Acknowledgement Memorandum and/or Litigation Hold Worksheet to be completed by each record holder tasked to conduct a search. The litigation worksheet and Acknowledgment Memorandum may be provided in hyperlink associated with the Litigation Hold request. All fields must be completed in the Air Force Records Information Management System to include name of document or file located as result of search and type; who maintains possession, custody, or control; size; unit of measurement; media; date of item; releasability; and preservation. **(T-1)**. The response in the Air Force Records Information Management System should include all information located by organizational personnel and any record holder tasked to conduct a search.



**(MODIFY)** 9.7.7.2. Record Holders will certify their search process and results by documenting search methodology (e.g. locations searched, search terms, date range) and describing search results (e.g. type of document, storage location). **(T-1)**. Unless otherwise instructed, Record Holders will report search results to the commander or record professional using the Litigation Hold Acknowledgment and the Litigation Hold Worksheet provided by the Air Force legal representative to document their efforts. **(T-1)**.

**(DELETE)** Air Force Instruction 33-360, *Publications and Forms Management*, 1 December 2015

**(ADD)** DoD Instruction 5400.11 – *DoD Privacy and Civil Liberties Programs*

**(DELETE)** Department of Defense Manual 5200.01, *Volume 4, DoD Information Security Program: Controlled Unclassified Information (CUI)*, 24 February 2012

**(ADD)** DoD Instruction 6025.18 – *Implementation of the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule in DOD Health Care Programs*.

**(ADD)** DoDI 8170.01 – Online Information Management and Electronic Messaging

**(ADD)** Department of the Air Force Instruction 90-160, *Publications and Forms Management*, 14 April 2022

**(ADD) A23.1. Tribal Consultation.** Per the Department of Defense, Federal agencies are directed to respect tribal government and sovereignty, honor tribal treaty rights, and strive to meet the Trust Responsibility. Executive Order 13175 directs federal agencies to develop a process to ensure meaningful and timely input from tribes in consultations regarding proposed projects or regulations affecting tribal lands or other interests.

All records schedules originally certified and submitted on or after 1 August 2021, must be accompanied by additional information regarding Tribal consultations. Each records schedule submitted after this date must include a separate written communication (see below) indicating that the agency has undertaken Tribal consultations where needed as required under Executive Order 13175 Consultation and Coordination with Indian Tribal Governments. **(T-0)**.

NARA requires agencies to complete this consultation prior to submitting schedules. Agencies are in the best position to determine whether a records schedule, as a reflection of agency business practices and processes, has an impact on Tribal interests. Air Force agencies should consult the business units whose records are being scheduled, their designated Tribal Consultation Coordinator, as well as their agency's General Counsel as needed in making determinations pertaining to Tribal consultations.

To proceed with processing, NARA requires the following information to be transmitted by the Agency Records Officer separately via email to your assigned appraisal archivist:

- Schedule Number (DAA Number), Schedule Subject Title, Certification Date; and a statement that the schedule does not have any Tribal implications per Executive Order

13175; example: Include statement in proposed coordination process: (For Example) To my knowledge, I affirm this publication does not impact a “574 Federally Recognized Tribal” entity as it relates to administrative, legal and/or geographic encroachment...”.

If the agency has determined that the schedule does have tribal implications, indicate the results of the tribal consultation:

- Did the schedule change in a substantive way, and if so, how?
- Were there any outstanding unresolved issues? If so, provide details about the unresolved issues and to which schedule items they pertain to.

Department of the Air Force members who are creating or modifying a records disposition schedule pertaining to activities involving tribes per Department of the Air Force Instruction 90-2002, *Interactions with Federally Recognized Tribes*, will coordinate with the Assistant Secretary of the Air Force for Installations, Environment, & Energy representative and/or the Department of the Air Force Tribal Liaison Officer.

## **Glossary**

**(DELETE)** For Official Use Only—A protective marking to be applied to unclassified information when disclosure to the public of that particular record, or portion thereof, would reasonably be expected to cause a foreseeable harm to an interest protected by one or more provisions of the Freedom of Information Act. This includes information that qualifies for protection pursuant to the provisions of the Privacy Act of 1974, as amended. See Department of Defense 5400.07 AFMAN 33-302, for detailed information on categories of information that may qualify for exemption from public release.

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



**AIR FORCE INSTRUCTION 33-322**

**23 MARCH 2020**

*Incorporating Change 1, 28 JULY 2021*

**COMMUNICATION AND  
INFORMATION**

**RECORDS MANAGEMENT AND  
INFORMATION GOVERNANCE  
PROGRAM**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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**ACCESSIBILITY:** Publications and forms are available for downloading or ordering on the e-Publishing web site at [www.e-Publishing.af.mil](http://www.e-Publishing.af.mil).

**RELEASABILITY:** There are no releasability restrictions on this publication.

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OPR: SAF/CNZA

Certified by: SAF/CNZ,  
(Ms. Wanda Jones-Heath)

Supersedes: AFI33-321, 3 August 2011;  
AFI33-322, 4 June 2012; AFMAN33-363; 1  
March 2008; AFI33-364, 22 December 2006

Pages: 97

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This Air Force Instruction implements Air Force Policy Directive 33-3, *Information Management*. It establishes the Air Force records management program. This publication applies to all civilian employees and uniformed members of the Regular Air Force, Air Force Reserve, Air National Guard, and government contractors who create or maintain Air Force records. All individuals who are bound to comply with this instruction are hereinafter collectively referred to as “personnel.” This publication may be supplemented at any level, but all supplements must be routed to the OPR of this publication for coordination prior to certification and approval. Send suggestions on AF Form 847, *Recommendation for Change of Publication*, to make comments and suggested improvements in this instruction. 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*, 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 requestor’s commander for non-tiered compliance items. A reference to an internal paragraph that contains the authority and directions is also permitted. This instruction sets forth penalties associated with unauthorized concealment, removal, mutilation, obliteration or destruction of records without proper authority that are applicable to civilian and military personnel, including the Air Force Reserve and Air National Guard. Violations by Title 32 Air National Guard military personnel

may subject them to prosecution under their respective State Military Code, or result in administrative disciplinary action without regard to otherwise applicable criminal or civil sanctions for violations of related laws. Violations may also result in administrative disciplinary action for civilian and contractor employee personnel. Civilians who violate information records management and information governance policy may be disciplined in accordance with Air Force Instruction 36-704, *Discipline and Adverse Actions of Civilian Employees*. 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.

Ensure all records generated as a result of processes prescribed in this publication adhere to Air Force Instruction 33-322, *Records Management and Information Governance Program*, and are disposed in accordance with the Air Force Records Disposition Schedule, which is located in the Air Force Records Information Management System.

### ***SUMMARY OF CHANGES***

This interim change revises AFI 33-322 by (1) introducing the concept of zero trust, (2) adding the access control of least privilege for records in shared drives and other electronic environments, (3) adding information about records freezes, and (4) updating the Litigation Hold ESI request process. A margin bar (|) indicates newly revised material.

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## Chapter 1

### RECORDS MANAGEMENT OVERVIEW

**1.1. Purpose.** Records serve a vital role in documenting the Air Force mission: providing evidence and accountability of the organization, function, policy, and procedures to the public, congress, and the Department of Defense; ensuring important information is available to support effective decision making, thus enhancing readiness and lethality; protecting the legal rights of the Air Force and the public. Records are created and received by military, civilian, and contractor personnel to document official business, serve as memory of the organization, provide a record of past events, and serve as the basis for future actions.

1.1.1. Records management includes planning, controlling, directing, organizing, training, promoting, and additional managerial activities involved with respect to records creation, maintenance, use, and disposition. It involves preserving, setting up safeguards against illegal removal, loss, or destruction of records and promptly and systematically disposing records of temporary value. Records management is a subset of information governance, the policy-based control of information to meet all legal, regulatory, risk, and business demands. Records management is also a part of the information access programs, areas which involve the collection, use, search, protection, accessibility, and disposal of information.

1.1.2. The International Organization for Standardization established standards for records management such as International Organization for Standardization 15489, *Information and Documentation - Records Management*, April 2016, underlying several areas of National Archives and Records Administration guidance of which the Air Force must comply, information available at <https://www.archives.gov/records-mgmt/policy/requirements-guidance.html> (T-0). Announced by the Secretary of Defense in 2017, the Chairman of the Joint Chiefs of Staff introduced Information as a new, seventh joint function.

**1.2. Federal and Departmental Guidance.** The Air Force records management program is governed by laws, regulations, and policies from the Federal Government, specifically the National Archives and Records Administration, Department of Defense, and the General Services Administration. See references in [Attachment 1](#).

**1.3. Records.** Records include all recorded information, regardless of form or characteristic, made or received by a federal agency under federal law. In addition, records are created and received in connection with the transaction of public business and preserved or appropriate for preservation an agency or its legitimate successor as evidence of the organizations functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them. Records do not include library and museum material made or acquired and preserved solely for reference, exhibition purposes or duplicate copies of records preserved only for convenience. Information in any medium can be a record, and this includes information created or received by the Air Force in contingency or wartime operations, as well as in all routine and peacetime business. Electronic media is required for the creation, use, storage, and management of Air Force records. Drafts can be altered but official records cannot. To determine if documentary material or electronic mail (e-mail) meets the definition of an official record, see [Attachment 3](#). Official records belong to the Air Force and not to the individual who created or received the records. There is no distinction between “record” and “official record” in this publication.

1.3.1. A records disposition gives the Air Force legal authority to dispose of Air Force records when no longer needed for government business. The Archivist of the United States at the National Archives and Records Administration approves the records dispositions of federal records. The Air Force Records Disposition Schedule is the list of all Archives-approved records dispositions for the Air Force.

1.3.2. Removal and destruction of official records by Air Force members will be accomplished in accordance with the Air Force Records Disposition Schedule, or other directives authorized in this instruction (such as a records freeze). **(T-1)**. Personnel must dispose of classified records in accordance with Department of Defense Manual 5200.01-V3, *Department of Defense Information Security Program: Protection of Classified Information*. **(T-0)**.

### 1.3.3. Categories of Records

1.3.3.1. Temporary records. Temporary records are those approved by the National Archives for either immediate disposal or for disposal after a specified time or event. The vast majority of Air Force records are temporary.

1.3.3.2. Permanent records. Permanent records are those that have been determined by the Archivist to have enduring value as documentary evidence of the organization and functions of the Air Force. Permanent records are accessioned (e.g., transfer of legal ownership from the Air Force to the National Archives) for preservation to the National Archives.

1.3.3.3. Unscheduled Records. Unscheduled records are those that do not have an approved legal disposition and are treated as permanent until covered by an approved records retention.

1.3.4. Essential records. The federal essential records program includes two basic categories: (1) emergency operating records and (2) legal and financial rights records. Essential records can be original records or copies of records.

1.3.4.1. Emergency operating records. Records that an organization requires to continue functioning or to reconstitute operations after an emergency. They include emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, select program records required to continue the most vital agency operations, related policy or procedural records for the conduct of operations under emergency conditions, records required to resume normal operations after an emergency, records necessary for military efforts and mobilization, records required for protection of material, personnel, services, systems, public health, safety, and order; and those needed to conduct defense support to civil authorities. Emergency operating centers must keep essential records instantly available. **(T-1)**.

1.3.4.2. Legal and financial rights records. These records protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include payroll, insurance, retirement, and valuable research records. Transfer hardcopy legal and financial rights records to a Federal Record Center (FRC) by contacting the base records manager. Standard Forms 135, *Records Transmittal and Receipt*, or other documents (such as box inventories) that transfer essential records to a federal records center are themselves considered essential records since they preserve the record of the transfer.



1.3.5. Records other than paper or electronic medium. Examples of non-electronic records include audiovisual records, x-rays, cartographic records, microform records, etc. The same general principles of record evaluation and the specific disposition instructions prescribed in the Air Force Records Disposition Schedule apply regardless of physical form or characteristics of the medium. See **Notes** 212, 213, and 214 in the tables and rules located in the Air Force Records Disposition Schedule for various dispositions of temporary records allow for media neutrality; that is, dispositions originally approved for temporary records in hardcopy media can also be used to dispose the same type of temporary records in non-paper media (e.g., electronic records with a temporary disposition).

1.3.6. Records created under a contract. This instruction applies to government contractors who create or maintain Air Force records. The government office of primary responsibility/program manager outsourcing a records management function shall include this instruction and its requirements in the contract statement of work, performance work statement, statement of need, or similar document. Reference the National Archives' "*Records management Language for Contracts*," <https://www.archives.gov/records-mgmt/policy/records-mgmt-language> (T-1). Contractor functions should identify personnel to be trained. When no records professional is assigned or identified, the contractor quality assurance evaluator is responsible for all lifecycle record management and all duties assigned to the records professional.

1.3.6.1. 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. (T-1).

1.3.6.2. Before identifying background data that contractors must deliver to the government, program and contracting officers must coordinate with stakeholders. (T-1). These include records and information managers, historians and other United States Government agencies as appropriate. This is to ensure that all government needs are met, particularly when the data supports new missions or programs.

1.3.6.3. When the background data includes records, the contractor must deliver enough technical documentation to allow the Air Force or other agencies to use the data. (T-1).

1.3.7. Non-record. Non-record materials are those federally-owned informational materials that do not meet the statutory definition of records or that have been excluded from coverage by definition. Reference "Nonrecords Materials" section <https://www.archives.gov/records-mgmt/scheduling/id> for more information. Although non-records are not governed by the rules of records management, offices must still manage their non-record material appropriately, especially those with personally identifiable information, to minimize breaches, redundant, obsolete, and/or trivial information. (T-1).

1.3.7.1. Personal Records. Personal records are documentary materials belonging to an Air Force member that are not used to conduct agency business. Reference "Personal Papers" section in <https://www.archives.gov/records-mgmt/scheduling/id> 1 for more information. Keep personal records separate from Air Force records. Do not include classified information in personal records. Maintain and dispose of correspondence designated "personal" or "private" but relating to the conduct of public business.

1.3.7.1.1. Personal Copies of Records and Non-record Materials. When leaving Government service, personnel may take copies of particular agency papers, working papers, and non-record materials, particularly if they plan to continue working in the same field or write memoirs. If personnel have not been maintaining extra copies of documents, the agency may arrange to make selected, preapproved copies for them prior to their departure. Reference section **3.5.1.1**

1.3.7.1.2. 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. **Exception:** Donated papers must not contain classified material or compartmented, restricted data, or once restricted data. Donors who qualify according to Department of Defense Manual 5200.01-V3, may be granted access to classified material. **(T-0).**

1.3.7.2. Private Civilian and Military 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 within the scope of this instruction. See Air Force Policy Directive 34-1, *Air Force Services*, for additional details on private organizations.

1.3.8. State Records. These records are created by military members, most specifically Air National Guard members, in performance of state-funded activities and belong to the state funding activity. When there is contention or ambiguity regarding ownership of records created by the Air National Guard, the Guard unit's base records manager will contact the Air National Guard Command records manager for guidance. **(T-1).** If necessary, the Air National Guard will coordinate with the Air Force Records Officer and any applicable command records manager. **(T-1).** State or federal records pertaining to Regular Air Force or Air Force Reserve issues should be directed to the command records manager.

## Chapter 2

### RECORDS MANAGEMENT RESPONSIBILITIES

#### 2.1. Organizations.

2.1.1. Air Force units at all levels are required to document their organization's functions, policies, procedures, and activities, and such documents are considered records. These records must be preserved by implementing effective life cycle management procedures and must be managed consistently to ensure they are complete, accurate, trustworthy, and easily accessible. **(T-1)**. Every Air Force activity must manage its records to comply with legal accountability requirements (for example, audits, records searches due to litigations, protection of rights). **(T-1)**.

2.1.2. The key to an effective records management program is the identification, storage, search, retrieval, protection, and disposition of records. Ownership on the part of every Air Force member coupled with commander's involvement is essential.

2.1.3. All Department of the Air Force members must effectively manage and protect Air Force records, information, and data. **(T-0)**. Recorded information shall remain protected while at rest, in use, and in leaving the endpoints, applications, infrastructure, and networks within the control of the organization. **(T-0)**. To ensure protection and to restrict access to authorized users, recorded information shall be inventoried, classified, labeled, and encrypted where appropriate. **(T-0)**. Ensure a sound governance strategy to retain, store, archive, delete recorded information in a compliant manner to manage it effectively to enable and support a zero trust environment. **(T-1)**. Zero trust is a data and application access strategy that assumes all resource requests originate from an untrusted source. Access is granted for each request only after confidence – in both the user and device – is established through identity verification and connection context attributes.

#### 2.2. Formal Roles and Responsibilities.

2.2.1. The Air Force Chief Information Officer has overall responsibility for the Air Force Records Management Program.

2.2.2. The Senior Agency Official (SAF/CNZ) for Records Management, appointed by the Chief Information Officer, is responsible for ensuring the Air Force efficiently and properly complies with all applicable records management statutes, regulations, and policies.

2.2.3. Commanders. Commanders and civilian directors at all levels must implement the records management program for their organizations as outlined below in this section. **(T-1)**. They are responsible for the physical and legal custody of all records within their organization to include monitoring compliance of legal and regulatory requirements. Commanders and directors shall:

2.2.3.1. Organizations shall create mission-related records, promptly stage eligible records, and dispose temporary records and transfer permanent records according to the Records Disposition Schedule. **(T-0)**. Determine records access and enforces records management compliance.

2.2.3.2. Must coordinate with records professionals at all levels to obtain resolution of records management issues at organizations within purview. **(T-1)**.

2.2.3.3. Ensure appropriate records professional roles (command records managers, agency record managers and base records managers) must be filled within their organization. (T-1). Records professionals will have sufficient access to records management systems. (T-1). Role shall be reflected within the relevant job or position description. (T-1). **Exceptions:** authorized for organizations within the National Capital Region that receive records management support through the Headquarters Air Force Records Manager. At Joint Bases where the Air Force is not the Supporting Component, the Supported Component commander shall appoint a base records manager to manage Supported Component records. (T-1).

2.2.3.4. Will work directly with their appropriate records professional to ensure the integrity of their organization's records management program. (T-1). Will ensure the base records manager is appropriately aligned to accomplish wing-level tasks. (T-1).

2.2.3.5. Will ensure records management data calls, record searches, litigation holds and other requests for information are conducted and completed per this instruction and as defined requirements in the Air Force Records Information Management System or by the managing attorney. (T-1).

2.2.3.6. Will ensure proper management of classified records, including sensitive compartmental information, and that all activities possessing classified records comply with Air Force records management data calls and records searches. (T-1). As needed, commanders will ensure appropriate personnel have the necessary access to exercise oversight. (T-1).

2.2.3.7. Ensure storage facilities comply with Title 36, Code of Federal Regulations, Part 1234, *Facility Standards for Records Storage*, current edition; if an installation commander maintains a staging facility for the temporary storage of hardcopy records pending destruction or transfer to a federal records center, including the centralized storage of electronically stored inactive records (T-0).

2.2.3.7.1. If the staging facility is unable to comply, commanders shall ensure risk mitigation procedures are in place to preserve the records from damage, loss, unauthorized access and destruction. (T-1). In such cases, commanders will submit a risk management plan and update the command records manager within 60 calendar days of taking command. (T-1).

2.2.3.7.2. The National Archives and Records Administration will no longer accept temporary and permanent hardcopy records from federal agencies after 31 December 2022, which is included in the 2018 *Government Reform Plan* and the Office of Management and Budget Memorandum *Transition to Electronic Records* M-19-21, <https://www.whitehouse.gov/wp-content/uploads/2019/06/M-19-21.pdf>. OMB M-19-21 also directs the closure of base staging facilities by 31 December 2022; make preparations for the management of hardcopy records to meet the deadline. (T-0).

2.2.3.8. Shall ensure eligible records are promptly and properly transferred to the relevant staging area or the designated federal records center. (T-1).

2.2.3.9. Within 60 calendar days of assuming command commanders shall publish a records management plan that implements the records management program for their organization or affirm the existing plan in use. (T-1). Additionally, they will work with

their records professional and legal counsel to ensure completeness. **(T-1)**. The plan will be in memorandum format and submitted to the command records managers for approval. **(T-1)**. For field operating agencies/direct reporting units, the plan will be submitted to Air Force Records Officer for approval. **(T-1)**. The command records manager may provide a default plan for the installation if a records management plan is not published.

2.2.3.10. Once approved, commanders will ensure their plan is available and accessible to unit members, the Air Force Records Officer, and upon request, the Inspector General, legal, and other authorized stakeholders. **(T-1)**. Documentation is not only intended as guidance for the organization, but also to provide a record of procedures in the event of a litigation hold or deposition. The following constitute documentation requirements:

2.2.3.10.1. Structure: Must describe the structure of the records management process; including specific roles and responsibilities of unit members. **(T-1)**.

2.2.3.10.2. Records Lifecycle: Describe how records will be managed throughout their lifecycle, including paper and electronic. Describe how they will be created (electronic by default). Describe where they will be stored/preserved/backed up (information technology systems, shared drives, SharePoint®, records management application). Describe how they will be protected (particularly those with personally identifiable information with protections such as data-at-rest encryption, access controls, passwords, group permissions, encryption, least privilege, etc.). Describe how "Privacy Act system of records" can be identified to the base records manager and base privacy manager. Describe how essential records are identified and incorporated into the local continuity of operations plan. Describe how inactive records will be staged (in particular, how will users send medium-to-long term retention hardcopy records to staging). Describe how the records will be disposed in accordance with the Air Force Records Disposition Schedule and this instruction (on-base shredding, use of private vendor with chain-of-custody of records to be disposed). **(T-1)**.

2.2.3.10.3. Training/Orientation/Awareness: Describe what records management guidance is provided to local users (e.g., lost records prevention and reporting, records searches, and in/out-processing responsibilities with respect to official records). Describe how personnel, including senior leaders, acknowledge their responsibility in the authorized and unauthorized removal of documents from the organization prior to transitioning or retirement. Discuss how to tailor annual training to users based on their involvement with records in daily operations while adhering to the topics in National Archives and Records Administration Bulletin 2017-01, *Agency Records Management Training Requirements*.

2.2.3.10.4. Inspection/ Self-Assessment: Describe how and when the local records management processes will be inspected/assessed internally, whereby the inspection/self-assessment cycle will not exceed 24 months. **(T-1)**. Where applicable, units must complete the records management Self-Assessment Communicator in the Management Internal Control Toolset, which can be accessed via the Air Force Portal. **(T-1)**.

2.2.3.10.5. Records Searches: Describe how the organization/unit will conduct non-Freedom of Information Act records searches when tasked to do so including who the commander directs to execute searching the affected organizations, how the base

records manager announces the records searches from the Air Force Records Information Management System to targeted local organizations, e.g., organizational E-mails or task management workflow. **(T-1)**.

