

APPENDIX A

FEDERAL RECORDS CENTERS' TRANSFER PROCEDURES

1. Federal Records Centers (FRCs). The National Archives and Records Administration (NARA) operates a system of FRCs authorized by sections 2903, 2907, and 3102 of Title 44 of the United States Code for the economical storage of noncurrent records of Federal agencies, pending their deposit in the National Archives of the United States or other disposition authorized by law. Non-current records are defined as records that are no longer required to conduct current business. Page A-4 lists the mailing addresses and commercial telephone numbers of the records centers and the geographic areas they service.

2. FRCs Records Transfer Requirements. The FRCs screen all incoming records boxes. If correct transfer procedures are not followed or proper records transfer paperwork is not provided, the entire records shipment will be returned to the transferring command or the immediate supervisor in command (ISIC) for correction. Adhere to the following requirements when preparing records for a records transfer to an FRC:

a. Records must be covered by an authorized records retention standard of this instruction and have a minimum of one year retention period at the FRC.

b. Forward original and one copy of Standard Form (SF) 135, Records Transmittal and Receipt, to the FRC for approval prior to shipping records. Hold one copy for your suspense file.

c. Records must be received by the FRC within 90 days (120 days for overseas locations and ships at sea) of their approving an SF 135.

d. The returned copy of the SF 135 must be placed in box 1 of the accession before the records are sent to the FRC. If boxes or other containers are tightly sealed, place the shipment copy in an envelope taped to the outside of the first container.

e. Shipment of records must be in standard records center cartons marked with appropriate accession and agency box numbers.

f. Records of a given accession number must be covered by the same disposal authority and have the same disposal date.

3. Evaluating Records. Prior to packing boxes for transfer to an FRC, conduct a thorough evaluation of the records using the following guidelines:

a. Remove all duplicate copies and unnecessary material, i.e., notes, drafts, and working papers, or reference material such as instructions, notices, publications, etc.

b. Separate records into series. A series is defined as a block of records having the same disposition authority and the same retention period.

c. Before packing classified records, make every effort to declassify or downgrade them under the provisions of OPNAVINST 5510.1H, Information Security Program Regulations. Those records that cannot be declassified should be carefully inventoried and shipped per security regulations contained in OPNAVINST 5510.1H.

4. Preparing Records Transmittal Document. A separate SF 135 is required for each accession (permanent or temporary) sent to a FRC and a folder title list of box contents. Complete the SF 135 in triplicate following the instructions listed below:

a. Block 1, TO. Fill in the appropriate FRC mailing address of the center servicing your area.

b. Block 2, AGENCY TRANSFER AUTHORIZATION. A signature is mandatory. Administrative or directorate level personnel can sign the authorization.

c. Block 3, AGENCY CONTACT. List the person most knowledgeable about the records being shipped and a commercial or FTS telephone number. FRCs do not have access to DSN. If there is a problem, this is the person the FRC will contact.

d. Block 4, RECORDS CENTER RECEIPT. Leave blank. The FRC will complete this information.

e. Block 5, FROM

(1) Fill in your complete mailing address citing:

Department of the Navy
Major Subdivision
Minor Subdivision
Mailing Address
City, State Zip Code

(2) For decommissioned ships, list the ship's mailing address first and the type commander's address second:

1) USS Decommissioned (XY 33)
(Decommissioned-(Date))
FPO NY 12345-6789

2) Type Commander
Mailing Address
City, State Zip Code

(3) For disestablished shore activities and aviation squadrons, list activity's mailing address first and the host command's address second:

1) Department of the Navy
(Disestablished-(Date))
Major Subdivision
Minor Subdivision
Mailing Address
City, State Zip Code

2) Host Command
Mailing Address
City, State Zip Code

f. Block 6, RECORDS DATA

(1) Column a, RG. List the record group (RG) number assigned for your activity. See page A-6.

(2) Column b, FY. List the last two digits of the fiscal year (FY) in which the records are transferred to the FRC.

