

**BY ORDER OF THE COMMANDER  
HQ AIR FORCE PERSONNEL CENTER**

**AIR FORCE PERSONNEL CENTER  
INSTRUCTION 33-105**



**3 DECEMBER 2021**

***Communications and Information***

***AFPC RECORDS MANAGEMENT  
PROGRAM***

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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This Air Force Personnel Center Instruction (AFPCI) implements Air Force Policy Directive (AFPD) 33-3, *Information Management*; AFI 33-322, *Records Management and Information Governance Program*, Department of Defense Instruction (DoDI) 5015.02, *DoD Records Management Program*; and DoD Standard 5015.02 (DoD Standard 5015.02-STD), *Design Criteria Standard for Electronic Records Management Software Applications*. It establishes roles and assigns responsibilities for the Air Force Personnel Center (AFPC) Records Management Program. Compliance with this publication and its attachments is mandatory.

This instruction applies to Regular Air Force, Air National Guard, Air Force Reserve, and civilians employed by the Department of the Air Force and Air Force contractor personnel. Contractors who perform roles associated with records management, defined in this instruction, must fully comply with the duties in their assigned role. Performance work statements for contracts awarded to perform any of the records management roles in this instruction will reflect this requirement. Contractors are not authorized to perform Chief of the Office of Record (COR) duties.

This publication may not be supplemented or further implemented/extended. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*; route AF Form 847 from the field through the appropriate functional chain of command. Ensure all records created as a result of processes prescribed in this publication are maintained in accordance with (IAW) AFI 33-322 and disposed of IAW Air Force Records Information Management System (AFRIMS) Records

Disposition Schedule (RDS) which is located in the Air Force Records Information Management System.

Waivers to this instruction are authorized and shall be processed IAW DAFI 33-360, *Publications and Forms Management*. AFPC/CC has delegated the waiver approval authority for tiered and non-tiered items in this publication to the AFPC/DSMI, Agency Records Manager. Waivers to this instruction are authorized and shall be processed IAW DAFI 33-360, requests will be submitted using the AF Form 679, *Air Force Publication Compliance Item Waiver Request/Approval*, or via e-mail or memorandum if the form is unavailable.

Waivers may be approved for a period not to exceed the requested waiver period or 90 calendar days after the approving commander's tour length, whichever is shorter. Waivers automatically expire 90 days after a change of command unless the new commander renews the waiver. A copy of approved waivers are required to become part of the approver's and requestor's official records. Within 7 days of waiver approval notification, the appropriate waiver information is entered in the Management Internal Control Toolset.

Refer to **attachment 1** for Glossary of References and Supporting Information.

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

This document has been revised to delete references to Air Force Instruction (AFI) 33-364, *Records Disposition-Procedures and Responsibilities* and Air Force Manual (AFMAN) 33-363, *Management of Records*, as the processes and procedures in the aforementioned publications have been incorporated into AFI 33-322. The term Advanced Distributed Learning Service (ADLS) has been replaced with MyLearning. References to Joint Base San Antonio (JBSA)-Randolph AFB Network Administration Section has replaced Air Force Personnel Operating Activity (AFPOA) Windows/Web Administration Section for managing the AFPC Electronic Records Management (ERM) shared drives, system administration back-up, and recovery. Additionally, AFPOA has been replaced with A1 Digital Transformation Activity (DTA).

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**1. General.** This publication defines the roles and responsibilities to effectively manage Air Force records. This publication establishes the AFPC program for Records Management (RM).

1.1. AFPC personnel have a requirement to document their organization's functions, policies, procedures, and activities in the official plan. This documentation serves as the AFPC RM policy. These records must be preserved by implementing effective life-cycle management procedures and must be managed systematically to ensure they are complete, accurate, trustworthy, and easily accessible. Every Air Force activity must manage its records to comply with legal accountability requirements.

1.2. Personnel employed by AFPC shall not conceal, remove, mutilate, obliterate or destroy records without proper authority. Unauthorized concealment, removal, mutilation, obliteration or destruction of records, or any attempt to do so, is a violation of Title 18, U.S.C., Section 2071 and may be punished by up to 3 years confinement and a fine. Failure to obey the prohibitions in this paragraph is also a violation of Article 92, Uniform Code of Military Justice. Failure of civilian employees to follow the prohibitions in this paragraph may also result in administrative disciplinary action under applicable civilian personnel instructions without regard to otherwise applicable criminal or civil sanctions.

1.3. The keys to an effective RM program are the integrity of the filing system and effectively resourced and trained personnel. The filing system ensures a standard methodology for filing, storing, retrieving, and ultimately disposing of records according to published retention schedules. Criteria for establishing a file plan is provided in AFI 33-322 along with the Air Force Records Disposition Schedule (AF RDS). The AF RDS is located in the AFRIMS located at <https://www.my.af.mil/afrims/afrims/afrims/rim.cfm>.

1.4. Within 60 calendar days of assuming command, the new AFPC Commander shall publish an AFPC Records Management Plan that implements the records management program IAW AFI 33-322, *Records Management and Information Governance Program* and AFPCI 33-105, *AFPC Records Management Program* for AFPC or affirm the existing plan in use. This plan defines the roles and responsibilities of AFPC records professionals to effectively manage Air Force records. It also establishes the records management program for all AFPC Directorates.

**2. Definition of Records.** Includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by AFPC. Materials exempt from the definition of records include extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit. Electronic/digital media is required for the creation, use, storage, and management of Air Force records.

**3. Users.** Defined as all military, civilian, and contractors working at the Air Force Personnel Center. Users will:

3.1. Create and declare records that sufficiently document the function, organization, administration, policies and procedures. File records IAW office procedures.

3.2. Notify the office Records Custodian (RC) upon notification of retirement, separation, or change of assignment.

3.3. Comply with Functional Area Records Manager (FARM)/RC request to search using provided search terms, for all information including paper, non-electronic, and electronic within his or her assigned workspace, on his or her respective government provided desktop/laptop computer, and personal government e-mail accounts/.psts/and files in time to meet assigned suspense. The search will include all information, regardless of classification or format. All information in the custody, possession, or control of the Air Force is subject to the discovery process and may contain potentially relevant information. Notify the RC when the search has been completed. If responsive information is found, notify the RC as soon as possible for preservation guidance. Any potentially relevant information shall immediately be suspended from additional modification or destruction.

3.4. Must inform the COR and RC of any actual or potential unlawful or inadvertent removal, change, or destruction of Air Force records.

3.5. Must distinguish records from non-record materials and maintain personal papers separately.

**4. Roles and Responsibilities** . Effective management of records for an organization, the scope and size of the Air Force, requires a network of records professionals. The network of roles includes the AFPC Agency Records Manager (ARM), AFPC Base Records Managers (BRM; performed by contractors), Functional Area Records Managers (FARMs; Unit POCs), Chiefs of Office of Record (CORs; Commanders), and Records Custodians (RCs; Office POCs) (refer to [Attachment 4](#)). (Reference AFI 33-322 for further guidance.)

**5. Records Professionals.** Records professionals must protect record content and comply with For Official Use Only (FOUO), sensitive, Privacy Act, and other policy and legal requirements, to include, controlled unclassified information (CUI) requirements.

