

INDIAN AFFAIRS RECORDS MANAGEMENT
POLICY & PROCEDURES MANUAL

EFFECTIVE DATE: NOVEMBER 19, 2003

SERIES: INDIAN AFFAIRS RECORDS MANAGEMENT

CHAPTER: 4.0 RECORDS DISPOSITION

SECTION: 4.1 TRANSFER OF RECORDS

ORIGINATING OFFICE: OFFICE OF TRUST RECORDS

4.1.1 Purpose. The procedures in this chapter are to be used to obtain approval to move active and inactive trust program and nontrust program records to the Federal Records Center (FRC), and between the Bureau of Indian Affairs (BIA) and Office of the Special Trustee for American Indians (OST) offices.

4.1.2 Scope. This guidance will apply to the BIA and OST records transfers as described above.

4.1.3 Authority.

- A. American Indian Trust Management Reform Act of 1994 (P.L. 103-412).
- B. Federal Records Act of 1950 as amended (44 U.S.C. § 2901, 3101 & 3301).
- C. The Privacy Act of 1974, (5 U.S.C. 552a, (2000))
- D. 25 U.S.C. Parts 15.503 (Probate); 115.1000 (Trust Funds); 162.111 (Leasing); and 166.1000 (Grazing).
- E. 110 Departmental Manual (DM) Chapter 29, Office of the Secretary, Office of Trust Records.
- F. 130 DM Chapter 1 Bureau of Indian Affairs, Creation, Mission, and Functions.
- F. 303 DM Chapter 2 Indian Trust Responsibilities, Principles for Managing Indian Trust Assets.
- G. 303 DM Chapter 6 Indian Trust Responsibilities, Indian Fiduciary Trust Records (September 5, 2003).
- H. Memorandum from Assistant Deputy Secretary dated January 29, 2003, Additional Guidance and Procedures to Follow When Requesting Approval to Move Records.

4.1.4 Objectives. The objective of this chapter is to provide guidance for an effective, efficient, and uniform method of transferring records from one location to another.

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4.1.5 Responsibilities.

- A. The **Bureau of Indian Affairs** has the responsibility and authority for the implementation and management of the BIA records management program in accordance with the Federal Records Act, 130 DM 1 Bureau of Indian Affairs, Creation, Mission, and Functions (dated April 21, 2003), and Department of Interior (DOI) and Office of Trust Records (OTR) recordkeeping requirements.
- B. The **Office of the Special Trustee for American Indians** has the responsibility and authority for the implementation and management of the OST records management program in accordance with the Federal Records Act, 130 DM 1 Bureau of Indian Affairs, Creation, Mission, and Functions (dated April 21, 2003), and DOI and Office of Trust Records (OTR) recordkeeping requirements.
- C. The **Office of Trust Records** has the overall responsibility and authority for establishing and managing both the BIA and OST Indian Affairs Records Management Program, including the development of records schedules, providing analysis of recordkeeping practices, and applying BIA and OST disposition authorities for non-record materials in accordance with NARA approved records disposition guidelines. OTR is also responsible for providing training and technical assistance on records management programs in accordance with the Federal Records Act, 130 DM 1 Bureau of Indian Affairs (dated April 21, 2003), and DOI and OTR recordkeeping requirements.

4.1.7 Definitions.

- A. **Accession.** The transfer of agency records to a Federal Records Center for temporary storage. The agency retains legal custody of its records while in temporary storage.
- B. **Bureau of Indian Affairs (BIA) Program Office Codes.** A 2-digit code that is used as part of the 4-digit records series number. Example: 4401
 - 1. The first 2 digits identify the specialty program area where the records are created or received. In the example provided above, the 44 identifies the Forestry program since the number assigned to Forestry is 4400.
 - 2. The next 2 digits 01 identify the first record series in the Forestry program area which is "Timber Management Plans". In the 16 BIAM, the Description of Records and the NARA Job Number are located in the first column. Subsequent

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record series numbers will depend on how each program identifies different types of documentation.

