

Paper Record Transfer Procedures

1.0 GENERAL

The standard Federal records carton (or its equivalent) will be used to ship records to the Federal Records Center (FRC). It is the responsibility of the contractor to acquire cartons from outside sources. When records are shipped in cartons that the FRC cannot accommodate, the records will be returned to the contractor for repacking at the contractor's expense. Cartons that meet standards for shipping records to the FRC are:

Standard-Size Record Box
(for standard and legal files)
14-3/4" x 12" x 9-1/2" (inside dimensions)
15" x 12" x 10" (outside dimensions)

Small Material Box
(for checks)
14-3/7" x 9-1/2" x 4-7/8" (outside dimensions)

Microfiche Box
14-3/4" x 11-3/4" x 11-3/4" (outside dimensions)

2.0 PACKING AND LABELING OF RECORDS

2.1 An important aspect of preparing records for transfer to FRC is proper packing. Improper packing may result in damage to records and may make them difficult to use in the future.

2.2 Records shall not be forced into the cartons; leaving a 1/2 inch space in each carton will permit easy withdrawal of individual records for reference. If interfiles are expected in the future, enough space shall be left to accommodate them. Records shall be packed upright, with letter-size records facing the front of the carton and legal-size records facing the left side of the carton (see <http://www.archives.gov/frc/pdf/toolkit.pdf>). Records shall be shipped in manila file folders or expandable folders separating the various records specified in [Section 2](#). Under no circumstances shall records be placed one on top of another in a carton.

2.3 After the records are boxed, the cartons shall be numbered sequentially (1/10, 2/10, 3/10, etc.) with permanent black marker in the upper right front corner (see [Figure 2.A-1](#)).

2.4 Detailed lists of the contents of cartons, indexes to records, and other specialized finding aids shall be attached to the Standard Form (SF) 135 (Records Transmittal and Receipt) and be retained by the contractor so that documents needed for future reference can be identified clearly by requesting officials.

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3.0 PREPARING TRANSMITTAL DOCUMENT

3.1 When transferring records to the FRC, the contractor shall prepare and forward the original and three copies of the SF 135 (<http://www.archives.gov/frc/forms/sf-135-intro.html>) to the TRICARE Management Activity (TMA) Records Management Officer prior to shipping records. In the FROM block (Block 5) the contractor shall enter the following: TRICARE Management Activity, ATTN: Records Management, 16401 E. Centretch Parkway, Aurora, Colorado 80011-9066. The contractor shall insert its own address below the TMA address. The contractor shall state in the Series Description Block the description of the records, the contract number and region. Instructions for completing the remainder of the form are printed on the reverse side of the SF 135. A detailed listing of the contents of each carton shall be attached to the SF 135. If a continuation form is required, use SF 135-A (Records Transmittal and Receipt (Continuation)) or on 8-1/2" x 11" bond paper.

3.2 When records are transferred, they must be scheduled for disposal using the applicable disposition schedule (see [Section 2](#) for schedules). When the disposal authority is not cited, the SF 135 will be returned for completion.

3.3 Upon receipt of the SF 135, the FRC reviews it for completeness for transfer. If approved, the FRC assigns an accession number on the form.

3.4 The original SF 135 is retained by the FRC; one copy of the annotated SF 135, showing accession number(s) will be returned to the contractor, indicating the FRC's approval of the shipment.

3.5 After receiving the copy of the approved SF 135, the contractor shall mark each carton in the shipment with the assigned accession number. The accession number shall be put in the upper left front of the carton (see [Figure 2.A-1](#)). The contractor shall place one copy of the SF 135 with the index in Box 1 of each accession and the records will be shipped to the FRC. A copy of the SF 135 and index shall be retained by the contractor for its use.

3.6 The shipment of records shall be accomplished as soon as possible after the contractor receives the annotated copy of the SF 135. If shipment cannot be made within 90 days of receipt, the contractor must notify the FRC, or the SF 135 may be cancelled and returned by the FRC.

3.7 Upon receipt of the records in the FRC, the SF 135 will be signed and returned to the contractor. A location number will be provided for the first carton in each series listed on the SF 135.

3.8 Records boxes will be palletized as shown in [Figure 2.A-2](#). If transferring to the Pittsfield FRC, use [Figure 2.A-2](#). If transferring records to another FRC, contact the TMA Records Management Officer for guidance.