2.2.3.11. Will establish, review, and maintain an inventory of records in the Air Force Records Information Management System consisting of but not limited to description of the record, location of the record, and records disposition. **(T-1)**. Will ensure the e-record storage area reflects the inventory disposition and folder titles in the Air Force Records Information Management System. **(T-1)**. Do not include subfolders. Ensure users are assigned to the appropriate security group to access electronic records stored in inventory of records. See [paragraph 3.3.4](#).

2.2.3.12. Must ensure records containing Privacy Act, personally identifiable information, sensitive or classified information are properly marked, controlled, and maintained from creation through disposition. **(T-1)**.

2.2.3.13. Shall develop and monitor processes to ensure employees do not use personally-owned computers to maintain or store Air Force records without mission critical justification and Authorizing Official approval (Air Force Manual 17-1301, *Computer Security* (COMPUSEC)). **(T-1)**.

2.2.3.14. Shall ensure that actual or potential unlawful or accidental removal, change, or destruction of Air Force records are reported to and investigated by the appropriate records professional. **(T-1)**.

2.2.3.15. Shall identify essential records and establish a restoration and disaster recovery plan for paper and electronic records (Air Force Instruction 10-208, *Continuity of Operations* (COOP) *Program*), including records stored in Electronic Record Keeping Systems, Automated Information Systems and SharePoint® platforms. **(T-1)**. The plan can be part of the installation COOP or applicable procedure. Will ensure identified essential records are properly marked, properly stored, have valid back-ups, and are included in the base, agency or major command emergency preparedness plans. **(T-1)**. If the organization does not maintain essential records, no documentation of such type is required.

2.2.3.16. Installation commander, particularly Outside Continental United States locations (OCONUS), shall document and execute an emergency destruction plan for records, especially classified records, in the event the installation faces imminent hostile action. **(T-1)**. The first course of action should be to procure transportation vehicles to transfer records to a suitable location outside of hostile action. See [paragraphs 6.1.5.2 and 6.1.5.2.1](#) regarding destruction of records pending imminent hostile action, which should be done as a last resort.

2.2.3.17. Ensure support agreements, memorandums of understanding, contracts, or similar documents reflect the records management requirements of the organization.

2.2.3.18. Must complete records management training endorsed by the Air Force Records Officer. **(T-1)**. Will ensure all personnel accomplish records management training on an annual basis in accordance with National Archives Bulletin 2017-01 and Office of Management and Budget Memorandum M-19-21. **(T-0)**.

2.2.3.19. Will ensure proper handling and management of each record within members area of responsibility is managed in a timely manner, from its creation through its formal declaration and into the designated official records repository. **(T-1)**. Records in Task Management Tool should be archived to the official Electronic Record Keeping System after final closure of the task.

2.2.3.20. Shall develop guidance for organization to comply with data calls, litigation hold and/or search requests and other data calls. **(T-1)**.

2.2.4. Users. Defined as all military, civilians, contractors, and foreign nationals employed by the Department of the Air Force. All users shall:

2.2.4.1. Ensure that information within their care is available to support effective decisions, meet legal and regulatory data calls, and document official business. Pass on custodianship when appropriate. Users must protect record content and comply with For Official Use Only, sensitive, Privacy Act, and other policy and legal requirements. Users (for contractors, per the contract) must store, file, and manage records consistent with organizational requirements and procedures. **(T-1)**.

2.2.4.2. Must create and declare records that sufficiently document the function, organization, administration, policies, and procedures. **(T-1)**. Will file records in accordance with office procedures. **(T-1)**.

2.2.4.3. Must comply with organization guidance regarding records preservation or transfer upon notification of retirement, separation, or change of assignment. **(T-1)**.

2.2.4.4. When tasked with a litigation hold and/or search by the Air Force Records Officer (refer to [Chapter 9](#)), will comply with this instruction and any additional directions regarding search and reporting. **(T-1)**. Follow organization guidance when the search has been completed and if responsive information is found. Any potentially relevant information shall immediately be suspended from additional modification or destruction. **(T-1)**.

2.2.4.5. Will inform their commander or director of any actual or potential unlawful or accidental removal, change, or destruction of Air Force records. **(T-1)**.

2.2.4.6. Must distinguish records from non-record materials and maintain personal papers separately. **(T-1)**.

2.2.4.7. Shall protect files and folders containing sensitive, For Official Use Only, Privacy Act data prior to filing by using appropriate access controls (passwords, group permissions, encryption, least privilege, etc.). **(T-0)**. Reference Air Force Instruction 33-332, *Air Force Privacy and Civil Liberties Program*, and Air Force Instruction 17-130, *Cybersecurity Program Management*, for additional requirements on the storing of electronic records with personally identifiable information and controlled unclassified information on SharePoint® and shared drives.

2.2.4.8. Must file electronic records, to include E-mail records, in an approved records management solution and paper records promptly as indicated in AF Records Disposition Schedule, ensuring records are available and accessible. **(T-1)**. Destroy draft records as needed. Must ensure electronic records are accessible, especially those with a retention of

more than seven years; in the event of a software change, convert to a National Archives-approved file format or applicable software file format. **(T-1)**.

2.2.4.9. Avoid using laptops and removable storage devices for long-term records storage. Must ensure records created on laptops and/or removable storage devices are transferred to an approved recordkeeping system as soon as possible via approved means (for example, no unapproved use of USB flash drives); deployed personnel will follow procedures established at their deployed location. **(T-1)**.

2.2.4.10. Must follow local procedures (which may involve coordination with the commander, base records manager, and information technology professionals) to be added to the appropriate security group to access relevant records in the unit's inventory of records and official electronic recordkeeping systems. **(T-1)**.

2.2.4.11. Must complete training on an annual basis in accordance with National Archives Bulletin 2017-01 and OMB M-19-21. **(T-0)**.

#### 2.2.5. Air Force Records Officer.

2.2.5.1. Work with the National Archives and the General Services Administration using the guidelines from Title 36, Code of Federal Regulations, Parts 1220-1249, Records management, current edition and Title 41, Code of Federal Regulations, *Creation, Maintenance, and Use of Records*, Parts 102-193.

2.2.5.2. Develop guidance governing life cycle management of Air Force records. Aligns program with Department of Defense and Air Force strategic plans.

2.2.5.3. Works with the Archivist in applying standards, rules, and techniques to improve managing records of any media type, to improve how the Air Force identifies, maintains, and protects permanently valuable records, and separates and disposes of records of temporary value.

2.2.5.4. Certify to the Archivist that all temporary records meeting their retention period are no longer of value to the Air Force and shall be disposed for Air Force units. **(T-1)**. Serve as the approving official for the transfer of records with a permanent retention and the Transfer Approving Official in the Electronic Records Archives system for the approval and transfer of permanent electronic Air Force records to the Archivist.

2.2.5.5. Report to the Archivist any potential unlawful removal, change, or destruction of Air Force records.

2.2.5.6. Establish guidance and processes to ensure the Air Force properly creates and preserves records. Ensures that all records including e-mail, electronic documents, databases, and those in Automated Information Systems, cloud computing, Web 2.0 technology or social media, generated by processes and prescribed in Air Force publications are scheduled. Ensure that system developers include official records management requirements in Automated Information Systems development and redesign.

2.2.5.7. Apply Department of Defense and Air Force records management functional and system requirements to all electronic record-keeping systems.



2.2.5.8. Obtain written approval or concurrence from the Comptroller General of the United States to dispose of records of claims and demands by or against the Government of the United States or accounts affecting the United States.

2.2.5.9. Negotiate agreements to transfer Air Force records to the National Archives, federal records centers, other federal agencies, or private organizations and implements agreements to store, service, dispose of, access, or use records.

2.2.5.10. Publish and maintains the Air Force Records Disposition Schedule authorizing disposal of organization records and directing prompt and proper retention of temporary records and retirement of permanent records. Serves as the Certifying Official in the Electronic Records Archives for submission of a Records Schedule to National Archives for approval.

2.2.5.11. Provide subject matter expert (SME) to conduct inspections of the Air Force records management program during Inspector General visits, as well as organizational self-assessments, ensuring compliance with Federal, Department, and Air Force requirements. This may include staff visits to command records managers as needed or upon request. Works with the Inspector General to identify areas requiring special review by command Inspector General teams and provides compliance evaluation criteria and standards for functional area inspectors.

2.2.5.12. Issues guidance on authenticating records.

2.2.5.13. Direct Command Record Managers, and base records managers in coordination with identified Commanders to conduct non-Freedom of Information Act searches for records and other information upon receipt of a written request from a valid legal or federal authority.

2.2.5.14. Maintain awareness of developments in the field of records technology and systems, and potential application to the Air Force's record systems.

2.2.5.15. Advise the Department of Defense Records Officer of any matters pertaining to records management that may have Department-wide implications.

2.2.5.16. Advise personnel on recovery or reconstruction of records.

2.2.5.17. Ensure functional series records dispositions are current. Initiates a functional review of the Air Force Records Disposition Schedule, on a periodic basis, to ensure the Records Disposition Schedule remains current. Any required additions, changes, or deletions will be processed following the procedures in AFI 33-322.

2.2.5.18. Establish initial and annual role-based training requirements. Establishes baseline and standardized users training per National Archives and Records Administration Bulletin 2017-01. Obtain and maintain the National Archive's Federal Records Management Training certificate, Agency Records Officer Credential (AROC), or National Archives-approved equivalent.

2.2.5.19. Establish metrics and determine frequency of reporting to assess areas of compliance and evaluate program resource, training requirements, and inventory of records. The Air Force Records Information Management System will be the primary data source for metrics associated with program management. **(T-1)**.

2.2.5.20. Ensure records generated by Air Force directives and instructions are scheduled.

2.2.5.21. Serve as the Transfer Approving Official to approve records Transfer Requests in Electronic Records Archives.

2.2.5.22. Assign appropriate roles in Electronic Records Archives to accession or transfer permanent records and to submit proposed record retentions to the National Archives for approval.

2.2.5.23. Serve as the primary Air Force Administrator of the Archives and Records Centers Information System.

2.2.5.24. Unless delegated, serves as the approval authority for accounts in Archives and Records Centers Information System.

2.2.5.25. Serve as the Essential Records Manager in working with the Air Force Continuity of Operations Program functional process owner per Federal Emergency Management Agency's *Federal Continuity Directive 1* and AFI 10-208.

2.2.6. Command Records Managers. Responsible for management and oversight of Major Command records programs. **Note:** For purposes of this publication, command records managers includes agency records managers, who are responsible for management and oversight of Field Operating Agency and Direct Reporting Unit records programs.

2.2.6.1. Oversee the records management program within their commands or agencies as specified in federal laws, National Archives guidelines, and Air Force publications.

2.2.6.2. Ensure major commands, field operating agencies and direct reporting units record-keeping programs comply with host base records management program guidelines for storage, staging, retrieval, and training.

2.2.6.3. Establish and manage a training program for newly appointed base records managers and for continuing training and education to include updating training dates in the Air Force Records Information Management System.

2.2.6.4. Require electronic processes to be applied to records created and maintained electronically. If records are to be maintained electronically, ensure base records managers provide authorized guidance pertaining to legal recognition and validity before transfer (e.g. scanning documents) to electronic form. This includes protecting the scanned paper records from destruction until such authorized guidance is provided.

2.2.6.5. Review major command and agency directives and forms before publication to ensure compliance with records management directives. Ensure records generated by command or agency directives and information collections (forms) are scheduled. When a command, field operating agency, or direct reporting unit is designated as the office of primary responsibility for an Air Force publication, the command records managers or agency record managers will ensure records generated by the prescribed processes are scheduled. **(T-1)**. Send documentation to support this action to the Air Force Records Officer.

2.2.6.6. Provide assistance in submitting and ensuring requests for new, updated, or deleted records retention recommendations are properly coordinated using an Air Force Form 525, *Records Disposition Recommendation*.

2.2.6.7. Review documentation used to survey electronic data and records in Air Force information systems on Air Force Form 1341, *Electronic Record Inventory*, or Air Force Records Officer-approved equivalent, e.g., Air Force Information Technology Investment Portfolio Suite (which is accessible by authorized users at the Application section of the Air Force Portal). The command records managers and Agency Record Managers validate proposals on information systems managed in their particular Major command, field operating agency, direct reporting units, and affected unified and specified commands' portfolios.

2.2.6.8. Review and make recommendations to the Air Force Records Officer for their particular major command, field operating agency, direct reporting units, and affected unified and specified commands for pre-accessioning and accessioning permanent electronic records in the Electronic Records Archives system. May have the role of Transferring Official, Electronic Transfer Staff, and Records Scheduler in the National Archives' Electronic Records Archives system for their respective organization.

2.2.6.9. Work with their particular major command Inspector General or Air Force Inspection Agency to identify areas requiring special review by the command Inspector General. Command records managers can request inspections for bases under their purview. Provide compliance evaluation criteria and standards for functional area inspectors. Establish cross-feed procedures to ensure command units are aware of records management evaluations contained in Inspector General Reports. Send a copy of procedures to the Air Force Records Officer. Command records managers can mandate the use of the Management Internal Control Toolset for units to self-assess their records management status.

2.2.6.10. Provide guidance to tenants and base records managers on local support agreements for program assistance, training, electronic records storage (where applicable), staging, or records shipping services.

2.2.6.11. Where a staging facility is unable to comply with the standards of 36 CFR Part 1234, command records managers will review the affected commander's mitigation plan and make the plan available to the Air Force Records Officer. **(T-1)**.

2.2.6.12. Direct base records managers in coordination with identified commanders to conduct non-Freedom of Information Act searches for records and other information upon receipt of a written request from a valid legal or federal authority. Ensure base records managers complete and report responses to non-Freedom of Information Act records searches in the Air Force Records Information Management System before closing out the base's response in the Air Force Records Information Management System.

2.2.6.13. Develop meaningful metrics (such as using local records management plans, the Air Force Records Information Management System, Inspector General Evaluation Management System and Management Internal Control Toolset and other systems) to gauge the health and provide oversight of the records management program.

2.2.6.14. Accomplish initial training upon appointment and maintains proficiency by completing annual role-based training.

2.2.6.15. Air Combat Command Cyberspace Support Squadron became Air Combat Command Headquarters Cyberspace Capabilities Center effective 7 November 2019 and

serves as the centralized command records manager of the major commands. The Headquarters Cyberspace Capabilities Center:

- 2.2.6.15.1. Serves as the approval authority for account requests in the Archives and Records Centers Information System for the major commands it supports.
  - 2.2.6.15.2. Serves as the approval authority for National Archives and Records Administration Form 13001, *Notice of Eligibility for Disposal*, for records stored at the federal records centers and owned by the major commands it supports.
  - 2.2.6.15.3. Researches and recommends changes to the Air Force Records Disposition Schedule to correct errors, align tables and rules with Air Force Records Officer direction, and improve the quality of the Records Disposition Schedule. Makes appropriate changes upon Air Force Records Officer approval.
  - 2.2.6.15.4. Serves as records scheduler in Electronic Records Archives for submission of a records schedule to National Archives and Records Administration for approval.
  - 2.2.6.15.5. Develops role-based training for command and base records managers. Periodically reviews courses to ensure content is relevant and makes changes as needed.
  - 2.2.6.15.6. Serves as the Transferring Official in Electronic Records Archives for the major commands it supports.
  - 2.2.6.15.7. Reviews and coordinates on lost or destroyed record reports submitted by the base records manager.
- 2.2.7. Base records manager. The base records manager administers the installation records management program. The recommended grade for the primary base records manager is General Schedule-09 or Master Sergeant, or higher depending upon span of control. Base records manager duties fall into three major areas: oversees installation records management program, manages staging areas, and provides training.
- 2.2.7.1. Oversees Installation Records management:
    - 2.2.7.1.1. Shall provide direct support to wing and installation commander; implements and oversees records management in coordination with the unit commanders across the base. **(T-1)**.
    - 2.2.7.1.2. Makes recommendations on records storage issues prior to purchase of additional storage space. Shall provide guidance on using document imaging systems for records storage and authorizes disposition of paper-based records following imaging and makes recommendations to improve processes. **(T-1)**.
    - 2.2.7.1.3. Must provide guidance on local procedures and requirements on record-keeping. **(T-1)**. Performs the role of Electronic Transfer Staff for the purpose of packaging and transmitting electronic records to Electronic Records Archives via an electronic transfer method.
    - 2.2.7.1.4. Identifies commander(s) in the Air Force Records Information Management System. If necessary, creates and modifies the Air Force Records Information Management System account for the commander(s). Must ensure necessary accounts remain active—the Air Force Records Information Management System will delete

inactive accounts after one year. **(T-1)**. Air National Guard base records managers follow Air National Guard Manual 33-363, Management of Air National Guard Records, for account creation.

2.2.7.1.5. Shall investigate incidences of lost records and unauthorized destruction of records, and provides a report of this activity as directed. **(T-1)**. Provides guidance and assistance to reconstruct lost or destroyed records, and makes recommendations to management on preventing future records loss. Validates training completion for all involved in the chain of custody when reporting lost or damaged records.

2.2.7.1.6. Reviews base directives and forms before publication to ensure compliance with records management directives.

2.2.7.1.7. Provides instructions on submitting Air Force Form 525s recommending creation, modification, or deletion of a records schedule.

2.2.7.1.8. Reviews documentation used to survey electronic data and records in Air Force information systems, (Air Force Form 1341 or its equivalent such as the records management fields in the Information Technology Investment Portfolio Suite IT portfolio management system) and proposed disposition (Air Force Form 525 or equivalent) of systems from system owners and program managers. Submits documentation and review to the command records managers or agency record managers. For information systems which contain Privacy Act System of Records, the base records manager coordinates with the program manager to ensure disposition of data in the survey and schedule is consistent with the records disposition in the System of Records Notice.

2.2.7.1.9. Must serve as the base point of contact for Archives and Records Centers Information System. **(T-1)**. Unless otherwise approved by the Air Force Records Officer, a base will have up to two Archives and Records Centers Information System account holders. **(T-1)**.

2.2.7.1.10. Shall be the base point of contact for all non-Freedom of Information Act records searches, tracking the search and closing it in the Air Force Records Information Management System. **(T-1)**. Must coordinate with identified commanders to conduct non-Freedom of Information Act searches for records and other information upon receipt of a written request from a valid legal or federal authority. **(T-1)**.

2.2.7.1.11. Must ensure all tasked organizations complete and report responses to litigation holds or other non-Freedom of Information Act record searches prior to closing out base response in the Air Force Records Information Management System. **(T-1)**. See section [9.1](#) for additional details.

2.2.7.1.12. Requests appropriate permissions for personnel to manage electronic records.

2.2.7.1.13. Coordinates on the local base disaster and recovery plan to account for the essential records program. At a minimum, the plan will include a description of how essential records are protected and recovered during a disaster or link to the essential records plan. **(T-1)**.

2.2.7.1.14. Reviews support agreements for records management issues. Base records managers will provide support to all organizations authorized to receive administrative or logistic support. Local support agreements for records management services can be between the host and Air Force tenants of other major commands, other services or Department components and non-Department of Defense agencies. The receiving activity is responsible to assess and request support. If a support agreement is necessary, the base records manager must work with the appropriate base organization to modify an existing agreement or create a new one. Follow the procedures in Air Force Instruction 25-201, *Intra-Service, Intra-Agency, and Inter-Agency Support Agreements Procedures*. **(T-1)**.

2.2.7.1.15. If appointed by the Wing Commander, serves as a member of Wing Inspection Team as the subject matter expert for records management in order to conduct Commander's Inspection Program inspections under the authority of the Wing Commander, and under the direction of the Wing Inspector General. Reference Air Force Instruction 90-201, *The Air Force Inspection System*. The base records manager may request to be a member of the Wing Inspection Team to the Wing Inspector General, who will validate the need with the Wing Commander, who has that responsibility. Failure to appoint a member to the Wing Inspection Team will impact timely assessment of records management Program.

2.2.7.1.15.1. Request access and be trained on the Management Internal Control Toolset and Inspector General Evaluation Management System from the installation Inspector General which is available on the Air Force portal.

2.2.7.1.15.2. Review the applicable records management self-assessment and inspection reports to fulfill oversight responsibilities. Request inspection reports directly from Wing Inspector General's office.

#### 2.2.7.2. Manages Staging Areas:

2.2.7.2.1. Shall manage staging area for temporary storage of records pending destruction or transfer to a federal records center including centralized storage of electronically stored inactive records. **(T-1)**.

2.2.7.2.2. Will provide records staging service for Air Force tenant activities, or other department tenants as provided for in a support agreement. **(T-1)**.

2.2.7.2.3. Must maintain custody of and accountability for staged records, and accountability for records transferred to other agencies by maintaining the Standard Form 135 in the Air Force Records Information Management System. **(T-1)**. For federal records centers, uses Archives and Records Centers Information System.

2.2.7.2.4. Will conduct an annual inventory of records located in base staging area and validates holdings staged to federal records center(s). **(T-1)**.

2.2.7.2.5. When records have met criteria for disposition, uses appropriate methods for destruction.

2.2.7.2.6. Will ensure essential records maintained in the staging area are identified and properly documented in the Air Force Records Information Management System as to their location in the staging area. **(T-1)**.

#### 2.2.7.3. Training:

2.2.7.3.1. Must accomplish initial training upon appointment and maintains proficiency by completing the annual role-based training. **(T-1)**.

2.2.7.3.2. Per National Archives and Records Administration Bulletin 2017-01, agencies are required to establish and develop suitable records management training. Must ensure commanders receive training regarding their role within the base's records management program. **(T-1)**.

2.2.7.3.3. Provides orientation or refresher training to users including command-unique or local operating procedures or requirements.

#### 2.2.8. Portfolio Manager of Information Technology Investments.

2.2.8.1. Communicates Air Force Records Office guidance and direction to members' program/project managers and others responsible for information technology portfolio management data collection and maintenance; partners with them to collect and manage data to support the Air Force Records management process in addition to Air Force Information Technology portfolio management and other processes in Air Force Instruction 17-110, *Information Technology Portfolio Management and Capital Planning and Investment Control*.

2.2.8.2. Informs the program/project managers' functional process owners of non-compliance.

2.2.8.3. Shall ensure organization records professional or the commander is part of the records management process and compliance in the Information Technology Investment Portfolio Suite system. **(T-1)**.

2.2.8.4. Validates that program managers develop records schedule implementation instructions and controls for their investments in order to ensure records data is protected and disposed in accordance with the applicable National Archives-approved records disposition schedule.

#### 2.2.9. Program manager of information technology Investments. The Air Force uses portfolio management to control its information technology investments using the mission area structure as the common framework and lexicon for the organization of information technology portfolios.

