

# ISSUING OFFICIAL SIGNATURE

(Part 2)

<b>APPROVAL RECORD</b> (Modified DI-228)	1. TYPE OF DOCUMENT OST-WPM	2. IDENTIFICATION NUMBER OST-WPM-TR-9
3. SUBJECT/TITLE Transfer of Inactive General Administrative Records to the Iron Mountain Records Center		
4. SUMMARY OF DOCUMENT CONTENTS		
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Signed by: DEBRA DUMONTIER	



# United States Department of the Interior

OFFICE OF THE SPECIAL TRUSTEE FOR AMERICAN INDIANS

4400 Masthead N.E.

Albuquerque, NM 87109

## OST-Wide Policy Memorandum

### DEPUTY SPECIAL TRUSTEE – PROGRAM MANAGEMENT Office of Trust Records

**Number:** OST-WPM-TR-9

**Effective:** 12/21/2016

**Expires:** 12/21/2017

**Title:** Transfer of Inactive General Administrative Records to the Iron Mountain Records Center

1. **Purpose.** This interim policy is to establish policy and procedures to transfer inactive general administrative records to the Iron Mountain Records Center for temporary storage.
2. **Scope.** This interim policy applies to the Office of the Special Trustee for American Indians (OST) programs/offices.
3. **Policy.** OST shall ensure that records identified for transfer to Iron Mountain are inactive general administrative records no longer needed for the daily course of business that **have met or exceeded their final disposition** authority and/or retention according to the General Records Schedule (GRS). Examples of GRS include records related to civilian personnel, procurement, communications, and other common functions among federal agencies including OST.
4. **Procedures.** OST shall comply with the following procedures:
  - A. **Box and Detailed Inventory.** To transfer inactive general administrative records, the Originating Responsible Official (ORO) shall:
    1. Use Federal Records Center (FRC) or commercial boxes (i.e., similar dimensions to the FRC or Bankers box).
    2. Use the GRS to determine the correct item number and title.
    3. Arrange the file folders in ascending order by GRS record series number (e.g., GRS 1/18a, GRS 3/3a(1)a, GRS 23/1).
    4. Place file folders in FRC or commercial box.
      - a. Place file folders upright. Do not lay file folders flat.
      - b. Place letter-sized file folders facing the front of the box.
      - c. Place legal-sized file folders facing to the left side of the box (FRC boxes only).
    5. Prepare a Detailed Inventory (Appendix B) for each box.
  - B. **Inactive Move Plan Package.** A Move Plan Package shall be prepared and processed by the ORO. A Move Plan Package consists of a completed Inactive General Administrative Records, Records Move Request, IARM Form 0001-TEMP (Appendix A), and a completed Detailed Inventory.

1. ORO shall email a PDF format version of the completed Move Plan Package(s) to the respective Records and Information Management Specialist (RIMS).
  2. RIMS shall:
    - a. Review for accuracy and completeness. Return the Move Plan Package to the ORO if incomplete or inaccurate for modification or completion.
    - b. Forward the Move Plan Package to the AIRR for review and approval.
    - c. Return the approved Move Plan Package with an assigned OTR Accession Number to the ORO.
  3. AIRR Program and Management Analyst will email the pre-printed FedEx shipping label(s) to the ORO.
- C. Iron Mountain Transmittal Sheet.
1. Iron Mountain shall mail the Iron Mountain Transmittal Sheets (Appendix C) and the pre-printed barcode labels to the ORO.
  2. ORO shall:
    - a. Complete the Iron Mountain Transmittal Sheet by filling in the following fields for each numbered box; a total of five boxes can be entered on a single Iron Mountain Transmittal Sheet.
      - i. Write 1328F in the *Customer ID* field.
      - ii. Write the box number in the *Customer Box Number* field.
    - b. Affix the smaller, identically numbered barcode label on the Iron Mountain Transmittal Sheet (below the *Customer Box Number* field).
    - c. Scan and email each completed Iron Mountain Transmittal Sheet as PDF document to Robbin Williams [Robbin.Williams@ironmountain.com](mailto:Robbin.Williams@ironmountain.com) before box(es) are shipped.
- D. Shipment of Box(es). ORO shall:
1. Use a black marker to number each box sequentially (e.g., 1 of 3, 2 of 3, 3 of 3) on the front upper right hand corner of each FRC or commercial box (numbers must be at least 1.5 to 2 inches in size).
  2. Use a black marker to write the OTR Accession Number on the front top left hand corner of each FRC or commercial box (numbers must be at least 1.5 to 2 inches in size).
  3. Place a copy of the approved Move Plan Package at the front in Box Number 1 of each accession.
  4. Write 1328F in the *Customer ID* field on the large barcode label and affix to the center of each FRC or commercial box, for the FRC box affix label below the box cut-out handle.
  5. Secure each box by using shipping tape to seal the box tightly.
  6. Affix the pre-printed FedEx shipping label (See 4.B.3) on top of each box and contact FedEx for pick up. Retain shipping tracking number(s) for tracking purposes.
  7. Ensure boxes are not stacked more than 5 high, if shipping records using pallets. Ensure pallets are shrink-wrapped to prevent collapse during transport.
- E. Receipt of Box(es). AIRR shall use a spreadsheet to track all accessions received by Iron Mountain, and send an email notification to the RIMS. The RIMS will notify the OROs in their respective regions of receipt.