(3) Column c, NUMBER

(a) If the records are located at a field activity or on board ship (record groups 181 or 313), the FRC will fill in this number when you submit the SF 135 for approval.

(b) If the records are at the headquarters level, obtain an accession number from the designated records officer for your record group.

(4) Column d, VOLUME. List the total cubic feet of records being shipped. A standard records center carton holds one cubic foot. See Pages A-7-8 for cubic footage equivalents.

(5) Column e, AGENCY BOX NUMBER. List inclusive box numbers for each series of records

transferred. Each container of an accession must be numbered sequentially, such as, 1/25, 2/25, 3/25, etc.

(6) Column f, SERIES DESCRIPTION. Describe the records in detail: indicate inclusive dates of records, give organizational component that generated the records, and any other pertinent information that will help to identify the records. Basically, describe what the records are, where they were generated, by whom and when they were created. No description is complete without the closing date (or inclusive dates) of the records. Use series descriptions from records schedules (Part III).

(7) Column g, RESTRICTION CODE. Restrictions are explained on the back of the SF 135. Code "W" should be used for unclassified Privacy Act system records. Explain any special restrictions at the bottom of the page, if necessary.

(8) Column h, DISPOSAL AUTHORITY. Cite the appropriate disposal instruction number, standard subject identification code (SSIC), paragraph and subparagraph number that prescribe the retention standard for the records you are transferring. For example, if the records you want to transfer were military disbursing officer original monthly and daily returns and related reports, you would cite disposal authority, SECNAVINST 5212.5D/7250/2a.

(9) Column i, DISPOSAL DATE. Calculate the disposal date by guidance given in the disposition paragraph.

(a) A disposition paragraph reads: "Transfer to appropriate FRC when 5 years old. Destroy when 75 years old." If the records are dated February 1984, in February 1989 you would transfer them to the FRC and in February 2059 they would be eligible for destruction. Since disposition is carried out in quarterly cycles at the FRC, the disposal date would advance to the beginning of the next calendar quarter (i.e., January, April, July, or October of a given calendar year). Therefore, the actual disposal date for the records in this example would be April 2059.

(b) A disposition paragraph reads: "Permanent. Transfer to appropriate FRC when 4 years old. Offer to NARA when 20 years old." The disposal date would be last two digits of the year the records are eligible for offer to the National Archives. Place a "P" after the offer year.

After completion, forward the original and one copy of the SF 135 to the FRC. **DO NOT SHIP THE RECORDS**

AT THIS TIME. The FRC will review the SF 135 authorizing shipment of the records.

5. **Packing Records**

a. Use the proper size records center carton when packing records. For legal- and letter-size material, use standard-size records center cartons. Use half-size or designated specialty boxes only for microfilm, index cards, or other odd-size material. Contact the FRC regarding shipments of odd-sized material (bound volumes, ledgers, maps and charts) that will not fit standard FRC cartons or for fragile items (glass plate negatives) that require special handling. Discuss with the FRC the packing requirements dictated by the size or nature of the records.

Note: Use only standard records center cartons available through General Services Administration. FRCs will reject any shipment of legal- and letter-sized records not in authorized records center-cartons.

b. Pack records in standard FRC cartons preserving the original file arrangement. Leave one inch of space per carton to permit easy withdrawal of folders for reference. Pack letter-size folders upright facing the numbered end, legal-size folders facing the "left" side of the carton. (See Page A-9)

Note: Do not overpack your boxes. Never add additional material on bottom, sides, or on top of the records. Never stack files on top of each other. Do not combine odd-sized and standard-sized records in the same shipment. Computer discs should only be packed in the special cartons available for them. They need to be packed vertically on their edges, never flat or horizontally, in standard FRC cartons.

c. Attach folder title lists of box contents, or equivalent detailed records descriptions, to SF 135 transmitting: (1) permanent records, (2) scheduled records which have been proposed for permanent retention on a pending SF 115, (3) records from which a sample is to be selected for permanent retention, and (4) records of agencies which routinely fail to screen case files under series with temporary and permanent sub-series. A separate SF 135 must be prepared for each accession of records in these categories. This information will help to ensure that archival records are identified. Place a copy of the FRC approved SF 135 and a folder title list of box contents inside the front of the first carton (agency box number 1, if there is more than one carton in the accession).

