

**BY ORDER OF THE COMMANDER
AIR FORCE SPACE COMMAND**



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Information Management

**AIR FORCE RECORDS
MANAGEMENT PROGRAM**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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The OPR for this supplement is HQ AFSPC/SCXX (Mr. Terry J. Flesher). This supplement implements and extends the guidance of Air Force Instruction (AFI33-322, ***Air Force Records Management Program***). The AFI is published word-for-word without editorial review. Air Force Space Command (AFSPC) supplemental material is indicated in bold face. This supplement describes AFSPC's procedures for use in conjunction with the basic AFI. This supplement applies to HQ Air Force Space Command (AFSPC), subordinate units, and those agencies supported by HQ AFSPC to include HQ North American Aerospace Defense Command (NORAD) and United States Space Command (USSPACECOM). It does not apply to the Air Force Reserve or the Air National Guard units. Upon receipt of this integrated supplemented, discard the Air Force basic publication

SUMMARY OF REVISIONS

This revision brings the supplement in line with the Air Force basic instruction; delineates that the HQ AFSPC Records Manager is dual-hatted as the HQ NORAD Records Manager (para 3.4.); redefines the role of HQ and host base assets as the executing authority for Records Management program requirements on behalf of USSPACECOM (para 6.1.8.); and outlines contractor responsibilities toward the maintenance of AF Records and the use of Records Information Management System software in that effort (para 10.)

3.4. The HQ NORAD, and AFSPC Command Records Manager (CRM) resides in HQ AFSPC, Directorate of Communications and Information, Plans, Policy, and Resources Division (SCX).

3.7. Send Records Manager (RM) appointment letters to respective wing site support function. AFSPC installation RMs directly reporting to the headquarters send appointment letters to HQ AFSPC/SCXX. AFSPC installation RMs are responsible for all Command activities located on that installation to include AF records maintained by contractors. The quality assurance evaluator (QAE) evaluates contractor procedures for maintenance of AF records according to the SOW or PWS.

5.3.1. (Added) The CRM is the approval authority for imaging systems affecting records retained for 9 years or more. The CRM also redirects distribution of equipment where feasible.

5.6. CRM will conduct staff assistance visits (SAVs) at least every two years, or as deemed essential, in support of the Command records management program.

5.7.4. (Added) Evaluates RM's training and SAV programs as deemed appropriate based upon evaluation of inspection reports.

5.9. (Added) Reviews proposed HQ NORAD, HQ USSPACECOM, and MAJCOM directives and forms before publication to ensure compliance with records management directives.

6.1.2. Continuously promote, when at all feasible, document imaging and electronic record-keeping systems.

6.1.3. In January of each year, the base Records Manager ensures each office is managing their electronic records according to established policies to the Command Records manager for inclusion in the Command Electronic Records Management Business Plan. Should procedures change based on new requirements, submit proposed changes to the CRM for coordination prior to implementation. Works with designated organizational account monitors, work group administrators, and administrative support personnel to ensure proper management of electronic records maintained on local area networks (LANs).

6.1.4.1. (Added) Approve/disapprove dedicated document imaging systems for which: first-year investment cost is less than \$100,000 and disposition instructions require retention for 8 years or less (9 years or more to CRM). For any document imaging system with an investment cost over \$100,000, regardless of retention, must be forwarded to HQ AFSPC/SCXX. RMs ensure records for each document imaging system within their jurisdiction are maintained according to AFMAN 37-139. For document imaging system approval process, accomplish the following through appropriate records management channels to HQ AFSPC/SCXX:

6.1.4.1.1. (Added) Submit document-imaging requests to HQ AFSPC/SCXX. Include:

- a. System type (optical disk, reel, cartridge, microfiche, 8mm, 16mm, and so on), leased or purchased, vendor, annual cost.
- b. Equipment used (brand and model number, viewer or view-printer, and so on). If equipment is already on hand, identify any other document imaging system it supports, to include date to be installed, leased or purchased, vendor, contract expiration date (if leased), and annual cost (if leased).
- c. Estimated annual savings, or additional costs over present system, justification, and so on.
- d. Procedures to ensure that records integrity will be maintained. For instance:

(1). Records must be maintained within their same retention grouping for proper disposition.

(2). Long-term (9 year) to permanent records must comply with National Archives and Records Administration (NARA) archival media acceptance requirements. (Microforms must conform to the requirements of 36 CFR Part 12-30 and magnetic tape to 36 CFR 1228.188.)

(3). Appropriate procedures must be followed to prevent deterioration of the document imaging media being used for maintenance of both short- and long-term records.

6.1.4.1.2. (Added) Obtain document imaging system number and provide a copy of approval package.

6.1.4.2. (Added) Notify CRM of any proposed changes to document imaging systems.

6.1.4.3. (Added) Submit recommendations to CRM to terminate any document imaging systems.

6.1.4.4. (Added) When requesting approval, change, or termination of a document imaging system, RMs work with OPRs to ensure all information required is complete and provided to HQ AFSPC/SCXX. Before turn-in of any document imaging equipment, the RM assists the CRM in redirecting distribution where feasible.

6.1.8. HQ and host base assets are the executing authority for Records Management program requirements on behalf of USSPACECOM.