- C. **Case Files.** Case files include records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files, which are types of case files from beginning to end.
- D. **Chain of Custody.** The chain of custody documents the physical transfer/movement of records at a beginning location until the record(s) reach the final destination.
- E. **Charge Out Card (Optional Form 23).** A form documenting the removal of a file from its identified location normally signed or initialed by the removing party.
- F. **Cutoff.** Breaking or ending files at regular interval usually at the close of a fiscal or calendar year or at the close of a project, contract, etc. For example, case files are generally cutoff at the end of the year in which the case is closed. Cutoff is sometimes abbreviated as “COFF” or “CO.” Also referred to as “File Break.”
- G. **Destruction.** In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials. Note: It has been determined that all documents identified as records will be considered permanent for the BIA and OST. This includes all GRS series items including GRS Chapter 20, Electronic Records, and GRS Chapter 24, Information Technology and Management Records.
- H. **Disposition.** The actions taken regarding records no longer needed for current Government business. These actions include transfer to agency storage facilities or Federal records centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records.
- I. **Federal Records Center (FRC).** A records center operated by the National Archives and Records Administration.
- J. **General Records Schedule (GRS).** A National Archives and Records Administration-issued schedule governing the disposition of administrative records common to all Federal agencies.
- K. **Interfiles.** Files or boxes that were held out of their original accession by the BIA or OTR and were never received by the FRC.

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- L. **Inventory.** A survey of agency records and nonrecord material(s) that is conducted primarily to develop records schedules and also to identify various records management problems, such as improper application of recordkeeping technology. This term is also used when describing a detailed list of files in a box by folder name or other identifier.

- M. **National Archives and Records Administration (NARA).** The Federal agency that serves as a custodian of historical records for the Federal government. It also provides guidance to Federal agencies on records management activities and storage for Federal records at its FRCs.

- N. **Office of Trust Records (OTR), Records Center.** A records center operated by the OTR for the storage of trust and nontrust program records.

- O. **Origination Responsible Official (ORO).** An ORO is a BIA or OST employee responsible for preparing the documentation for the transfer of boxes to an FRC, another Federal facility, the OTR, or the National Archives.

- P. **The Privacy Act of 1974, 5 U.S.C. 552a (2000).** The Act seeks to balance the Federal government's need to maintain information about individuals with the right of individuals to be protected against unwarranted invasion of their privacy stemming from Federal agencies' collection, maintenance, use, and disclosure of personal information about individuals.

- Q. **Records Move Plan.** A Department of Interior (DOI)-generated form and procedures developed for DOI offices and individuals requesting the movement of records within DOI, to an FRC, the National Archives, or to a commercial storage facility.

- R. **Retirement.** Records are considered "retired" when they are transferred to a designated FRC for storage, retention, or destruction when they have met their disposition date. Note: It has been determined that all documents identified as records will be considered permanent for the BIA and OST. This includes all GRS series items including GRS Chapter 20, Electronic Records, and GRS Chapter 24, Information Technology and Management Records.

- S. **Self-Certification.** The self-certification on the records move plan form acknowledges that the movement of records was successful and in accordance with a records move plan without the Assistant Deputy Secretary's approval.

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- T. **Series.** File units or documents arranged according to a filing system or kept because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Series is also called a “record series” or “record schedule number.”

- U. **Standard Form (SF) 135 & 135A Continuation Sheet.** The NARA-generated form used by Federal agencies to document the submission of records to the FRC. The SF-135 & SF-135A can also be used to inventory records moving from one location to another.

- V. **Temporary records.** A temporary record is any record which has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by NARA.

- W. **Transfer.** The act or process of moving records from one location to another, especially from one office space to agency storage facilities or Federal records centers, from one Federal agency to another, or from office or storage space to the National Archives for permanent preservation.

- X. **Unscheduled Records.** These documents are records that do not have an approved records series number and disposition instructions in the 16 BIAM or the NARA GRS.

- Y. **16 Bureau of Indian Affairs Manual (16 BIAM).** A BIA-issued records retention schedule containing detailed procedures, guidelines, and instructions necessary to create and maintain files, and dispose of records systematically as required by the Records Disposal Act (44 U.S.C 3301) and the Federal Records Act (44 U.S.C. 3101). Also referred to as records schedule. Note: It has been determined that all documents identified as records will be considered permanent for the BIA and OST. This includes all GRS series items including GRS Chapter 20, Electronic Records, and GRS Chapter 24, Information Technology and Management Records.

