

**U.S. DEPARTMENT OF THE INTERIOR
BUREAU OF LAND MANAGEMENT
CALIFORNIA STATE OFFICE**

March 19, 2004

In Reply Refer To:
1220/1118 (CA944)I

EMS TRANSMISSION: 3/19/04
Instruction Memorandum No. CA 2004-025
Expires: 09/30/2005

To: AFOs, Branch Chief, Customer Service and Records, and Branch Chief, Business and Fiscal Services
ATTN: Designated Records Managers and State Office Legal Technician

From: Deputy State Director, Support Services

Subject: Movement of Non-Indian Fiduciary Trust (IFT) Records

The Bureau has set its policy for the movement of all active Federal records, and movement of inactive (closed) non-Indian Fiduciary Trust (IFT) records to be moved to a Federal Records Center (FRC) or National Archives. Individuals providing certification for records should review attachment 1 of Washington Instruction Memorandum 2004-088, Change 1 dated March 1, 2004.

Regarding movement of any active record (e.g. State Office to Field, Field Office to State Office), the following applies:

- ◆ prior approval of the Associate Deputy Secretary, Department of the Interior is not required
- ◆ Quantities of less than one box – no documentation is required
- ◆ Quantities of one box or more – documentation is required as noted below.
 - a. Chain of Custody
 - b. Box inventory or list
 - c. Originating office certification as active IFT or active non-IFT.

For all movement of records the Originating Responsible Official (ORO) is the designated Records Manager. The Technical Specialist or Program Manager who works with the records to be moved is the Certifying Official. Unless otherwise noted in the instructions, it is the Records Managers and State Office Legal Technician who will be completing the required forms and steps.

The procedure for records move approval is not a difficult one. There are, however, several steps involved. The State Records Manager may be contacted if questions arise during the process. The below noted steps must be followed.

1. Prepare the Records Move Request and Chain of Custody
 - a. Complete Items 1 and 3 on the Record Move Request (Attachment 4)
Item 3d must match the information on the Chain of Custody Plan
 - b. Technical Specialist or Program Manager completes Item 2 on the Record Move Request.

- c. Prepare Chain of Custody Plan
Samples are attached for:
 - (1) moving one file (e.g. return of a borrowed record to the FRC) (attachment 2)
 - (2) moving an accession (attachment 3).
- 2. Prepare the Required National Archives and Records Administration (NARA) Paperwork for Records to be Moved to the FRC or Archives
 - a. OF-11 – Used for single file return to FRC
 - b. SF-135 and box listing – accession for the FRC
 - c. SF-258 and box listing – for a move to the Archives

SF-135s and SF-258s are to be forwarded to NARA for pre-approval. Do not proceed to the next step until the approved form is returned to you.
- 3. Submitting Documentation to the Department of the Interior (DOI)
 - a. The following documentation is to be mailed via USPS, UPS, or FedEx:
 - (1) Original Record Move Request (complete Item 3c)
 - (2) Original Chain of Custody Plan
 - (3) Copy of NARA approved paperwork (for SF-135s or SF-258s)
 - b. Mail documentation to:
 - Assistant Deputy Secretary, MS-6125
 - Department of the Interior
 - 1849 C Street, NW
 - Washington, D.C. 20240.
- 4. Department of the Interior Approval
 - a. When your documentation is received by the Assistant Deputy Secretary you will receive, via telefax, a date stamped copy of the Record Move Request.
 - b. When your documentation is approved the Associate Deputy Secretary will complete Item 4 on the Record Move Request and a copy of the form will be telefaxed back to you.
- 5. NARA Acceptance
 - a. Telefax the DOI approved Record Move Request to the NARA office that will be receiving your record(s).
 - b. Ship your record(s) to NARA as designated in your Chain of Custody Plan. A copy of all approved paperwork is to go with the record, or inside the front of the first box of the accession as appropriate.
 - c. Allowing time for delivery
 - (1) contact NARA to verify receipt of your individual file, or
 - (2) NARA will return to you a final signed copy of your SF-135 or SF-258 indicating receipt of your accession.
 - d. Once receipt is verified complete Item 5 on the Record Move Request.
- 6. Final Steps to Completion
 - a. Within two working days after NARA verification, and your completion of the Record Move Request, telefax a copy of the completed form to:
 - Assistant Deputy Secretary
 - Fax: (202) 208-4561
 - b. File the holding copy of all documentation in your office records accession binder.

Follow the instructions step by step to ensure all requirements are met. Retain a holding copy of your documentation with the most recent approval (date stamp; signatures) at all times during the process. The procedure as outlined above has been tested by the State Records Manager and the Redding Field Office Records Manager. You can expect the process from beginning to end to take approximately 4-6 weeks for a new accession.

Any questions regarding the procedures for the movement of non-IFT records or this instruction memorandum may be directed to the State Records Manager, Louise Tichy, through e-mail or at (916) 978-4301.