2.2.9.1. Shall ensure records data in the investment is compliant with records management requirements, such as an approved records disposition schedule. **(T-1)**. Ensure electronic records data with a temporary disposition are destroyed in accordance with the approved disposition schedule by manual or automated means. Ensure electronic records data having a permanent retention are preserved for accessioning to the National Archives. If the records data is unscheduled, do not dispose the records data until the records data is covered by a National Archives-approved records disposition schedule. If any unauthorized dispositions of electronic records occur from the lack of records schedule implementation instructions and controls required for an information technology investment, this constitutes a lost records incident and must be reported to the National Archives through the command records manager. **(T-0)**.

2.2.9.2. Must ensure accuracy of records management requirements in Information Technology Investment Portfolio Suite. **(T-1)**.

2.2.9.3. Prepares AF Form 1341 or its Air Force Records Officer-approved equivalent, to survey the investment's records data and system characteristics as required by this instruction and Title 36, Code of Federal Regulations 1236.26, *What actions must agencies take to maintain electronic information systems?* **(T-0)**.

2.2.9.4. Proposes a customized records disposition using an Air Force Form 525, or its Air Force Records Officer-approved equivalent, if an approved, applicable records disposition does not exist or if an existing one cannot be executed in the investment; coordinates the Form 525 with relevant stakeholders before submission to base/unit records professionals and finally to the Air Force Records Officer for final review and approval.

2.2.9.5. Will ensure compliance with approved disposition for investment records or records data during normal operations and responds to authorized suspensions in accordance with implementation and control guidance from the Air Force Records Officer. **(T-1)**. When a new system supersedes the legacy system, migration plans include the movement of electronic records data, including those with a permanent retention, into the new system and include measures related to the long term preservation in accordance with recordkeeping requirements.

2.2.9.6. Must ensure the records data is properly dispositioned upon decommissioning of the investment. **(T-1)**. Note the time to dispose the records data may be longer than the time to decommission the investment; dispose the records data in accordance with the National Archives-approved disposition schedule. Must maintain required hardware and software to access records or records data until approved disposition is met. **(T-1)**.

2.2.9.7. Consults with records professional assigned to the organization to ensure records management requirements in information technology Investment is met.

#### 2.2.10. Publication and Form Office of Primary Responsibility.

2.2.10.1. A publication office of primary responsibility ensures that records created as a result of processes prescribed in members' publication has an approved disposition (e.g. table and rule or general records schedule).

2.2.10.2. A form office of primary responsibility ensures the form has an approved disposition.

2.2.10.3. If an approved disposition does not exist in the Air Force Records Disposition Schedule, the publication or form owner shall propose a customized records disposition using an Air Force Form 525, or its Air Force Records Officer-approved equivalent; coordinates the Form 525 with relevant stakeholders before submission to base/unit records professionals and finally to the Air Force Records Officer for final review and approval. **(T-1)**.



## CHAPTER 3

### MANAGING RECORDS

#### 3.1. Records Maintenance Objectives.

3.1.1. The overall goal of the Air Force records management program is to adequately and properly document the policies, transactions, and management of Air Force activities; therefore, the organizational objectives of records maintenance is to achieve the following:

3.1.2. Document Core Functions. Organizations must identify and manage those records involved with core functions of that organization, including, but not limited to operations, training, logistics, facilities, financial transactions, and personnel transactions. **(T-0)**.

3.1.3. Ensure Proper and Timely Disposition of Records. Records must be maintained and retained for approved periods of time. **(T-0)**. However, retention beyond these periods often incurs cost, and may incur risk to the Air Force. Personnel at all levels must ensure proper and timely disposition of records, whether this results in authorized destruction, archiving, or transfer. **(T-0)**. The Records Disposition Schedule documents the approved retention period and the methods and timing of disposition.

3.1.4. Ensure Availability and Protection of Records. Records must be made available to those who require access. **(T-1)**. Simultaneously, records must be protected against unauthorized disclosure to those who should not have access, including individuals and organizations, both within and outside the Air Force. **(T-1)**. The Privacy Act and Freedom of Information Act govern specific rights of individual and protection of government records.

#### 3.2. Air Force Records Information Management System.

3.2.1. The Air Force Records Information Management System is the mandatory, unclassified, web-based tool suite designed to enhance, standardize, and automate Air Force records management and procedures such as developing, updating, and approving an inventory of records; tracking staff visits and record professional appointments, contact information and training; orchestrating the freezing/unfreezing of records; facilitating staging area management; and streamlining record transfer and staging; completing non-Freedom of Information Act records searches. The system enables oversight of records management across multiple levels of the Air Force. The Records Disposition Schedule, maintained in the system, is the authorized source for record dispositions; supplements to the Records Disposition Schedule are not authorized. The Air Force Records Officer shall be the update authority for this system. **(T-1)**.

3.2.2. Accounts are created by the base records manager. Accounts in tenant units are created by the host base records manager with oversight by the unit, major command, field operating agency, or direct reporting unit records professional. Deployed accounts are established through the base records manager or the Air Force Records Information Management System help desk. Major command, field operating agency, and direct reporting units accounts are approved by the Air Force Records Officer.

#### 3.3. Inventory of Records.

3.3.1. Inventory of records titles and folder subtitles will not contain sensitive, classified, For Official Use Only, or Privacy Act information. From the Air Force Records Information

Management System, inventories of record replicated on electronic records management shared drives containing folders with sensitive information/records must include the appropriate marking in the folder title. **(T-1)**. Restrict access to users with approved authority (to include clearance), an official need to know, and any additional requirements (e.g., a signed non-disclosure agreement). Review and properly place personnel in the appropriate permission groups in the applicable inventory of records to allow access to electronic records needed for business purposes. Primary folder titles reflect the inventory of records title; sub-folders are not numbered to allow project naming and alphabetical sorting by the action officers and are not reflected on the inventory of records. Sub-folders will contain only the record types described in the table and rule of the primary folder. **(T-1)**. Segregation of records by disposition is required by the National Archives. The Commander or base records manager will approve the inventory of records. **(T-1)**.

3.3.2. Identify essential records within e-file areas by placing an “E” or “Essential” directly following the e-file folder/directory title. If the folder/directory contains both essential and non-essential records identify each essential document by placing an “E” or “Essential” directly following the document title. This is done to ensure security, protection, access, retrieval, and evacuation of the essential records.

3.3.3. Use the “location” field of the inventory of records to show where documents are filed. Subdivisions (project folders) are not required to be added in the Air Force Records Information Management System. Use the “media” field of the inventory of records to show what type of media the records reside (Paper/electronic).

3.3.4. Inventory of Records Review. The commander must conduct (annually as a minimum) a systematic review of inventory of records to include **(T-1)**.

3.3.4.1. Systematic file cutoffs (breaks). **(T-1)**.

3.3.4.2. The retirement of eligible records to a records center. **(T-1)**.

3.3.4.3. The prompt disposal of temporary records when their retention period. **(T-1)**.

3.3.4.4. The timely transfer of permanent records to National Archives and Records Administration. **(T-1)**.

3.3.4.5. The review of essential records. **(T-1)**.

### **3.4. Records Maintenance Procedures.**

3.4.1. Office of Management and Budget guidance requires all federal agencies to minimize paper records to those required to comply historical and legal requirements. Therefore, Air Force records are to be created and maintained as electronic information unless required by law to be hard copy. Functional processes will only create new non-electronic records types after receiving approval by the Air Force Records Officer **(T-1)**. Air Force personnel requests to create and maintain paper records must include a justification that is compliant with the exemptions specified in the United States Code 44, *Paperwork Elimination Act*, Public Law 107-347, *E-Government Act*, and Department and Air Force Net-Centric Strategies. **(T-1)**.

3.4.1.1. Air Force activities are encouraged to eliminate existing paper records. Existing non-permanent paper records may be destroyed after scanning to an approved format and validating content, or inputting the information into an electronic record keeping system.

Permanent records, once scanned and validated, may only be destroyed after coordinating with National Archives and obtaining National Archives approval.

3.4.2. All records, regardless of medium, will be maintained separate from non-records. (T-1).

3.4.3. The commander determines the storage location for organizational records. This may be any authorized shared electronic storage location, but must be accessible by unit personnel requiring access, protected against unauthorized access, and backed up on a frequency determined by local requirements. (T-1). To prevent lost records, manager must ensure data from backups is accessible. (T-1).

3.4.4. Records storage areas shall be structured to match the organization inventory of records; folders are created for each item on the inventory of records, regardless of medium. (T-1). As required by National Archives (<https://www.archives.gov/records-mgmt/publications/disposition-of-federal-records>) separate records by disposition sub-folders as necessary, to further organize and categorize records. Label folders and files consistently and clearly to allow for easy access by unit personnel.

3.4.5. All records, regardless of medium, will be annotated to show the date of the record. E-records may be either labeled on the document or within the file name. (T-1).

3.4.6. Security.

3.4.6.1. Only authorized users will have access to store records in the records storage area. (T-1).

3.4.6.2. When records contain Privacy Act, Personally identifiable information or other sensitive data, the commander assigns read-only access rights to personnel who have a need-to-know as determined by the appropriate authority

3.4.6.3. Classified Records.

3.4.6.3.1. Classified records are subject to Air Force and Department of Defense guidance on handling, storing, transmitting, and disposing of classified information and media in addition to all relevant records management guidance.

3.4.6.3.2. Classified records shall be stored separately from unclassified unless it is necessary to maintain continuity of a particular transaction or event, in which case the unclassified records may reside with the classified records to avoid spillage. (T-1).

3.4.6.3.3. Keep label and file designations the same as the folders containing unclassified material. When adding a classified record to a large unclassified file, substitute a cross-reference sheet for the classified record. Do not make any classified entries on the cross-reference sheets.

3.4.6.3.4. In addition to penalties specified for misuse or mishandling classified information, laws and regulations regarding unlawful or unauthorized acts involving records may also apply.

3.4.7. Filing.

3.4.7.1. Assemble documents for filing in the same manner as required for their creation, dispatch, and use with the latest action on top. Save the last e-mail response to capture an

entire dialogue. Save e-mail attachments in their original format or convert to one of the approved formats. Review the file and take necessary actions to obtain missing information in the file or make a notation to show what part of the file is missing or where it is filed if included in another folder. E-record pointers (hyperlinks) may be used as long as the record metadata reflects the retention of the longest record associated to the linked document. If a record requires a destruction certification, file a copy of the destruction certificate with the record or in the folder.

3.4.7.2. File electronic and paper records within 48 hours so they are available and accessible.

3.4.8. Cutting off and disposition.

3.4.8.1. Commanders review the records annually, perform cut-off procedures (moves from active files to inactive files) as required, and separate active from inactive records. **Exception:** There are many record series for which a cut-off date is not proper, such as those eligible for immediate destruction when superseded, obsolete, or no longer needed. Also, there are perpetual files that continue as active until the specific disposition occurs.

3.4.8.2. The commanders destroy, transfer, or retire eligible records according to the AF Records Disposition Schedule. They may delegate this responsibility to authorized users within the organization, particularly when working with sensitive records or those with perpetual dispositions. Anyone may recommend changes to the Records Disposition Schedule to account for new, obsolete, or changed records used by Air Force organizations.

3.4.9. Official Records on Personally-Owned Computers, Hand-Held and Mobile Devices. Other than an individual's personal records (e.g. medical, personnel, etc.) or records released publically, it is highly discouraged for any Air Force record to be created, stored, or maintained on any personally owned devices, E-mail accounts, and social media accounts. Employees (military, civilian and contractor) must transfer records created on a personally-owned computers such as laptops, handheld, or stored on portable storage devices to the office repository. **(T-1)**. The commander monitors and ensures the transfer of records to an approved repository is accomplished within 48 hours in order to comply with Public Law 113-187, *Presidential and Federal Records Act Amendments of 2014*.

3.4.10. Cross-Referencing. DD Form 2861, *Cross-Reference*, will be used to cross-reference non-electronic records when stored in two or more places or on two or more media. **(T-1)**. This form will also be used to show non-electronic records stored in locations other than the designated storage area. **(T-1)**. Create a shortcut to the file or folder for cross-referenced electronic records instead of duplicating the file or using the form.

3.4.10.1. If non-electronic records are copied, use the copies instead of the DD Form 2861. Mark the copies by using "X" in the upper right-hand corner to show where the duplicate copies are filed. Cross reference of e-records may be accomplished in the metadata fields.

3.4.11. Charge Out Records. For physical records, Air Force Form 614, *Charge Out Record*, or Air Force Form 614A, *Charge Out Record (Continuation)*, will be used in place of a record or folder removed from the files area. **(T-1)**.

3.4.12. Text messages on government owned/issued devices that conduct government business are records per the Federal Records Act of 1950 and Presidential and Federal Records

Act Amendments of 2014. As such, all business related text messages must be filed in the appropriate electronic records keeping system. (T-0). It is permissible to do so by using the screen shot feature on the mobile device and forwarding that file via E-mail for filing to the appropriate inventory of record. The commander ensures the transfer of records to the electronic records keeping system is accomplished within 48 hours.

### **3.5. Process to Request Copies or Removal of Official Records.**

3.5.1. Copies of official records for transitioning personnel outside the federal Government may be obtained through the Freedom of Information Act process; refer to Air Force Freedom of Information Act Website. No Freedom of Information Act request is required if the personal information in the official records pertain to the transitioning personnel themselves and do not fall under a Privacy Act exemption.

3.5.1.1. Personnel are authorized to remove extra copies of unclassified papers (with agency approval) that they have drafted, reviewed, or otherwise acted upon. However, additional copies may not be made solely to facilitate removal.

3.5.1.2. 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.

3.5.1.3. Classified, sensitive, restricted, and formally restricted information is subject to all normal restrictions on dissemination, notwithstanding paragraphs 3.5.1.1 and 3.5.1.2.

3.5.2. Employees going to another federal agency are not required to use the Freedom of Information Act process. Prior to leaving the agency, an employee wishing to take any records to the new agency must present those records to the Office of Primary Responsibility (per Department of Defense Manual 5400.07\_Air Force Manual 33-302, *Freedom of Information Act Program*) and the commander for approval. (T-0).

3.5.3. 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 (T-1). Indexes or other finding aids, necessary for the use of the official files, may not be removed.

### **3.6. Essential Records Plan.**

3.6.1. Essential records. Depending on the media, organizations must ensure that the hardware, software and documentation it needs to access essential records will be available following an emergency or disaster. (T-1).

3.6.2. Each unit/office will develop an essential records plan if the commander has determined the unit maintains essential records with the assistance of the functional area managers. (T-1). The plan is a description of records that are essential to continue operations or for the protection of legal and financial rights. The plan also includes specific measures for the appropriate storage and periodic cycling of copies of those records. The plan should be incorporated into the appropriate Continuity of Operations Plan and/or Disaster and Recovery Plan.

3.6.3. Organizations must exercise caution in designating records as essential and in conducting the essential records inventory. (T-1). Only those records series or electronic information systems (or portions of them) most vital to emergency operations or the

preservation of legal or financial rights should be so designated. Review and update the essential records inventory annually.

3.6.4. The description of the essential records is based on identification and inventorying. Units will take the following steps to identify and inventory essential records: **(T-1)**.

3.6.4.1. Consultation with the official responsible for emergency coordination. See <https://www.archives.gov/records-mgmt/essential-records/essential-records-guide>, National Archives and Records Administration's *Essential Records Guide*.

3.6.4.2. Review base statutory and regulatory responsibilities and existing emergency plans for insights into the functions and records that may be included in the essential records inventory.

3.6.4.3. Review of documentation created for the contingency planning and risk assessment phase of emergency preparedness. The offices performing those functions would be an obvious focus of an inventory.

3.6.4.4. Review of current inventory of records for those responsible for performing vital functions or may be responsible for preserving rights.

3.6.4.5. Review the Air Force Records Disposition Schedule to determine which records series potentially qualify as essential.

3.6.4.6. Geographically-separate locations ensure copies are a sufficient distance away to avoid them being subject to the same emergency. Organizations may use other office locations, off-site locations or storage facilities maintained by a third party. Base staging areas may also be used and recommend essential records be maintained in one general location for ease of retrieval and identification. Specify on the Standard Form 135 that they are essential records (duplicate copies).

3.6.5. The inventory of essential records should include:

3.6.5.1. The name of the office responsible for the records series or electronic information system containing essential information.

3.6.5.2. The title of each records series or information system containing essential information.

3.6.5.3. Indication of whether the series or system is an emergency operating essential record or an essential record relating to legal and financial rights.

3.6.5.4. The medium on which the record is recorded.

3.6.5.5. The physical location for offsite storage of copies of the records series or system. Essential records can be kept at offsite storage to ensure that they are not damaged or destroyed should an emergency occur at normal place of business.

3.6.5.6. The frequency with which the records are to be cycled. This is the recurring removal of obsolete copies of essential records and replacing them with current copies of essential records. This may occur daily, weekly, quarterly, yearly or at other designated intervals.

3.6.5.7. A licensed copy of the software to enable software-dependent essential records to be used.

3.6.6. The essential records plan must include specified staff responsibilities, methods to properly inform all staff about essential records, processes to ensure current and complete designation of essential records, adequate protections for the essential records, and procedures to ensure access and immediate use of the essential records when needed. **(T-1)**.

### **3.7. Deployed Units.**

3.7.1. Personnel in the Area of Responsibility must take action to identify, collect, organize and preserve all records, including paper, electronic, imagery, and recorded information, related to current and projected operations and maintain them as permanent according to the Air Force Records Disposition Schedule, Table **10-6**, Rule 01.00. **(T-1)**. Deployed Air Force members not assigned to an Air Force unit will adhere to the respective non-Air Force records guidance and rules associated with attached unit. **(T-1)**.

#### **3.7.2. General Rules.**

3.7.2.1. Inventory of Records for Deployed Units. Inventories of records for deployed units should consist as a minimum of items that cover maintenance and disposition, policy and precedent, delegations, general correspondence, office administrative files, transitory, and presentations in accordance with the Records Disposition Schedule. Add additional items as mandated by the specific mission of the deployed unit.

3.7.2.2. Records of deployed units will remain in the office of records' inactive files for 2 years at which time they will be transferred to the designated sister or parent major command, field operating agency, or direct reporting units the unit falls under. **(T-1)**.

3.7.2.3. Base/unit closures/deactivation records will be identified in a memo signed by the base records manager and forwarded through the command records manager to the Air Force Records Officer. **(T-1)**. Official records will be directly transferred out of the area of responsibility. **(T-1)**.

3.7.2.4. Records transferred from the area of responsibility will be accompanied by a Standard Form 135 and a list/log of the pertinent records. **(T-1)**. The list/log must describe the records in the boxes. When transferring e-records on CD-ROM, digital video device, etc., the Standard Form 135 will be in a separate file on the disk and the list/log of pertinent records will be in a separate document on the disk. **(T-1)**.

3.7.2.5. Establish an essential records program for all units that create, maintain and collect records in the Area of Responsibility.

3.7.2.6. Units/Forward Operating Locations with poor storage space may send records to the designated sister or parent unit, but must document such action. **(T-1)**.

3.7.2.7. Prior to shipment, must ensure folders are labeled properly (record title from the Air Force Records Disposition Schedule, year created and unit/office designation). **(T-1)**. Shall ensure boxes are properly marked on the outside. **(T-1)**. Area of Responsibility units should obtain assistance from their parent unit as much as possible.

3.7.2.8. The originating office will ship the boxes to the sister/parent/major command. **(T-1)**.

3.7.2.9. If feasible, the sister/parent unit in the Area of Responsibility may consolidate shipments, based on record type, and forward to the appropriate stateside agency (major command equivalent) for processing to the staging area or federal records center.

3.7.2.10. Bases/units in the Area of Responsibility will backup electronic records and drafts according to local network procedures. **(T-1)**. The base or unit will also establish local procedures to ensure shared and or network drives are backed up at another, geographically separate location. **(T-1)**.



## Chapter 4

### MANAGING ELECTRONICALLY STORED INFORMATION

**4.1. Electronically Stored Information.** This chapter describes the particulars of managing Electronically Stored Information throughout all phases of its lifecycle. Electronically Stored Information is subject to the regulations and guidance that govern all records, as well as some that pertain to Electronically Stored Information in particular such as the Amendments to the Federal Rules of Civil Procedure. These are published to address issues associated with the preservation and production of all information in digital form. See [Chapter 9](#).

4.1.1. Electronically Stored Information includes any information stored in a medium from which it can be retrieved and examined.

4.1.2. Common sources of Electronically Stored Information are e-mail, working papers, drafts, duplicates, copies and data in information systems, etc.

**4.2. Electronically Stored Information Management Roles and Responsibilities.**

4.2.1. The Air Force Records Officer is the approval/waiver authority for Electronic Record Keeping systems within the Air Force containing long-term or permanent records.

4.2.2. The client support technicians work closely with the network support staff and base records manager to ensure sufficient space is allocated for the storage of official e-records and to ensure appropriate permissions are established for records professionals and users.

4.2.3. The network support staff works closely with the base records manager and cyber security liaison to maintain a central e-file repository for the installation and ensures the repository is backed up in case of catastrophic failure to facilitate successful disaster recovery.

**4.3. Electronic Records Systems.**

4.3.1. Paper versus non-paper. Technology has changed the flow of communication and contributed to the challenges of managing records in media other than paper. Various automated systems already store information as records. Conversion of paper documents to electronic format as well as scanning documents to a portable document format is acceptable. Electronic records are the media of choice for use, storage and maintenance. New record management systems containing paper records must be approved by the Air Force Records Officer. **(T-1)**. Requests must include justification compliant with the exemptions specified in the Government Paperwork Elimination Act, E-Government Act and Department and Air Force Net-Centric Strategies. **(T-1)**. Existing record management systems consisting of paper records may be destroyed after scanning to an approved format and validating content, or inputting information in an Electronic Record Keeping System.

4.3.2. Electronic Record Keeping Concept. The Electronic Record Keeping concept requires a system that will accept, preserve, and make accessible any type of electronic document. Moreover, it must ensure access regardless of hardware and software used to create the document. **(T-1)**. The volume of electronic records being created and the rapid pace of technological change present challenges for identification, preservation, and maintenance of access for electronic records. Records professionals should be mindful of both the challenges and the opportunities presented by technology in regards to electronic records. An Electronic Record Keeping System meets the National Archives' requirements to create, capture, manage

and preserve electronic records aligned with approved records schedules. In an Electronic Record Keeping System with permanent electronic records, manage the records via automated methods.

4.3.2.1. Documentation. The Electronic Record Keeping System owner or program manager must address the disposition of records in all life cycle phases and incorporate the documentation into applicable tables and rules of the Air Force Records Disposition Schedule. **(T-1)**. The system owner keeps satisfactory information to access, retrieve, and make changes to the records and up-to-date technical documentation for each Electronic Record Keeping that produces, uses, or stores data files. If an Electronic Record Keeping System contains and manages permanent electronic records, document and test the capability to transfer the records to the National Archives.