4.0 SHIPPING RECORDS

4.1 The contractor shall advise the TMA Records Management Officer that a Government Bill of Lading (GBL) is required for shipment of records. The information must be provided at least two

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weeks prior to the estimated shipment date. The information required when requesting a GBL includes:

Number of boxes/pallets	Point of Contact Name/Telephone number
Estimated weight	Pick up address
Estimated date of shipment	Destination Address

4.2 A line-haul carrier will be assigned by the Government and stated in the GBL. Only the carrier designated on the GBL will be used. The contractor shall be responsible for arranging for the date and time of pickup and delivery. The contractor shall comply with the following instructions:

- Boxes will be strapped or shrink-wrapped onto pallets.
- Pallets will not be double stacked.
- The shipment will be loaded and off-loaded sequentially (see <http://www.archives.gov/frc/pdf/toolkit.pdf>).

4.3 The FRC has the right to refuse any shipment of records. Their basis for refusal is based on the requirements of this chapter not being met. When deficiencies are identified with the contents of a shipment, the FRC will send a letter to the contractor stating the deficiencies found. The FRC will notify the TMA Records Management Officer of any deficiencies found in shipments including corrective actions to be taken by the contractor or the basis for a return of the shipment.

4.4 TMA will pay for the actual shipment of records to the FRC by use of the GBL. However, if the shipment is found unacceptable at the FRC, the cost to send the shipment back to the contractor and reship to the FRC will be the responsibility of the contractor. If the FRC must perform work on the shipment to make it acceptable, i.e., putting box or accession numbers on boxes, repacking damaged boxes (caused by improper packing), etc., that cost will also be the responsibility of the contractor.

5.0 RETRIEVING RECORDS

5.1 The FRC provides reference services which include the loan or return of records, preparation of authenticated reproductions of documents, and furnishing of information from records. Requests for the return of retired records shall not be made by the contractor for any reason except where necessary in the administration of TRICARE.

5.2 Recall of a record from the FRC may constitute a reactivation of the case if the record will be retained on the basis of a current transaction (permanent recall). The record shall be transferred as part of a new shipment of records to the FRC after the new retention period has been met. A record is not reactivated if used only for reference (temporary recall) and may be returned to the FRC for refile.

5.3 The best method to recall records from the FRC is with the use of the Optional Form (OF) 11, (Reference Request - Federal Records Center) (see <http://www.archives.gov/midatlantic/forms/optional-form-11.pdf>). When multiple OF 11s are transmitted to the FRC, they shall be arranged in accession number order, by FRC location and contractor box number. Use one OF 11 per request. If OF 11s are unavailable, request files on letter-size paper, providing one copy for each requested document to be used by the FRC as a charge-out document.

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5.4 The following information shall always be furnished when preparing a reference request:

- Accession Number
- FRC Location
- Contractor Box Number
- Description of Records or Information Requested
- Name, Address, and Telephone Number of Requester

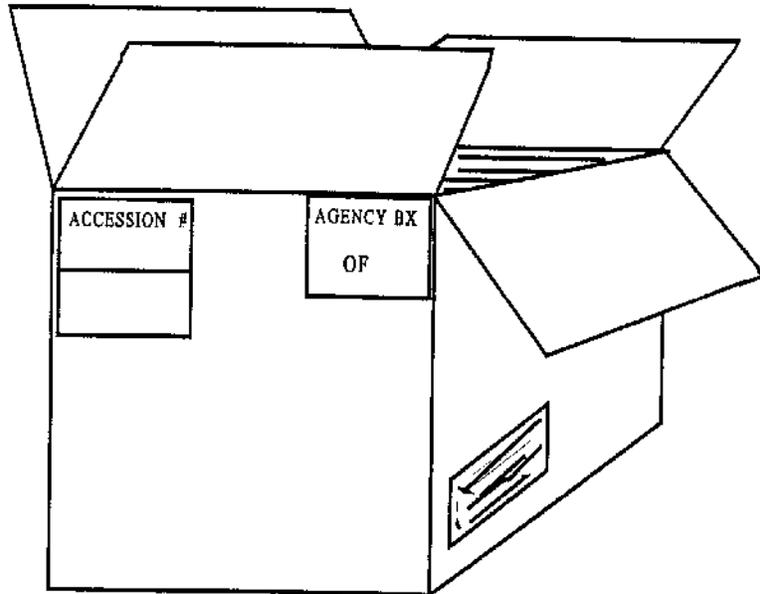
5.5 Phone request shall be limited to emergency situations. The FRC normally processes requests within eight hours of receipt. All telephone requests for records (priority requests) must go through the TMA Records Management Officer at (303) 371-8677. Emergency phone requests are defined as:

- Freedom of Information Act (FOIA) requests
- Privacy Act requests
- Congressional inquiries
- Pending court actions
- High-level interest cases

5.6 All records requested from storage shall go to the individual (office) requesting them. Records shall not be sent to outside sources such as the U.S. Department of Justice (DOJ) or Defense Criminal Investigating Service (DCIS). Records shall be sent only to TRICARE contractors or TMA.