6. **Marking cartons.** Using a permanent black felt-tip marker, write the full accession number (items 6(a), (b), and (c) of the approved SF 135, i.e., 181-87-134) in the front upper left corner of each carton. Also, number the cartons sequentially (i.e., 1/10, 2/10, etc.) in the front upper right corner of each carton. (See Page A-8). For boxes with printed blocks, write the accession number and the box number in the designated printed blocks on each box.

NOTE: Do not use labels to mark cartons. No standard method of affixing labels is effective in long-term FRC storage. Write the accession number and box number directly on the box.

7. **Shipping Records**

a. Ship the records to the FRC as soon as possible after receipt of the FRC approved SF 135. Records must be received by the FRC within 90 days (120 days for overseas locations and ships at sea) after their approving an SF 135. Delays of more than 90 days (120 days) will result in the FRC canceling the accession number and rejecting any shipments received after 90 days (120 days for overseas locations and ships at sea). In this case, the transferring activity will be required to resubmit the SF 135, obtain approval for shipment, and renumber the cartons with the new accession number.

b. Accessions of more than 500 cubic feet require advance space and manpower planning. In such instances, notify the FRC in writing two weeks prior to planned shipment.

c. After the records have been shelved at the center, the FRC will return a copy of the SF 135 annotated with the location. **Keep this copy as a receipt and as your permanent record.**

8. **Maintaining Record Copy of the FRC Stored Records.** Use the FRC-acknowledged copy of the SF 135 as a record of material transferred. This eliminates preparation of separate inventory lists of records stored at the FRC, simplifies getting reference service to the stored records and eases answering various FRC notices. (See Appendix E for sample of notices you may receive from FRCs regarding retired records.)

Note: Attach folder title lists of box contents to the SF 135 for **permanent and unscheduled records only.** This is not a requirement by the FRC for transferring temporary records.

22 April 1998

Note: WHEN TRANSFERRING SECRET AND TOP SECRET RECORDS, OPNAVINST 5510.1H REQUIRES THAT "CRADLE TO GRAVE" ACCOUNTABILITY BE MAINTAINED FOR SECRET AND TOP SECRET INFORMATION AND THAT IT BE TRANSMITTED UNDER A CONTINUOUS CHAIN OF RECEIPTS. TOP SECRET INFORMATION TRANSFERRED WITH IMPROPER RECEIPTS MUST BE RECONCILED WITH THE SENDING COMMAND.

9. Box Stock Numbers

a. Standard Size:

14 3/4" X 12" X 9 1/2" NSN 8115-00-117-8249
14 3/4" X 12" X 9 1/2" NSN 8115-00-117-8344
15" X 12" X 10 NSN 8115-00-290-3379

b. Special purpose:

Half-size box
14 3/4" X 9 1/2" X 4 7/8" NSN 8115-00-117-8338

Magnetic tape box
14 3/4" X 11 3/4" X 11 3/4" NSN 8115-00-117-8347

c. Microfiche:

14 3/4" X 6 1/2" X 4 1/2" NSN 8115-01-025-3254

Microfiche (Archival)
14 3/4" X 6 1/2" X 5" NSN 8115-01-132-1923

d. X-ray:

18" X 15" X 5 1/2" NSN 8115-00-290-3386

e. Other materials:

Filament Tape NSN 7510-00-159-4450
Felt-tip Marker NSN 7520-00-973-1059

NATIONAL AND FEDERAL RECORDS CENTERS

AREA SERVED

District of Columbia, Maryland, Virginia and West Virginia, except U.S. Court Records for Maryland, Virginia and West Virginia

WASHINGTON NATIONAL RECORDS CENTER
Washington, DC 20409
(301) 763-7633

Shipping address for records only (do not use for mail)

4205 Suitland Road, Suitland, MD 20746

The entire personnel records of all separated Federal employees; medical and pay records of all Federal employees; designated medical records of Army and Air Force military personnel and their dependents; and records of agencies in the St. Louis area (Missouri only), of Scott AFB, IL, and of the Memphis Service Center, Internal Revenue Service.

