

## Chapter 9

## Section 5

# Transferring Records

Revision: C-26, May 30, 2018

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### 1.0 FEDERAL RECORDS CENTERS (FRCs)

FRCs are certified, established, and maintained by the National Archives and Records Administration (NARA) at locations throughout the United States (U.S.) for the storage, processing, and servicing of inactive records for federal agencies. When a Government paper record becomes inactive (records no longer necessary for the conduct of business) it shall be transferred to a FRC designated by the Defense Health Agency (DHA). If space is not available at the contractor location, active paper records can be transferred to the designated FRC. For additional guidance, reference 36 Code of Federal Regulations (CFR) Chapter XII, Subchapter B, Part 1234 - Facility Standards for Records.

### 2.0 FRC RELATIONS

The contractor shall:

**2.1** Deal only with the FRC designated by the DHA.

**2.2** Contact the DHA Records Management (RM) Officer for assistance in arranging for the retirement and storage of records. The arrangements concern only the details of transfer and recall of records.

**2.3** Designate a specific individual as a Point Of Contact (POC) to deal with the transfer of records. The name and address of the individual and any change in designation shall be forwarded as soon as possible to:

Records Management Officer  
Defense Health Agency  
16401 East Centretex Parkway  
Aurora, Colorado 80011-9066

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

Records Management Officer  
Defense Health Agency  
16401 East Centretex Parkway  
Aurora, Colorado 80011-9066

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### 3.0 TRANSFER TO OTHER CONTRACTORS/RECORDS CENTER

In circumstances when it is necessary to transfer records to another DHA contractor or NARA Records Center, the contractors shall carefully follow the media transferring procedures located in [Addendums A and B](#) and [Chapter 2, Section 10, paragraph 4.0](#).

#### 3.1 Transfer Of Paper Records

See [Addendum A](#) for paper record transfer procedures.

#### 3.2 Transfer Of Electronic Records

**3.2.1** See [Addendum B](#) for electronic record transfer procedures.

**3.2.2** When transferring electronic records to other than a contractor, the transfer of electronic records will be in accordance with [Addendum B](#).

### 4.0 DESTRUCTION OF RECORDS POLICY

**The** contractor shall use the following procedures when destroying Government records:

**4.1** **The** contractor shall contact the DHA (RM) Officer for approval prior to the destruction of any record material. The RM Office will furnish the contractor with the Declaration of Transfer and Destruction of Records form. The contractor shall provide all applicable information on the form and submit it electronically to the RM Officer for approval. Records must be inactive, past their disposal date, and not subject to any Preservation Order or litigation hold.

**4.2** Paper Records and Other Media: Since the bulk of the Government records created, maintained, and received by the contractor contain Protected Health Information (PHI) and Personally Identifiable Information (PII), the contractor shall cross shred paper documents. Other acceptable disposal methods include: burning, melting, chemical decomposition, pulping, pulverizing, or mutilation. These methods are considered adequate if the personal data is rendered unrecognizable or beyond reconstruction. Magnetic tapes or other magnetic media shall be purged of record content or completely destroyed so that no government records/non-records can be accessed.

**4.3** If a contractor uses a shred company, the destruction shall be witnessed by a contractor employee. The shred company shall be bonded, insured, and furnish the contractor with a Certificate of Destruction. The Certificate(s) of Destruction shall provide a description of the records that were destroyed (i.e., general correspondence and claim documents for Calendar Year (CY) 2006). The Certificate(s) of Destruction shall be provided to the RM Officer within 10 business days after the destruction.

**4.4** Electronic Media: **The** contractor shall provide the RM Officer with the Declaration of Transfer and Destruction of Records as identified in [DD Form 1423](#), Contract Data Requirements (CDRL), [located in Section J of the applicable contract](#), declaring that the electronic records have been permanently removed/destroyed, including removal/destruction and completely wiping (using an approved wiping erase process) from all electronic systems and databases and any related convenience data (paper

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copies, vendors, other electronic storage devices, etc.) in accordance with 36 CFR Chapter XII, Subchapter B, Department of Defense Manual (DoDM) 5200.01, and DoD Instruction (DoDI) 8510.01.

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