4.1.8 Procedures for Transfer of Records to an FRC.

- A. **Preparation and instructions.** Records retention schedules shall be used when preparing boxes of records for transfer to the FRC. Standard FRC boxes can be obtained from OTR. The BIA or OST Originating Responsible Official (ORO) shall:

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1. At the end of the fiscal or calendar year, use the appropriate records retention schedule to determine cut off instructions for records. The two most common types of records retention schedules used by BIA or OST are:
 - a. The General Records Schedule (GRS), which was developed by NARA to govern the disposition of administrative records common to all Federal agencies including the BIA and OST.
 - b. The 16 BIAM was developed by the BIA and approved by NARA to manage the disposition of Indian Affairs program records.

2. Separate records by records series and year end cutoff as identified in the GRS or 16 BIAM. **DO NOT MIX RECORD SERIES.** Examples of separating files into records series for both the GRS and 16 BIAM are illustrated below. Due to the backlog of records in BIA and OST, records with the same series with different cutoff years can be shipped in the same accession if the cutoffs are prior to fiscal year (FY) 2000.
 - a. Files should be place chronologically by year with the earliest year in the front part of the box.
 - b. Indicate the cutoff years date range in the SF-135, i.e., 1990-1999 (See illustration 5)
 - c. Records cutoff on FY 2000 and later will be accessioned by the same fiscal year only.

Illustration 1

37 – GRS 2/1b Individual Employee Pay Records FY 1997
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46 - GRS 1/18a Supervisor's Personnel Files Closed FY 1997

Illustration 1: The GRS for scheduling administrative records using 2-digit BIA Program Offices Codes. (See the appendices in Chapter 3.1, File Design)

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Illustration 2

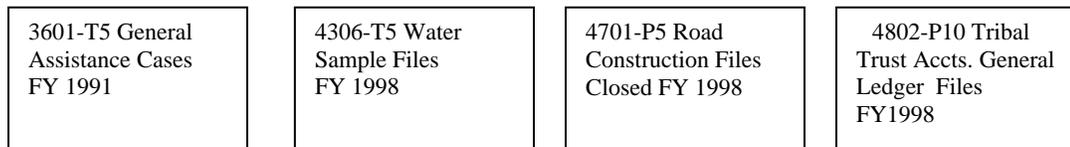
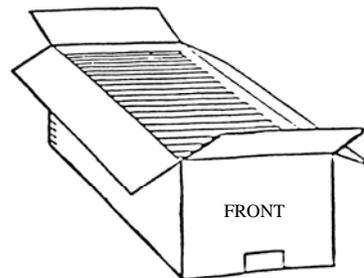
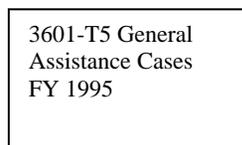


Illustration 2: Using 16 BIAM to schedule BIA/OST trust/non-trust programs.

3. Separate trust records from non-trust records. (Refer to 303 DM 6 Indian Trust Responsibilities, Indian Fiduciary Trust Records and/or the appropriate BIA/OST matrix to determine a trust record from a non-trust record.)
4. The file arrangement of file folders in each box of the accession shall be in logical order. For example, assume that you are transferring 5 cubic feet of records (5 boxes) General Assistance Case Files closed in fiscal year 1995. Filing instructions in the 16 BIAM require that the files be arranged by case number or alphabetically by name. Provided below is an example of how file folders would be prepared within the boxes. Names in alphabetical order and the alphanumeric sequence N35 is included in the alphabetical listing that identifies the Navajo Region (N) and the number 35 is assigned to Chinle Agency. For example:

Illustration 3

Note: The names used in this illustration are fictitious and are used to explain the filing arrangement.



Box 1: N35, Abercrombie, A. through Cox, D.