Signed by:
Karen Barnette
DSD, Support Services

Authenticated by:
Richard A. Erickson
Records Management

4 Attachments

- 1 – NARA Contacts (1 pg.)
- 2 – Chain of Custody Plan for One File (1 pg.)
- 3 – Chain of Custody Plan for New Accession (1 pg.)
- 4 – Record Move Request (1 pg. pdf)

**NARA CONTACTS
RESPONSIBLE RECEIVING OFFICIAL (FRC)**

San Bruno Federal Records Center
1000 Commodore Drive
San Bruno, CA 94066-2350

Contact: (650) 238-3500
Fax: (650) 238-3509

Individual Refiles:

Dave Burke, Team Lead
Accessioning & Disposition

New Accessions:

Patti Bailey
Accessioning & Disposition

Laguna Niguel Federal Records Center
24000 Avila Road
First Floor – East
Laguna Niguel, CA 92677-3497

Contact: (949) 360-2623
Fax: (949) 360-2624

Individual Refiles:

Tom Alaksin
Accessioning & Disposition

New Accessions:

Susie Bielawski
Accessioning & Disposition

CHAIN OF CUSTODY PLAN
Transporting Records Procedure Using a Common Carrier

After receipt of the approved Record Move Request, the Bureau or office Originating Responsible Official (ORO), and the Destination Responsible will ensure the following procedures are followed during the transportation and transfer of custody of the record being moved. A copy of the Record Move Request and other supporting documents will be filed and retained by the Originating Responsible Official in accordance with retention and disposition instructions found in the General Records Schedule (GRS) 16 Items 2a or 2b.

Record Being Moved

The below noted individual Docket Case File has been on loan to the California State Office from the Federal Records Center (FRC), San Bruno, California. This file is now to be returned to its original accession, location and box for continued storage at San Bruno FRC. An individual Record Move Request form has been completed for this file. The move request is attached to this plan.

<u>File Number</u>	<u>Accession</u>	<u>Location</u>	<u>Box Number</u>
CA XXXX	049-FY-XXXX	XXXXXX	XX

Shipping Procedures

1. To help ensure accurate re-file at the FRC, a copy of the OF-11, Reference Request form, noting accession, location and box number, is to be attached to the case file before shipping.
2. The file will be individually packaged for U.S. Postal Service certified mail, return receipt requested, delivery to the Federal Records Center, San Bruno, California.
3. A copy of the certified mail log will be retained by the originating office for the purpose of tracking until the certified return receipt card is returned to the originating office by the U.S. Postal Service.
4. The package will be picked up at the office location by a U.S. Postal Service carrier.
5. The Destination Responsible Official (DRO) is to be notified when the package arrives at the destination.
6. The DRO is to verify to the Originating Responsible Official when the package has been received.
7. The ORO is to complete box 5 on the Record Move Request form and fax a copy of the completed form to the Assistant Deputy Secretary, at (202)208-4561, to document that a successful move was accomplished.
8. The originating and destination offices will create and maintain a file to document the records transfer process (by shipment). The Record Move Request, chain of custody plan, and other supporting documentation will be maintained in accordance with the GRS 16 Items 2a or 2b.

Bureau of Land Management
(Field Office Name)
(Field Office Address)
(City/State/Zip Code)

Contact: (Name)
Records Manager
(Phone Number)

CHAIN OF CUSTODY PLAN
Transporting Records Procedure Using a Common Carrier

After receipt of the approved Record Move Request, the Bureau or office Originating Responsible Official (ORO), and the Destination Responsible will ensure the following procedures are followed during the transportation and transfer of custody of the records being moved. A copy of the Record Move Request along with the records inventory and other supporting documents will be filed and retained by the Originating Responsible Official in accordance with retention and disposition instructions found in the General Records Schedule (GRS) 16 Items 2a or 2b.

Inactive Non-Indian/Non-Trust Records
(Series Description from SF-135)

1. Records are packed in appropriate storage boxes.
2. SF 135 and box list is included inside the first box of the accession.
3. Each box is labeled in accordance with NARA requirements.
4. Boxes are numbered sequentially and each box will be sealed with tape prior to shipment.
5. Boxes will be processed for shipment via U.S. Postal Service certified mail, return receipt requested.
6. Certified mail forms will be completed and attached to the individual boxes to await U.S. Postal Service pick up.
7. The originating office will retain a record of the shipment in a certified mail log. Signed receipts will be returned to the originating office by the U.S. Postal Service.
8. The Destination Responsible Official is to be notified when the carrier has arrived at the destination to deliver the boxes.
9. The Destination Responsible Official will verify to the ORO that all boxes were received. The ORO will complete box 5 on the Record Move Request form.
10. The originating and destination offices will create and maintain a file to document the records transfer process (by shipment). The Record Move Request, records inventory, chain of custody plan, and other supporting documentation will be maintained in accordance with GRS 16, items 2a and 2b.

Bureau of Land Management
(Field Office Name)
(Street Address)
(City/State/Zip Code)

Contact: (Name)
Records Manager
(Phone Number)