#### 5.1. AFPC ARM.

5.1.1. Oversees records program as specified in Federal laws, National Archives and Records Administration (NARA) guidelines and applicable Air Force 33-series publications.

5.1.2. Completes annual ARM BRM role based training on MyLearning site.

5.1.3. Ensures AFPC internal record-keeping programs comply with host base records management program guidelines for staging and retrieval.

5.1.4. Establishes and manages a training program for newly appointed FARMs and RCs for continuing training and education.

5.1.5. Requires electronic processes be applied to records created and maintained electronically that have a retention disposition of 10 years or less IAW the federal mandate of the E-Government Act of 2001.

5.1.5.1. Ensures records professionals verify Office of Responsibility (OPR)s have authoritative guidance pertaining to legal recognition and validity before approving transfer (e.g., scanning documents) to electronic form. This includes protecting the scanned paper records from destruction until such authoritative guidance is provided.

- 5.1.5.2. Evaluates and approve/disapprove requests to convert paper records to another record media (e.g., digital) and evaluates and approves proposals for automated information systems (AIS) storing electronic records with 10 years or less retention.
- 5.1.6. Reviews Agency directives, messages and forms before publication to ensure compliance with records management directives. Ensures records generated by the prescribed processes are scheduled, if not scheduled send AF Form 525, *Records Disposition Recommendation*, to the Air Force Records Office (AFRO).
- 5.1.7. Provides assistance to OPR in submitting and ensuring requests for new, updated, or deleted records retention recommendations are properly coordinated using an AF Form 525 or its equivalent.
- 5.1.8. Reviews/approves documentation used to survey electronic data and records in AF information systems in the Air Force's Information Technology Investment Portfolio Suite (ITIPS).
- 5.1.9. Validates proposals on information systems containing records or records data with an approved disposition schedule in the AF RDS for less than 25 years.
- 5.1.10. Reviews and makes recommendations to the AFRO for pre-accessioning and accessioning permanent electronic records in NARA's Electronic Research Administration (ERA) system.
- 5.2. AFPC BRM:
- 5.2.1. The BRM administers the AFPC Records Management Office (RMO). The duties fall into three major areas: provides assistance, manages AFPC staging area, and training.
- 5.2.1.1. Complies with performance work statement (PWS) requirements in performance of duties.
- 5.2.1.2. Provides assistance and oversight to FARMs and RCs as needed and reviews all file plans for accuracy.
- 5.2.1.3. Provides inputs and recommendations to the ARM.
- 5.2.1.4. Upon receipt of SAF-directed AFRIMS records search, litigations or records freeze, the BRM will assist ARM by preparing an email draft notification for ARM release to FARMs/RCs, track responses, and certify data as BRM in AFRIMS.
- 5.2.1.5. Reviews requests for e-storage/document imaging of records, makes recommendation to improve processes, and sends proposal to the ARM before implementation.
- 5.2.1.6. Implements AFRIMS according to AFI 33-322.
- 5.2.1.7. Develops, examines, and manages the AFPC Electronic Records Management (ERM) hierarchy organizational directory structures for compliance IAW the Air Force ERM Solution Guide.
- 5.2.1.8. Implements procedures for processing and approving file plans. The BRM is the file plan approval/disapproval authority.

- 5.2.1.9. Forwards records disposition waivers/requests from FARMs/RCs through the ARM, to SAF/A6PP for approval/disapproval IAW AFI 33-322, and provides FARM/RC status of requests, as required.
- 5.2.1.10. Assists FARMs/RCs with executing ERM system using current Air Force guidance.
- 5.2.1.11. Uses the current AFRIMS checklist to review electronic records during review of file plans and staff assistance visit (SAV) (office of records and unit).
- 5.2.1.12. Investigates incidences of lost and unauthorized destruction of records.
- 5.2.1.13. Provides guidance and assistance to reconstruct lost and destroyed records.
- 5.2.1.14. Makes recommendations to management on preventing future records loss.
- 5.2.1.15. Provides a report as prescribed by AFI 33-322.
- 5.2.1.16. Reviews Agency directives, messages, and forms before publication to ensure compliance with records management directives.
- 5.2.1.17. Assists OPR identify the appropriate table and rule for each local form and other local records prescribed in applicable directives.
- 5.2.1.18. Provides instruction to the OPR on submitting AF Form 525, recommending new, modified, or deletion of a records schedule.
- 5.2.1.19. Reviews documentation used to survey electronic data and records in AF information systems, ITIPS and proposed disposition (AF Form 525) of system from OPRs and Program Managers. Reviews documentation and informs the ARM. For information systems which contain Privacy Act System of Records, coordinate 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.
- 5.2.1.20. Serves as the Agency POC for Archives and Records Centers Information System (ARCIS) used for transactions with federal records centers (FRC). There will be two ARCIS account holders; one primary and one alternate.
- 5.2.1.21. Performs staff visit on each unit FARM at least once every 24 months. Schedules, manages, and documents all staff visits in AFRIMS using the AF-wide checklist. Open findings must be tracked and documented using AFRIMS.
- 5.2.1.22. Conducts SAVs on offices of record/unit every 24 months and elevates repeat discrepancies to the chain of command through the ARM.
- 5.2.1.23. Conducts program evaluation of each assigned office of record to properly evaluate the records management program to access program effectiveness and ensure appropriate corrective action. Furthermore, provides out-brief email message to the appropriate Directorate level.
- 5.2.1.24. Conducts 4-week follow-up for any major noncompliance item and ensures matters of noncompliance after the SAV follow-up are referred to the ARM for assistance as required. Ensures all noncompliance items are monitored until completed.

5.2.1.25. When reorganizations/consolidations occur, the office being subsumed will merge its files into the gaining office/function's file plan, as appropriate. A new office is defined as a function that has never existed. To facilitate the AFRIMS/ERM process, prior to office symbols being documented in the most current Organizations and Functions (Chart Book or ARM approval, based on mission requirement), offices of records are authorized to use the new office symbol with the old office symbol placed in parentheses.

5.2.1.26. When offices consolidate, use file plan that covers the majority of functions as the starting point for 24-month SAV requirement. If none of the consolidated offices have a file plan, gaining COR will coordinate with office they departed from for records and will identify the type records this function created in the past. Similarly, if the majority of functions in the new organization came from areas SAV'd in the last 24 months, use the latest SAV date as a starting point for the basis for the next SAV due date.

5.2.1.26.1. If part of new function has been SAV'd, use that SAV date to establish due date for next SAV.

5.2.1.26.2. When reorganization/consolidation of an office of record occurs, the gaining office FARM/RCs will create subject office on the official ("O"), shared ("S"), and restricted ("R") drives. RMO will create the office in AFRIMS. Once office is created, the gaining office has 30 days to move all records to the official drive and populate the AFRIMS file plan.

5.2.1.27. Directs FARMS and RCs to conduct non-Freedom of Information Act (FOIA) records management data calls and record searches upon receipt of an official request from the ARM or AFRIMS.

5.2.1.28. Ensures all subordinate FARMS and RCs complete and report responses to non-FOIA records searches in AFRIMS before closing out base response in AFRIMS.

