

## Paper Record Transfer Procedures

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### 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 expense of the contractor. Cartons that meet standards for shipping records to the FRC are:

Standard-Size Record Box (NSN 8115-00-117-8249)  
(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 (NSN 8115-00-117-8338)  
(for checks)  
14-3/4" x 9-1/2" x 4-3/4" (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** When preparing records for transfer to FRC, records shall be properly packed to minimize the possibility of damage to records.

**2.2** Records shall not be forced into the cartons. Leave a 1/2 inch space in each carton to permit easy withdrawal of individual records for future 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 the FRC Toolkit at <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 135 (SF-135), Records Transmittal and Receipt, and retained by the contractor for future reference or upon request by the TRICARE Management Activity (TMA) or a TMA designated authority.

### 3.0 PREPARING TRANSMITTAL DOCUMENT

**3.1** When transferring records to the FRC, the contractor shall prepare and forward the original and two copies of the SF-135 (available on the TMA Records Management web site under the National Archives and Records Administration (NARA), Records Transmittal and Receipt, SF-135) to the TMA Records Management Officer. 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 a transfer number on the form.

**3.4** The original SF-135 is retained by the FRC; one copy of the annotated SF-135, showing transfer 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 transfer number. The transfer 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 transfer 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 TMA Records Management Office and 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. The FRC's Archives and Records Centers Information System (ARCIS) web application tracks the location of boxes with bar codes. The bar codes and location numbers are no longer provided back to TMA.

**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 **Commercial** Bill of Lading (CBL) is required for shipment of records. The information must be provided at least two weeks prior to the estimated shipment date. The information required when requesting a CBL includes:

- Number of boxes/pallets
- Estimated weight
- Estimated date of shipment
- **Pickup date for shipment**
- Point Of Contact (POC) name/telephone number
- Pick up address
- Destination address

**4.2** A line-haul carrier will be assigned by the Government and stated in the CBL. Only the carrier designated on the CBL will be used. The contractor shall be responsible for arranging for the date and time of pickup and delivery. **The TMA Records Management Office will notify the contractor at least 24 hours in advance of scheduled pickup date. If a contractor location is open other than normal days/hours, that information should be included on the CBL request, so that the pickup can be scheduled during those times.** The contractor shall comply with the following instructions:

- Boxes will be strapped or shrink-wrapped onto pallets.
- Pallets will not be double stacked.
- Shipment will be loaded and off-loaded sequentially **in accordance with the TMA Record Retention Schedule (RRS), "Packing of Files for Retirement" or the FRC Toolkit, which can be found on the National Archives, FRC web site.**

**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 Office 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 CBL. 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 **transfer** numbers on boxes, repacking damaged boxes (caused by improper packing), etc.), that cost will be the responsibility of the contractor.

## 5.0 RETRIEVING RECORDS

**5.1** The FRC provides reference services, which includes 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 **by the contractor** shall be **approved** by the **TMA Records Management Officer**.

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**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** To recall records from the FRC, **the contractor shall complete** the Optional Form 11 (OF-11) (see the National Archives, Forms, OF 11, Reference Request) **and contact the TMA Records Management Office, who will coordinate the recall.** When multiple OF 11s are transmitted to the FRC, they shall be arranged in **transfer** 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.

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

- Accession **number or transfer 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 Office at (303) **676-3559**. 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** **ARCIS Smart Scan requests shall be limited to emergency situations. The FRC normally processes these requests within eight hours of receipt. All Smart Scanned and e-mail documents shall not contain Personally Identifiable Information (PII) or Personal Health Information (PHI), unless approved encryption technology is applied. Contact your TMA Records Management Officer for guidance on approved encryption. All Smart Scanned electronic documents shall be treated as transitory and convenience copies. All Smart Scan requests for records (priority requests) must go through the TMA Records Management Office at (303) 676-3559. Smart Scan requests are defined as:**

- **FOIA requests**
- **Privacy Act requests**
- **Congressional inquiries**
- **Pending court actions**
- **High-level interest cases**

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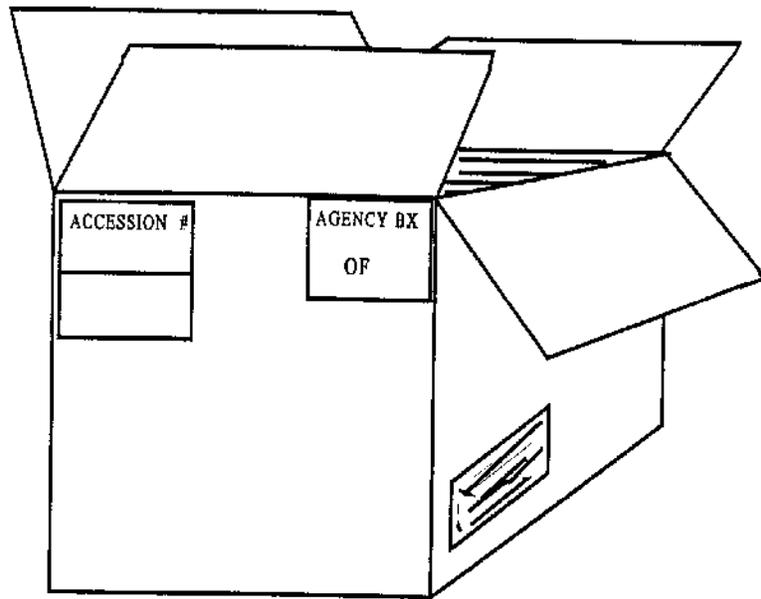
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**5.7** All records requested from storage shall go to the individual (office) requesting them. Records shall not be sent to outside sources such as the U.S. Department of Justice (DOJ) or Defense Criminal Investigative Service (DCIS). Records shall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