4.3.2.2. Electronic Record Keeping Decisions. A system owner must base decisions to initiate an Electronic Record Keeping on the serviceability of the records. **(T-1)**. Records are serviceable if the system and filing procedures provide timely search and retrieval, and ease of update with an adequate audit trail. Electronic record keeping systems must be Department of Defense 5015.02-STD compliant and have records management approval/coordination. **(T-0)**.

4.3.2.3. Electronic Record Keeping System Approval. The system owner prepares an Air Force Form 1341, or its Air Force Records Officer-approved equivalent (e.g. Information Technology Investment Portfolio Suite) and an Air Force Form 525, with decision logic table (see [Table 4.1.](#)) for submission through the base records manager and command records manager to the Air Force Records Officer for approval. The Air Force Records Officer then facilitates a system review by National Archives staff to gain system approval and to have the system and its records scheduled in the Records Disposition Schedule.

**Table 4.1. Sample of Decision Logic Table to Accompany AF Form 525.**

TABLE 4.1				
CONTRACTING				
	A	B	C	D
RULE	If the records are or pertain to	consisting of	which are	Then
1	General Contract Case Files - \$100,000 or Less/ Construction \$2,000 or less	Contracts, requisitions, purchase order, lease and bond surety records including correspondence and related papers pertaining to award, administration; receipt, inspection and	transactions of \$100,000 or less and construction contracts of \$2,000 or less	Destroy 3 years after final payment. Authority: General Records Schedule3, Item 3a(2)

		payment; and other records prescribed in the Federal Acquisition Regulations 4.805; contracting or purchase organization copy and related papers for internal audit purposes		
2	General Contract Case Files – Over \$100,000/Construction of Over \$2,000		Transactions of more than \$100,000 and all construction contracts over \$2,000	Destroy 6 years and 3 months after final payment. Authority: General Records Schedule 3, Item3a (1)

4.3.3. Electronic Records in Automated Information Systems. Records in Automated Information Systems must be identified and managed according to Department of Defense Instruction 5000.02T, *Operation of the Defense Acquisition System*, and Air Force Instruction 63-101/20-101, *Integrated Life Cycle Management*. **(T-0)**. The Automated Information Systems office of primary responsible must determine the appropriate Records Disposition Schedule rule for each record and how long the records will remain in the system. **(T-1)**. Accountability and enforceability of the record dispositions for system records are accomplished by scheduling the system with the National Archives and Records Administration through the Air Force Records Officer. Prepare Air Force Form 1341 or input into the Air Force Records Officer-approved equivalent, e.g., Information Technology Investment Portfolio Suite, for submission through the base records manager, command records manager or agency record manager to the Air Force Records Officer for approval.

#### 4.3.4. Electronic Record Keeping Requirements.

4.3.4.1. System security is an additional critical requirement for Electronically Stored Information, and Electronically Stored Information must be maintained on networks and systems having an Authority to Operate to the highest sensitivity or classification of the Electronically Stored Information. **(T-1)**. Be aware that some types of Electronically Stored Information will require security controls (to include physical separation) beyond that provided by segregation according to classification (e.g. unclassified vs secret). **(T-1)**. The requirements governing the information should drive the system security requirements of the Electronic Record Keeping System.

4.3.4.2. Proper allocation of resources, to include computing and storage, is an important consideration for Electronic Records Keeping Systems. The resources necessary will evolve over time, not only as the amount of Electronically Stored Information increases, but as the technologies used to manage it change.

4.3.5. Records will not be maintained in systems or media not approved as an Electronic Record Keeping System such as e-mail systems or backup tapes, as these are mainly for restore purposes only and are subject to deletion and/or rewrite. **(T-1)**.

4.3.5.1. **Exception:** E-mails received and sent by General Officers, Senior Executive Series members, and civilian equivalents, including Senior Leader and Senior Technician personnel, and selected organizational mailboxes are captured and retained permanently based on the National Archives' Capstone approach - <https://www.archives.gov/records-mgmt/email-mgmt>. The Capstone process automatically makes a copy of every e-mail sent to and from identified accounts and stores those copies in a separate message preserved account. The preserved copy of the e-mails is inaccessible to the senders and recipients, but will be accessible for official use purposes such as the required processing of Freedom of Information Act requests. **(T-1)**. Preserved e-mails will be retained for 15 years and then transferred to the National Archives where they will be made available as part of the public record in accordance with declassification and standard public release procedures. **(T-1)**.

#### **4.4. Electronic Records management.**

4.4.1. Responsible electronic records management ensures the accessibility, confidentiality, and integrity of Electronically Stored Information is maintained throughout the records lifecycle. Similar to physical records, e-record life cycle includes creating, filing, retrieval and use, transferring, and disposal. Obtain security group access of electronic records stored in inventory of records through the local information technology support professionals.

4.4.2. Fundamental records management rules are media neutral and apply to all Electronically Stored Information.

4.4.3. When evaluating e-records, 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 e-records are duplications of records, substitutions of records or new records; and if the records meet the requirements of National Archives and General Services Administration concerning the long-term retention value of audiovisual or cartographic records. Every five years, ensure electronic records are accessible, especially those with a retention of more than seven years; in the event of a software change, convert to a National Archives-approved file format or applicable software file format.

4.4.4. In contracts with third parties that will have physical custody of records (including a cloud-based environment), include contract provisions to export Air Force records into a new system at the end of the contract, and to transfer records to the National Archives if they are scheduled as permanent.

#### **4.5. Electronically Stored Information and the Federal Rules of Civil Procedure.**

4.5.1. Federal Rules of Civil Procedures create a broad description of what Electronically Stored Information must be disclosed, place a time limit for the disclosure, and institute a

“good-faith” test for retention schedules. These new rules often require quick identification and preservation of electronically stored information and a delayed response to electronically stored information requests can be costly and compromise Air Force interests during litigation.

4.5.2. Electronically Stored Information under Federal Rules of Civil Procedures has been expanded to include any type of information, drafts, records, and non-record materials, relevant to imminent litigation. See [Chapter 9](#).

#### **4.6. Managing the E-File Area.**

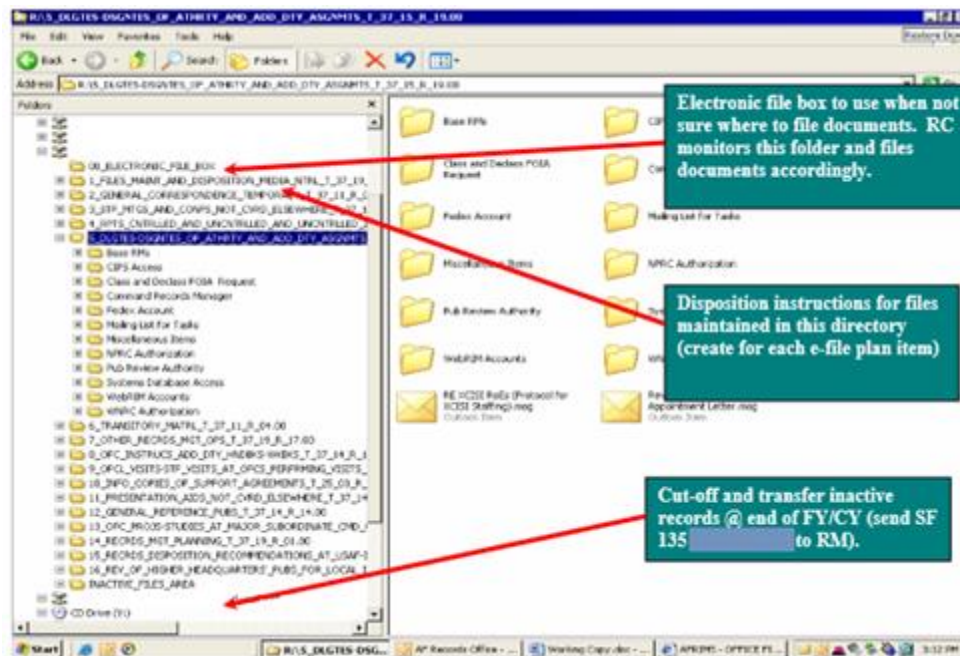
4.6.1. Organizations maintain e-records with a retention period of 10 years or less in the e-files area in a National Archives and Records Administration approved format. Visit the National Archives web site <https://www.archives.gov/records-mgmt/policy/transfer-guidance.html> for the most current list of approved formats. If unable to convert the records to one of the approved formats, holder must maintain a copy of the software the documents were created in to ensure that the document can be retrieved, opened, printed and used in the future. (T-1).

4.6.1.1. Organizations maintaining e-records with a retention period of more than 10 years must validate periodically that the e-records and the media which stores the e-records can still be accessed. (T-1). If not, take measures to convert to a suitable format (for example, National Archives-approved format) and/or migrate to a current storage media. Preserve the metadata to the greatest extent possible, especially for e-records with a permanent retention scheduled to be accessioned to the National Archives.

4.6.1.2. Apply basic records management principles to manage the e-file area. Cut-off, purge, dispose, transfer, and file e-records the same time/manner as paper records. When applicable, mark draft documents inside the e-file area; otherwise maintain draft documents outside the e-file area.

4.6.2. Managing e-records on a shared network drive involves the participation of the network support staff, records professionals, and commanders. The illustration in [Figure 4.1](#) depicts an example of e-files directory created on a shared network drive. The e-filing system must mirror the current office inventory of records. (T-1). Consistency across the unit and base is a solid approach.

Figure 4.1. E-Files Directory (example).



4.6.2.1. Network support staff will utilize dedicated space to store e-records. This dedicated space should function as a central repository for filing electronic documents. Non-record documents (e.g. personal correspondence, reference materials, copies of records, etc.) should not be stored in the area designated for records.

4.6.2.2. Base records managers, network support staff, commanders, records professionals and client support technicians will work together to create an effective, base-wide e-record file structure. **(T-1)**. Permissions must be set to allow authorized access but prevent unauthorized access or actions. **(T-1)**. Permissions must be properly maintained through staff turn-over, and revoked as needed. **(T-1)**. Where possible, implement the ability to manage permissions without requiring elevated system access.

4.6.2.3. Base records managers can create e-staging areas to hold e-records. Units will be responsible to complete Standard Form 135s, similar to paper records to reflect the e-records that the base records manager has taken custody of. **(T-1)**.

4.6.3. The Air Force Records Information Management System inventory of records and folder titles are reflected on the shared drive with a practical naming convention. The location of e-records and non-electronic records must be included on the inventory of records. **(T-1)**. It is acceptable to have two locations if the records are maintained/exist in multiple media/formats. Do not list draft record storage location(s) on inventory of records.

4.6.4. Official electronic records drive folders housing essential records must be marked with an "E" or the word "Essential" after the folder title (for example, 04 general Correspondence E). **(T-1)** Essential records must be backed up and stored in two geographically separated locations to ensure restoration capability during times of disaster. **(T-1)**.

4.6.5. Each document in electronic form must be identified sufficiently to enable authorized personnel to retrieve, protect, and carry out its disposition. **(T-1)**.

4.6.5.1. External or Physical Labeling. External labeling includes physically placing labels on e-record removable media containers as well as the media itself. External labels on e-records should include the following on the disk container/jacket: security classification, disposition instructions (table and rule from the Records Disposition Schedule), originating office symbol, title of record, beginning and end dates, software used to create the record, and hardware used to produce the record.

4.6.5.2. Internal or Electronic Labeling. Internal labeling consists of document and file naming within the computer system. Use file-naming conventions that are descriptive, consistent, and meaningful. If the file-naming convention incorporates components such as project names and dates or versions, they should always retain the same position. For example, report\_name\_year\_month\_day. Electronic labels located in subdirectories or folders must also provide sufficient information to find the files within them. **(T-1)**. Care should be taken to ensure that file names and directory organization do not cause a path greater than can be handled by the operating system.

4.6.6. Ensure proper records cut-off by creating duplicate folders in the inactive directory. Drag applicable folders from the active directory to the inactive directory. Once folder is moved and verified, delete the records in the active folder. Subdivide each directory by fiscal year or calendar year and by when records were collected.

4.6.6.1. Inactive e-records may be transferred to offline storage until ready for disposal. Inactive e-records transferred to offline storage must be reviewed yearly to ensure proper disposition, viability of the media, and accessibility of the content. **(T-1)**.

4.6.6.2. When records are archived to off-line storage, record professionals must prepare and route a Standard Form 135 to the base records manager to document the transfer and provide a record index, and ensure the media label includes the Records Disposition Schedule table and rule and the software and version needed to view the records. **(T-1)**. The unit must maintain a copy of software to access/view the e-records being stored. Commanders will remove transferred e-records from online storage after the transfer has been validated. **(T-1)**.

4.6.7. Commanders should set up processes to enable records professional to use an “e-file box” for temporary storage of records as an alternative if the action officer is unsure of the correct placement of documents. Commanders must ensure e-file boxes are monitored and filing of records to appropriate location occurs within 48 hours. **(T-1)**. Assign inventory of records number “00” to the e-file box so that it shows up at the very top of the e-files area. **Note:** The e-file box is not mandatory. If office of record does not use it, remove from active e-files area.

4.6.8. Backup. Network support staff should provide back-up of the dedicated official e-storage area(s) in accordance with the accessibility, confidentiality, and integrity ratings of the information and the applicable cybersecurity guidance. As with other controls, the status of the information as official records must be considered when determining appropriate back-up capabilities. **(T-1)**. Backups will be used for record restoration if a system becomes corrupt or records are lost. **(T-1)**. The location of backup media must be part of the local procedures addressed in base disaster preparedness plan. **(T-1)**.



4.6.8.1. Duplicate backups are made for essential records and maintained in geographically-separate locations. Duplication can be to the same medium as the original records.

4.6.8.2. The commander will ensure all e-records are properly backed up, and that backups are periodically validated and tested. (T-1).

4.6.9. The commander will set up processes for indexing and retrieving e-Records. (T-1). The primary purpose of indexing is to provide a rapid and reliable method for the automatic retrieval of user-selected sets of data. Indexing is vital when managing large holdings of records and required for all records with retention greater than five years. Methods to facilitate indexing include file naming, folder naming, searchable text, and metadata.

4.6.10. Electronically Stored Information retrieval is greatly enhanced by completing the record metadata at the time of document creation. Metadata are elements of information that answer the questions who, what, where, when, and why regarding electronic records. Metadata elements provide administrative, descriptive, and technical information that describe the structure and content of electronic records. Metadata elements also provide contextual information that explains how electronic records were created, used, managed, and maintained and how they are related to other records. This information enables National Archives and Records Administration to properly manage, preserve, and provide access to electronic records for as long as they are needed. National Archives and Records Administration Bulletin 2015-04 describes the metadata required when transferring permanent electronic records to National Archives and Records Administration (<https://www.archives.gov/records-mgmt/bulletins/2015/2015-04.html>).

4.6.10.1. When completing metadata, whether transferred to National Archives or not, mandatory fields include the title, subject, author, and comments field, if available, to include as a minimum the Records Disposition Schedule Table and Rule.

4.6.10.2. If an agency provides additional metadata elements, the National Archives will accept that metadata as part of the transfer process in addition to the National Archives' minimum metadata requirements. Agencies should notify the National Archives of any metadata standards that are in use with permanent electronic records and provide relevant schemas, data dictionaries, controlled vocabularies, ontologies, and system indexes at the time of transfer. (T-0).

**4.7. Records Integration.** E-records may be integrated with those on other media. Limit use of mixed media (e.g., paper and disks) for parts of the same records. Where similar records that would normally be grouped together (e.g., as for a case file) are on mixed media, provide for as much integration of the records as possible or practical by converting all the records to a single media (e.g., all paper or all electronic). Digitize incoming paper records by using scanners that save the documents in a portable document format if signature authentication is not required; reference <https://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html#scannedtext>. If scanning permanent hardcopy records does not meet the National Archives transfer guidance, contact the Air Force Records Office. Merge scanned records with their related e-records.

**4.8. Schedule Disposition.** Schedule the disposition of all e-records as well as related documentation and indexes. Records dispositions covering paper records also cover e-records in the same series. However, if the e-records are unscheduled, the functional owner for the system



must submit an Air Force Form 525 to the base records manager (including those operated for the Air Force and Unified and Specified Commands by a contractor) not later than one year after implementing the Electronic Record Keeping System. (T-1).

#### **4.9. Social Media.**

4.9.1. Social media includes, but is not limited to the various activities integrating web technology, social interaction, and user-generated content. Social media includes blogs, wikis, social networks, photo libraries, virtual worlds, location-based services, and video sharing sites. Agencies use social media internally and externally to share information, support business processes, and connect people to government.

4.9.2. Reference Air Force Instruction 35-107, *Public Web and Social Communication*. National Archives Bulletin 2014-02, *Guidance on Managing Social Media Records*, <https://www.archives.gov/records-mgmt/bulletins/2014/2014-02.html>, provides additional insight into responsibilities involving social media as well as <https://dodcio.defense.gov/Social-Media/SMEandT/#records>.

## Chapter 5

### RECORDS STAGING AREAS

**5.1. Records Staging Areas.** See <https://www.archives.gov/records-mgmt/storage-standards-toolkit> for See National Archives standards for base staging areas. Records staging areas less than 25,000 cubic feet of records storage comply with *File 4: Records Stored in Agency Office Space*. (T-0).

5.1.1. Due to the OMB M-19-21, close base staging facilities by 31 December 2022. (T-0).

5.1.2. Beginning 1 January 2023, all other legal transfers of permanent records must be in electronic format, to the fullest extent possible, regardless of whether or not the records were originally created in electronic formats. (T-0). Digitize permanent records in analog formats before transfer to the National Archives in accordance with its regulations and guidance, including metadata requirements. Unless granted a waiver or exception to the United States Office of Management and Budget and the National Archives mandate, use commercial storage facilities to store temporary analog records in inactive status and permanent analog records prior to accessioning to the National Archives. (T-0).

### 5.2. Size and Location.

5.2.1. At Air Force Installations, record staging areas should not exceed 25,000 cubic feet of records storage. 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 geographic location, but are not located near a federal records center, or it is impractical or uneconomical to use the nearest staging area, the base records manager and command records manager will facilitate the set-up of a single area for all or most of the organizations to use jointly. (T-1).

5.2.2. If the installation maintains a facility with over 25,000 cubic feet of records, it is required to comply with 36 CFR 1234 (File 2 of <https://www.archives.gov/records-mgmt/storage-standards-toolkit>). If the installation maintains a facility with under 25,000 cubic feet of records, it is required to comply with 36 CFR 1234 Part 1234.10 – 1234.14 (Files 4 and 5 of the National Archives Records Storage Standards Toolkit). (T-0).

**5.3. Staging Area Waivers.** The command records manager may waive the requirements to use a staging area when high rent or inadequate space makes a staging area impractical or uneconomical.

5.3.1. In the event of a waiver by the command records manager, personnel may either keep records that are to be retained for eight years or less in available space and equipment or retire them to the appropriate federal records center. Send the request for transferring records to a federal records center to the Air Force Records Officer. The Air Force Records Officer will send the request to the National Archives and Records Administration. (T-0).

5.3.2. In the event of a waiver by the command records manager, personnel may retire records with a retention period of more than 8 years to the appropriate federal records center.

5.3.3. The command records manager may waive the requirement to set up a single staging area when unique circumstances exist (such as security precautions, unique tenant requirements, off-base activities, limited storage facilities, distance, and so on). If mutually

acceptable, other Department of Defense organizations and federal agencies (which are tenants of the installation) may use Air Force staging areas. Make a support agreement for tenants who wish to have staging area support. The command records manager will send a copy of any waivers and a complete justification to the Air Force Records Officer. (T-1).

5.3.4. 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 three years or more remaining to the Washington National Records Center. Requests for exceptions to the three-year retention period must be sent to the Air Force Records Officer with justification (see [Table 6.1](#), Items 12 and 14, and **Note: 3**). (T-1).

#### **5.4. Staging Area Procedures.**

5.4.1. Store both permanent and temporary records with a retention period over 3 years or more in staging areas until they are eligible for disposal or retirement to a federal records center. Personnel may store large volumes of records with shorter retention periods in staging areas if they use space and equipment economically, and if the commander and the base records manager 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.

5.4.2. Management of the Staging Areas. The base records manager manages the installation staging area except at Air Intelligence Agency, National Air and Space Intelligence Center, and Air Force Technical Applications Center. The base records manager may ask for labor assistance from organizations using the staging area. Restrict the time that personnel spend in staging areas to the minimum necessary to receive, search for, and dispose of records.

5.4.3. Transfer of Records. The organization transferring records to a staging area prepares the Standard Form 135 in the Air Force Records Information Management System. The base records manager uses the Air Force Records Information Management System to manage, accept, and retrieve staging area records. The base records manager will place a copy of the Standard Form 135 in the first box of each transfer before putting on shelf.

5.4.4. Disposing of Records. The base records manager destroys or restores eligible records in the staging area, and reviews the shipment lists in the locator and disposition file before the end of each calendar or fiscal year for records ready for disposition.

5.4.4.1. 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 federal records center according to [Chapter 7](#).

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

5.4.4.2.1. The federal records center considers exceptions to the 3-year rule on an individual basis and only after approval has been granted through records management

channels to the Air Force Records Officer. For tenant units' records stored in a host staging area, the tenant records manager works with the host records manager to dispose of tenant's records in staging areas. Resources permitting, the host records manager includes all material tenants want to retire in combined shipments to the federal records center. When resources are insufficient, the host records manager should request resources (personnel, boxes, etc.) from the tenants; however, any assistance by tenants for the host's request is voluntary.

5.4.4.2.2. For large volumes or several tenants, the host records manager may ask the tenant to help in disposing or preparing the tenant's shipments. When tenant's records are part of a host combined shipment to a federal records center, separate Standard Form 135 (or Archives and Records Centers Information System equivalent) must be prepared for each unit and include the unit's designation in item 5 of the Standard Form 135 with the parent Major Command in parentheses. **(T-1)**. The host records manager gives the tenants involved in the shipment either a copy of the Standard Form 135 receipt (showing transfer numbers, location numbers, and so on) or the transfer and location number for the tenants to add to their copies of the Standard Form 135 that were used to transfer the records to the staging area. If the unit has been inactivated, the host records manager gives a copy of the Standard Form 135 to the parent Major Command of the inactivated unit.

5.4.5. Locator and Disposition File. This file consists of original Standard Form 135 (and/or attached continuation sheets) arranged by the headquarters, installation, activity, or unit whose records are in the staging area. These files also contains the certificates of destruction for destroyed classified material.

5.4.6. Charge Out File. Use Optional Form 11, *Reference Request-Federal Records Centers*, or Air Force Form 614 or Air Force Form 614a, to keep track of loaned material.