National Personnel Records Center
(Civilian Personnel Records)
111 Winnebago Street
St. Louis, MO 63118-4199
(314) 425-5761

Designated records of the Department of Defense and the U.S. Coast Guard

National Personnel Records Center
(Military Personnel Records)
9700 Page Avenue
St. Louis, MO 63132-5100
(314) 538-4141

Area 1

Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island (Classified Record to WNRC).

Federal Records Center - Boston
380 Trapelo Road
Waltham, MA 02154-6399
(617) 647-8110

Area 2

New York, New Jersey, Puerto Rico, Virgin Islands, Panama Canal Zone, Guantanamo Bay, Atlantic Ocean Area

Classified to WNRC
Unclassified to FRC-Kansas City

Area 3

Delaware, Pennsylvania and only U.S. court records for Maryland, Virginia and West Virginia

Federal Records Center - Philadelphia
14700 Townsend Road
Philadelphia, PA 19144-19154
(215) 671-8241

Area 4

North Carolina, South Carolina, Tennessee, Mississippi,
Alabama, Georgia, Florida and Kentucky

Federal Records Center - Atlanta
1557 St. Joseph Avenue
East Point, GA 30344-2593
(404) 763-7651

Area 5

Illinois, Wisconsin, Minnesota and U.S. court records for
Indiana, Michigan and Ohio

Federal Records Center - Chicago
7358 South Pulaski Road
Chicago, IL 60629-5898
(312) 353-0162

Indiana, Michigan and Ohio except U.S. court records

Federal Records Center - Dayton
3150 Springboro Road
Dayton, OH 45439-1883
(513) 225-2853

Area 6

Kansas, Iowa, Nebraska and Missouri except greater
St. Louis area

Federal Records Center - Kansas City
2312 East Bannister Road
Kansas City, MO 64131
(816) 926-7271

Greater St. Louis area (Missouri only)

National Personnel Records Center
(Civilian Personnel Records)
111 Winnebago Street
St. Louis, MO 63118-4199
(314) 425-5761

Area 7

Texas, Oklahoma, Arkansas, Louisiana and New Mexico

Federal Records Center - Fort Worth
P.O. Box 6216
Fort Worth, TX 76115-0216
(817) 334-5515

Shipping address for records only
(do not use for mail)
4900 Hemphill Street

Bldg 1, Dock 1
Fort Worth, TX 76115

Area 8

Colorado, Wyoming, Utah, Montana, North Dakota and
South Dakota

Federal Records Center - Denver
P.O. Box 25307
Denver, CO 80225-0307
(303) 236-0809

Area 9

American Samoa, California - except southern California
and Nevada - except Clark County

Federal Records Center - San Francisco
1000 Commodore Drive
San Bruno, CA 94066-2350
(415) 876-9006

Arizona; Clark County, Nevada; and southern California
(counties of San Luis Obispo, Kern, San Bernardino,
Santa Barbara, Ventura, Los Angeles, Riverside,
Orange, Imperial, Inyo, and San Diego)

Federal Records Center - Los Angeles
24000 Avila Road
Laguna Niguel, CA 92607-6719
(714) 643-4220

Area 10

Washington, Oregon, Idaho, Alaska, Hawaii and Pacific
Ocean areas except American Samoa

Federal Records Center - Seattle
6125 Sand Point Way, NE
Seattle, WA 98115-7999
(206) 526-6501

Area 4

North Carolina, South Carolina, Tennessee, Mississippi,
Alabama, Georgia, Florida and Kentucky

Federal Records Center - Atlanta
1557 St. Joseph Avenue
East Point, GA 30344-2593
(404) 763-7651

Area 5

Illinois, Wisconsin, Minnesota and U.S. court records for
Indiana, Michigan and Ohio