5.2.1.29. Ensures FARMS and RCs obtain appropriate network permissions upon completion of training.

5.2.1.30. Coordinates on the AFPC Disaster and Recovery Plan to account for the Vital Records Program. At a minimum, plan will include a description of how vital records are protected and recovered during a disaster or link to the vital records plan.

### 5.3. AFPC BRM Staging:

5.3.1. Manages a staging area for temporary storage of records pending destruction or transfer to a FRC including centralized storage of electronically stored inactive records.

5.3.2. Manages AFPC staging area located in Building 220 and assists FARMS with transfer of all temporary and permanent records (end of each calendar and fiscal year), as appropriate.

5.3.3. Follows guidelines IAW AFI 33-322 for proper management of a records staging area and all required records are transferred to the staging area at the end of each calendar and fiscal record, as appropriate.

5.3.4. Provides records staging service for AFPC directorates and Air Force tenant activities as provided for in a support agreement.

5.3.4.1. Directorates will adhere to AFPC BRM procedures/guidelines, ensuring contents are visibly accounted for by directorate FARM and AFPC BRM representative prior to box being sealed.

5.3.5. Maintains custody of and accountability for staged records, and accountability for records transferred to other agencies or FRCs.

5.3.5.1. Maintains Standard Form (SF) 135, *Records Transmittal and Receipt*, in AFRIMS and an official copy on ERM drive.

5.3.6. Ensures eligible records are transferred to appropriate FRC (includes electronically stored inactive records), maintains accountability for the records IAW AFI 33-322, Air Force ERM Solution, and AFRIMS RDS; and maintains copies of SF 135s.

5.3.7. Obtains ARM approval prior to shipping or destroying Agency records.

5.3.8. Shares security responsibility of staging areas and limits entry to only personnel who require access. AFPC BRM escorts FARMs/RCs to staging area when access is required.

5.3.9. Uses Optional Form (OF) 11, *Reference Request–Federal Records Center*, to monitor return of AFPC records retrieved and on loan from an FRC or staging area.

5.3.10. Coordinates with AFPC Mail Center on shipment of AFPC records to FRC from base staging area, or if a large quantity, prepares paperwork and palletize boxes for shipment via Fed-Ex twice a year (fiscal year (FY)/calendar year (CY) cutoff) as required.

5.3.11. Prepares required forms and makes arrangements with Traffic Management Office to have pallets picked up.

5.3.12. Responsible for investigating incidences of lost or unauthorized destruction of records, 5.3.12.1. Assists FARM/RC in preparing reports through ARM to SAF/A6PP of unauthorized removal/destruction, defacing, damage due to natural disaster or alteration of records.

5.3.13. Conducts an annual inventory of records in AFPC staging area and validates holdings staged at FRCs.

5.3.14. Makes the determination as to whether records have met criteria for disposition.

5.3.15. Shall ensure vital records maintained in the staging area are readily identified and properly documented in AFRIMS as to their location in the staging area.

5.4. AFPC BRM Training:

5.4.1. AFPC BRM completes BRM role-based training on MyLearning.

5.4.2. Ensures all records professionals receive role based training on MyLearning site.

5.4.3. Monitors records management training for role-based training as required.

5.4.3.1. Reports incidences of non-compliance to ARM for further action after second attempt.



5.4.4. Training shall include command-unique or local operating procedures or requirements, particularly where electronic storage processes are implemented.

5.5. Chief of the Office of Record (COR). Defined as individual designated as the head of an office where records are created, received, or maintained. While it is preferred the COR be in the senior position of authority in the respective office of record, these duties may be delegated as appropriate. Delegation of the COR must be made in writing to the AFPC Records Management Office (RMO). The letter of appointment should contain information regarding any training required.

5.5.1. Responsible for the physical and legal custody of all records the office creates or receives, regardless of their physical characteristics. In smaller organizations, the COR can also serve as the records custodian.

5.5.2. Completes annual COR role-based training (Records Management Commander/Designated POC Training) on MyLearning.

5.5.3. Notifies via email directorate FARM upon completion to ensure certificate is placed in e-FARM Handbook. Upon receipt of certificate, AFPC RMO documents training in AFRIMS.

5.5.4. Ensures AFRIMS file plan properly identifies records meeting definition of vital record.

5.5.4.1. Develops plan to account for Vital Records Program. At a minimum, plan will include a description of how vital records (paper and electronic) are protected and recovered during a disaster or link to the vital records plan.

5.5.5. Ensures each office of record under his or her purview develops a file plan and approves by digitally signing the file plan coversheet (reference guidance for digital signatures found in AFI 33-322).

5.5.6. Appoints a primary and alternate (if possible) RC in writing to the FARM. If an RC is unavailable for more than 90 days a new RC shall be appointed, unless he/she is deployed.

5.5.7. Appoints an RC to implement electronic records-keeping, using a letter of appointment and forwards the completed letter to the FARM.

5.5.8. Ensures RCs complete all required records management training within 30 calendar days of appointment.

5.5.9. Ensures a thorough office-wide search for all data calls (e.g., record searches), to include active and inactive, physical and electronically stored final and draft documentary materials both classified and unclassified.

5.5.10. Assists FARM or RC to review, and evaluate automated information systems which creates transfer, store, retrieve, and disposes records.

5.5.11. Ensures all electronic records and/or databases are properly scheduled IAW RDS.

5.5.12. Ensures all personnel who create, maintain and dispose of records complete the appropriate records management training.

5.5.13. Notifies FARM when newly assigned personnel require training.

5.5.14. Ensures permission to destroy government records (inherently governmental) is obtained by the AFPC ARM through the AFPC RMO.

5.5.15. Has overall responsibility for reporting any accidental, willful, or unauthorized disposition of or damage to records; reports any unauthorized or premature destruction or loss of records to the FARM.

5.5.16. Has overall responsibility for ensuring corrective actions are taken on discrepancies noted during AFPC RMO or FARM SAVs.

5.6. FARM. Serves as the point of contact for and monitors the directorate/or functional RM program.

5.6.1. Shall have knowledge of categories of records created and used by the Directorates under his or her functional area.

5.6.2. Serves as liaison with AFPC RMO for his or her functional area. If assigned, a knowledge operator will be the FARM; otherwise any military career field, civil service series, or contractor can perform these duties.

5.6.3. Appointed at the discretion of each Director (or equivalent) by a letter of appointment (or for any change in status) and the FARM will provide signed letter to the AFPC RMO.

5.6.3.1. Receives one-on-one orientation from AFPC RMO on FARM responsibilities (e.g., review of file plans, assistance to, and evaluations of offices of record, etc.).

5.6.4. Completes annual FARM role-based training (Records Management Commander and Designated POC Training) on MyLearning.

5.6.5. Assists in preparing files maintenance and disposition plans.

5.6.6. Conducts SAV on each office of record at least every 24 months using the Air Force AFRIMS SAV module. If FARM also serves as office of record RC, AFPC RMO will perform SAV on respective office.