## Chapter 6

### DISPOSING AND TRANSFERRING RECORDS

#### 6.1. Disposing of Records.

##### 6.1.1. Authority and Implementation.

6.1.1.1. In addition to the guidelines in this instruction, follow the Air Force Records Disposition Schedule, which incorporates the dispositions from the National Archives and Records Administration General Records Schedules.

6.1.1.2. Do not make personal decisions to destroy Air Force records. **Exception:** Dispose of special intelligence records per Air Force Manual 14-403, *Sensitive Compartmented Information Security and Intelligence, Surveillance, and Reconnaissance Systems Cybersecurity and Governance* and Air Force Instruction 36-2608, *Military Personnel Records System*, for records that are included in the military personnel master record.

6.1.1.3. Use destruction methods and procedures in Air Force Instruction 16-1404, *Air Force Information Security Program*, as authority for disposing of classified documentary records according to agency procedures. **Exception:** Destroy non-record 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. **Exception:** Dispose of special intelligence records per AFMAN 14-403 and AFI 36-2608 for records that are included in the military personnel master record.

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

6.1.1.4.1. 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.

6.1.1.4.2. When a changed schedule reduces the retention period, apply the standard retroactively. **Exception:** If specific instructions are provided with the change in retention, follow those even if contrary to the general case.

6.1.1.4.3. Records freeze is a suspension of the legal disposition. Frozen records are records whose scheduled disposition has been temporarily suspended because of special circumstances that alter the administrative, legal, or fiscal value of the records. In response to a notice on a records freeze, identify affected records and information in units (including inventories of records and information systems, local storage areas, Federal Records Centers, and other areas where affected records and information are stored). **(T-1)**. These actions will ensure that any potentially responsive record is preserved regardless of its physical location.

##### 6.1.2. Retention and Retirement Standards.

6.1.2.1. Records must be identified in Air Force Records Disposition Schedule; use [Table 6.1](#) to cut off records identified in the Records Disposition Schedule. **Exceptions:** identified in this instruction or in the Records Disposition Schedule. **(T-1)**.

6.1.2.2. Records with a retention period of more than 3 years but less than 8 years are transferred to a base staging area. Organizations coordinate this through the base records manager and prepare a Standard Form 135, instructions on how to complete this form can be found at <http://www.archives.gov/frc/records-transfer.html> or in the Help Content in the Air Force Records Information Management System.

6.1.2.3. Retire Air Force personnel records with a retention period of 8 years or more to the National Archives as specified on its web site. **Exception:** The Air Force Records Disposition Schedule may specify another federal records center (such as the National Personnel Record Center in St. Louis, MO, for personnel and medical records); if so, retire them where specified. Federal records center addresses and instructions are found at <http://www.archives.gov/frc>.

6.1.2.4. Tables in the Air Force Records Disposition Schedule include 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. If using SharePoint® or a Records Management Application, then retention periods begin with the dates of individual records in a file.

6.1.2.5. When Staging Areas close or reach capacity:

6.1.2.5.1. When a base closes, a staging area is eliminated, or a staging area reaches capacity, the base records manager must notify the Air Force Records Officer through the command records manager of records that are disposable within 8 years. **(T-1)**.

6.1.2.5.2. The Air Force Records Officer will call appropriate command records manager to determine if a nearby Air Force base has room in its staging area for consolidation of records storage.

6.1.2.5.3. If storing records at another Air Force base is not an option, the Air Force Records Officer will contact National Archives and Records Administration, Office of Federal Records Center Operations to determine which regional record center near the closing base will retire/accept the temporary records. Due to the 31 December 2022 deadline in the OMB M-19-21, consider National Archives-approved commercial storage, <https://www.archives.gov/records-mgmt/storage-standards-toolkit/commercial-records-storage-facilities-by-state>.

6.1.2.6. Retention and Retirement Standards for Air Force Activities.

6.1.2.6.1. When the Records Disposition Schedule does not specify a location in column C of the table, the standard applies Air Force-wide.

**Table 6.1. Retention and Retirement Standards for Air Force Activities (Records not in Electronic form).**

	A	B	C	D	E
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ITEM	Records retention period	Records collected by	Cutoff period	Hold in the current file areas	And (see <b>Note: 1</b> )
1	1 month	Any Air Force activity	End of each month	1 month	Dispose per Disposition Schedule
2	2 months	Any Air Force activity	End of each month	2 months	Dispose per Disposition Schedule
3	3 months	Any Air Force activity	End of each month (see <b>Note: 1.1</b> )	3 months	Dispose per Disposition Schedule
4	4 months	Any Air Force activity	End of each month (see <b>Note: 1.1</b> )	4 months	Dispose per Disposition Schedule
5	6 months	Any Air Force activity	End of each month (see <b>Note: 1.1</b> )	6 months	Dispose per Disposition Schedule
6	1 year	Any Air Force activity	At the end of each Calendar Year or Fiscal Year as applicable (see <b>Note: 1.1</b> )	1 year	Dispose per Disposition Schedule
7	13 months	Any Air Force activity	At the end of each calendar year or fiscal year as applicable (see <b>Note: 1.1</b> )	13 months	Dispose per Disposition Schedule
8	15 months	Any Air Force activity	At the end of each calendar year or fiscal year as applicable (see <b>Note: 1.1</b> )	15 months	Dispose per Disposition Schedule

9	18 months	Any Air Force activity	At the end of each calendar year or fiscal year as applicable (see <b>Note:</b> 1.1)	18 months	Dispose per Disposition Schedule
10	2 years	Headquarters Air Force Offices	At the end of each calendar or fiscal year, as applicable (see <b>Note:</b> 1.1)	2 years	Destroy (see <b>Notes:</b> 1.2 and 2) and AF RDS
11	2 years	Activities below Headquarters Air Force	At the end of each calendar year or fiscal year as applicable (see <b>Note:</b> 1.1)	2 years	Destroy (see <b>Notes:</b> 1.2, 2, 3 and 6) and Disposition Schedule
12	3 Year	Headquarters Air Force Offices	At the end of each calendar or fiscal year, as applicable (see <b>Note:</b> 1.1)	3 Years	Destroy (see <b>Notes:</b> 1.2 and 2) and AF RDS
13	3 Year	Activities below Headquarters Air Force	At the end of each calendar or fiscal year, as applicable (see <b>Note:</b> 1.1)	3 Years	Destroy (see <b>Notes:</b> 1.2, 2, 3 and 6) and Disposition Schedule
14	Over 3 years to Permanent	Headquarters Air Force offices	At the end of each calendar year or	3 years	If not eligible for destruction, retire to



			fiscal year as applicable (see <b>Note:</b> 1.1)		Washington National Records Center for retention (see <b>Notes:</b> 1.2, 2, 4 and 6, 7) and Disposition Schedule
15	Over 8 years to Permanent	Activities below Headquarters Air Force	At the end of each calendar or fiscal year, as applicable (see <b>Note:</b> 1.1)	3 years	If not eligible for destruction, retire to Washington National Records Center or other designated records center for retention (see <b>Notes:</b> 2, 4, 5, 6, 7)
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 Disposition Schedule
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,	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,	For the appropriate time period as specified in items 1 through 15	Destroy or retire according to Disposition Schedule

	closing of a case file, etc.		as applicable		
18	Unscheduled	All Air Force activities	-----	-----	Do not retire unscheduled records to records centers without special permission from the Air Force Records Officer, who will send a waiver request addressing National Archives restrictions. These records are treated as permanent until approved by the Archivist. (see <b>Note:</b> 7)
<b>Notes:</b>					
1.	Command records managers may authorize a temporary extension to disposition standards in the Air Force Records Disposition Schedule pending processing of request as indicated in paragraph 6.1.2.6.4. This also applies to other governments' laws or agreements with the United States, which specify longer retention periods. If a temporary extension is granted by the command records manager, retain the records and send the following information immediately by letter through channels to the Air Force Records Officer:				
1.1.	Description of records and prescribing directives; table and rule from the Air Force Records Disposition Schedule covering				

	records; length of requested extension; volume of records involved; reasons for extension.
1.2.	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. The Air Force Records Officer will advise the command records manager of final action. If the request is disapproved, follow the disposition criteria in the appropriate Table and Rule. If approved, the command records manager issues an authorization letter to the requesting activity for attachment to the related inventory of records.
2.	Transitory and reading files and other large volumes of three to six month retention files are cut off at the end of each month. When volume or other circumstances justify 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.
3.	If office space is urgently needed for current records, before the retention period within the office expires, see paragraph 5.3.4.
4.	Comply with chapter 7.1.1. before retiring classified records to a staging area or records center.
5.	If there is no staging area, retain and destroy in the current files area.
6.	Retain small volumes of 2-year to 8-year retention in the current files area until eligible for disposal or retirement and if the office does not need additional space or equipment. A waiver from the base records manager is not required, however, the base records manager should be notified.
7.	Transfer records prior to 31 December 2021 to the fullest extent possible. Due to the OMB M-19-21, the National Archives will no longer accept hardcopy records after 31 December 2022, and base staging facilities must be closed by 31 December 2022. <b>(T-0)</b> . Possible options after 2022 include digitizing the hardcopy records or shipping the hardcopy records to a National Archives-approved commercial vendor.

6.1.2.6.2. If there is no staging area or office is not in close proximity to an Air Force installation having a staging area, transfer records with a 3-year to 8-year retention to the regional federal records center serving the area, provided the command records manager or agency records manager and National Archives and Records Administration 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 Washington National Records Center or other designated records centers.

6.1.2.6.3. If the office needs space for current records, transfer noncurrent records to the staging area sooner, if the base records manager approves.

- 6.1.2.6.4. The command records manager may approve an extension of retention period for records needed for longer than 2 years after cutoff because of frequent reference. Annotate the related Standard Form 135 with the new information. Send requests for extension to the Air Force Records Officer, who must get National Archives and Records Administration's approval for extension of retention period. **(T-0)**. 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 records manager responsible for the supervision of the staging area.
- 6.1.2.6.5. Hold local series not retrievable to Washington National Records Center or National Personnel Record Center.
- 6.1.3. Upon receipt or creation of unscheduled records, procedures in [paragraph 2.2.9.4](#) must be followed. **(T-1)**. If the records take up file space that is needed for active material, the base records manager will facilitate the transfer to a staging area until final disposition is approved. **(T-1)**. Upon transfer of unscheduled records to a staging area, send a copy of the Standard Form 135, to the base records manager.
- 6.1.4. Emergency Retirement. In hostile or potentially hostile areas, during war, or when war seems imminent, obtain agreement among the affected commander, the base records manager, the command records manager, Air Force Records Officer, and National Archives and Records Administration to retire records with a retention period of more than 2 years to the proper federal records center at any time after cutoff if:
- 6.1.4.1. 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 federal records centers.
  - 6.1.4.2. The records take space urgently needed for military purposes and personnel do not use them often enough to warrant continued local storage.
  - 6.1.4.3. If none of the conditions in paragraphs [6.1.4.1](#) and [6.1.4.2](#) apply, keep the records and retire them at the times specified in [paragraph 6.1.2](#) and [Table 6.1.](#), or, in an emergency, according to [paragraph 6.1.5.2](#).
  - 6.1.4.4. Do not retire material that is designated to be kept 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 the Air Force Records Officer before destruction. **(T-1)**.
- 6.1.5. Emergency Disposal of Records. Dispose of records without regard to the Records Disposition Schedule if an emergency arises, as follows:
- 6.1.5.1. A Hazard to Health, Life, or Property. A command records manager who believes that records have become a hazard to health, life, or property notifies the Air Force Records Officer of the nature of the hazard, the kind and quantity of material involved, and its location. The Air Force Records Officer will notify National Archives and Records

Administration and upon National Archives approval, Air Force Records Officer directs immediate destruction or removal of the material. **(T-0)**.

6.1.5.1.1. 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 Office of Primary Responsibility determines that it is a menace to health, life, or property, the command records manager may eliminate the hazard without prior approval.

6.1.5.1.2. The command records manager requests the Office of Primary Responsibility 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 calendar days of film destruction, complete and send a report to the Air Force Records Officer describing the film and stating when, where, and how the destruction took place. Assign Interagency Report Control Number 1095-NAR-AR to this report.

6.1.5.2. State of War, Threatened War, or Hostile Action outside the United States. When an appropriate authority determines that war or hostile action seems imminent, destroy records in the custody of a commander outside the territorial limits of the Continental United States without regard to disposition standards in the Air Force Records Disposition Schedule and without prior approval if these situations exist: retaining the records would be damaging to the interest of the United States; records take up space urgently needed for military purposes; records are without sufficient administrative, legal, research, or other value to warrant their continued preservation under the threat.

6.1.5.2.1. If the records are considered valuable enough to warrant preservation despite the threat, retire according to [paragraph 6.1.4](#). Follow destruction procedures in AFI16-1404 when emergency destruction is required.

6.1.5.2.2. When records are destroyed in an emergency, provide the following information in writing to the Air Force Records Officer: 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.

6.1.6. Damage to or Unauthorized Disposition of Records. Disposing of records without authorization involves removing them from Air Force custody or destroying or altering them without regard to the schedules in the Records Disposition Schedule. Personnel, to include contractors employed by the Department of the Air Force, shall not conceal, remove, mutilate, obliterate or destroy records without proper authority. This paragraph is punitive and constitutes a violation of Article 92(1), Uniform Code of Military Justice, which is applicable to Regular Air Force, Air Force Reserve, and Air National Guard when in a Title 10 federal status. ANG members may be subject to an equivalent article under a state military justice code. Federal civilian employees and contractors may face disciplinary and/or criminal action. **(T-0)**. Penalties for Violation: An individual may be held criminally liable for concealment,

removal, mutilation, obliteration, or destruction of records in accordance with the provisions of 18 United States Code § 2071. An AF employee may be subject to fines or imprisonment or both. **(T-0)**.

6.1.6.1. Upon discovering unauthorized loss, damage, or destruction of records, the commander and the organization responsible for the records must make a reasonable effort to find, restore, or reconstruct them. **(T-1)**.

6.1.6.1.1. Restoring Records. Users who believe they can save damaged records should contact the base records manager who will contact the base disaster planning office, follow procedures in National Archives and Records Administration's *Essential Records Guide*, or other material in local libraries, or consult with a local restoration company. The command records manager will promptly report the quantity and type of records damaged, source of damage (fire, flood, and so on), extent of damage and an assessment of whether restoration efforts are practical. **(T-1)**.

6.1.6.1.2. Reconstruct records from extra copies or from other records containing the same information.

6.1.6.1.3. Disposal. If restoration or reconstruction of damaged records is not practical and the Air Force Records Officer has concurred, the command records manager will direct the immediate disposal of the damaged records. **(T-1)**. Command records managers must identify them as lost or destroyed records on Standard Form 135 when they retire records of the same period to a staging area or federal records center. **(T-1)**.

6.1.6.2. Reporting. Records Managers (RM) must provide an initial notification of all improper removal, defacing, alteration, or destruction of records to the command records manager within three duty days of discovery. Upon receipt, the command records manager will provide the initial notification information to the Air Force Records Officer. Records Managers should use the template located on Air Force Records Management Community of Practice upon submission of final report to the command records manager. **(T-1)**. The final report must include a (1) a complete description of the records including the volume and dates; (2) the organization, unit, or office maintaining the records; (3) a statement of the exact circumstances surrounding the incident; (4) a statement of the safeguards established to prevent further instances of record loss; and (5) when appropriate, details of the actions taken to salvage, retrieve, or reconstruct the records. **(T-0)**. Validation of training completion for all involved in the chain of custody is required when reporting lost or damaged records. The command records manager provides the final report to the Air Force Records Officer. The Air Force Records Officer in-turn will notify the National Archives within twenty duty days of receipt of the final report.

6.1.6.2.1. For lost records involving information on Air Force members, insert a placeholder to alert future records professionals on the loss, notify the unit (if unaware) which originated the records about the loss, notify the members' affected by the loss (contact Air Force Personnel Center for last known home address of separated members).

6.1.6.2.2. Penalties. U.S. Criminal Code 18 USC § 2071 lists penalties for willfully and unlawful 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.

6.1.7. Authorized Methods of Disposal.

6.1.7.1. Report large volumes of records for disposal to the Defense Logistics Agency Disposition Services

6.1.7.1.1. Defense Logistics Agency Disposition Services 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. **(T-1)**. DoD 5400.07-M\_AFMAN 33-302 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.

6.1.7.1.2. Destroy records that cannot be recycled or sold.

6.1.7.2. Destroy classified information according to Department of Defense Manual 5200.01-V3, sensitive unclassified information (to include Privacy Act, For Official Use Only, privileged, or proprietary information) and personal records that, according to responsible officials, contain information that might be damaging 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.

6.1.7.2.1. 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.

6.1.7.2.2. Records on electronic or similar media are considered destroyed when erased, degaussed and reused.

6.1.7.3. Record donation to an eligible government (including a foreign government), organization, institution, corporation, or individual must have prior approval through command records manager, the Air Force Records Officer, and the National Archives. **(T-1)**. The command records manager requests approval through the Air Force Records Officer, submitting a description of the records and organization that owns them. The Air Force Records Officer requests the transfer through the National Archives; the following conditions must be met:

6.1.7.3.1. The applicant agrees not to sell the records as records or documents. **(T-1)**.

6.1.7.3.2. The applicant agrees to take the records without cost to the Government. **(T-1)**.

6.1.7.3.3. The records are not classified or do not contain information that laws or regulations prohibit or that would hurt the public interest. **(T-1)**.

6.1.7.3.4. A foreign government has an official interest, and is not otherwise prohibited by Air Force directives such as (but not limited to) Instruction 16-201, *Air Force Foreign Disclosure and Technology Transfer Program*; AFI 16-1404. **(T-1)**.

6.1.7.3.5. An individual or commercial business shows that the records are necessary for managing properties acquired from the Government. **(T-1)**.

#### 6.1.8. Disposition of Special Types of Records.

6.1.8.1. Records More Than 30 Years Old. Send National Archives Form 13148, *Report to NARA on Permanent and Unscheduled Records Over 30 Years Old in Agency Custody*, for permanent and unscheduled records over 30 years old in Air Force custody through the appropriate channels to the Air Force Records Officer. **(T-0)**.

6.1.8.2. Records Deteriorating Because of Storage Conditions. Request disposition instructions from the Air Force Records Officer through the command records manager.

6.1.8.3. 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.

6.1.8.3.1. 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.

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

#### 6.1.8.4. Joint Activities Records.

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

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

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

6.1.8.4.4. Records created as a result of the Air Force serving as either executive agent or mission participant are disposed according to Air Force Records Disposition Schedule.

6.1.8.4.5. Records created or collected when a Major Command is acting as the executive agent of a joint activity composed of two or more major commands, the executive agent and the member commands retire or dispose of the records according to the Records Disposition Schedule.

6.1.8.5. International Pact Organization Records. Handle the classified material of an international pact organization (such as the North Atlantic Treaty Organization) according to applicable Air Force, Department of Defense, and international directives. Use the disposition standards in the Air Force Records Disposition Schedule for controlling and accounting for classified material. Manage unclassified records in the same way as any other records.

6.1.8.6. "For Official Use Only" Records and Controlled Unclassified Information. See Department of Defense Manual 5200.01-V4, *DoD Information Security Program: Controlled Unclassified Information* (CUI).



6.1.8.7. “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 personnel) without the approval 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 a federal records center or the National Archives. Unit records professionals will monitor the review of these records to ensure retention of long-term, permanent, or those of historical value. **(T-1)**.

6.1.9. Disposition Procedures for Records of Units and Activities Changing Status.

6.1.9.1. Redesignation or Reorganization of Units and Activities.

6.1.9.1.1. 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.

6.1.9.1.2. Destroy or retire files according to the program action directive and the tables and rules in the Records Disposition Schedule.

6.1.9.1.2.1. 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.

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

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

6.1.9.2.1. When the organization is not transferring responsibilities, destroy records as permitted by the Records Disposition Schedule, transfer records to the appropriate staging area until they are eligible for disposal, and retire records with a remaining retention time of more than 3 years to Washington National Records Center unless required to be stored at another organization or records center.

6.1.9.2.1.1. If the organization has no staging area or is being inactivated, send a list of records and volumes through records management channels to the Air Force Records Officer

6.1.9.2.1.2. The Air Force Records Officer queries the National Archives as to which federal records center to send the records and notifies the command records manager of the appropriate disposition.

6.1.9.2.2. 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.). **(T-1)**. Use Standard Form 135 or memorandum to document the transfer of records (Exception: When inappropriate such as for personnel folders).

6.1.9.3. 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 the Records Disposition Schedule and the special information Base Realignment and Closure provide on base closures.

6.1.9.4. Units Alerted for Overseas Movement. Before a unit moves to or from the Continental United States, records destruction shall be completed within the limits established by the Records Disposition Schedule. **(T-1)**.

6.1.9.4.1. If there is no staging area at the unit's last permanent station, the unit requests a transfer to the federal records center.

6.1.9.4.2. If the staging area cannot receive classified material, transfer it to any organization that the commander considers appropriate, notify the command records manager of its location, and retire records to the federal records center designated by the National Archives and Records Administration.

6.1.9.5. Transferred Units. When the Air Force transfers a unit from one Major Command 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 federal records center, keeps them in the staging area of the former installation, or destroys them according to the Records Disposition Schedule. **Exception:** When a unit leaves its former responsibility or mission to another unit, the new unit may keep any required records, if the command records manager 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.

6.1.9.6. Air Force Reserve and Air National Guard Units.

6.1.9.6.1. Air Force Reserve Units entering Regular Air Force active duty. Cut off record sets of orders the day before entering active duty status. Other active records the unit requires while on active duty status will accompany the unit. **(T-1)**. Transfer remaining records with the record sets of orders to a staging area designated by the Reserve command records manager for retention or retirement, or destroy the records before the unit enters active duty status according to the Records Disposition Schedule.

6.1.9.6.2. 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 Regular Air Force active duty on the last day of active duty status.

6.1.9.6.2.1. The command records manager with oversight of the reserve unit while it was on active duty status will select a staging area to receive records for retention or retirement, or will direct destruction according to the Records Disposition Schedule. **(T-1)**.

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

6.1.9.6.3. Air National Guard Units Entering on Regular Air Force Active Duty. Active records that the unit requires while on active duty status accompany the unit. Cut off remaining records and dispose of or retire them according to appropriate Air National Guard regulations before the unit enters active duty status.

6.1.9.6.4. Air National Guard Units Changing Back to State Control. Cut off records created or collected by the Guard unit during Regular Air Force active duty on the day before active duty ends. Transfer the records to a local staging area and notify the command records manager. Retain, retire, or dispose of the records as instructed by the command records manager and the unit's State Headquarters.