Federal Records Center - Chicago
7358 South Pulaski Road
Chicago, IL 60629-5898
(312) 353-0162

Indiana, Michigan and Ohio except U.S. court records

Federal Records Center - Dayton
3150 Springboro Road
Dayton, OH 45439-1883
(513) 225-2853

Area 6

Kansas, Iowa, Nebraska and Missouri except greater
St. Louis area

Federal Records Center - Kansas City
2312 East Bannister Road
Kansas City, MO 64131
(816) 926-7271

Greater St. Louis area (Missouri only)

National Personnel Records Center
(Civilian Personnel Records)
111 Winnebago Street
St. Louis, MO 63118-4199
(314) 425-5761

Area 7

Texas, Oklahoma, Arkansas, Louisiana and New Mexico

Federal Records Center - Fort Worth
P.O. Box 6216
Fort Worth, TX 76115-0216
(817) 334-5515

Shipping address for records only
(do not use for mail)
4900 Hemphill Street

Bldg 1, Dock 1
Fort Worth, TX 76115

Area 8

Colorado, Wyoming, Utah, Montana, North Dakota and
South Dakota

Federal Records Center - Denver
P.O. Box 25307
Denver, CO 80225-0307
(303) 236-0809

Area 9

American Samoa, California - except southern California
and Nevada - except Clark County

Federal Records Center - San Francisco
1000 Commodore Drive
San Bruno, CA 94066-2350
(415) 876-9006

Arizona; Clark County, Nevada; and southern California
(counties of San Luis Obispo, Kern, San Bernardino,
Santa Barbara, Ventura, Los Angeles, Riverside,
Orange, Imperial, Inyo, and San Diego)

Federal Records Center - Los Angeles
24000 Avila Road
Laguna Niguel, CA 92607-6719
(714) 643-4220

Area 10

Washington, Oregon, Idaho, Alaska, Hawaii and Pacific
Ocean areas except American Samoa

Federal Records Center - Seattle
6125 Sand Point Way, NE
Seattle, WA 98115-7999
(206) 526-6501

DON RECORD GROUPS

- 19 Records of the Bureau of ships
- 24 Records of the Bureau of Naval Personnel
- 37 Records of the Hydrographic Office
- 38 Records of the Chief of Naval Operations
- 45 Naval Records College, Office of Naval Records and Library
- 52 Records of the Bureau of Medicine and Surgery
- 71 Records of the Bureau of Yards and Docks
- 72 Records of the Bureau of Aeronautics
- 74 Records of the Bureau of Ordnance
- 78 Records of the Naval Observatory
- 80 General Records of the Dept. of the Navy 1798-1947
- 125 Records of the Office of the Judge Advocate General
- 127 Records of the U.S. Marine Corps
- 143 Records of the Bureau of Supplies and Accounts
- 181 Records of Naval Districts and Shore Establishments
- 225 Records of Joint Army & Navy Boards & Committees
- 289 Records of the Naval Intelligence Command
- 298 Records of the Office of Naval Research
- 313 Records of the Naval Operating Forces
- 343 Records of the Naval Air Systems Command
- 344 Records of the Naval Ships Systems Command
- 345 Records of the Naval Electronics System Command
- 346 Records of the Naval Ordnance Systems Command
- 347 Records of the Naval Supply Systems Command
- 384 Records of the Chief of Naval Material

- 385 Records of the Naval Facilities Engineering Command
- 402 Records of the Bureau of Naval Weapons
- 405 Records of the U.S. Naval Academy
- 428 General Records of the Department of the Navy 1947-
- 526 Records of the Naval Criminal Investigative Service

UNIFIED COMMAND RECORD GROUPS

- 518 Records of the U.S. Central Command
- 528 Records of the U.S. Atlantic Command
- 529 Records of the U.S. Pacific Command
- 530 Records of the U.S. Southern Command
- 531 Records of the U.S. European Command
- 532 Records of the U.S. Space Command
- 533 Records of the U.S. Special Operations Command
- 534 Records of the U.S. Transportation Command
- 535 Records of the U.S. Strategic Command