5.6.7. Conducts follows up with the COR on corrective actions for discrepancies noted during visits, and provides a copy to the COR and AFPC RMO to update in AFRIMS. SAVs are performed during the alternating year of the BRM SAV schedule. New offices of record will receive a SAV within the first 6 months of establishment, but no later than 1 year.

5.6.8. Corrects BRM pre-SAV discrepancies on offices of records to ensure they are corrected prior to the BRM SAV.

5.6.9. Ensures reorganized offices of records not yet included in the Organization and Functions Chart Book (or as approved by the ARM) are documented in AFRIMS and ERM with the new office symbol, plus the old office symbol placed in parentheses. Letters of appointments must also reflect new and old office symbols.

5.6.10. Performs in-depth assessments of each assigned office of record. If discrepancies are noted, sufficient guidance must be provided on evaluation report so personnel understand what corrective action needs to be taken. Briefs COR on results of evaluation and provides original report for filing to the office assessed for file.

- 5.6.11. Conducts SAVs on offices of record in secure areas, provides BRM with the results of the SAV and follows up as required.
- 5.6.12. Assists offices of record to retire eligible records.
- 5.6.13. Schedules attendance for all records professionals in their unit or functional area to take records management training sessions, as required.
- 5.6.14. Ensure CORs and RCs complete required annual role-based training.
- 5.6.15. Assists the BRM in providing guidance on using document imaging systems and electronic storage media for records. Evaluates the effect of document imaging and electronic storage on creating, transferring, storing, retrieving, and disposing of office records. Reports problems to the COR and BRM.
- 5.6.16. Participates in system designs and development process to ensure records management requirements are incorporated into the systems, assists in the preparation of AF Form 525 to schedule records/data created and maintained in the system and forward proposals to the BRM.
- 5.6.17. Guides and assists assigned personnel in maintaining and disposing of records.
- 5.6.18. Reviews record and non-records drives to ensure proper records management practices and procedures.
- 5.6.19. Works with COR in conducting non-FOIA records management data calls and record searches upon receipt of an official request when the appointed RC will be unavailable to respond in a timely manner.
- 5.6.20. Ensures all subordinate RCs complete and report responses to non-FOIA records searches in AFRIMS before closing out task in AFRIMS.
- 5.6.21. Ensures establishment of CY and FY files to include proper maintenance and disposition of records.
- 5.6.22. Maintains records necessary on each office of record within their jurisdiction relating to the management, evaluation and state-of-health of the function's records management program.
- 5.6.23. Coordinates on AFPC-owned publications for compliance with records management procedures and ensures AF Forms 525 are prepared and submitted to the BRM for processing.
- 5.6.24. Creates and manages directory structure on network storage area (NAS).
  - 5.6.24.1. Provides A1 DTA Service Help Desk names (include common access card number) and appropriate permissions to establish global permission security groups for COR, RC, and FARM.
  - 5.6.24.2. Manages and monitors electronic file plan creation.
  - 5.6.24.3. Responsible for deleting inactive files but may delegate to RCs.
  - 5.6.24.4. Monitors directory to ensure records are deleted IAW AFI 33-322.
- 5.6.25. Evaluates record keeping procedures to ensure proper disposition of all eligible records and provides instructions to RCs to purge perpetual files.

5.6.26. Creates directory structure for each office of record under his/her purview.

5.6.26.1. Oversees file folder creation to ensure compliance.

5.6.27. Establishes or updates global permission groups as records professionals are appointed.

5.6.27.1. Use Letter of Appointment (LOA) template to appoint records professionals and forward completed document to AFPC BRM.

5.6.28. Provides RMO with a scanned copy of records professionals' completed training certificate/email acknowledgement for RCs.

5.6.29. Creates and maintains an e-FARM Handbook with the following categories IAW the Air Force ERM Solution Guide procedures (see attachments 2 and 3 for further guidance).

5.6.29.1. FARM Letter of Appointment:

5.6.29.2. FARM SAV Reports.

5.6.29.3. BRM SAV Reports.

5.6.29.4. Training Certificates.

5.6.29.5. Standard Form 135 (as applicable).

5.6.29.6. Information Received from BRM.

5.6.29.7. BRM Orientation, FOIA, and Privacy Act Guides.

5.7. Records Custodian (RC). The RC maintains and disposes of the office active and inactive records IAW the RDS. If assigned, a knowledge operator (5-level, Air Force Specialty Code 3DOX1) will be the RC; otherwise any military career field, civil service series, or contractor can perform these duties. The RC:

5.7.1. Completes initial RC role-based training within one month of appointment and annual training located on AFPC SharePoint site.

5.7.2. Maintains copy of training certificate in file plan under delegations designations of authority and additional duty assignment table and rules.

5.7.2.1. Provides directorate FARM certificate to update e-FARM Handbook.

5.7.2.2. FARM submits copy of certificate to AFPC RMO to update training in AFRIMS.

5.7.3. Develops and maintains office file plan within AFRIMS, and establishes electronic and paper records in IAW AFI 33-322.

5.7.3.1. Maintains office file plan and accountability for active and inactive records.

5.7.4. Transfers eligible records to base staging area or designated FRC.

5.7.4.1. Prepares SFs 135 utilizing Staging module in AFRIMS with FARM assistance.

5.7.4.2. Maintains official record of SF 135 in active files.

5.7.5. Consults with COR and FARM as necessary on records management issues.

5.7.6. Conducts non-FOIA records management data calls and record searches.

5.7.7. Ensures records concerning sensitive or Privacy Act (PA) material is safeguarded from unauthorized removal/access and properly disposed of IAW appropriate records disposition schedule in AF RDS.

5.7.8. Provides office orientation to newly assigned personnel/users (to include new CORs).

5.7.9. Ensures the latest AFPC RM SAV report on-hand, and discrepancies corrected.

5.7.10. Ensures e-copy of approved AFRIMS file plan is placed in Item 01 of ERM "O" drive.

5.7.11. Identifies vital record categories or series by placing a "V" or "Vital" immediately following the electronic file folder/directory title. Additionally, in AFRIMS, under VITAL RECORD section: Click the Yes or NO fields to identify if the item is a Vital record. The default is NO. If YES is clicked, a required drop-down menu will appear with the types of Vital records. Reselect the applicable type from the drop-down menu.

## **6. Portfolio Manager (PFM) of Information Technology (IT) Investments.**

6.1. Communicates AFRO guidance and direction to his or her IT program/project managers and others responsible for IT portfolio management data collection and maintenance.

6.2. Partners with IT program/project managers and others to collect and manage data to support the Air Force Records Management process in addition to Air Force IT portfolio management and other processes in AFI 17-110, *Information Technology Portfolio Management and Capital Planning and Investment Control*, 23 May 2018.

6.3. Informs the IT program/project managers' functional process owner of non-compliance.

6.4. Ensures IT Program Managers answer records management question in ITIPS.

## **7. Program Manager (PM) of an IT investment.**

7.1. Ensures records or records data in IT investments under his or her purview are compliant with records management requirements per AFI 33-322.