## **6.2. Transferring Records to the National Archives and Records Administration.**

6.2.1. The act of initiating the transfer to the National Archives of records already scheduled as permanent is called a scheduled transfer. 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 federal records centers (known as the Annual Move). However, an organization may offer certain records for direct transfer to the National Archives by submitting a request within the Electronic Records Archives system (known as a direct offer). The Office of Primary Responsibility, the Air Force Records Officer, and the National Archives arrange the transfer and set up the conditions for using the material. The National Archives determines the kind of records it will accept and whether to retire them to the federal records center or transfer them directly to the National Archives.

6.2.2. 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.

6.2.3. Formats to Transfer E-records information can be found at <http://www.archives.gov/records-mgmt/policy/transfer-guidance.html>.

6.2.4. Transfers of E-records information can be found at <https://www.archives.gov/records-mgmt> and [www.archives.gov/records-mgmt/policy/transfer-guidance.html](http://www.archives.gov/records-mgmt/policy/transfer-guidance.html).

6.2.5. Information on digital photographic records can be found at <https://www.archives.gov/preservation/electronic-records>.

6.2.6. National Archives Records Manager Guidance for Public Key Infrastructure Authenticated and Secure Transaction Records can be found at <https://www.archives.gov/records-mgmt/policy/pki.html>

6.2.7. Motion Pictures. The federal records centers and the National Archives normally do not accept Air Force-owned, motion picture records on nitrocellulose-based film because of the potential hazards (see [paragraph 6.1.5.1.1](#)). If Air Force organizations having nitrate motion pictures determine they are valuable enough to maintain at records centers or National Archives, they must convert the nitrate film to safety acetate film. **(T-0)**. Before converting the film, the Air Force Records Officer must obtain National Archives approval that the converted film will be accepted. **(T-0)**. Normally, the minimum number of copies of motion picture film necessary for security, duplication, and use by National Archives 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.

### **6.3. Transferring Records to Other Agencies and Organizations.**

6.3.1. 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 6.1.9](#), or a function responsibility transfers from one unit to another. When major commands, field operating agencies, and direct reporting units transfer responsibilities, they transfer the active records relating to that responsibility at the same time. The receiving major command, field operating agency, or direct reporting unit ensures that the records are properly identified on the files plans. Use Standard Form 135 to transfer records, and send a copy to the losing and gaining command records managers. According to 36 CFR 1234, Section, 1228.122, do not transfer records from one Government agency to another without written approval by the National Archives. **(T-0)**.

6.3.1.1. Send written requests for exceptions to the Air Force Records Officer before transferring or loaning Air Force records. 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.

6.3.1.2. The Air Force Records Officer receives authority from the National Archives for transferring Air Force records to another federal agency in instances other than those cited above.

6.3.2. Transfer Outside of Government Agencies. The Air Force Records Officer gets approval from the National Archives to transfer records to organizations outside of the Federal Government. Follow transfer request procedures in [paragraph 6.3.1](#) **(T-0)**.

### **6.4. Getting Records from a Records Center, Staging Area, or Other Organizations.**

6.4.1. Records can be retrieved from a federal records center or Staging Area by the organization that created the records, successor organizations, higher headquarters, or other organizations designated by the Office of Primary Responsibility or those the records manager chooses. To request inactive records from an Air Force organization, write directly to the organization to request records.

6.4.2. Washington National Records Center keeps a list of persons authorized to request, receive, and pick up classified and unclassified records stored at the Washington National Records Center. Major command, field operating agency and direct reporting unit records managers compile these lists annually and provide security clearance information for those individuals requesting classified records to the Air Force Records Officer for processing.

Washington National Records Center requires the Air Force to submit annual update/verification of individuals authorized to pick up and withdraw records from the center.

6.4.3. Authorizations at base-level are restricted to the base records manager and one alternate. To preclude interruption of access, Washington National Records Center authorizations are provided to the supporting command records manager before the end of the fiscal year. This access is for Washington National Records Center only and does not affect either personnel or medical record retrieval.

6.4.4. The base records manager or the Office of Primary Responsibility will approve loan requests for retired records only after verifying the records center or staging area can meet the loan request, the loan will not subject the records to abnormal risk of loss or damage nor slow down other business of a higher priority. (T-1).

6.4.5. Use Archives and Records Centers Information System to make reference requests in order to recall records or use records from any federal records center. Do not send, E-mail, fax, or deliver an Optional Form 11 to a federal records center. Instead, use the information on the Optional Form 11 and input into the Archives and Records Centers Information System. Use Optional Form 11 to recall records or use records from any staging area.

6.4.6. Use Standard Form 180, *Request Pertaining to Military Records*, to obtain information from military personnel records. The Standard Form 180 also lists the correct mailing addresses and location of military personnel records.

6.4.6.1. Send requests for transcripts to the Community College of the Air Force, CCAF/DESS, 100 S. Turner Blvd., Maxwell-Gunter Air Force Base AL 36114 or via the Internet at <http://www.au.af.mil/au/barnes/ccaf/transcripts.asp>.

6.4.6.2. When Standard Form 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).

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

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

6.4.6.2.3. Date and place of birth.

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

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

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

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

6.4.6.3. For the National Personnel Record Center (Military Personnel Records) to provide the best service, limit telephone requests to urgent or emergency matters; mail requests instead.

6.4.6.4. Use National Personnel Record Center's customer service number (314) 801-0800 during regular working hours (0700 to 1700 Central Standard Time) and emergencies, <https://www.archives.gov/personnel-records-center>.

**6.5. Restrictions on Release of Information.** Service personnel may obtain 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 obtain most types of information from a military service or medical record. Other requesters must have a release signed by the veteran. **(T-1)**.

6.5.1. Using Standard Form 127, *Request for Official Personnel Folder (Separated Employee)*. Use Standard Form 127 to request the National Personnel Record Center send civilian personnel records of former military personnel. Send two copies to the federal records center.

6.5.2. Use DD Form 877, *Request for Medical/Dental Records or Information*, to request medical and dental records from the National Personnel Record Center.

**6.6. Removing Records Permanently.** Borrowed records may not be permanently removed from any federal records center or staging area without written approval of the base records manager, or the command records manager for inactivated organizations. Send written approval to the federal records center or base records manager with Optional Form 11 for the records. If the records center retires the records again at a later date, prepare a new set of Standard Form 135s and handle as a new retirement action.

**6.7. Returning Borrowed Records.** The commander must ensure borrowers return records to the records storage or staging area. Borrowed records from a staging area will be returned within 10 duty days unless justification is provided by the unit to the base records manager. **(T-1)**.

**6.8. Loaning Already Borrowed Records.** Borrowers do not normally loan out records they have already borrowed from a federal records center or staging area. If borrowers must provide papers from borrowed files to other agencies or offices they: **(T-1)**.

6.8.1. Promptly notify the federal records center or base records manager. **(T-1)**.

6.8.2. State the reasons for needing to loan out the borrowed records. **(T-1)**.

6.8.3. Describe the records in question. **(T-1)**.

6.8.4. Provide an approximate date of return. **(T-1)**.

6.8.5. Do not lend official Air Force files to activities outside Air Force without approval from the Air Force Records Officer and the National Archives. **(T-1)**.

6.8.6. Obtain a signature for release on a Standard Form 135. **(T-1)**.

6.8.7. Preferably, make copies for the other interested person. **(T-1)**.

**6.9. Addressing Inquiries.** To keep rerouting to a minimum, send inquiries on retired organization and installation records directly to the federal records center maintaining the records for the period involved.

**6.10. Withdrawing Records by Reactivated Installations and Units.** Federal records centers and base records managers approve requests for records by reactivated units or installations to assist administration if the loan initially lasts for a 3-month period, with the privilege of renewal. The federal records center or base records manager may recall the loan at any time.

## Chapter 7

## SHIPPING RECORDS

## 7.1. Standard Form 135.

Table 7.1. Number of Copies and Distribution of SF 135.

Item	A For Records	B Prepare Standard Form 135	C And
1	Retired to any records center	Process now completed in Archives and Records Centers Information System	Equivalent Standard Form 135 information from the Archives and Records Centers Information System can be provided to the retiring office if applicable, and can be obtained for monitoring purposes, including records 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.
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 Records Manager; 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 Records Manager; 1 to gaining and losing command records manager (Headquarters Air Force Records Office in SAF/AA 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 Records Manager; 1 to gaining and losing command records manager (Headquarters Air Force Records Office in SAF/AA 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 Records Manager; 1 to losing command records manager; 1 to the Air Force Records Officer; and retain 1 for file.

7.1.1. Shipment of Classified Records. The Commander reviews all classified records before retiring them to a staging area or federal records center to determine whether they can be downgraded or declassified according to AFI 16-1404.

7.1.2. Review of Classified Records Prior to Shipment. The Commander certifies on the Standard Form 135 (or equivalent field in the Archives and Records Centers Information System) that the downgrading or declassification review took place and puts new classification marks on the records.

## **7.2. Methods of Shipment.**

7.2.1. Use the most frugal means of shipment when shipping records to any federal records center. Motor or rail freight shipment satisfies this requirement within Continental United States. When rapid transportation is required, use parcel service. If using parcel service, follow the weight and size restrictions and other procedures in Department of Defense Manual 4525.8-M Air Force Manual 33-306, *DoD Official Mail Manual*. Ship TOP SECRET, SECRET and CONFIDENTIAL material according to AFI 16-1404 and Department of Defense Manual 5200.01-V1-4, *Controlled Unclassified Information* (CUI). (T-0). Use local Transportation Management Office for large, unclassified shipments. For shipments of 50 boxes or more, call the federal records center to schedule a shipping date and instruct the commercial carrier to contact the federal records center 24 hours before delivery. Write this instruction on the bill of lading.

7.2.2. Washington National Records Center. The Washington National Records Center provides records management services to headquarters and field offices of federal agencies located in the District of Columbia, Maryland, Virginia, and West Virginia. See <https://www.archives.gov/suitland> for information on using the Center.

**7.3. For Official Use Only Files.** Do not separate records and files carrying the For Official Use Only protective marking. Pack and ship them with unclassified records.

**7.4. Information for using Standard Form 135.** See <https://www.archives.gov/frc/forms/sf-135-instructions>

**7.5. Using Archives and Records Centers Information System to ship boxes of records to and pull boxes from a federal records center.** Do not send, email, fax, or deliver a Standard Form 135 to a federal records center. Instead, use the information on the Standard Form 135 and input into the Archives and Records Centers Information System. Account application forms, online training, user manuals, and other information are available at <https://www.archives.gov/frc/arcis> (T-0). Base records managers submit Archives and Records Centers Information System account application forms to their respective command records manager, who also provide basic help desk support.

**7.6. Shipping Containers.** See <https://www.archives.gov/frc/about> for information on shipping records and shipping containers, <https://www.archives.gov/frc/records-transfer> for packing records, and <https://www.archives.gov/frc/toolkit> for sealing and marking boxes. (T-0).



## Chapter 8

### AUTHENTICATING RECORDS

#### 8.1. Authentication Methods for Air Force Records.

8.1.1. Authentication. A record is authenticated when it contains an official signature indicating the document is genuine and official. A signature may be written, stamped, or electronic. Use one of the following methods to authenticate records issued in the conduct of Air Force business:

8.1.1.1. Written Signature. Sign the appropriate paper-based signature block using black or dark blue ink. Do not sign for another person; official directives or statutes require the personal signature of designated persons on many types of Air Force records.

8.1.1.2. Signature Facsimile. A signature facsimile is an authorized copy of an individual's signature. Do not use signature facsimile to authenticate unless the records requiring signature are so numerous for that organization that the act of written authentication becomes a time-consuming task.

8.1.1.2.1. A signature facsimile on administrative records, such as form or transmittal memorandums, see Air Force Manual 33-326, *Preparing Official Communications*.

8.1.1.2.2. Physically safeguard signature facsimile equipment such as those used to authorize the expenditure of government funds or the binding of the Air Force or the government to a course of action.

8.1.1.3. Electronic Signing Technologies. Electronic signatures may be accomplished by several different technologies; personal identification numbers, digital signatures, smart cards and biometrics are all approved methods of electronic signing for authenticating e-records. Information in an official Government e-mail header is a form of authentic electronic signature. Above any electronic signature block, enter “//SIGNED//” or a facsimile. This form of signing will be determined authentic for documenting e-mail and/or subject matter expert coordination when released from a Government e-mail account and when a legal requirement does not exist for either a physical or digital signature. **(T-1)**. However, a digital signature may be required on a corresponding form intended to document the same intent. In that case, the user must contact the supporting legal office for signature requirements governed by federal statutes. **(T-1)**. That office can also advise on a case-by-case basis which venue (physical, digital, electronic signature) would be most appropriate. The most important used methods are as follows:

8.1.1.3.1. Typed Notation. A method of signing an electronic document that serves to (a) identify and authenticate a particular person as the source of the electronic document; and (b) indicate such person's approval of the information contained in the electronic document. The electronic signature may be embedded in the content of the record, or it may be stored separately. Formatting examples may be found in Air Force Handbook 33-337, *Tongue and Quill*. This form of signing will be determined authentic for documenting e-mail and/or subject matter expert coordination when released from a government e-mail account and when a legal requirement does not exist for either physical or digital signature. Typed notations may or may not be tightly linked to a

form or document, whereas digital signatures are difficult or impossible to unlink from a document.

8.1.1.3.2. Digital Signatures. A method of authenticating records by producing a digital signature bound to both the record and the signer's identity using cryptographic keys, operations, and protocols. Digital signatures serve to both verify a signer's identity and provide integrity for the data contained in the record.

8.1.1.3.2.1. Information on digital signatures produced by a user's computer using public key infrastructure can be located at <http://www.archives.gov/records-mgmt/policy/pki.html>.

8.1.1.3.2.2. Forms managers must be consulted in advance to analyze any data collection tools that project officers have determined feasible and reliable for digital signature, vice physical signature. (T-1). Additional guidance can be found in AFI 33-360.

8.1.2. Authentication of Electronically Signing Permanent Records. For permanent records, organizations must ensure that the printed name of the electronic signer, as well as the date when the signature was executed, be included as part of any human readable form (such as electronic display or printout) of the electronic record. (T-1). This is required so that the name of the signer will be preserved as part of the record.

8.1.3. Reproducing the Record That Has the Official Signature. Unless stated otherwise in the applicable statute or official directive, copies of a record bearing an official signature have the same authority as the original.

## 8.2. Authentication Authority.

8.2.1. Authority. An individual's right to authenticate records is granted by statute, directive, instruction, delegated authority, duty assignment, or specific position. Essentially, it is the capacity in which a person acts, not grade that determines the right to authenticate records.

8.2.1.1. Command Capacity. The responsibility of a commander or civilian director to authenticate Air Force records, and the extent to which they may designate others to authenticate records, follows the principles of command and staff and the principle of delegation of duties contained in Air Force Instruction 51-509, *Appointment to and Assumption of Command*.

8.2.1.1.1. A commander or civilian director continues to discharge command functions when temporarily absent from the place of duty (temporary duty, etc.). During absences, designated representatives continue to perform designated duties, see Air Force Instruction 51-509.

8.2.1.2. Non-command Capacity. When a statute or other directive does not require the commander's or director's personal signature, the deputy or vice commander is authorized to authenticate records without using the authority line. Any other subordinate, including the staff director of any headquarters below Headquarters Air Force, who authenticates a record on behalf of a commander, must use the authority line "FOR THE COMMANDER" (or like official title) to indicate that they are acting as the commander's authorized agent. (T-1). Use of the authority line on any communication to a person or agency outside the Department of Defense is unauthorized, see Air Force Manual 33-326.

8.2.1.3. Staff and Administrative Capacity. Staff and administrative personnel can authenticate a record without the authority line when it reflects their own opinion, position, or administrative action on matters within their assigned staff or administrative functions, see Air Force Manual 33-326. They must use the authority line for records representing the coordinated position of the headquarters staff or for records providing instructions or authorizations. **(T-1)**.

8.2.1.4. Professional Capacity. Some staff officers and civilian equivalents--including doctors, chaplains, and judge advocates--sign documents in the performance of their official duties that require no authority line or further authentication. Examples include birth, death, marriage certificates, and records of certain adverse actions.

### **8.3. Misuse of Authentication Authority or Methods.**

8.3.1. Legal Documents and Proceedings. This Instruction does not apply to authentication of official Air Force records for admission into evidence connected with legal proceedings.

8.3.2. Evidentiary authentication is governed by Military Rules of Evidence 901, *Authenticating or identifying evidence* and Air Force Instruction 51-301, *Civil Litigation*. Additionally, consult the servicing Legal Office prior to using any type of electronic signature in any disciplinary document.

## Chapter 9

### DISCOVERY/LITIGATION HOLD PROCESS

**9.1. Scope.** All information created or received while carrying out the Air Force mission is subject to discovery under the Federal Rules of Civil Procedure. The Air Force is involved with litigation that imposes certain responsibilities on Air Force personnel. In such circumstances the opposing party or the Air Force itself may initiate a discovery process to find responsive information pertaining to the litigation. Discovery is the process by which one party in litigation obtains information and data from other parties.

9.1.1. Litigation holds/searches will include all information, including records, non-records, personal papers, regardless of classification or format. **(T-1)**. A litigation hold request requires parties to initiate searches to locate and preserve information for which there is a current or expected future need, whether or not litigation is anticipated.

9.1.2. A thorough search includes all paper, non-electronic (e.g., microfiche), and electronically stored information within an area of responsibility to include official records in the inventory of records, active and inactive records, external electronic media, desktops/laptops, and any other information systems used by the organization to process records and identified on the inventory of records, to include those transferred for short and long term storage in base staging or offsite at a federal records center which a records professional, commander, or record holder reasonably expects to contain information responsive to the search request and Litigation Hold.

9.1.3. For personnel involved in the legal discovery of a records search, the disposition/destruction schedules for any potentially relevant information shall instantly be suspended and the information shall be segregated and stored in a manner that ensures the native file format is preserved and metadata is not altered. **(T-1)**.

**9.2. Responsibility for Search.** Responsibilities for conducting searches, collecting and preserving relevant information, and reporting results are shared among the records professionals, the Air Force Records Officer, and Record Holders within identified organizations. Department of the Air Force legal representative and/or authorized designee will submit request for Electronically Stored Information directly to the designated Air Force Network focal point and, if required, the Defense Information Systems Agency focal point, to initiate search actions based on criteria outlined in litigation hold document. **(T-1)**.

9.2.1. The Air Force Records Officer shall serve as the Office of Primary Responsibility for the management and oversight of the Search Request and Litigation Hold process. **(T-1)**.

9.2.2. Commanders and records professionals are responsible for initiating a thorough search of all paper, non-electronic, and electronically stored information within their area of responsibility. Commanders and records professionals are responsible for notifying all organizational personnel of the Litigation Hold and search request and ensure all personnel provide appropriate responses.

9.2.3. Command records managers provide oversight of subordinate records professionals as applicable to ensure searches are completed and reported in the Air Force Records Information Management System in accordance with the assigned suspense.

9.2.4. Base records managers serve as the local point of contact and authority for the search, collection, and preservation procedures of the discovery/litigation hold process.

9.2.5. Record Holders conduct thorough searches of all information including paper, non-electronic, and electronic within their assigned workspace, on their government provided desktop/laptop computer, and personal government e-mail accounts/.pst's/and files.

9.2.6. Air Combat Command Headquarters Cyberspace Capabilities Center will execute Air Force Network searches as tasked based on the criteria in the litigation hold memo using established standardized procedures. (T-1).

9.2.7. At the request of Air Force trusted agents, Defense Information Systems Agency executes searches of the Defense Enterprise E-mail based on the criteria in the litigation hold memo using established standardized procedures.

**9.3. Guidance on Search Procedures.** Training is an important element in ensuring Air Force members use standardized procedures in gathering responsive information and reporting search results. Air Force Records Officer will provide annual role based training for records professionals that includes procedures for conducting searches, collecting and preserving relevant information, and reporting results. (T-1).

9.3.1. Records professionals will provide guidance to Record Holders on procedures to search assigned workspaces and their assigned desktop/laptop computers for potentially relevant information. (T-1). A link to procedures on how to perform a search of assigned computers and Microsoft Outlook files will be included at the bottom of the details portion of all record searches loaded in the Air Force Records Information Management System. (T-1).

9.3.2. Commanders will provide additional guidance regarding searches within their records management plans (T-1). See [Paragraph 2.2.3](#).

**9.4. Tracking Search Results.** The Air Force Records Officer will track search results and report status to the managing attorney. (T-1). The Air Force Records Officer, with support of the command records managers, will track overdue responses using the Air Force Records Information Management System and will report results on a monthly basis. (T-1).

**9.5. Providing Audit Trail of Search.** The Air Force Records Officer will use the Air Force Records Information Management System to distribute search requests and litigation holds for paper and electronically stored information (including E-mails and file shares) to base records managers, submit search findings, track results, and generate summary report of responses (T-1). Separate notification external to the Air Force Records Information Management System will be sent to Defense Information Systems Agency for Defense Enterprise E-mail searches (T-1).

**9.6. Conducting and Reporting Search Request Results.**

9.6.1. The discovery/litigation hold process will be initiated by the Managing Attorney through the issuance of a Search Request and Litigation Hold. (T-1). The Search Request and Litigation Hold will be distributed to the Air Force Records Officer, servicing legal office, and/or directly to individuals, units, or organizations. (T-1).

9.6.2. Air Force Records Officer.

9.6.2.1. The Air Force Records Officer will review the Search Request and Litigation Hold and work with the Managing Attorney to assist in the identification of additional search terms and/or organizations to be tasked as required. **(T-1)**.

9.6.2.2. The Air Force Records Officer will enter the search request into the Air Force Records Information Management System, identifying each major command/field operating agency/direct reporting unit, Base, Unit, or Organization having potentially relevant information. **(T-1)**. The search terms and any unique procedural requirements will be provided in the records search details in the Air Force Records Information Management System. Search requests that are classified, contain controlled unclassified information, or that require sensitive handling will be processed external to the Air Force Records Information Management System. **(T-1)**. The search will include all Air Force information in any medium, to include electronically stored information within tasked offices of record, individual government desktops/laptops or external hard drives, within their active and inactive records, and in base staging or offsite at a federal records center. **(T-1)**.

9.6.2.3. Upon completion of the search, the Air Force Records Officer will provide a summary report of the search results and access to all findings to the Managing Attorney in accordance with instructions in the Air Force Records Information Management System, and provide further reports and information as necessary. **(T-1)**. The Air Force Records Officer will also provide the Managing Attorney with all information necessary to validate the Air Force search, preservation, and collection processes. **(T-1)**.

## **9.7. Air Combat Command, Headquarters Cyberspace Capabilities Center.**

9.7.1. Within given authorities for Air Force networks, Air Combat Command Headquarters Cyberspace Capabilities Center will direct the execution of Air Force network searches for all Air Force network electronically stored information of the pertinent organizations or individuals, based on search terms and criteria defined in Litigation Hold requests. **(T-1)**.