**5.8** 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*

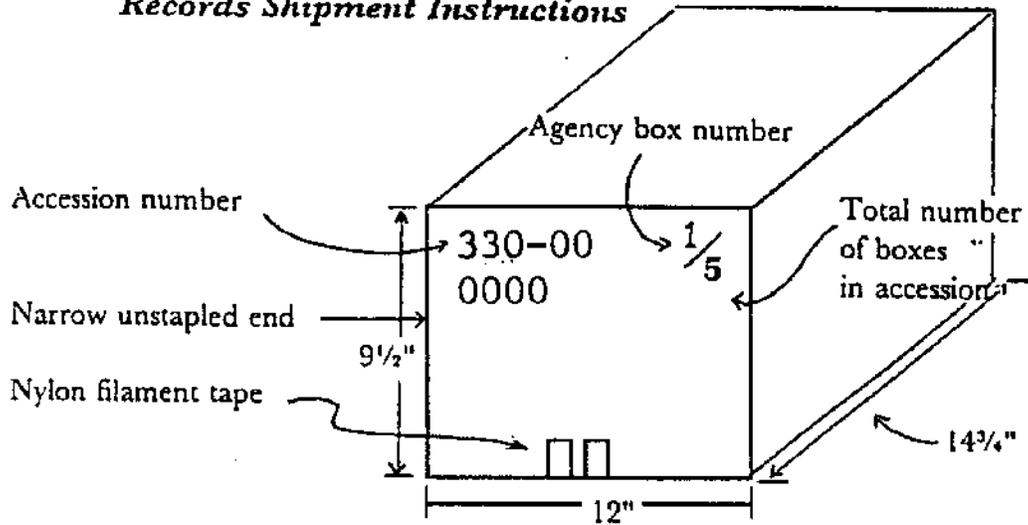
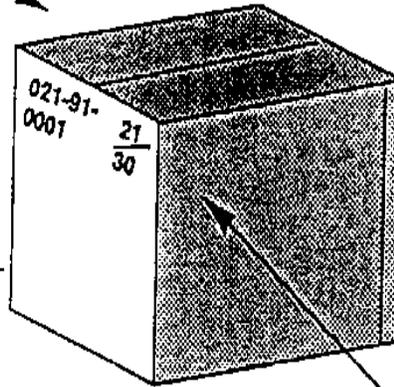


FIGURE 2.A-2 ARRANGEMENT OF BOXES ON PALLETS

Standard FRC  
Cubic Foot  
Carton

Accession Number  
on Every Box  
(1" Letters)



Stapled End

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

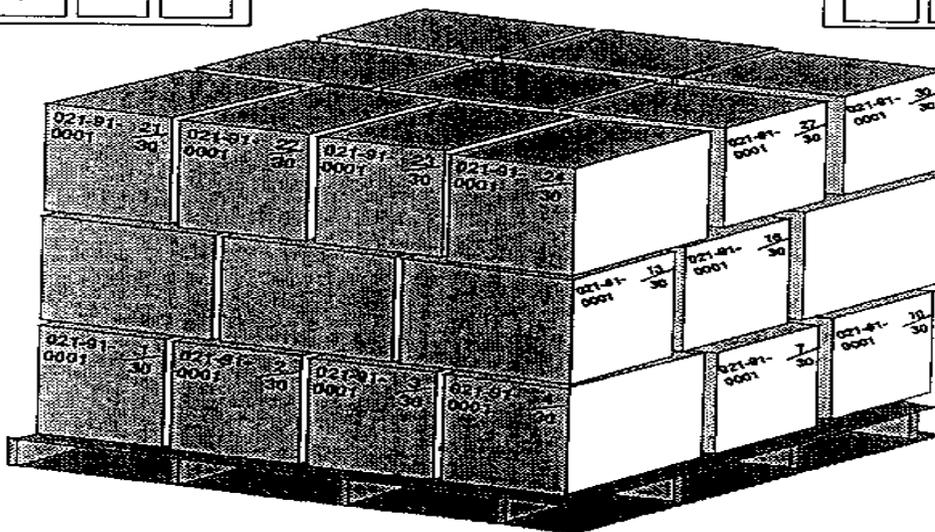
**Palletizing Your Records**  
Alternate Each Layer (Maximum - 6' High)

1st Layer

1	5	8
2	6	9
3		10
4	7	

2nd Layer

11	14	17
12	15	18
13	16	19
		20



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