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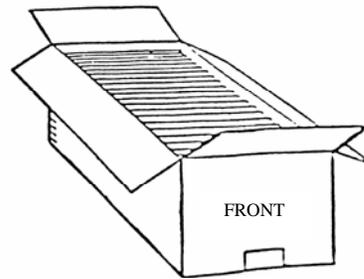
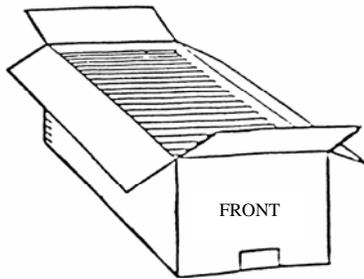
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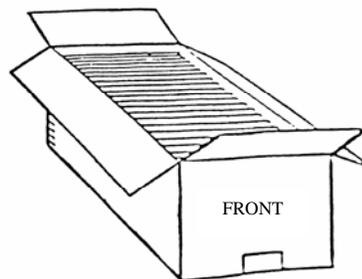
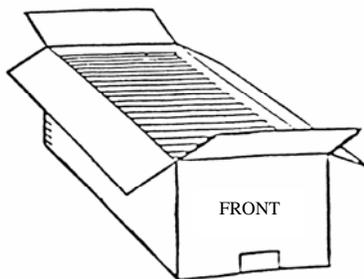
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Illustration 3 – continued



Box 2: N35, Clone, B. through Goode, C. Box 3: Hopper, G. through Rock, H.



Box 4 N35, Space, C. through Valley, B. Box 5 N35, Viceroy, C. through Zane, G.

- a. Arrange files in chronological order by record series and cutoff years if filing more than 1 fiscal year prior to FY 2000. Within the box, arrange the files as follow:
 - (i) Letter-size files shall face the front of the box with the front facing you. The word “Front” is written on the front of the box.
 - (ii) Legal-size files shall face the left side of the box. The word “Front” is written on the front of the box. Turn the box sideways so that the word “Front” is on your left so the elongated side of the box can be used to accommodate your legal files.

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- b. In the event that a file is currently needed, insert an Optional Form (OF) 23 “Charge Out Card” in place of the file. When a file is returned to its box, it should be placed in the order it appears on the inventory. Allow at least 2 inches of space to accommodate files that need to be returned to their boxes.
4. Pack files upright and facing the front of the standard FRC boxes, never lay them flat. **DO NOT MARK, SEAL OR MOVE BOXES.** (See Illustrations 4 and 5)
5. Prepare a detailed inventory for each box listing each file folder from the front to back. (See example of an inventory in the appendices of this chapter.)

Illustration 4

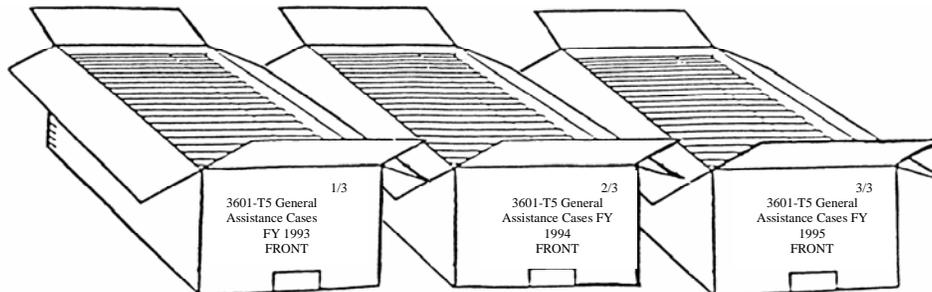
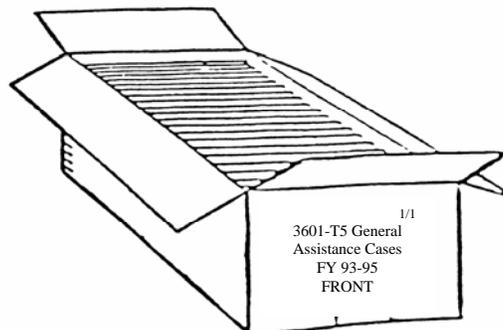


Illustration 4 – Record Series and FY cutoff using one box for each fiscal year.

Illustration 5



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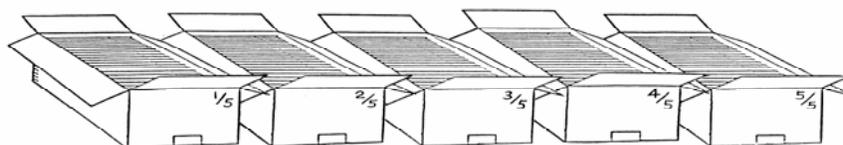
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Illustration 5 – Multiple years of identical series within one box with 3 different fiscal year



cutoffs.