9.7.2. As part of executing the search for all Air Force network electronically stored information, with the assistance of network support staff, ensure information found shall be copied in such a manner as to not modify metadata or original information and send to the managing attorney. **(T-1)**.

9.7.3. The Air Combat Command Headquarters Cyberspace Capabilities Center will report Air Force network search results (positive or negative) in the Air Force Records Information Management System in accordance with the suspense and any unique requirements. Electronically stored information is information obtained from Air Combat Command Headquarters Cyberspace Capabilities Center only. This does not relieve records professionals from performing electronically stored information searches at their level.

9.7.4. Command Records Managers.

9.7.4.1. The command records managers will close out reporting for a tasked search in the Air Force Records Information Management System after all assigned subordinate units have completed reporting in the Air Force Records Information Management System. **(T-1)**.

9.7.4.2. Command records manager will serve as liaison between subordinate records professionals and the Air Force Records Officer. **(T-1)**.

#### 9.7.5. Base Records Managers.

9.7.5.1. The base records manager will provide notification to the local Wing Command, Communication Squadron Commander, Knowledge Management Chief, Operations Flight Commander, and any other pertinent functional area office, when a search request and litigation hold is received impacting the base. **(T-1)**. Base records managers will ensure all paper, non-electronic documentation, and electronically stored information are properly identified in the Air Force Records Information Management System and that the responsive documents are properly protected from accidental modification or destruction until further guidance is given. **(T-1)**.

9.7.5.2. Upon request, the base records manager will create a location/folder on the network to store/hold potentially relevant electronically stored information discovered from the search with the identification number of the search as listed in the Air Force Records Information Management System. **(T-1)**. The base records manager shall provide the Managing Attorney access as requested. **(T-1)**. The location/folder shall not be subject to any automatic overwriting, archiving, or deletion procedures. **(T-1)**. The base records manager should notify network technicians conducting any equipment or software upgrades or patches of the location of any preserved electronically stored information and verify that such maintenance will not alter the native file format and will minimize any changes to metadata. **(T-1)**.

9.7.5.3. The base records manager shall ensure that all Standard Form 135 for records stored in the local staging area, in long term storage at a federal records center, or other approved off site location are reviewed for potentially relevant documentation. **(T-1)**. The base records manager will include any potentially relevant findings from local staging, or in long term storage in the comments section of the records search in the Air Force Records Information Management System. **(T-1)**.

9.7.5.4. The base records manager will provide guidance on when and what procedures to follow to collect/capture/preserve potentially relevant electronically stored information identified in a non-networked database/server/drive or on a home computer used to conduct AF business. **(T-1)**.

9.7.5.5. Upon request, the base records manager will provide guidance on when it is appropriate to transfer potentially relevant electronically stored information directly to a restricted folder, established for the search request, and labeled with the unique title and identification number of the search as listed in the Air Force Records Information Management System. **(T-1)**. Transfer potentially relevant electronically stored information to the restricted folder in a manner that ensures the native file format is preserved and any changes to metadata are minimized.

9.7.5.6. Base records managers shall include in the comments field a summary describing the search actions for negative responses to include general location information such as building(s) and room number(s). **(T-1)**. Enter the search locations (domains, servers, paths), search terms (key word, phrase, or filename), and search specifics (date ranges, etc.). Base records managers shall generate a consolidated index of potentially relevant results for the local staging area and base records sent for long-term storage to a federal records center. **(T-1)**.

9.7.5.7. Prior to closing out the search in the Air Force Records Information Management System, base records managers shall review responses to ensure accurate and complete reporting. **(T-1)**.

9.7.5.8. The base records manager will close out reporting in the Air Force Records Information Management System after all for assigned subordinate units have completed reporting in the Air Force Records Information Management System. **(T-1)**.

#### 9.7.6. Commanders/Records Professionals.

9.7.6.1. Commanders and records professionals shall notify all organizational personnel who are likely to possess relevant information of the Litigation Hold. **(T-1)**. In accordance with the Litigation Hold memorandum and search request, commanders and records professionals will ensure all personnel provide appropriate responses. **(T-1)**. Commanders and records professionals, along with the Knowledge Operators, shall assist organizational personnel with conducting searches of and properly preserving information, including electronically stored information. **(T-1)**.

9.7.6.1.1. If the organization does not have possession, custody or control of any requested documents but have information concerning the location of such documents, provide that information as soon as possible, but no later than the date for completing the search. The legal staff requires adequate time to respond to the new information

9.7.6.1.2. Commanders or records professionals, with the assistance of organization personnel, will identify any proprietary/organizational information systems that may contain relevant information and direct the manager for each system to conduct a search using the criteria identified in the search details provided in the Air Force Records Information Management System. **(T-1)**.

9.7.6.1.3. Commanders or records professionals will review all Standard Form 135s for paper, non-electronic, and/or e-records transferred to local staging and/or an approved off site records center for storage that may be relevant to the search. **(T-1)**.

9.7.6.1.4. Commanders or records professionals, will direct their organization's personnel to perform a thorough search in accordance with [Paragraph 9.1](#) and the Litigation Hold memorandum. **(T-1)**. If the commander determines the search is not relevant to the organization, the commander will notify the base records manager in writing that no actions have to be taken and the records professionals will update in the Air Force Records Information Management System. **(T-1)**.

9.7.6.2. Commanders or records professionals shall acknowledge receipt of each tasked information search. **(T-1)**. Marking the acknowledgement box in the Air Force Records Information Management System establishes the commanders or records professional have read the search details and any unique procedural requirements.

9.7.6.3. When Record Holders locate relevant non-electronic information, commanders or records professionals will ensure it is placed in a container (e.g., file, folder, envelope, or box) clearly marked with pertinent, identifying search information in accordance with instructions provided by Air Force Records Officer or the Managing Attorney via the base records manager. **(T-1)**.



9.7.6.4. Commanders or records professionals will report search results in the Air Force Records Information Management System whether positive or negative in accordance with the Litigation Hold memorandum and any unique procedural requirements. **(T-1)**. The response shall identify the individuals and organizations who conducted searches, locations searched, and search methodology (e.g. search terms, date range). **(T-1)**. Positive findings require a separate entry for each potentially relevant item of information to include comments that provide the point of contact and location of the information. Alternatively, the Commander or Record Professional may make available the Litigation Worksheet and Acknowledgment Memorandum completed by each record holder tasked to conduct a search. The litigation worksheet and Acknowledgment Memorandum will be located in the hyperlink associated with the Litigation Hold request. All fields must be completed in the Air Force Records Information Management System to include: name of document or file located as result of search and type; who maintains possession, custody or control; size; unit of measurement; media; date of item; releasability; and preservation. **(T-1)**. The response in the Air Force Records Information Management System should include all information located by organizational personnel and any record holder tasked to conduct a search.

9.7.6.5. Each commander or records professional shall certify in the Air Force Records Information Management System and as mandated by the Managing Attorney or Litigation Hold memorandum. **(T-1)**.

9.7.6.6. Commanders or records professionals may be called upon to provide additional search declarations and other documentation necessary to establish their involvement in the discovery/litigation hold process.

#### 9.7.7. Record Holders.

9.7.7.1. Record Holders will conduct a thorough search of all information including records, non-records, and personal papers, regardless of classification as instructed by the Record Professional and in accordance with organization standard procedures and the Litigation Hold memorandum. **(T-1)**. Record Holders shall search all locations where they reasonably believe relevant information may be including file cabinets; assigned workspaces; shared drives; local drives on desktop/laptop computers; government e-mail accounts; personal e-mail accounts; SharePoint®; and functional systems **(T-1)**. The Record Holders will conduct searches within the assigned suspense time. **(T-1)**.

9.7.7.2. Record Holders will certify their search process and results by documenting search methodology (e.g. locations searched, search terms, date range) and describing search results (e.g. type of document, storage location). **(T-1)**. Unless otherwise instructed, Record Holders will report search results to the Commander or Record Professional using the Litigation Hold Acknowledgment and the Litigation Hold Worksheet to document their efforts. **(T-1)**.

9.7.7.3. Record Holders who identify potentially relevant paper and non-electronic information shall take immediate action to separate it from other documentation to prevent its loss or accidental destruction. **(T-1)**. The Record Holder shall preserve the information in clearly labeled folders or containers in a secure location until further notice. **(T-1)**.

9.7.7.4. Record Holders who identify potentially relevant electronically stored information shall take immediate action to ensure that it is protected to prevent accidental destruction and segregated and stored in a manner that ensures the native file format is preserved and metadata is not altered. **(T-1)**. The Record Holder shall preserve the information in clearly labeled folders or electronic media until further notice. **(T-1)**.

9.7.7.5. Record Holders will notify their records professional in writing (e.g. E-mail, memo) when the search has been completed. **(T-1)**. If responsive information is found, notify the records professional as soon as possible for preservation guidance. Any potentially relevant information shall instantly be suspended from additional modification or destruction. Application of the relevant records disposition on potentially relevant information is suspended.

9.7.7.6. Record Holders may be called upon to provide additional search declarations and other documentation necessary to establish their involvement in the discovery/litigation hold process.

9.7.7.7. Record Holders who are preserving information pursuant to a Litigation Hold shall notify the Record Professional and Managing Attorney of any anticipated departure or separation from the unit/organization in sufficient time to allow transfer of information. **(T-1)**.

## **9.8. Procedures for transferring potentially relevant findings to the Managing Attorney.**

9.8.1. The agency records manager, the command records manager, base records manager, Commander, and Record Holders will hold potentially relevant findings pending guidance from the Air Force Records Officer. **(T-1)**.

9.8.2. The Managing Attorney will inform the Air Force Records Officer, of when, in what format, and to where potentially relevant information should be transferred. **(T-1)**.

9.8.3. The command records manager is responsible for ensuring potentially relevant information and audit trail are packaged and ready to be provided to the Air Force Records Officer to meet timely processing for Managing Attorney.

9.8.4. Records Holders segregate and mark documents containing sensitive compartmented information and information subject to Special Access Program restrictions. Records Holders identify and describe any document withheld from production, even temporarily, for any reason. Records Holders must provide basis and justification for withholding the document to respond to any challenge as soon as possible but by the no later than date supplied in search request. **(T-1)**.

9.8.5. Record Holders will up-channel search results to include list of searchers, time used for the search, documents found, and/or a negative. **(T-1)**. Search results should flow from the commander to the base records manager, from the base records manager to the command records manager, from the command records manager to the Air Force Records Officer. Individuals tasked to search must respond to the request. **(T-1)**. Negative or positive responses are required and will be used to validate to the courts that the search was conducted.

## **9.9. Responsibilities for Lifting a Litigation Hold.**

9.9.1. The Managing Attorney will notify the Air Force Records Officer, and/or individuals, units, or organizations, within 15 duty days when a litigation hold is lifted. **(T-1)**.

9.9.2. The Air Force Records Officer will, in turn, notify all tasked records professionals and direct that any paper, non-electronic information, or electronically stored information identified as potentially relevant be returned to the original organization and disposition in adherence with the Air Force Records Disposition Schedule. **(T-1)**.

LAUREN BARRETT KNAUSENBERGER, SES,  
DAF  
Chief Information Officer

## Attachment 1

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### ***Abbreviations and Acronyms***

**DoD**—Department of Defense

**E—file**—Electronic File

**E—mail**—Electronic Mail

**E—record**—Electronic Record

**FRC**—federal records center

**ITIPS**—Information Technology Investment Portfolio Suite

**NARA**—National Archives and Records Administration

**OPR**—Office of Primary Responsibility

**WNRC**—Washington National Records Center

### ***Terms***

**Access**—The availability of, or the permission to consult; records the ability or opportunity to obtain security classified or administratively controlled information or records such as “For Official Use Only.”

**Accession**—The transfer of the legal and physical custody of permanent records from the Air Force to the National Archives.

**Active Files**—Documentation retained and filed within the current fiscal or calendar year.

**Agency Records Manager**—Records managers responsible for management and oversight of records programs in Field Operating Agencies and Direct Reporting Units.

**Air Combat Command Headquarters Cyberspace Capabilities Center**—Air Force Centralized Records Management Team at Scott Air Force Base.

**Air Force**—Air Force is full-time duty in the active military service of the United States Air Force. This includes members of the Reserve Components serving on active duty status or full-time training duty, but does not include full-time National Guard duty

**Air Force Records Officer**—Appointed by the Air Force Chief Information Officer to direct the Air Force Records Program and all associated activities.

**Air Force Reserve Command**—A Major Command of the United States Air Force, with its headquarters stationed at Robins Air Force Base, Georgia.

**Air National Guard**—The Air Force part of the organized and federally recognized military force of the several states, the District of Columbia, and the territories of the Virgin Islands, Guam, Puerto Rico.

**Application**—A specific use of computer, micrographic, or other information technology, such as in payroll or inventory control.

**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). National Archives and Records Administration is the only Federal agency with the authority to appraise government records, available at <https://www.archives.gov/records-mgmt/scheduling/appraisal>

**Archives**—(1) The non-current records of an organization preserved because of their continuing, or enduring, value. “National Archives of the United States” means those records that have been determined by the Archivist of the U. S. to have sufficient historical or other value to warrant their continued preservation by the Federal Government and that have been transferred to the Archivist’s legal custody. (2) The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records; also called archival agency. In the U.S. Government, it is National Archives and Records Administration. (3) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency; also called archival depository or archival repository.

**Archives and Records Centers Information System**—the web-based system of the federal records centers of the National Archives and Records Administration and online portal through which the Air Force can do business with the federal records centers.

**Archiving**—The process of creating a backup copy of computer files, especially for long-term storage, of e-records.

**Archivist**—A person responsible for or engaged in one or more of the functions listed under archives.

**Area of Responsibility**—The geographical area associated with a combatant command within which a combatant commander has authority to plan and conduct operations.

**Audiovisual Records**—Records in pictorial or aural form. Include still and motion pictures, graphic materials such as posters and original art, audio and video recordings, and combinations of media such as slide-tape productions.

**Authority Line**—The authority line informs readers that the person who signed the document acted for the commander, civilian equivalent, the command section, or the headquarters. If it is used, type in uppercase, two line—spaces below the last line of the text and 4.5 inches from the left edge of the page or three spaces to the right of the page center. Use the words “FOR THE COMMANDER” unless the head of the organization has another title like Commander in Chief, Superintendent, or Commandant.

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



**Authentication**—The process used to ascertain the identity of a person or the integrity of specific record information. A record is authenticated when it contains an official signature indicating the document is genuine and official. A signature may be written, stamped, electronic or digital. In addition, provides background regarding both the potential applicability of public key infrastructure 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 public key infrastructure digital signature authenticated and secured electronic transactions in accordance with Office of Management and Budget M-04-04 E-Authentication Guidance.

**Automated Information System**—Any equipment or interconnected system or subsystem of equipment used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data (including software, firmware, and hardware). Also included are computers, word processing systems, networks, other electronic information handling systems, and associated equipment. Often used as a synonym for an e-records system.

**Base Realignment and Closure**—The process under Public Law 100-526 (BRAC 88) and Public Law 101-510 that the Department has used to reorganize its installation infrastructure to more efficiently and effectively support its force structure, increase operational readiness, and facilitate new ways of doing business through closure and/or realignment of bases above where actions exceed thresholds established in Title 10 United States Code Section 2687.

**Certifying Official**—Electronic Records Archives role assigned to the individual who will certify that the agency is officially submitting a Records Schedule to National Archives for approval. The paper equivalent of this role is the person who signs in Box 6 of the paper Request for Records Disposition Authority (Standard Form 115, *Request for Records Disposition Authority*).

**Charge Out**—The act and result of recording the removal and loan of a document or file to indicate its location. Usually involves the use of an Air Force Form 614 or 614A placed in the location from which the document or file was removed that identifies the record (number, title or subject, and date), the person and office charged to, and the date withdrawn.

**Civilian Director**—A civilian employee designated to lead a unit, who performs all functions normally performed by a commander and who is the director of that unit/organization.

**Classification**—(1) The process of determining the sequence or order in which to arrange documents. (2) The process or result of identifying records containing national security information.

**Classified Information**—Official information that has been determined to require, in the interests of national security, protection against unauthorized disclosure and which has been so designated. Per EO13467, information that has been determined pursuant to EO 12958, as amended, or a successor or predecessor order, or The Atomic Energy Act of 1954, 42 U.S.C. §§ 2011-2021, 2022-2286i, 2296a-2297h-13 to require protection against unauthorized disclosure.

**Client Support Technician**—An individual who supports customers with resolving issues relating to information technology devices, such as personal computers, personal digital assistants, and printers.

**Command Records Manager**—Records managers responsible for management and oversight of Major Command records programs. They are centrally located at Air Combat Command

Headquarters Cyberspace Capabilities Center, with the exception of the Air National Guard. The Headquarters Air Force itself is treated as a Major Command.

**Component**—A Military Department, Service, Agency or other organization entity within the Department of Defense.

**Comprehensive Records Schedule**—A schedule or collection of schedules based on National Archives and Records Administration-approved disposition authorities and issued as a directive or manual to cover all the records of an independent agency or department, or those of a bureau, service, or office within a department; also includes instructions for non-record materials, whose disposition is based on agency needs.

**Contracting Officer**—A Service member or Department of Defense civilian with the legal authority to enter into, administer, modify, and/or terminate contracts.

**Controlled Unclassified Information**—Unclassified information that requires safeguarding or dissemination controls, pursuant to and consistent with applicable law, regulations, and Government-wide policies.

**Copy**—(1) A reproduction of the contents of an original document prepared simultaneously or separately and usually identified by function or method of creation. Copies identified by function include action copy, information or reference copy, official file copy, reading or chronological file copy, suspense or tickler file copy, and stock copy. Copies identified by method of creation include carbon copy, electrostatic copy, mimeograph copy, and ribbon copy. (2) In e-records, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source.

**Confidential**—Security classification applied to information; unauthorized disclosure of which reasonably could be expected to cause damage to the national security that the original classification authority is able to identify or describe.

**Cyber Security Liaison**—Develop, implement, oversee, and maintain an organization cybersecurity program that identifies cybersecurity requirements, personnel, processes, and procedure.

**Data**—Symbols or representations of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data or with statistics or measurements.

**Database**—(1) A set of data, consisting of at least one data file, that is sufficient for a specific purpose (Chapter XII of 36 CFR 1234); (2) In electronic recordkeeping, a set of data, consisting of at least one file or a group of integrated files, usually stored in one location and made available to several users at the same time for various applications (federal records Management Glossary: 1989).

**Destruction**—In records management, the major type of disposal action. Methods include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials.

**Digital Signature**—A transformation of a message or document using an asymmetric cryptosystem such that a person having the initial message or document and a signer's public key can accurately determine if the transformation was created using the private key that corresponds

to the signer's public key, and if the initial message or document was altered since the transformation was made.

**Direct Reporting Unit**—Has a specialized and restricted mission, and is directly subordinate to the Chief of Staff, United States Air Force or to Chief of Staff's representative on the Air Staff.

**Discovery**—The process by which one party in litigation obtains information and data from other parties. The Fed. R. Civ. P. governs several formalized methods of conducting discovery, including: interrogatories, requests for production of documents, requests for admissions, and depositions. Before formal discovery begins, parties have an obligation to search for and preserve information that may be relevant to the issues in the case. This is accomplished through the issuance of a Litigation Hold/Preservation Notice. Parties should also affirmatively identify all facts, documents, and witnesses that support their respective claims or defenses. Discovery is not limited only to information that may be admissible in evidence, but extends to information that is reasonably calculated to lead to the discovery of admissible evidence.

**Disposable**—Temporary and approved by National Archives for disposal, either immediately or after a specified retention period.

**Disposal**—Physical destruction of records; not synonymous with disposition. The actions taken regarding temporary records after their retention periods expire and consisting usually of destruction or occasionally of donation; also, when so specified, the actions taken regarding non-record materials when no longer needed, especially their destruction.

**Disposition**—(1) A comprehensive term that includes destruction, salvage, or donation; transfer to a staging area or records center; transfer from one organization to another; (2) Actions taken with inactive records. These actions may include erasure of data, transfer to a records center, or transfer to the National Archives (36 CFR 1234, Chapter XII).

**Disposition Authority**—(1) Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records. Should be obtained from the National Archives and also, for certain records proposed as temporary, from the Government Accounting Office. (2) The agency's approval of disposition instructions for non-record materials.

**Disposition Instructions**—(1) Precise instructions specifying the date or event for cutoff, transfer, retirement, or destruction of records in compliance with National Archives regulations and the Records Disposition Schedule located in the Air Force Records Information Management System. (2) Directions for screening non-record materials and carrying out their disposal when no longer needed by the agency.

**Disposition Schedule**—The document governing, on a continuing basis, the mandatory disposition of recurring records series of an organization; also known as a records schedule or retention schedule.

**Document**—(1) Recorded information regardless of physical form or characteristics. Often used interchangeably with record. (2) An individual record or an item of non-record materials or of personal papers.

**Documentary**—In audiovisual records: (1) A nonfiction motion picture film having a theme or viewpoint but drawing its material from actual events and using editing and sound to enhance the theme. (2) Still photographs having a theme or viewpoint but showing actual situations realistically.

**Documentary Materials**—A collective term for records, non-record materials, and personal papers that refers to all media on which information is recorded regardless of the nature, medium, method, or circumstances of recording.

**Documentation**—(1) The act or process of substantiating by recording actions and/or decisions. (2) Records required for planning, developing, operating, maintaining, and using e-records. Included are systems specifications, file specifications, codebooks, file layouts, user guides, and output specifications.

**Donation**—(1) In records management, the transfer of temporary records from a federal agency to an eligible person or organization after the authorized retention period has expired. National Archives and Records Administration's approval is required. (2) In archives administration, the transfer from private sources to the National Archives of documents, including audiovisual materials, appropriate for preservation by the Government as evidence of its organization, functions, policies, decisions, procedures, and transactions.

**Electronic Record Keeping**—The creation, maintenance and use, and disposition of records created and stored by using a computer.

**Electronic Record Keeping System**—Records in an Automated Information System and managed outside an Air Force electronic records management solution. Records should be identified and managed by the system.

**Electronic Records (e-Records)**—Any information that is recorded in a form that only a computer can process and that satisfies the federal record in Title 44 United States Code Section 3301.

**Electronic Records Archives**—Technology system designed to preserve and manage National Archives and Records Administration's electronic records and to manage the life cycle of paper records and other holdings, including support for records retention schedules and the accessioning and transferring process for all federal permanent records.

**Electronic Signature**—A method of signing an electronic message that identifies and authenticates a particular person as the source of the electronic message; and indicates such person's approval of the information contained in the electronic message (GPEA section 1709(1)).

**Electronic Transfer Staff**—A role in Electronic Records Archives that is used to package and transmit electronic files to Electronic Records Archives via an electronic transfer method to the Transfer Approving Official.