7.2. Ensures accuracy of records management requirements in ITIPS prior to AFPC ARM validation in ITIPS.

7.3. Prepares AF Form 1341, *Electronic Record Inventory*, or its AFRO-approved equivalent to survey the IT investments' records data and system characteristics as required by AFI 33-322 and 36 Code of Federal Regulation 1236.26, *What actions must agencies take to maintain electronic information systems?*

7.4. Proposes a customized records disposition using an AF Form 525 or its AFRO-approved equivalent IAW AFI 33-322 if an approved, applicable records disposition does not exist or if an existing one cannot be executed in the IT investment.

7.5. Coordinates the AF Form 525 with relevant stakeholders before submission to records professionals and the AF Records Officer for review and approval.

7.6. Ensures compliance with approved disposition for IT investment records or records data during normal operations and responds to authorized suspensions.

7.7. Ensures the records or records data is not prematurely disposed upon decommissioning of the IT investment.

7.8. Maintains required hardware and software to access records or records data until approved disposition is met.

**8. Publication and Form Office of Primary Responsibility.**

8.1. A publication OPR ensures records created as a result of processes prescribed in his or her publication has a NARA approved RDS.

8.2. A form OPR ensures the form has a NARA approved RDS.

8.3. If an approved disposition does not exist in the AF RDS, the publication or form OPR shall propose a customized records disposition using an AF Form 525 or its AFRO-approved equivalent IAW AFI 33-322. The OPR shall coordinate the AF Form 525 with relevant stakeholders before submission to records professionals and the AF Records Officer for review and approval.

CHRISTOPHER E. CRAIGE, Maj General, USAF  
Commander

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

DoDD 5000.01, *The Defense Acquisition System*, 9 September 2020

DoDI 5015.2, *DoD Records Management Program*, Change 1, 17 August 2017

AFI 17-110, *Information Technology Portfolio Management and Capital Planning and Investment Control*, 23 May 2018

AFI 33-322, *Records Management and Information Governance Program*, 22 March 2020, Incorporating Change 1, 28 July 2021

DAFI 33-360, *Publications and Forms Management*, 21 July 21

AFPD 33-3, *Information Management*, 8 September 2011, Incorporating Change 1, 21 June 2016 Certified Current 21 June 2016

***Adopted Forms***

AF Form 525, *Records Disposition Recommendation*

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

AF Form 847, *Recommendation for Change of Publication*

AF Form 1341, *Electronic Record Inventory*

OF 11, *Reference Request—Federal Records Centers*

SF 115, *Request for Records Disposition Authority*

SF 135, *Records Transmittal and Receipt*

SF 258, *Agreement to Transfer Records to the National Archives*

***Abbreviations and Acronyms***

**AF CIO**—Air Force Chief Information Officer

**AFI**—Air Force Instruction

**AFPD**—Air Force Policy Directive

**AFRO**—Air Force Records Office

**AFSC**—Air Force Specialty Code

**AOR**—Area of Responsibility

**ARCIS**—Archives and Records Centers Information System

**ARM**—Agency Records Manager

**ASCII**—American Standard Code for Information Interchange

**BRM**—Base Records Manager

**CAC**—Common Access Card  
**CFR**—Code of Federal Regulations  
**COR**—Chief of the Office of Record  
**CRM**—Command Records Manager  
**CUI**—Controlled unclassified information  
**DTA**—Digital Transformation Activity  
**ERA**—Electronic Records Archives  
**ESI**—Electronic storage information  
**FARM**—Functional Area Records Manager  
**FRC**—Federal Records Centers  
**GIF**—Graphics Interchange Format  
**GML**—Geography Markup Language  
**HTML**—Hypertext Markup Language  
**IG**—Inspector General  
**IT**—Information Technology  
**ITIPS**—Information Technology Investment Portfolio Suite  
**JFIF**—JPEG File Interchange Format  
**JPEG**—Joint Photographic Experts Group  
**LOA**—Letter of Appointment  
**MAJCOM**—Major Command  
**NARA**—National Archives and Records Administration  
**NAS**—Network Attached Storage  
**PDF**—Portable Document Format  
**PFM**—Portfolio Manager  
**PM**—Program Manager  
**PNG**—Portable Network Graphics  
**PWS**—Performance Work Statement  
**RC**—Records Custodian  
**RM**—Records Managers  
**RMO**—Records Management Office  
**SAV**—Staff Assistance Visit  
**SIPRNet**—Secret Internet Protocol Router Network



**SDTS**—Spatial Data Transfer Standard

**TIFF**—Tagged Image File Format

**U.S.C.**—United States Code

**XML**—Extensible Markup Language

### *Terms*

**Agency Records Manager (ARM)**—Records managers at Field Operating Agencies, Direct Reporting Directorates, and Combatant Commands for which the Air Force is the executive agent.

**Base Records Manager (BRM)**—The AFPC office responsible for managing the records management program.

**Certifying Official**—In situations where the SF 115, *Request for Records Disposition Authority* is used rather than an electronic record, the certifying official will be the person who signs Box 6.

**Chief of the Office of Record (COR)**—Person designated as head of an office where records are created, received, or maintained; has responsibility for physical and legal custody of records. COR duties may be delegated, as appropriate, to someone with adequate authority and a thorough knowledge of the office's mission and the records created by the office.

**Command Records Manager (CRM)**—Records managers responsible for management and oversight of Major Command (MAJCOM) records programs centrally located at the Air Force Network Integration Center, with the exception of the Air National Guard CRM.

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

**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 (Title 36, CFR, Chapter XII, Part 1234).

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

**Electronic Records Archives**—ERA is a technology system designed to preserve and manage NARA's electronic records and to manage the lifecycle of paper records and other holdings, including support for records retention schedules and the accessioning process for all Federal records.

**Electronically Stored Information**—data that is created, altered, communicated and stored in digital form.

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

**File**—An organized collection of related data, usually arranged into logical records stored together and treated as a unit.

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

**Office of Record**—An office within an organization, defined by its mission or function, that is responsible for the creation and management of records that sufficiently document its function, organization, administration, policies and procedures.

**Personal Papers**—Include 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. Personal papers shall be clearly designated as such and kept separate from Air Force records.

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

**Records**—Includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by AFPC. Materials exempt from the definition of records include extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit. Electronic/digital media is required for the creation, use, storage, and management of Air Force records.

**Records Custodian**—Person designated within an office of record to manage the internal record keeping program, having guardianship and control of records.

**Records Professional (RP)**—Individual whose area of expertise advances beyond introductory records management. The term record professional encompasses AFRO, COR, CRM, ARM, BRM, FARM, and RC. RP skills extend beyond familiarity to intermediate or advanced record management.

**Retire**—The transfer of inactive records to a Federal Records Center (FRC).

**Scheduled**—Having final retention approved by NARA. Scheduling provides mandatory instructions for what to do with records (and non-record materials) no longer needed for current Government business.

**Transfer Approving Official**—A role in ERA assigned to users who have authority to approve Transfer Requests and the Legal Transfer Instruments on behalf of the agency. The paper equivalent of this role is the person who signs in Box 2A of the paper Agreement to Transfer Records to the National Archives of the United States (SF 258, *Agreement to Transfer Records to the National Archives*).

**Transferring Official**—A role in ERA assigned to users who will create Transfer Requests and submit them to the Transfer Approving Official for approval.