5.7 Requests for records (OF 11) shall be in FRC location order if 25 or more requests are sent together. There is no limit on the number of requests the FRC will process at one time.

FIGURE 2.A-1 MARKING AND PACKING INSTRUCTIONS



Records Shipment Instructions

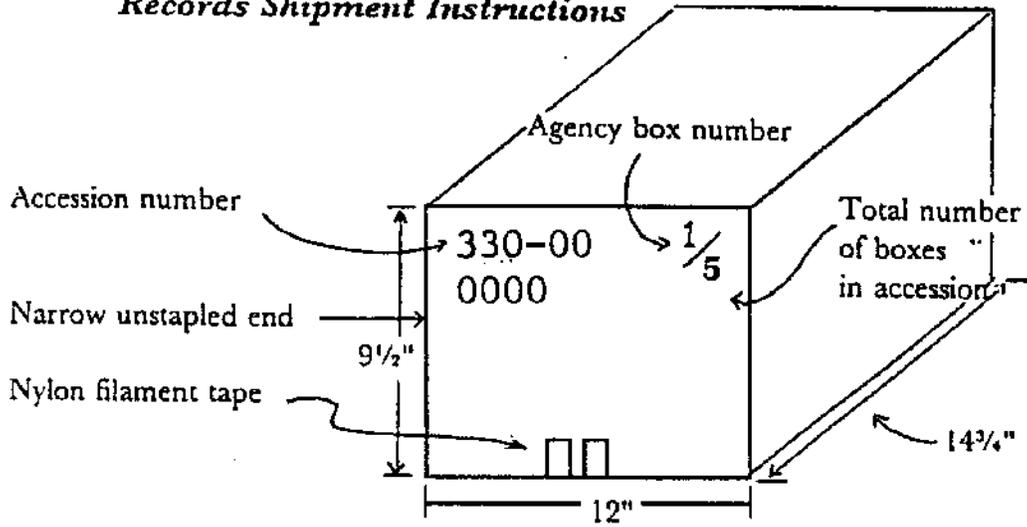
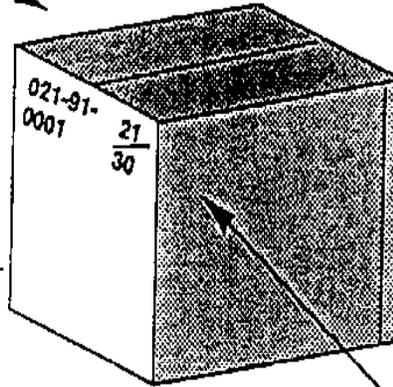


FIGURE 2.A-2 ARRANGEMENT OF BOXES ON PALLETS

Standard FRC
Cubic Foot
Carton

Accession Number
on Every Box
(1" Letters)



Stapled End

Consecutive Number on
Each Box of Accession
(1" Letters)

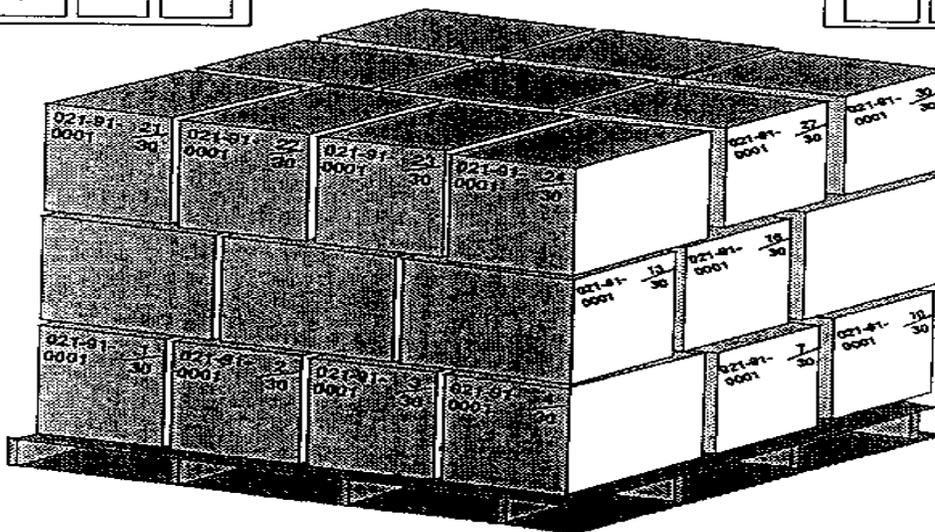
Palletizing Your Records
Alternate Each Layer (Maximum - 6' High)

1st Layer

1	5	8
2	6	9
3		10
4	7	

2nd Layer

11	14	17
12	15	18
13	16	19
		20



- END -