Illustration 6 – Numbering boxes.

6. Using a black marker, in the upper right corner of the box, number each box (e.g. 1/5, 2/5, 3/5, 4/5, 5/5). Make sure the numbers are at least 1½” to 2” inches in size.

B. Move Plan Approval/Disapproval. To transfer boxes to the FRC, the BIA or OST Originating Responsible Official (ORO) shall prepare and submit the Move Plan package to the OTR. A move plan and SF-135 will be prepared for each record series.

1. The ORO shall prepare the following documents for the proposed Move Plan:
 - a. SF-135, Records Transmittal and Receipt and SF-135A Continuation sheet(s), if needed.
 - b. Detailed inventory (can be used in lieu of the SF-135 Continuation sheet) listing the contents of each box. The information listed in the inventory should correlate with the information required on the SF-135 and SF-135A. (See appendices for sample inventory.)
 - c. Chain of Custody Plan. (IARM Form 3001)
 - d. Move Request Form. (IARM Form 3002)
2. The ORO shall mail all original documents to the Office of Trust Records, Attention: Division of Records, Policies and Procedures, and Training, 1551 Mercantile, NE, Suite A, Albuquerque, New Mexico 87107.

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3. Upon receipt, an OTR Records Management Specialist (RMS) shall review the Move Plan package for accuracy and completeness.
 - a. If the Move Plan is incomplete or inaccurate, OTR shall notify the ORO and provide instructions for immediate corrective action.
 - b. If the request is complete and accurate, the Move Plan and all documents are forwarded to the OTR Director for review and approval.
4. Upon approval by the OTR Director, an RMS shall:
 - a. Mail the original SF-135 and inventory (ies) package to the attention of Rosemarie Weizs at the FRC to obtain accession number(s).
5. Upon receipt, the FRC shall assign accession number(s) and mail the completed SF-135 and inventory (ies) back to OTR. The OTR will mail the original Move Plan package (along SF-135 and inventory (ies) with the accession number(s) to the Associate Deputy Secretary. Concurrently, OTR will mail the SF-135 with the accession number to the ORO.
6. Upon the ORO's receipt of the accession number(s), the ORO will write the accession number(s) on the boxes. **Offices must not seal or move boxes.**
7. Upon receipt, the Associate Deputy Secretary reviews and approves the Move Plan package to see if it is complete.
 - a. If discrepancies exist, the Associate Deputy Secretary may request clarification, disapprove, and return the Move Plan package to the OTR RMS. An RMS will review the Move Plan package and provide a copy to the BIA or OST ORO.
 - (i) An OTR RMS will contact the BIA or OST ORO to discuss the disapproval and, if applicable, clarify discrepancies and/or changes. Upon final determination, the BIA or OST ORO will modify or complete a new Move Plan package.
 - (ii) The BIA or OST ORO will send the modified or new original Move Plan package to OTR for review and processing.

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- b. Upon approval, the Associate Deputy Secretary will sign and fax a copy of the Move Plan package to an OTR RMS and will fax a copy of the approved Move Plan package to the BIA or OST ORO.

- C. **Shipment of Boxes.** Using the assigned accession number(s) from the FRC, the BIA or OST ORO shall record the number in the upper left corner of the front of the box as indicated below. The word "FRONT" is written on the front of the box.

ACCESSION NUMBER 0 7 5 - 0 0	AGENCY BOX NUMBER 1 of 6	
1 2 3 4		
FRONT		

- 1. The BIA or OST ORO shall prepare the boxes for shipment to the FRC as follows:
 - a. Place a copy of the SF-135, SF-135A continuation sheet, or inventory, chain of custody, and the move plan in box 1 of each accession. (Inventories should contain the same pertinent information required on the SF-135A.)
 - b. Secure all boxes by taping the flaps shut; shipping tape is recommended to seal the tops of boxes.
 - c. Once the boxes are ready for shipment, notify the OTR RMS to arrange for shipment to the FRC. OTR will pay for the shipping or freight cost(s).
 - d. The FRC must receive the accessioned boxes of records within 90 days from the date of receipt of the accession number(s) or the BIA or OST ORO shall be required to re-start the whole process over and secure new accession numbers.
 - e. Unless otherwise informed by the OTR RMS, the BIA or OST ORO shall utilize FEDEX as the common carrier for the shipment of records to the FRC.