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

**Working Documents/Drafts**—Documentary materials in any media or format not been signed or officially released; can be altered and are discoverable in response to litigation or FOIA requests.

## Attachment 2

## AFPC E-FARM HANDBOOK

**A2.1.** Each AFPC designated FARM will maintain the following documents:

**Table A2.1. FARM Documents.**

Documents	Comments
<p><b>LOA of Records Management Personnel.</b> Maintain copy of LOA appointing FARM. In addition, maintain copy of individual appointed as RC under your functional area of responsibility. This letter is signed by the COR for that office (maintain these records using AF RDS, Table 33-46, Rule 19). A copy of an LOA for COR is also maintained.</p>	<p>FARM ensures copy of each LOA is forwarded to AFPC RMO organizational box.</p>
<p><b>Records Management Training Information.</b> Maintain copy of RM training certificates for each records professional under your functional area (maintain these reports using AF RDS, Table 37-19, Rule 17).</p>	<p>FARM provides AFPC BRM copy to update AFRIMS.</p>
<p><b>Files Maintenance and Disposition Plans.</b> Maintain copy of each approved AFRIMS file plan under your area of responsibility; including the signed cover sheet IAW AF RDS, Table 37-19, Rule 2.</p>	<p>FARM copies are considered to be info copies.</p>
<p><b>Report of FARM SAV.</b> Maintain copy of FARM SAV reports IAW AF RDS, Table 33-46, Rule 14.</p>	<p>FARM forwards FARM SAV report to respective office of record IAW AF RDS, Table 33-46, Rule 15.</p>
<p><b>Report of RM SAV.</b> Maintain a copy of each RM SAV for each office of record under their area of responsibility IAW AF RDS, Table 37-15, Rule 15.</p>	<p>FARM forwards RM SAV report to respective office of record IAW AF RDS, Table 33-46, Rule 15.</p>
<p><b>SF 135.</b> As applicable, maintain a copy of all finalized SF 135s for applicable office of record under functional area of responsibility IAW AF RDS, Table 37-19, Rule 3.</p>	<p>Each applicable AFPC office of record maintains copy of each finalized/signed SF135 until records retention period has expired.</p>
<p><b>Miscellaneous Records Management Program Information.</b> Miscellaneous RM correspondence. This applies, but is not limited to, Air Force &amp; AFPC RM policy information; requests for exception to policy memorandum, unauthorized disposition/loss of records, etc. (maintain these records using AF RDS, Table 37-19, Rule 17).</p>	

**Attachment 3****SAMPLE ELECTRONIC E-FARM HANDBOOK**

## References:

ERM Solution Guide, Version 7.4, 4 Sep 07, **Figure 4.2**.  
Shared Network, Electronic Information Storage Area, "O" Drive

**XXX - Precedent Files; Office Instructions, Additional Duty Handbooks/Workbooks ...**  
**[Cont.]** (T33-45, R09) (e-folder)

- **e-FARM Handbook Info by Office of Record** (e-folder)
  - DP2XXX (e-folder)
  - ✓ FARM Letter of Appointment
  - ✓ FARM SAV Reports.
  - ✓ BRM SAV Reports.
  - ✓ Training Certificates.
  - ✓ Standard Form 135 (as applicable).
  - ✓ Information Received from BRM.
  - ✓ BRM Orientation, FOIA, and Privacy Act Guides

## Attachment 4

### MANAGING AND STORING ELECTRONIC RECORDS ON SHARED DRIVES

**A4.1. ERM Compliance.** ERM compliance is mandatory for all AFPC and Directorates (military, civilians, and contractors). Users understand the federal record center definition of electronic storage information (ESI) has been expanded to include any type of information, draft and final records and non-record materials relevant to an impending litigation. ESI includes any information stored in a medium that can be retrieved and examined. The most common sources of ESI are E-mails, working papers, drafts, duplicates, copies and contract records. Personal records stored on Enterprise assets may be subject to discovery.

**A4.2. Managing E-records on a Shared Network Drive.** This involves the participation of JBSA AFB Network Administrators, Digital Transformation Activity A1 Enterprise Service Desk staff, users, AFPC ARM, AFPC RMO, FARM, RC, and COR.

#### **A4.3. ERM Rules of Engagement:**

A4.3.1. RCs will create office file plans using the tools in the AFRIMS located at <https://www.my.af.mil/afirms/afirms/afirms/rims.cfm>. The location of e-records must be included on file plans (**DO NOT** list records in “R” and “S” drives on file plan).

A4.3.2. The following are the authorized standardized assigned AFPC permission groups, with appropriate naming conventions: (a) ERM Admin (AFPC Agency Records Manager), (b) RM Office (AFPC Records Management Office), (c) XXX-FARM (designated Directorate FARM), (d) XXXXX-RCs (CORs, RCs), and (e) XXXXX-Users.

A4.3.3. Transferring ESI to a Shared Drive. ESI may be placed on R drive (intra-office), and S drive for collaboration, coordination, or sharing. After the ESI is signed or approved the document becomes a final record and must be transferred to the O drive, designated for official records to allow life-cycle management.

A4.3.4. Systems Back-Up. JBSA Network Administrators (Backup/Recovery Administration) provide daily back-up of the dedicated electronic storage areas. Back-ups are used for record restoration when the system becomes corrupt or ESI is lost. Duplicate back-ups are made for vital records and maintained in geographically separate locations.

#### **A4.4. ERM Responsibilities by Role:**

A4.4.1. Users provide ESI descriptions to RC.

A4.4.1.1. RC develops file plans to incorporate each ESI category, designate electronic-file (e-file) storage and assign access.

A4.4.1.2. COR reviews, approves and digitally signs the Files Maintenance and Disposition Plan. The COR’s digital signature indicates the COR approves the record categories and validates vital record identification, disposition and folder access. After the COR digitally signs, file plans are work-flowed to the AFPC RMO for approval authority.

**A4.5. Networked-Attached Storage (NAS).** The JBSA Network Administrators provide a single repository for information and an effective electronic file and record management structure for users. NAS Administration provides storage space to each AFPC and tenant Directorate. Data owners are responsible for managing their stored information.

**A4.6. Shared Drives.** The R restricted and S shared drives provide storage space for electronic working files. Electronic personal working files consist of work-related diaries, journals, personal calendars, appointment schedules, etc., and exist for personal use to assist in conducting (but not transacting) Air Force business. The official record is complete with attachments or related data when filed. Once the electronic document becomes the official record it will not be changed, modified, or altered. To preserve the integrity of official records save the official file copy as a read-only record.

A4.6.1. Placing Personal Information (PII) on S Shared Drives. **NEVER** place PII on the “S” drives for access by groups or individuals.

**A4.7. Drive Structures.** The NAS will be divided into three areas:

A4.7.1. Official (“O” drive) is the network resource used to store official records. The directory structure is based on organization and office symbols which maintain official records and have an approved file plan in AFRIMS. File retention is determined by the AF RDS located in AFRIMS on the Air Force Portal. Each office of record folder on the “O” drive will contain the following folders:

A4.7.1.1. 01-File Maintenance and Disposition (Media Neutral) contains a copy of the approved file plan exported from AFRIMS. It is a record keeping requirement to store the official file plan with the file folders it governs.

