

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



AIR FORCE INSTRUCTION 37-138

**AIR FORCE SPACE COMMAND
Supplement 1**

10 JANUARY 1995

Information Management

**RECORDS DISPOSITION--PROCEDURES AND
RESPONSIBILITIES**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

NOTICE: This publication is available digitally on the Air Force Electronic Publishing WWW site at:
<http://afpubs.hq.af.mil>.

OPR: IMQD (Kathleen A. Kenny)
Supersedes AFR12-50V1_AFSPCSUP1,
27 Jul 88.

Certified by: IM (Col Robert F. Koenig, Jr.)
Pages: 7
Distribution: F

AFI37-138, 31 Mar 94, is supplemented as follows and applies to all agencies and subordinate units serviced and/or supported by HQ AFSPC/IMQ. It does not apply to Air Force Reserve nor Air National Guard units.

SUMMARY OF REVISIONS

Establishes a program for selection, protection of vital records and their recovery after a disaster. It requires Installation Records Managers to work with units through the appropriate channels to establish a vital records program.

2.12. Records Manager (RM) will establish a vital records program for their installation. This will include the selection, protection of vital records and their recovery after a disaster. Program requirements at Attachment 4(Added).

2.13.1.3. When contractor is required to perform an Air Force functional responsibility (such as base supply, base civil engineering, vehicle control operations, bioenvironmental and so forth) which requires direct interface with other Air Force activities, maintain records according to "Directive" and "Guidance" publications identified in the Statement of Work (SOW) or Performance Work Statement (PWS) (Attachment 6).

Table 3.1. Note 6. Two-year records may be kept in accumulating office until eligible for destruction provided no additional filing equipment or space is needed. Letter of waiver is not required. Do not stage electronic records having retention of 8 years or less. Maintain these records in accumulating office until eligible for destruction. Electronic records requiring retention of 9 years or more will be converted to a media acceptable by the Regional Federal Records Center/Washington National Records Center before retiring through local installation records manager.

3.5.3. RM submits reports to HQ AFSPC/IMQ, 150 Vandenberg St. Ste 1105, Peterson AFB CO 80914-4160.

3.5.5. Send a copy to HQ AFSPC/IMQ.

Table Items 1, 2, and 3. RM sends one copy to HQ AFSPC/IMQ after accessioned by records center or staging area.

7.5.3. (Added) Is designed to prevent unauthorized access. Use standards in AFI37-131, Freedom of Information Act Program, and AFI37-132, *Air Force Privacy Act Program*.

Attachment 4 (Added)**VITAL RECORDS PROGRAM REQUIREMENTS**

A4.1. References: AFPD37-1, *Air Force Information Management*; 44 USC 2104(a); 44 USC 2904(a); 44 USC 3101; 44 USC 3102; 44 USC 3105; 36 Code of Federal Regulations Part 1236.

A4.2. The Federal vital records program includes two basic categories: Emergency Operating Records and Rights and Interests Records. Definitions at Attachment 2.

A4.3. Contingency Planning:

A4.3.1. Senior management participates:

A4.3.1.1. By resource allocation.

A4.3.1.2. Ensuring program support.

A4.3.2. Plans address:

A4.3.2.1. Basic operations which must continue during an emergency.

A4.3.2.2. Responsibilities of installation activities during an emergency.

A4.3.2.3. Identification of specific team(s) for:

A4.3.2.3.1. Disaster Prevention.

A4.3.2.3.2. Disaster Recovery.

A4.3.2.3.3. Disaster Salvage.

A4.3.2.4. Pre-coordination with functions that will most likely play a role in recovery actions (i.e., Security Police, Fire Department, Public Affairs, Civil Engineers, Finance, as well as commercial suppliers of equipment and services).

A4.3.2.5. Records required to support responsibilities and resume operations after emergency.

A4.4. Risk Analysis:

A4.4.1. Agencies must analyze potential hazards and disasters and how they might affect normal operations. Hazards and disasters large and small, must be addressed.

A4.5. Disaster Prevention Plan:

A4.5.1. Installations must develop measures that will counteract the situation identified in the risk analysis: fire protected equipment, vaults, off-site storage and duplication of records (through imaging, for instance).

A4.6. Vital Records:

A4.6.1. Installations must develop method for identifying and protecting vital records.

A4.7. Disaster Recovery Plan:

A4.7.1. Contains requirement for the reconstruction and salvage of damaged information resources after a disaster. Measures such issues as recovery teams, prioritization of records to be salvaged, disaster recovery supplies, and lists of outside disaster recovery consultants.

A4.8. Directive:

A4.8.1. Covers the installation disaster prevention and recovery program. Distribute and implement installation wide.

A4.9. Training:

A4.9.1. Educate appropriate personnel as to responsibilities, policies, and techniques involved in the unit disaster prevention and recovery program.

A4.10. Annual Review:

A4.10.1. Monitor the program yearly through a program review. Modify as necessary if:

A4.10.1.1. Unit's program or mission has changed.

