

# Department of the Interior Departmental Manual

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**Effective Date:** 12/31/86

**Series:** Information Resources Management

**Part 384:** Records Disposition

**Chapter 4:** Transfer of Records

**Originating Office:** Office of Information Resources Management

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This chapter has been given a new release number.* No text changes were made.
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## 384 DM 4

**4.1 Policy.** The policy of the Department is to ensure that the transfer of records from one organization to another is accomplished to promote program continuity, cost effective storage, document preservation, and to provide access to unrestricted records for research purposes.

**4.2 General Requirements.** When the custody of records is transferred from one organization to another, it is essential to provide the receiving organization adequate finding aids in order to expedite retrieval of specific data. Accurately labeled folders, copies of filing systems and current records disposition schedules will be included in the transfer. When microfilm or electronic data media are transferred, information will be included concerning the equipment and software used to create and/or access the data.

**4.3 Records Transferred From One Agency to Another.** NARA Regulations, 36 CFR 1228.120, prohibit the transfer of records from one executive agency to another without approval of the Archivist of the United States, except: when records are transferred to Federal records centers (FRC) or the National Archives and Records Administration (NARA); when records are loaned for official use; or when the transfer of records or functions or both is required by statute, Executive order, or Presidential reorganization plan. The following factors are to be considered when transferring records between agencies.

A. Notification to NARA. When records are acquired as a result of statute, Executive order, or Presidential reorganization plan, a memorandum will be sent to the Assistant Archivist for Federal Records Centers, National Archives and Records Administration, Washington, D.C. 20408 with notification of the program change. The memorandum will define the program(s) involved in the transfer, the participating agencies, and cite the authority directing the transfer.

B. Scheduling Acquired Records. Records acquired as a result of a program transfer will be scheduled in compliance with 384 DM 2.

C. Equipment. Records storage equipment should be transferred with the records they contain unless other arrangements are agreed upon by the agencies involved.

D. Costs of Transfers. Expenses incurred by an approved transfer will be the responsibility of the originating agency unless the acquiring agency agrees to assume all or part of the cost.

E. Restrictions on Use. Any restrictions previously imposed pursuant to statute, Executive order, or agency determination will continue in effect after the transfer. Restrictions imposed by agency determination may be removed by agreement between the agencies concerned.

F. Program Records in FRC. Copies of lists of records and accompanying SF 135, Records Transmittal and Receipt, that apply to the program being transferred will be sent to the acquiring agency to insure access to past records by program personnel. A memorandum will be prepared advising records centers of the transfer of program responsibility and requesting that the applicable records be noted with the acquiring bureau=s liaison officer=s name, address and telephone number.

**4.4 Records Transferred Within the Department.** A plan for the disposition of records in an office about to close or undergo a major change in program responsibility is essential for the preservation of records having continuing value and for the disposal of those records no longer needed. The plan should be developed well in advance of the effective date of the office closure or the proposed date for the transfer of program responsibility.

A. Disposition Plan. The plan for disposition should provide for the following:

(1) An inventory of records having continuing value to the office acquiring program responsibility.

(2) Destruction of nonrecord material that has no value to any other organization.

(3) Destruction of records that have reached their authorized disposal date.

(4) Retirement of inactive records, to an FRC, if they require continued retention.

B. Inventory.

(1) An inventory of records proposed for transfer will precede the actual transfer to allow the receiving office time to prepare for the receipt of the records and/or equipment. The inventory will include the following:

- (a) the total number of cubic feet of records to be transferred;
- (b) a list of filing equipment to be included in the transfer;

(c) the current filing arrangement of the records giving subject (name

and/or number);

- (d) inclusive date(s) of the records to be transferred;
- (e) the physical form of the records; e.g. microform, text, machine readable or audiovisual; and
- (f) any access restrictions imposed by statute, Executive order, or bureau/office determination.

(2) An inventory of nonrecord (reference) material, including the total cubic feet involved, concerning the program to be transferred also will be prepared and offered to the office acquiring program responsibility.

C. Program Records in FRC. Copies of inventories of records (see 4.5B) and an SF 135, Records Transmittal and Receipt, that apply to the program being transferred will be sent to the acquiring office to insure access to past records by program personnel. If the transfer is between offices of the same bureau the FRC will be notified, by memorandum, of the change in liaison officer responsible for the records. If the transfer is between bureaus and the records are not covered by the General Records Schedule, the acquiring bureau will request NARA to include them in its comprehensive records disposition schedule (see 384 DM 2). When NARA approves the requested change to the disposition schedule, each applicable FRC will be requested to change the Record Group Number and disposition authority of all accessions involved in the transfer.