A4.7.1.2. Disposition Control Labels. All folders, numbered as listed on the approved file plan, where electronic official files exist will contain a sub-folder named XX-00 (where XX is the file number from the approved AFRIMS file plan) containing the applicable table and rule extracted from the RDS. Each major series e-folder will have an electronic disposition “label” in AFRIMS PDF format.

A4.7.1.3. Inactive Files Folder contains records that have met cutoff Fiscal Year (FY) or Calendar Year (CY) but have not met their retention period according to AF RDS located on AFRIMS. Paper records will be retained in the inactive folder by year group until they are either eligible for destruction or required to be transferred to the appropriate National Records Center for storage.

A4.7.2. Office-Restricted (“R” drive) is the network resource provided to share office-specific information. Access to the “R” drive is limited to members assigned to the office, unless otherwise approved by COR for the purpose on coordinating special projects, etc. Offices may use the R drive to maintain information that only pertains to the office. Data such as recall rosters, leave schedules, temporary duty (TDY) schedules, duty schedules, and internal office procedures may reside on the “R” drive. End users will be responsible for maintaining this area. FARMs may provide access to members from other directorates/offices for the purpose of working on special projects.

A4.7.2.1. 00-Scan\_e-docs contain official records placed by the users. The user drags and drops from the “R” & “S” drives, local hard-drive, scanning machine, or MS Outlook for filing by the RC. Minimize the use of this box to the greatest extent possible.

A4.7.3. Organizational Shared (“S” drive) is the network resource provided for storage of organizational data needing to be shared AFPC-wide. There is a single “S” drive. All AFPC users will share this common path. Each organization will have a folder on the organizational

drive with subfolders to the office level. Organizations may use the S drive to maintain or share tasks-in-progress within AFPC (e.g., publications coordination).

A4.7.3.1. The “S” drive storage area is **NOT** for official records. Once a task is completed or an event has passed, the information owner will remove it from the “S” drive and dispose of it accordingly.

A4.7.4. SharePoint will be used for Official Multimedia files. End users and content managers are responsible for maintaining this area.

**A4.8. File Restrictions.** The following file types will not be stored on the “O”, “R”, or “S” drives:

A4.8.1. Permanent backups and archives of desktop and portable computer hard drives. Desktop and portable computer data are commonly copied to network storage during personnel moves, computer replacement or upgrades. Entire hard disks (program files and Windows installation directory) will not be copied to network storage. Use the “Cloud” for such purposes.

A4.8.2. Libraries. Publications and forms available on official publication web sites will be downloaded as needed from official sources and will not be duplicated on network storage.

A4.8.3. Personal data files including \*.wav, \*.jpg, \*.mp3, \*.mpeg, \*.avi, \*.pst, \*.tmp, \*.exe.

**A4.9. Roles and Responsibilities** . The following paragraphs identify roles and responsibilities required for effective management of electronic records on the NAS.

A4.9.1. AFPC ARM:

A4.9.1.1. Provides guidance and policy on file cleanup of “O”, “R”, and “S” drives and the records management program to include establishment of policy for permissions to e-folders.

A4.9.1.2. Coordinates with AFPC RMO to facilitate local implementation of records management program.

A4.9.1.3. Coordinates on storage allocation increase requests for the “O”, “R”, “S” drives.

A4.9.1.4. Notifies applicable Directors whose offices of records do not remove unauthorized and duplicate files.

A4.9.1.5. Authorizes unauthorized file extensions deemed mission essential. Once event is complete, action officer must remove from ERM drives.

A4.9.2. AFPC RMO:

A4.9.2.1. Serves as AFPC focal point for ERM and information migrated and stored on “O” drive to ensure established policy with respect to permissions to e-folders are implemented.

A4.9.2.2. Informs ARM of storage allocation increase requests for the “O”, “R”, “S” drives.

A4.9.2.3. Conducts periodic out-of-cycle desktop audits of the “O” drive to ensure it matches the AFRIMS file plan IAW AF ERM Solution Guide.

A4.9.2.4. Uses Microsoft Office search tool to scan shared drives for unauthorized file types, duplicate files, etc.

A4.9.2.4.1. Notifies FARMs to have RCs remove unauthorized file types, duplicate files, etc.

A4.9.3. COR:

A4.9.3.1. Responsible for official e-records created by his/her office.

A4.9.3.2. Ensures office personnel are briefed on electronic filing structure and process to ensure they understand electronic filing requirements.

A4.9.3.3. Coordinates on storage allocation increase requests for “O”, “R”, and “S” drives.

A4.9.3.4. Ensures the RC reviews “R” and “S” drive files to identify official records and ensure they are moved to the “O” drive.

A4.9.3.5. Notifies ARM through the RMO in writing authorization to maintain unauthorized file extensions deemed mission essential. Once event is complete, action officer must remove from ERM drives.

A4.9.3.6. Implements AF ERM Solution Guide and AFPC Managing Government Records Plan requirements by eliminating paper records physical record storage space and paper holdings, eliminate/reduce workload related to sending products to staging areas and record centers, within legal guidelines.

A4.9.4. FARM:

A4.9.4.1. Assists offices of record within their organization or functional area to set up their electronic records.

A4.9.4.2. Provides guidance and oversight on ERM processes and assists RCs with populating, migrating, and creating files plan structure on the “O” drive, as required.

A4.9.4.3. Notifies A1 DTA Service Desk of personnel who require immediate termination of access to NAS drives due to Permanent Change of Station, Article 32 or other Uniform Code of Military Justice, personnel actions, etc.

A4.9.4.4. Coordinates with A1 DTA Service Desk and ensures personnel (additions and deletions) are assigned to permission groups (e.g., read, write, etc.).

A4.9.4.5. Provides new offices of records information to A1 DTA Service Desk for creation of appropriate subfolders, via Virtual Electronic Service Desk (vESD) ticket.

A4.9.4.6. Establishes and maintains organizational directory structures under their purview organizational directory structures (**Note:** FARMs will only update listings upon request from CORs or RCs).

A4.9.4.7. Acts as organizational custodians of the “R” and “S” drives.

A4.9.4.8. Reviews/coordinates on storage capacity increase requests for the “O”, “R”, and “S” drives.

A4.9.4.9. Notifies RC to remove unauthorized file types, duplicate files, etc. from shared drives

A4.9.5. RC:



A4.9.5.1. Builds electronic file plan structure on “O” drive IAW approved AFRIMS file plan.

A4.9.5.2. Ensures individuals in their offices of record are provided file permissions on storage drives commensurate with their responsibilities.

A4.9.5.2.1. Ensures electronic copy of approved AFRIMS file plan is placed in Item 01 of AFPC ERM “O” drive.

A4.9.5.3. Contacts FARM for approval for all permissions/issues, to include setting permissions.

A4.9.5.4. Maintains electronic file location using the same principles applied to office paper files, including applying tables and rules, end-of-year close out (fiscal and calendar), transferring records to the inactive files area, and destroying records no longer needed IAW AF RDS located in AFRIMS.