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2. The BIA or OST ORO shall notify the Destination Responsible Official (DRO) when the shipment has left its office and provide the DRO with an approximate date for arrival at the destination office. The DRO for the FRC is as follows:

Rosemarie Weisz, Lee's Summit FRC: (816) 268-8030

3. Within two working days of the arrival of the boxes at the destination, the ORO will contact the DRO and obtain a destination certification from the DRO stating that all boxes have been received and the move was successful, and are accounted for at the intended destination location. NARA will also prove the DRO with written notification that the boxes have been received at the FRC.
4. The ORO is responsible for certifying the successful move by completing and signing item 5 of the Move Request and within two working days, the ORO must forward a copy, via fax, of the completed Move Request form to both the approving official and to OTR.

Assistant Deputy Secretary: (202) 208-5567

5. Upon receiving the shipment of boxes, the FRC will return a copy of the annotated SF-135 to the BIA or OST ORO and OTR. The information contained on the copy of the SF-135 includes information that is necessary to locate the box(es) at the FRC and therefore it is imperative to retain copies for reference. The ORO will file all copies of the Move Plan package in the GRS Administrative Management Records, section 16(a) and (b).

4.1.9 Procedures for Transfer of Records from One Location to Another.

- A. Preparation Instructions. Records being transferred or the movement of records from one location to another in the Department of Interior (DOI) not being transferred to the FRC shall use the following procedures:

1. For all **INACTIVE** records being moved from any DOI agency, or office to another within DOI, inside the regional or state office boundaries in volumes of one box or more and for all **ACTIVE** records moved within DOI in volumes of one box or more, the ORO shall do the following:
 - a. A Move Plan or prior approval from the Associate Deputy Secretary is not required.

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- b. Prepare a Chain of Custody as described in 4.1.8.B.1.c. of this Chapter;
 - c. A description/inventory (box lists) of the records being moved (note: this inventory may include the number of boxes and the description of the type of records in each box; a detailed folder by folder inventory box is not required).
 - d. The signature of the official responsible (ORO) for the movement of the records;
 - e. A self-certification that all records were successfully moved and accounted for at the destination location, the self-certification. The self-certification must be maintained by the ORO for two years in accordance with GRS 16, item 2b.
 - f. Shipment of the boxes between offices will be the responsibility of the ORO's office.
2. For all records moved within the DOI which are moved in volumes of less than one box requires no written information to be provided, however, all BIA and OST offices shall exercise prudence, appropriate due diligence and care and use customary business practices.
 3. For **INACTIVE** Indian/Non-Trust records being moved to another office within DOI but crossing regional or state office boundaries, or to a Federal or commercial records center, or to a NARA Archives, BIA and OST offices must follow the procedures in 4.1.8 of this Chapter.

4.1.10 Forms and Reports. The forms below are used by the Bureau of Indian Affairs and the Office of the Special Trustee for American Indians for the purpose of transferring records from one location to the next location, most often, to the FRC.

- A. IARM Form 4001, Associate Deputy Secretary Chain of Custody Plan – Transporting Records Procedures (Chain of Custody) Using a Common Carrier (e.g. Federal Express, United Postal Service).

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- B. IARM Form 4002, Records Move Request with instructions – Associate Deputy Secretary Approval.
- C. IARM Form 4003, Chain of Custody Plan – Transporting Records Procedure (Chain of Custody) – Records being moved from any Department of Interior (DOI) agency or office to another within DOI, needing no prior approval.

4.1.11 Appendices.

- A. Appendix – 1, SF-135 Records Transmittal and Receipt and SF-135A Records Transmittal and Receipt Continuation Sheet, and instructions.
- B. Appendix – 2, Copy of Inventory with instructions in lieu of preparing an SF-135A, Records Transmittal and Receipt Continuation Sheet.
- C. Appendix – 3, Box Reference and Supplies listed by National Stock Number (NSN).