D. Records Accountability Report. When an office is about to close, the final disposition of all records material of that office will be reported to the next highest organizational Records Management Officer. The report may be in memorandum form and will include the total cubic feet of each of the following items.

- (1) Records transferred to an FRC.
- (2) Records transferred to NARA.
- (3) Records transferred to the office(s) acquiring program responsibility.
- (4) Records destroyed in compliance with approved disposal schedules.

**4.5 Records Transferred to FRC.** NARA Regulations, 36 CFR 1228.150, authorize the Archivist of the United States to establish, maintain, and operate records centers for the storage, processing, and servicing of records for Federal agencies. When records are transferred to an FRC, custody of the records remains with the bureau/office of origin; the FRC only provides storage, research, disposal and recall service.

A. General FRC Requirements. The transfer of records to an FRC will be in compliance with the procedures established by NARA. Detailed information concerning the

transfer of records appears in the GSA Records Management Handbook, A Federal Archives and Records Centers, @ NSN 7610-00-298-6904. An FRC will accept bureau records subject to the following conditions.

- (1) The transfer is provided for in an approved records disposal schedule.
- (2) Destruction of the records is scheduled for a minimum of one year after the transfer date.
- (3) The paperwork and actual shipment are prepared in compliance with the instructions provided in the above mentioned handbook.
- (4) The records are not needed to carry out current bureau/office business.
- (5) There is a minimum need for the use of the records (usually not more than once a month for every two cubic feet).
- (6) The cost of transferring the records is less than the cost of maintaining them in office space and equipment.

B. Transfer Procedures. The transfer of records to an FRC requires the completion of an SF 135, Records Transmittal and Receipt, and if needed an SF 135A (continuation). These forms record the transfer and provide the authority under which the records are being shipped, but do not provide an inventory sufficiently detailed to aid in the reference and retrieval of the transferred records. A detailed inventory of each item in every box of each series (accession) being shipped will be maintained with the office record copy of the SF 135 and will be attached to any SF 135 transmitting permanently scheduled, unscheduled, or potentially archival records to the records centers. Instructions on preparing the SF 135 are on the back of the form. Guidance on special transfer procedures may be obtained by contacting the individual FRC responsible for servicing the records of a particular office.

C. Reference to Department Records. Bureau/office requests for reference service on records transferred to an FRC are submitted on OF 11, Reference Request - Federal Records Centers. Urgent requests for reference service to respond to Presidential or Congressional inquiries, or Freedom of Information or Privacy Act requests, may be handled by telephone, or an authorized employee may research or hand-carry records from an FRC providing prior approval has been obtained from the FRC and the custodian of the records. To expedite requests for records in an FRC the following information must be provided.

- (1) Name of the Department, bureau/office, and person making the request and a telephone number where the person can be reached.
- (2) Name and location of the person for whom the request is made.
- (3) The accession, box, location and shelf numbers, of the records in the center as shown on the SF 135.

(4) Description of records material as shown on the shipment inventory (see 4.5B above).

(5) Address to which the records are to be delivered or mailed.

D. Restrictions on Use. Records stored in FRC are subject to the same restrictions imposed by statute, Executive order, or bureau/office determination that is indicated on the SF 135 by the transferring bureau/office. Use of transferred records by Federal employees, or the general public will be in compliance with these restrictions.

**4.6 Records Transferred to NARA.** NARA is authorized by 44 U.S.C. 2103 to accept for deposit records that are determined by the Archivist to have permanent (historical) value that warrant preservation.

A Transfer via FRC. Permanent records that are being stored in an FRC for the Department are transferred to NARA following the disposition procedures in 384 DM 1.8B(2).

B Transfer Direct to NARA. A bureau/office may offer unscheduled records directly to NARA for appraisal as permanent records by preparing an SF 258, Request to Transfer to NARA. Direct offers usually consist of older records or possibly valuable records no longer being created. NARA will provide direction as to where the records will be appraised and when they are to be transferred.

C. Restrictions on Use. Restrictions lawfully imposed on the use of transferred records will be observed and enforced by NARA.

**4.7 Transfer of Official Personnel Folders.** Records of Federal civilian employees separated from the Government are transferred to the physical custody of the National Personnel Records Center (NPRC), 111 Winnebago Street, St. Louis, Missouri 63118. Official Personnel Folders are stored and serviced by the center in compliance with established Office of Personnel Management Regulations (See Federal Personnel Manual (FPM) 293 and FPM Supplement 293-31). An SF 127, Request for Official Personnel Folder (Separated Employee) will be submitted, in duplicate, by the personnel office requesting records from the center.

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