A4.9.5.5. Requests limited file-access permissions for members of the office of record if required, to include for the purpose of ensuring sensitive or Privacy Act material is properly safeguarded IAW AF and DoD directives.

A4.9.5.6. Moves official records from 00-Scan\_e-docs box on the R drive to the proper file folder in the electronic file plan on the “O” drive as necessary.

A4.9.5.7. Within “O” drive, transfers electronic active records to inactive folder at end of FY/CY according to disposition of the records.

A4.9.5.8. Removes unauthorized file types, duplicate files, etc. from shared drives.

#### A4.9.6. End-Users:

A4.9.6.1. Complete records management and familiarization training (provided by RC) on proper use, filing and rules for storage of electronic records in accordance with the structure outlined in this supplement.

A4.9.6.2. Determine which electronic records are official and manage those IAW federal laws and Air Force guidance.

A4.9.6.3. Ensure proper permissions are assigned; coordinate with RC or FARM to gain permissions authorized via Virtual Electronic Service Desk (vESD) ticket for their work center.

A4.9.6.4. Sanitize personal files to ensure only up-to-date, pertinent information are stored.

A4.9.6.5. File official records in office of record file plan. If record is sensitive, password-protect the file to prevent unauthorized access.

A4.9.6.5.1. Do not have capability or function to remove, replace, or delete official records. Notify the RC to remove official records from the “O” drive.

A4.9.6.5.2. File attachments are saved with the basic message as a combined, single record, preserving the integrity of the relationship between the component parts, while allowing retrieval of the complete item once it has been filed.

A4.9.6.5.3. Monitor and maintain the “R” and “S” drives.

#### A4.9.7. A1 DTA Service Desk:

A4.9.7.1. Assists FARMS with assigning permissions, via vESD ticket and will not assign permissions to the “O”, “R”, & “S” drives without prior approval and coordination from the appropriate Directorate/organizational FARM.

#### A4.9.8. JBSA-Randolph AFB Network Administration:

A4.9.8.1. Assists AFPC RMO in establishing and maintaining the organizational structure of data on the “O” drive via vESD ticket. Office folders on this drive will be based on office of record loaded in AFRIMS (Directorates with approved file plans).

A4.9.8.2. Establishes and maintains the organizational structuring of data on the “O”, “R” and “S” drives using the current organizational office symbol two-digit level (e.g. DS).

A4.9.8.3. Ensures regular backups of the “O”, “R” and “S” drives are accomplished. Ensure daily backups of the “O” drive are maintained a minimum of 90 days and maximum of 120 days for restoration purposes. Maintains “R” and “S” drive backups up to 30 days based on availability of resources.

A4.9.8.4. Increases storage allocation as determined by AFPC ARM via request from the COR through the AFPC RMO.

A4.9.8.5. The following paragraphs describe individual permissions for the NAS directories.

A4.9.8.5.1. FARM permissions apply to the organizational folders for the offices they oversee.

A4.9.8.5.2. AFPC standardized permissions groups will be used for all AFPC Directorates developed by AFPC ARM (e.g. ERM Admin; RM Office; DP1- FARM; DP1-RC; DP1-Users).

A4.9.8.5.3. Permissions only apply to the organizational folders for an office of record where the individual works. For example, on the “O” drive a COR, RC and end-user assigned to AFPC/DP1O will only have permissions to AFPC/DP1O folders. Also, folders and/or files on the “O” drive that contain sensitive information (Privacy Act, CUI, For Official Use Only [FOUO], etc.) will only be accessible by the FARM, RC, COR and end-user who are OPRs for the information. Appropriate permissions are extremely sensitive files to prevent unauthorized access. On the “S” & “R” drives, modify access permissions apply from the office symbol level down.

A4.9.8.5.4. Change access to Read, Write, Modify, and Delete (R/W/M/D). The only individuals with full access are A1 DTA Service Desk system administrators for all drives. The AFPC ARM, AFPC RMO, CORs, FARMS, and RCs have advanced privileges for the “O” drive.

A4.9.8.5.5. Permissions to the file structure on the “O”, “R”, and “S” drives are only granted via office specific. No individual accounts will be listed on the file structure.

#### **A4.10. Business Rules.**

A4.10.1. Maintain electronic records with a retention period of 10 years or less in the electronic files area (inactive folder) on the “O” drive. A backup of inactive file directories

must be accomplished by the office of record at the end of each calendar year. Maintain records with a disposition greater than 10 years in a National Archives and Records Administration (NARA) approved format, such as Portable Document Format (PDF), American Standard Code for Information Interchange (ASCII), Extensible Markup Language (XML), etc. Electronic records with a retention period of greater than 10 years must be staged. A completed SF Form 135 must be sent through the appropriate Directorate or Tenant FARM for review and approval, and then submitted to the AFPC RMO for review. The AFPC ARM will make the final determination. For further guidance, contact the AFPC RMO.

A4.10.2. Files to be sent to staging or transferred to NARA must be saved in one of the following formats:

A4.10.2.1. Textual records (of or pertaining to text)—plain ASCII or in PDF or scanned images will be used.

A4.10.2.2. Scanned images of textual records—the preferred formats are Tagged Image File Format (TIFF) and Portable Network Graphics (PNG). Graphics Interchange Format (GIF) and, Basic Image Interchange Format are also acceptable.

A4.10.2.3. Data files and databases—convert tables to files with fixed-length fields or fields defined by delimiters. **Note:** “Homegrown databases are not authorized.”

A4.10.2.4. Digital geospatial data—Spatial Data Transfer Standard (SDTS) or Geography Markup Language (GML).

A4.10.2.5. Digital photographic records—Tagged Image File Format (TIFF) and JPEG File Interchange Format (JFIF) Joint Photographic Experts Group (JPEG) are also acceptable.

A4.10.2.6. Web records—Hypertext Markup Language (HTML) and other formats such as TIFF or PDF that either are embedded in the HTML or referenced by it.

A4.10.3. All work centers with requirement to file official records on the “O” drive will be an office of record, and have approved AFRIMS file plan prior to gaining access to the “O” drive.

A4.10.4. Maintain as much information electronically as possible (e-mail, correspondence, presentations, etc.); however, if a signature is required by statute or law (as in legal or financial purposes), maintain the paper copy as the official record.

A4.10.5. If it is necessary to integrate official electronic records with paper records, one or the other must contain a complete official record copy. The COR, RC, and OPR must determine which version (electronic or paper) contains the official records and ensure the official record is managed according to records management instructions.

A4.10.6. Do not file encrypted emails on the “O” drive. The recipient must remove the encryption prior to filing. To accomplish this, the recipient must forward the email to him or herself as an unencrypted email.

#### **A4.11. Process for requesting an increase in allocated space.**

A4.11.1. Increase storage allocation as determined by the AFPC ARM via request from the COR through the AFPC RMO.

**A4.12. Managing and Storing Classified Electronic Records.**

A4.12.1. AFPC customers having a need for acquiring classified Secret Internet Protocol Router Network (SIPRNet) electronic storage capability must coordinate the requirement with the 502 CS' Network Control Center and the 902 CS Joint Base Records Manager through the AFPC RMO and AFPC ARM.