A4.10.1.2. Selected vital records are not current or usable.

A4.10.1.3. Disaster prevention plan needs updating.

A4.10.1.4. Disaster recovery plan needs updating.

Attachment 5 (Added)**TERMS**

Vital Records - Those records essential to the continued functioning of an organization during and after an emergency, and also those essential to the protection of the rights and interests of appropriate organizations and individuals.

Emergency Operating Records - Records vital to the essential functions of the Federal Government for the duration of an emergency of the country is attacked. These records include those necessary for the military effort; the mobilization and protection of material and manpower resources, of services, and of systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. These records must be available as needed at, or in the vicinity of, emergency operating centers.

Rights and Interests Records - Records essential to the preservation of the legal rights and interests of individual citizens and their Government. These records include such groups as social security records, retirement records, payroll records, insurance records, and valuable research records. These records require protection, but storage points do not have to be at or in the vicinity of emergency operating centers.

Disaster - Sudden and unexpected event that produces adverse results; an event whose timing is unexpected and whose consequences are seriously destructive.

Disaster Prevention Plan - A written, approved, implemented, and periodically tested program to reduce the risk of avoidable disaster and minimize the loss should a disaster occur.

Disaster Prevention Team - Knowledgeable individuals selected by senior management and charged with reviewing current business practices and procedures, and then recommending changes to lessen the risk of disaster and minimize the loss should a disaster occur.

Disaster Recovery Plan - A written, approved, implemented, and periodically tested program to reconstruct and/or salvage an organization's vital and historical records and to establish procedures for the immediate resumption of business operations in the event of a disaster.

Disaster Recovery Team - A designated group of individuals charged with overall direction of the resumption of business operations after a disaster.

Disaster Salvage Team - Group of individuals responsible for making damaged records useable again after a disaster.

Cold Site - A "ready to use" data processing facility which usually consists of an environmentally controlled room, raised flooring, and limited telecommunications links. An agency contracting to use a cold site must provide computer hardware, software, expanded telecommunications links, operating systems software, and applications programs. A cold site is less expensive than a hot site.

Hot Site - A "data processing" facility which usually consists of an environmentally controlled room, raised flooring, and limited telecommunications links. An agency contracting to use a hot site must provide computer hardware, software, expanded telecommunications links, operating systems software, and applications programs. A hot site is less expensive than a cold site.

Attachment 6 (Added)**SOW OR PWS INPUT**

A6.1. Include this statement in SOW or PWS when contractor is required to comply with any Code of Federal Regulations (CFR):

Code of Federal Regulations (CFR) can be purchased through the
Superintendent of Documents, Government Printing Office,
Washington D.C. 20402.

A6.2. Identify the following publications in the Reference Section:

- (G) AFPD37-1, Air Force Information Management Program
- (G) AFI37-122, Air Force Records Management Program
- (G) AFM37-123, Management of Records
- (G) AFI37-131, Air Force Freedom of Information Act (FOIA) Program
- (G) AFI37-132, Air Force Privacy Act (PA) Program
- (G) AFI37-138, Records Disposition--Procedures and Responsibilities
(Except para 2.13. Contractor Records, which is Directive)
- (D) AFM37-139, Disposition of Records--Standards

A6.3. Include the following in the General Administration or Data Section:

A6.3.1. AFI37-138 implements AFPD37-1 to meet the requirements of Title 5, United States Code 552, and Title 44, United States Code. It applies to all Air Force personnel and activities, to include contractor personnel who manage Air Force records. The contractor is responsible for managing all data created for government use as required by directive publications identified in the SOW or PWS.

A6.3.2. The contractor delivers FOIA and PA requests to chief, quality assurance evaluator (CQAE) for delivery to AFSPC installation/unit RM for action according to guidance in AFIs37-131 and 132 before the next workday after receipt. Contractors at locations where there is no AFSPC unit RM assigned will forward requests with records, accompanied by a recommendation for release, denial, or partial denial, within 5 workdays of receipt through the contractor site manager to the contracting officer for deliver to HQ AFSPC/IMQ (FOIA). The contractor ensures personal privacy data (as required by the SOW or PWS) is protected to prevent unauthorized disclosure and ensure proper disposal.

A6.4. Contractors required to maintain records in strict accordance with Air Force procedures (full functional responsibility) and transfer records to the Air Force or successor contractor, use an SF 135, Records Transmittal and Receipt. It is the OCR's responsibility to ensure a DD Form 1423-1, Contract Data Requirements List (CDRL), for the SF 135 is included in the SOW or PWS, when applicable.

A6.5. Contract OCR prepares a listing of all required records according to instructions in SR 400-5, volume I, Management of Contract Requirements for Operations, Maintenance and Support Services Contract Requirements, and volume II, Management of Technical Services Contract Requirements, when

contract does not require contractor to maintain records IAW Air Force procedures (limited functional responsibility).

ROBERT F. KOENIG, JR., Col, USAF
Director of Information Management