**Electronically Stored Information**—Includes any digital information, draft and records and non-record materials, stored in a medium from which it can be retrieved and used. Common sources are e-mail, working papers, drafts, duplicates, copies and contract records.

**Emergency Operating Records**—Those types of essential records an organization needs to continue functioning or to reconstitute after an emergency. They serve the federal Government if the country is attacked and include emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, and related policy or procedural records that assist agency staff to conduct operations under emergency conditions and to resume normal operations after an emergency. Other examples 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.

**Essential Records**—Formerly known as vital records (not to be confused with records of life events such as birth and death certificates, marriage licenses and divorce decrees, civil unions, domestic partnerships, wills, etc.). Agency records that are needed to meet operational responsibility under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records) as defined by Title 36, Code of Federal Regulations, Part 1223.2, *Managing Vital Records*, current edition available at [http://www.ecfr.gov/cgi-bin/text-idx?SID=f14572dab9c761e86ec139ce68700ebd&mc=true&node=se36.3.1223\\_12&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?SID=f14572dab9c761e86ec139ce68700ebd&mc=true&node=se36.3.1223_12&rgn=div8).

**Essential Records Manager**—Records Professional who coordinates the agency's Essential Records Program, <https://www.archives.gov/files/records-mgmt/essential-records/essential-records-guide.pdf>

**Federal Agency**—Any executive agency or any establishment in the legislative or judicial branch of the U.S. Government, excepting the Supreme Court, Senate, House of Representatives, and the Architect of the Capitol and any activities under the Architect's direction.

**Federal Rules of Civil Procedure**—The formal rules that govern the conduct of the parties in civil litigation.

**Field Operating Agency**—A subdivision that carries out activities under the operational control of a headquarters Air Force functional manager.

**File**—(1) Usually an accumulation of records or non-record materials arranged according to a plan. Sometimes an accumulation of personal papers so arranged. (2) A unit (such as a folder, microform, or electronic medium) containing such records, non-record materials, or personal papers. (3) Storage equipment, such as a filing cabinet.

**For Official Use Only**—A protective marking to be applied to unclassified information when disclosure to the public of that particular record, or portion thereof, would reasonably be expected to cause a foreseeable harm to an interest protected by one or more provisions of the Freedom of Information Act. This includes information that qualifies for protection pursuant to the provisions of the Privacy Act of 1974, as amended. See Department of Defense 5400.07\_ \_AFMAN 33-302, for detailed information on categories of information that may qualify for exemption from public release.

**Foreign Nationals**—Military or civilian members of a foreign nation or its territories or possessions authorized to be in the United States while visiting Air Force activities, serving with the Air Force on an exchange basis, undergoing training under the jurisdiction of the Air Force, or otherwise under the auspices of the Air Force.

**Format**—(1) The shape, size, style, and general makeup of a particular record. (2) In e-records, the arrangement of data for computer input or output, such as the number and size of data fields in a logical record or the spacing and letter size used in a document; also called layout.

**Freedom of Information Act**—A federal law that establishes the public's right to request existing records from Federal Government Agencies, and is governed Department of Defense 5400.07\_ Air Force Manual 33-302, *Freedom of Information Act Program*.

**General Correspondence**—Records arranged and filed according to their general informational or subject, content consisting mainly of letters and memorandums but also forms, reports, and other material relating to program and administrative functions, but not to specific cases; also called central, correspondence, or subject files.

**Historical Value**—The usefulness of records for historical research concerning the agency of origin or for information about persons, places, events, or things.

**Inactive Files**—Documentation retained and filed for prior fiscal or calendar year(s).

**Index**—(1) A separate collection of cards, extra copies of documents, cross-reference sheets, or other forms arranged differently from the related record series to make it easier to locate relevant documents. (2) A manual or automated listing arranged differently from a related record series or system to speed retrieval of relevant files.

**Information Management**—The administration, use, and transmission of information and the application of theories and techniques of information science to create, modify, or improve information handling systems.

**Information System**—The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual; also called a record system or a system. Most often refers to a system containing e-records that involves input or source documents, records on electronic media, and output records along with related documentation and any indexes.

**Information Technology Investment Portfolio Suite**—The Air Force’s enterprise authoritative source for Information Technology portfolio management and is used to report both Information Technology compliance and budget. Reference AFI 17-110, *Information Technology Portfolio Management and Capital Planning and Investment Control*.

**Informational Value**—The usefulness of records in documenting the persons, places, things, or matters dealt with by an agency, in contrast to documenting the agency’s organization, functions, and activities. Considered by the National Archives in appraising records for permanent retention.

**Integration**—In e-records: (1) combining various pieces of hardware and software, often acquired from different vendors, into a unified system. (2) Combining computer programs into a unified software package so that all programs can share common data.

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

**Legal and Financial Rights Records**—Those types of essential records needed to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include payroll, insurance, and retirement records. The National Archives formerly defined these records as “rights-and-interests” records.

**Litigation Hold/Preservation Notice**—A detailed statement of an individual’s, unit’s, or organization’s responsibilities: (1) in the discovery phase of litigation, to search for, identify, preserve, index, and report paper documents and electronically stored information that are potentially relevant to the facts and issues in a case or in a matter where there is a reasonable

anticipation of litigation; or (2) to locate and preserve information for which there is a current or expected future need, whether or not litigation is anticipated.

**Major Command**—A major subdivision of the Air Force that is assigned a major part of the Air Force mission. Major commands report directly to Headquarters United States Air Force.

**Metadata**—Elements of information that answer the questions ‘who, what, where, when, and why’ regarding electronic records. Metadata elements provide administrative, descriptive, and technical information describing the structure and content of electronic records. They also provide contextual information explaining why electronic records were created, how they were used, managed, and maintained prior to their transfer and what their relationship is to other records.

**National Archives and Records Administration**—Federal agency responsible for records appraising, accessioning, preserving, and making available permanent records.

**Network Support Staff**—Information Technology professionals involved with computer networks and associated functions.

**Non—electronic Records**—Records not in the electronic or digital format. Also known as hardcopy records and analog records.

**Non-record Material**—U.S. Government-owned documentary materials excluded from the legal definition of records or not meeting the requirements of that definition. Includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition; also called non-record copies or non-records.

**Office of Primary Responsibility**—Any headquarters, agency, or activity having primary functional interest in, and responsibility for, a specific action, project, plan, program, or problem.

**Official Record**—See **record**.

**Operating Location**—Part of a unit geographically separated from its parent unit. It is used to account for personnel by location. Personnel remain assigned to the parent unit for command supervision and other services provided by a detachment are not needed. An Operating Location has none of the administrative attributes of a unit.

**Outside Continental United States**—Outside United States territory (e.g., Germany, Japan, England, Korea, to include Alaska, Hawaii, Guam, Puerto Rico, etc., as all US territories that are considered OCONUS).

**Permanent Records**—Records the Archivist of the United States has appraised as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the agency dealt.

**Personal papers**—Includes family and personal correspondence and materials documenting professional activities and outside business or political pursuits. These materials belong to the individual, and the Government exerts no control over them for records management purposes. Personal papers should be clearly designated as such and kept separate from Air Force records.

**Personally Identifiable Information**—Information about an individual that identifies, links, relates, or is unique to, or describes individual (e.g., a social security number; age; military rank; civilian grade; marital status; race; salary; home or office phone numbers; other demographic,

biometric, personnel, medical and financial information, etc.). Such information can be used to distinguish or trace an individual's identity, such as members' name; social security number; date and place of birth; mother's maiden name; and biometric records, including any other personal information which is linked or linkable to a specified individual.

**Point Of Contact**—The individual designated by the Office of Primary Responsibility to meet all task- or issue-relevant responsibilities. Point of Contact and Office of Primary Responsibility are often used interchangeably, but the Office of Primary Responsibility retains ultimate responsibility.

**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.

**Privacy Act of 1974 as Amended**—Federal legislation mandating that personal information about individuals collected by federal agencies be limited to that which is legally authorized and necessary and that it be maintained in a manner which precludes unwarranted intrusions upon individual privacy.

**Privacy Act System of Records**—A group of any records from which information is retrieved by the name of an individual or by some identifying number, symbol, or other identifying particular assigned to an individual.

**Program Manager**—The individual specifically designated to be responsible for the life cycle management of a system or end item. The program manager is vested with full authority, responsibility, and resources to execute and support an approved Air Force program. The program manager is accountable for credible cost, schedule, and performance reporting to the Milestone Decision Authority (Department of Defense Directive 5000.01, *The Defense Acquisition System*). Throughout this document the term program manager is used for consistency with Department policy and documentation. Air Force organizations may use —System program manager as an equivalent to the DoD Directive 5000.01 — program manager term. (AFI 63-101/20-101).

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

**Record Keeping Requirements**—Statements in statutes, regulations, or agency directives providing general and specific guidance on records to be created and maintained by an agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, it needs to issue record keeping requirements for all activities at all levels and for all media and to distinguish records from non-record materials and personal papers.

**Records**—Include all recorded information, regardless of form or characteristics. The recorded information is made or received by a federal agency under federal law. Or the recorded information is made or received in connection with the transaction of public business. The recorded information is preserved or appropriate for preservation by that agency or its legitimate successor. The recorded information is evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the federal Government. Or the recorded information are records because of the informational value of data in them. Records do not include library and museum material made



or acquired and preserved solely for reference or exhibition purposes. Records do not include duplicate copies of records preserved only for convenience.

**Records Center**—A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives. Includes National Archives-authorized agency records centers and National Archives-operated federal records center.

**Records Creation**—The first stage of the records life cycle in which records are made (or received) by an office.

**Records Disposition Schedule**—A document providing mandatory instructions for what to do with records (and non-record materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records; also called records control schedule, records retention schedule, and disposition schedule, or schedule. Includes the Standard Form 115, and agency records schedules, that, when completed, becomes a comprehensive set of records schedules that also contains agency disposition instructions for non-record materials.

**Records Maintenance and Use**—Any action involving the storage, retrieval, and handling of records kept in offices by or for a federal agency. This is the second stage of the records life cycle.

**Records Management**—Managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve proper documentation of the policies and transactions of the federal Government and effective and economical management of agency operations. This is also known as records administration.

**Records Management Application**—Department of Defense 5015.02-STD compliant commercial-off-the-shelf software that electronically manages the disposition and lifecycle of records.

**Records Management Program**—A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. The program encompasses the creation, receipt, maintenance and use, and disposition of records regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, publicizing the program, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

**Records Professional**—An individual whose area of expertise advances beyond introductory records management. The term record professional encompasses but not limited to Base records manager, command records manager, agency records manager, and Air Force Records Officer. Records Professional skills extend beyond familiarity to intermediate or advanced record management.

**Records Scheduler**—Role in Electronic Records Archives assigned to users who prepare records retention schedules for submission to the Certifying Official for approval.

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

**Retire**—The transfer of inactive records to a federal records center.

**Scheduled Records**—Final retention approved by the National Archives and Records Administration. Scheduling provides mandatory instructions for what to do with records (and non-record materials) no longer needed for current Government business.

**Scheduling**—The process of developing a schedule for the disposition of the records, using Air Force Form 525, so the disposition instructions can be published in the Air Force Records Disposition Schedule.

**Secret**—Security classification applied to information; unauthorized disclosure of which reasonably could be expected to cause serious damage to the national security that the original classification authority is able to identify or describe.

**Security Classification**—A category to which national security information and material is assigned to denote the degree of damage that unauthorized disclosure would cause to national defense or foreign relations of the United States and to denote the degree of protection required. There are three such categories: top secret, secret, and confidential.

**Security Clearance**—A administrative determination by competent authority that an individual is eligible for access to classified information.

**Sensitive Compartmented Information**—All information and materials bearing special community controls indicating restricted handling within present and future community intelligence collection programs and their end products for which community systems of compartmentation have been or will be formally established.

**Series**—File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use; also called a record series or a file series. Generally handled as a unit for disposition purposes.

**Signature Facsimile**—An authorized duplication of an original signature that has the same authority as the original signature.

**Social Media**—An online social platform or site used to share information, communicate, and build relationships with the public.

**Special Access Program**—A program established for a specific class of classified information that imposes safeguarding and access requirements that exceed those normally required for information at the same classification level.

**Staging Area**—Area used to store records until disposition can be completed.

**State Records**—These records are created by military members, most specifically Guard 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 a Guard unit may be activated to assist with a state emergency. Should the Federal Emergency Management Agency get involved or federal dollars be expended toward the emergency, the records created by the Guard become federal records. State records are the property of the state and federal records are the property of the agency (e.g., Air Force). When there is an issue of records being state or federal, the Air National Guard Unit base records manager should contact the Air National Guard command records manager for guidance. If necessary that person should coordinate with the Air Force Records Officer (and any other applicable command records manager).

**Subject Matter Expert**—Person with bona fide expert knowledge about what it takes to do a particular job.

**Support Agreement**—A written agreement that establishes the roles and responsibilities for recurring support between the requiring activity and the performing agency. Support agreements may be intra-agency (between organizations within the Department) or interagency (between the Department and other federal agencies). Also may be referred to as a Memorandum of Understanding or Memorandum of Agreement.

**System of Records**—A group of records under the control of a Component from which an individual's record is retrieved by the name or personal identifier.

**Temporary Records**—Records approved by the National Archives for disposal either immediately or after a specified retention period of less than permanent; also called disposable records or non-permanent records.

**Top Secret**—Security classification applied to information; unauthorized disclosure of which reasonably could be expected to cause exceptionally grave damage to the national security that the original classification authority is able to identify or describe.

**Transfer**—(1) The act or process of moving records from one location to another, especially from office space to agency storage facilities or an federal records center, from one federal agency to another, or from office or storage space to the National Archives for permanent preservation. (2) The records involved in such relocation.

**Transfer Approving Official**—Role in Electronic Records Archives assigned to users who have authority to approve Transfer Requests and the Legal Transfer Instruments on behalf of the agency.

**Transferring Official**—Role in Electronic Records Archives assigned to users who will create Transfer Requests and submit them to the Transfer Approving Official for approval.

**Unscheduled Records**—Records whose disposition has not been approved by the National Archives and Records Administration.

**Users**—All Air Force personnel to include Regular Air Force active duty, reserve, guard, civilian, foreign nationals employed by the Department of the Air Force and Air Force contractor employees.

**Value**—The usefulness of records in documenting legally enforceable rights or obligations, those of both the federal Government and of persons directly affected by the agency's activities.

(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.

## Attachment 2

### RECOMMENDING CHANGES TO THE RECORDS DISPOSITION SCHEDULE

**A2.1. Recommending Changes to the Records Disposition Schedule.** Records professionals and users at all levels may recommend changes to the Records Disposition Schedule to account for new, obsolete, or changed records used by Air Force organizations; to do so, they must first contact their command records manager or agency records manager.. (T-1).

**A2.2. Air Force Form 525 is used to recommend or request changes, additions, or deletions to the Air Force Records Disposition Schedule.** Coordinate the Air Force Form 525 with appropriate personnel at each level before sending it to the next higher level.

**A2.3. The command records manager coordinates with other major command or field operating agency/direct reporting unit records managers who have a prime or joint interest in the records before sending the suggestion to the Air Force Records Officer.** The command records manager coordinates with the command history office on changes relating to historical records and permanent records. The command records manager 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 command records manager indicates in item 17 if the records are privacy act records. Send approved recommendations to the Air Force Records Officer. For further information concerning command records managers (to include name, phone numbers, e-mail, mailing address, etc.), reference the Records Disposition Schedule.

#### **A2.4. Justification of Changes.**

A2.4.1. When a proposed new or revised record or a directive requires records not covered in the Air Force Records Disposition Schedule, the Office of Primary Responsibility sends Air Force Form 525 to the base records management office. The affected records are considered pending. The Office of Primary Responsibility may delay the draft of the directive while submitting Form 525, to include a qualifying statement such as: "Proposed disposition is tentative while needs of the users are determined." In such instances, the base records manager or command records manager holds Form 525 for at least 6 months and then asks the Office of Primary Responsibility to confirm the proposed disposition.

A2.4.2. 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), 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.

A2.4.3. 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 the judge advocate's comments along with the Air Force Form 525. National Archives and Records Administration and the Air Force Records Officer use these comments to make an informed decision on the retention value of the records.

A2.4.4. Dispositions Pending. The Air Force Records Officer is required notify all command records managers when an Air Force Form 525 has been submitted, informing them that the disposition is pending until further notice, and the Air Force Records Information Management System will be annotated with disposition pending. The unscheduled status may mean a proposed disposition schedule has not been developed, the proposed schedule has been submitted to the Air Force Records Officer but not to the National Archives, the proposed schedule has been submitted to the National Archives but it is in "Disposition Pending" status, or the National Archives has not completed the appraisal.

A2.4.5. Dispositions Approved. Amend or re-accomplish inventory of records 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 Standard Form 135 for staging area records to reflect changes.

**Attachment 3****HOW AN AIR FORCE MEMBER CAN DETERMINE WHAT A RECORD IS?****Figure A3.1. Required Recorded Information**

Include all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes; or duplicate copies of records preserved only for convenience.

**A3.1. An Air Force member can determine whether the recorded information is an Air Force record if:**

- A3.1.1. It is identified in the Air Force Records Disposition Schedule or the National Archives General Records Schedule;
- A3.1.2. The information was received and/or created by an agency employee (includes contractors), on agency time to facilitate agency business; to include telework;
- A3.1.3. It documents substantive information about agency business;
- A3.1.4. The information is maintained and controlled by the agency;
- A3.1.5. The information was distributed and used by employees to conduct agency business;
- A3.1.6. It required action, supports area of work, or provides specific instruction;
- A3.1.7. It documents what happened, what advice was provided, who was involved, order of events, and the decision-making process; or, If it contains information restricted from release under the Privacy Act of 1974, preservation order, or an on-going investigation.

**A3.2. It is an e-mail record if it:**

- A3.2.1. Was made or received to conduct or respond to agency business;
- A3.2.2. Provides information of value on important agency activities;
- A3.2.3. Documents significant agency decisions or adds to the proper understanding of agency operations and responsibilities;
- A3.2.4. Provides key substantive comments on draft memoranda;
- A3.2.5. Documents the formulation and execution of basic policies and decisions and the taking of necessary actions;
- A3.2.6. Documents important meetings;
- A3.2.7. Will facilitate action by agency officials and their successors;
- A3.2.8. Makes possible a proper scrutiny by the Congress or by duly authorized agencies of the Government; and

A3.2.9. Protects the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions.

## Attachment 4

### GUIDE TO RECORD CENTERS, REPOSITORIES, AND THE LOCATION OF RETIRED AIR FORCE RECORDS

#### A4.1. Reference sites.

A4.1.1. See <https://www.archives.gov/frc> for information on federal records centers, services, and records management consulting.

A4.1.2. See <https://www.archives.gov/locations> locations for a list of archive facilities, to include Regional Archives. Unless notified otherwise by the National Archives and the Table and Rule records disposition, ship to the nearest federal records center.

#### A4.2. National Personnel Records Center:

A4.2.1. Inactive permanent and temporary organizational documentation.

A4.2.1.1. From 1916-1966: Research and development records; Claims files, Record sets of regulations, manuals, letters, staff digests, bulletins, and operating instructions; general correspondence by major and major subordinate command headquarters.

A4.2.1.2. From 1916-1967: Record sets of administrative orders (such as general, 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 record forms; Operating room schedules, medical research and experimental files, and medical professional papers; 1951-1957 excused-from-duty reports; September 1947-June 1966 morning reports.

A4.2.2. Military personnel and medical records of Regular, Reserve, and Air National Guard 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).

A4.2.3. 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).

A4.2.4. Military personnel and medical records of Guard enlisted personnel who left the Guard after 1 January 1953.

A4.2.5. Clinical records of Air Force personnel on Regular Air Force 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 status 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.

A4.2.6. Interim X-rays for Air Force military personnel taken at Naval medical facilities; X-rays taken of military personnel at Air Force 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.

A4.2.7. Individual pay records for retired personnel and records designating trustees to receive money on behalf of mentally incompetent personnel before and including 1967.

A4.2.8. Decoration files listing all decorations to Air Force personnel.

A4.2.9. Leave records for civilian employees who left the Air Force from 1961-1967.

A4.2.10. Veterans Administration beneficiaries' clinical and outpatient medical and dental treatment records, including X-ray film of Veterans Administration outpatient clinics from 1968 to the present.

### **A4.3. National Personnel Records Center Annex:**

A4.3.1. 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 (Standard Form 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.

A4.3.2. Inpatient medical records of Public Health Service and Coast and Geodetic personnel on active duty status 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 enlisted personnel on enlistment, appointment, student status at Air Force and U.S. military academies, relief from active duty status, 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.

A4.3.3. Government Accountability Office 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 status training through 31 March 1951; control ledgers for each Government Accountability Office 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.

A4.3.4. Denver Federal Center, and the National Archives-Rocky Mountain Region, 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 Regular Air

Force 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 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 that Air Reserve Pay and Allowance System 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 and records designating trustees to receive money on behalf of mentally incompetent personnel if termination of the trusteeship occurred after 1967.

A4.3.5. Original copies of contracts with supporting documents before 31 March 1974. Original microform of the Joint Uniform Military Pay System master military pay account for Regular Air Force active duty members. Original microform of the Retiree and Annuitant Master File History for retired members and their annuitants. Original microform of the Air Reserve Pay and Allowance System quarterly history containing Air Force Reserve and Air National Guard members' pay accounts.

A4.3.6. Atlanta Federal Records Center and the National Archives-Southeast Region: 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.

A4.3.7. Washington National Records Center, National Archives and Records Administration: Inactive records from 1955 to the present of the Secretary of the Air Force and Headquarters Air Force, 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. Government Accountability Office 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.

A4.3.8. 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. 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.

A4.3.9. Air Force Personnel Center, 550 C Street West, Joint Base San Antonio - Randolph Air Force Base TX, 78150. (See Air Force Instruction 36-2608).

A4.3.10. Air Reserve Personnel Center, 18420 E. Silver Creek Avenue, Buckley Air Force Base CO, 80011: Military personnel and medical records for Air Force Reserve officers below the grade of general not serving on extended Regular Air Force active duty and for living retired Air Force Reserve members, including Air National Guard officers, in a non-pay 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 Regular Air Force 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.

A4.3.11. Air Force Historical Research Agency, 600 Chennault Circle, Maxwell Air Force Base AL 36112-6424. The repository for Air Force historical documents. 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. It consists of over 70,000,000 pages devoted to the history of the service.

A4.3.12. Sensitive compartmented information Central Repository, 25 AF/A6 (formerly ESC/DAD, AFIC/IMOR, AIA/IMI, and previously known as AFISRA/A6OK), San Antonio TX 78243. All classified sensitive compartmented information (also known as Special Intelligence) products created within the Air Force in accordance with AFMAN 14-403.