6.1.9.1. (Added) Conducts a program evaluation of each assigned office of record to properly evaluate the records management program to determine program effectiveness and ensure appropriate corrective action. Reviews overall effectiveness of FARM program, when FARM is appointed. Outbriefs chief of the office of record (COR) on results of the evaluation. **Note:** The QAE evaluates contractor programs for managing Air Force records according to the SOW or PWS. Evaluation tool is the Quality Assurance Master Surveillance Plan (QAMSP).

6.1.9.2. (Added) Performs program assessment of each office of record where FARMs are not authorized, to evaluate management and state-of-health of the records management program. Documents assessment by letter in format determined by RM; gives original report to the office assessed; and maintains a copy in RM files.

6.1.9.3. (Added) RMs having geographically separated detachments or operating locations may arrange for the support base RM to conduct a SAV of these units. Host base will provide a copy of SAV to the parent RM upon completion of the evaluation.

6.1.9.4. (Added) To evaluate the management and state-of-health of the records management program, use all available data, i.e., self-inspection program checklist with local modifications, functional self-inspection, inspector general (IG) reports, and SAVs. Document by letter in format determined by RM. If discrepancies are noted, sufficient guidance must be provided so personnel understand what corrective action needs to be taken.

6.1.9.5. (Added) Distribute RM evaluation report as follows: Evaluated office (maintains original); FARM and RM (maintain copy).

6.1.9.6. (Added) RMs may develop appropriate supplements or implementing instructions as needed. A copy of all such documents will be provided to HQ AFSPC/SCXX prior to issuance for coordination.

6.1.9.7. (Added) Within joint activities (such as, NORAD or USSPACECOM), performs same responsibilities as supplemented in para 6.1. RM will establish a method to identify and separate records according to ownership where there are shared staff ("dual-" or "tri-hatted") functions with other commands (such as, NORAD and/or USSPACECOM).

6.1.10. (Added) RMs will perform periodic review of document imaging systems within their jurisdiction ensuring systems meet their original objective, continued use is justified, and recommend any improvements. Maintain these records according to AFMAN 37-139.

6.2.1. Offices of record stage eligible records to their respective staging area. All staging areas forward eligible records to the appropriate Federal Records Center.

6.3.1.1. (Added) AFSPC installation or unit RMs are responsible for the required training of all personnel assigned to offices of record. RMs of AFSPC units that are tenants on an Air Force installation (other than AFSPC) and request training from host base records manager according to Support Agreements,

must ensure records technicians are knowledgeable of AFSPC procedures. RMs having geographically separated detachments or operating locations (OLs) will establish methods for training.

6.3.1.2. (Added) Contractor personnel having active AFSPC contracts may attend as informational training, or use the computer-based instruction (CBI), on a space available basis, for information guidance only. The Quality Assurance Evaluator (QAE) schedules training with the RM.

6.3.3. RM ensures that Functional Area Records Managers (FARMs)/Records Technicians (RTs) are aware that any personal papers maintained in an office are filed separately from official papers and are annotated accordingly. These are papers of a private or nonofficial character which ordinarily pertain only to an individual's personal affairs and will not affect the conduct of agency business.

6.3.4.1. (Added) RM will document training of individuals in the RIMS data base. RM will determine the method and media for initial and refresher training as long as AF training objectives are met.

6.3.4.2. (Added) RM issues AF Form 1256, **Certificate of Training**, for initial training only.

7. FARMs are appointed at the discretion of RMs. Upon appointment, the FARM will receive one-on-one orientation from the RM on FARM responsibilities (i.e., review of file plans, assistance to, and evaluations of offices of record).

7.3.1. (Added) Ensures establishment of new year files, to include proper maintenance and disposition of records.

7.3.2. (Added) Maintains any 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.

7.4.1. (Added) Performs in-depth assessments to 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. Outbriefs COR on results of evaluations. Gives original report for filing to the office assessed and one copy of each to FARM and RM for file.

8.1. Offices of record maintain current file plan, evaluations performed at that office, and any approved waivers concerning records management.

8.5. Sends justification to the base RM for review and final determination.

10. Contract office of collateral responsibility (OCR) ensures records management procedures, when applicable, are identified in the SOW or PWS to meet the requirement for managing contractor records as outlined in AFI37-138, **Records Disposition Procedures and Responsibilities**. Forward a copy of all proposed contracts to HQ AFSPC/SCXX, Attention: Records Manager, for coordination prior to issuance of new or revised contracts.

10.1.1. (Added) AFSPC contractors, required by SOW or PWS to maintain and dispose of records according to AF directives, are authorized to use the Unit Level Records Information Management System (RIMS) program providing there is no additional cost to the Government for hardware, software or personnel.

10.1.1.1. (Added) Obtain administrative contracting officer (ACO) approval through the QAE for contractor use of RIMS.

10.1.1.2. (Added) Contractor use of RIMS is not mandatory, however, when the contractor is the Records Manager, RIMS use is mandatory.

10.1.1.3. (Added) Information Management man-hours, excluding man-hours expended for assistance in installation/updates, will not be used to convert contractor file plans to RIMS.

10.1.1.4. (Added) QAE, with assistance provided by the RM, is responsible for installing RIMS on contractor systems and for ensuring RIMS data is current.

10.1.1.5. (Added) QAE will remove the RIMS software from contractor systems on contract termination.

10.2. Include sensitive compartmented information (SCI) and Air Force (AF) records maintained by contractors. See AFMAN14-304, *The Security, Use, and Dissemination of Sensitive Compartmented Information (U)*, for management responsibilities of SCI records.

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