

## TRANSFERRING RECORDS (FEDERAL RECORDS CENTERS AND TRANSITIONS)

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### 1.0. FEDERAL RECORDS CENTERS

Federal Records Centers (FRCs) are established and maintained by the National Archives and Records Administration (NARA) at locations throughout the United States for the storage, processing, and servicing of noncurrent records for federal agencies.

### 2.0. FRC RELATIONS

The contractor shall:

**2.1.** Deal only with the FRC designated by the TRICARE Management Activity (TMA). The FRC to be used by all contractors is located in Pittsfield, Massachusetts. The telephone number to use for inquiries concerning specific shipments or requests for records is: (413) 445-7305. All requests for records (Optional Form 11) and shipments shall be sent to:

Pittsfield Federal Records Center  
10 Conte Drive  
Pittsfield, MA 01201

**2.2.** Contact the FRC for assistance in arranging for the retirement and storage of records. The arrangements concern only the details of transfer and recall of records and do not alter the provisions of this chapter.

**2.3.** Designate a specific individual as a point of contact to deal with the FRC. The name and address of the individual, and any change in designation, shall be forwarded, as soon as possible, to:

Records Management Officer  
TRICARE Management Activity  
16401 East Centretech Parkway  
Aurora, Colorado 80011-9066

**2.4.** Refer all problems or excessive delays encountered with the FRC to:

Records Management Officer  
TRICARE Management Activity  
16401 East Centretech Parkway  
Aurora, Colorado 80011-9066

### 3.0. PROCEDURES FOR TRANSFERRING RECORDS TO FRC

The standard federal records carton (or its equivalent) will be used to ship records to the FRC. It is the responsibility of the contractor to acquire cartons from outside sources. 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" (outside dimensions)

Small Material Box  
(for checks)  
14-3/4" 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)

### 4.0. PACKING AND LABELING OF RECORDS

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

4.2. Records should 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 should 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 [Figure 2-A-1](#)). Records shall be shipped in file folders or have dividers separating the various records specified in [Chapter 2, Section 2](#). Under no circumstances shall records be placed one on top of another in a carton.

4.3. 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](#)).

4.4. Detailed lists of the contents of cartons, indexes to records, and other specialized finding aids shall be retained by the contractor so that documents needed for future reference can be identified clearly by requesting officials. When records are shipped in cartons that the FRC cannot accommodate, the records will be returned to the contractor for repacking.

### 5.0. PREPARING TRANSMITTAL DOCUMENT

5.1. When transferring records to the FRC, the contractor shall prepare and forward the original and two copies of the Standard Form 135, "Records Transmittal and Receipt" (SF 135), see [Figure 2-A-2](#) to the FRC prior to shipping records. 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 Standard Form 135-A, "Records Transmittal and Receipt" (Continuation) (SF 135-A) (see [Figure 2-A-3](#)) or an 8 1/2" x 11" bond paper.

- 5.2.** When records are transferred, they must be scheduled for disposal using the applicable disposition schedule (see [Chapter 2, Section 2](#), for schedules). When the disposal authority is not cited, the SF 135 (see [Figure 2-A-2](#)), will be returned for completion.
- 5.3.** Upon receipt of the SF 135, the FRC reviews it for completeness and propriety of transfer. If approved, the FRC assigns an accession number on the form.
- 5.4.** The original SF 135 is retained by the FRC; two copies of the annotated SF 135, showing accession number(s) are returned to the contractor, indicating the FRC's approval of the shipment.
- 5.5.** After receiving copies 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, in the first carton of each accession and the records will be shipped to the FRC. The second copy shall be retained by the contractor for its use.
- 5.6.** The shipment of records shall be accomplished as soon as possible after the contractor receives the annotated copies of the SF 135. If shipment cannot be made within 90 days of receipt, the contractor must notify the FRC, or the SF 135 will be returned by the FRC. They may then assign the accession number to another shipment.
- 5.7.** 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.
- 5.8.** The contractor shall send a copy of the SF 135, showing both accession number and location code, along with the detailed box listing, immediately upon receipt. The documents shall be sent to:

Records Management Officer  
TRICARE Management Activity  
16401 East Centretch Parkway  
Aurora, Colorado 80011-9066

## **6.0. SHIPPING RECORDS**

- 6.1.** The contractor shall advise the TMA Records Management Officer by telephone that a Government Bill of Lading (GBL) 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 GBL includes:

Number of boxes  
Estimated weight  
Estimated date of shipment

- 6.2.** 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 furnish the carrier with the following instructions:

- Boxes will be strapped or shrink wrapped onto pallets
- No double palleting
- Carrier will load and off-load shipment
- The shipment will be loaded and off-loaded sequentially (see [Figure 2-A-5](#)).

**6.3.** 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.

**6.4.** 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.

## **7.0. RETRIEVING RECORDS**

**7.1.** 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.

**7.2.** 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. 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 and may be returned to the FRC for refile.

**7.3.** The best method to recall records from the FRC is with the use of the Optional Form 11, "Reference Request - Federal Records Center" (OF 11) (see [Figure 2-A-4](#)). 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. When using letter-size paper for requesting records, do not request more than ten records per page.

**7.4.** 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

**7.5.** Phone requests 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 TRICARE Management Activity (TMA) Records Management Officer at (303) 676-3487. Emergency phone requests are defined as:

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

**7.6.** 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 or Defense Criminal Investigating Service (DCIS). Records shall be sent only to TRICARE contractors or TMA.

**7.7.** Requests for records (Optional Form 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.

## **8.0. OTHER CONTRACTORS**

In some circumstances will be necessary to transfer records to another TRICARE contractor. The more common reason would be a transition responsibility for the contract jurisdiction. In doing so, the contractor shall carefully follow the same procedures as provided in [paragraphs 3.0.](#) and [4.0.](#), but shall ship to the other contractor, as directed by the Contracting Officer.

## **9.0. REQUESTING FORMS**

Contractors shall direct all requests for FRC forms to the following address:

Forms Management Officer  
TRICARE Management Activity  
16401 East Centretech Parkway  
Aurora, Colorado 80011-9066