F. Receipt of Incomplete Accessions.

1. AIRR shall provide notification via email three business days after receipt of an incomplete accession to the RIMS. RIMS shall contact the following:
  - a. ORO
  - b. OST Privacy Act Officer (PAO)
  - c. Chief, Division of Records Management Policies, Procedures, and Training
2. AIRR shall immediately follow-up with a telephone call to RIMS to confirm receipt of the email notification and information.
3. RIMS shall provide technical assistance, as necessary, to the ORO on all aspects of follow up activity including the ORO's submission of weekly updates until a resolution is reached. Refer to IARMM 2.4.2 Removal and Destruction for missing records procedures.
4. ORO shall:
  - a. Contact the shipping carrier immediately to initiate a trace on the box(es) not received.
  - b. Notify the Program Manager/Supervisor of an incomplete accession.
  - c. Submit a status update on the trace to the RIMS and the OST PAO weekly beginning from the initial notification to resolution.
  - d. Complete the following actions 10 days after the AIRR's initial email notification if box(es) are not located:
    - i. Amend and submit the original approved Inactive General Administrative Records, Records Move Request, IARM Form 0001-TEMP and Detailed Inventory to RIMS to reflect the actual number of box(es) received. RIMS will forward a copy to the AIRR.
    - ii. Complete and submit the Missing or Illegal Destruction of Records Report, IARM Form 2013 to the respective RIMS for review and processing. Refer to IARMM 2.4.2 Removal and Destruction of Records.

5. **Technical Assistance.** Direct all technical assistance or questions to the respective RIMS or send an email to [OST OTR RM Technical Assistance@ost.doi.gov](mailto:OST_OTR_RM_Technical_Assistance@ost.doi.gov).

6. **Roles and Responsibilities.**

- A. **Responsible Records Officer (OTR Director).** Provide records loss report to the appropriate Bureau, Department of the Interior, and National Archives and Records Administration.
- B. **Records and Information Management Specialists (formerly Records Management Specialists and Regional Records Liaisons).** Ensure all designated Records Contacts, Program Managers, Supervisors, and anyone who maintains records receive a copy of this interim policy. Provide guidance, technical assistance, training, and other support, as necessary, to ensure compliance with this interim policy.
- C. **Senior Managers (Deputy Special Trustees, Directors, and Fiduciary Trust Officers).** Ensure that program managers and supervisors are familiar with the content of this instruction and implement the interim policy as outlined.

- D. **Program Managers and Supervisors (Program Directors, Division Chiefs, Branch Chiefs, and Office Supervisors).** Ensure Records Contacts and bureau staff who maintain records are fully aware of this instruction and are in compliance.
- E. **Originating Responsible Official (ORO).** (Generally, the ORO is the designated Records Contact). Comply with this instruction.

**7. Appendices.**

- A. Inactive General Administrative Records, Records Move Request, IARM Form 0001-TEMP.
- B. Sample Detailed Inventory.
- C. Sample Iron Mountain Transmittal Sheet.

**Approval.**

12/21/2016

Signed by: DEBRA DUMONTIER

APPENDIX A



**INACTIVE GENERAL ADMINISTRATIVE RECORDS  
RECORDS MOVE REQUEST  
OFFICE OF TRUST RECORDS (OTR) APPROVAL**

**1. Originating Responsible Official (ORO) Information:**

a. First Name:		b. Last Name:	
c. Street Address, City, State, and Zip Code:			
d. Email Address:	e. Telephone:	f. Fax:	

**2. Certification By ORO (signature required):**

I certify the Inactive General Administrative Records being transferred to the Iron Mountain Records Center do not contain program records and have met or exceeded the retention and disposition authority in accordance with the General Records Schedule.

**ORO's Signature and Date Approved:**

**3. Move And Chain Of Custody Plan Information:**

a. Program Name and Office:	b. Location Code:
c. Quantity of Boxes to be Moved:	d. Record Schedule or Series Number or Mixed:
e. Method of Transportation: Federal Express	f. OTR Accession Number (To Be Completed by OTR):
g. Receiving Address: Iron Mountain Redlands 2456 Lugonia Ave. Redlands, CA 92374 800-899-4766	h. Destination Responsible Official (DRO):  AIRR Management and Program Analyst

**4. Approval By American Indian Records Repository (AIRR):**

**AIRR Records Management Specialist's Signature and Date Approved:**

**5. Certification By AIRR:**

I certify that all inactive General Administrative Records were moved successfully and accounted for at the intended destination location.

**AIRR Management and Program Analyst's Signature and Date Received:**

APPENDIX B

**DETAILED INVENTORY (SAMPLE)**

Office of the Special Trustee for American Indians  
Region/Program Office (Western/IIM)  
Agency Location Code: (H00)

BOX 1 OF 2

<b>FILE FOLDER NUMBERS</b>	<b>RECORDS SERIES</b>	<b>FILE FOLDER IDENTIFIER</b>	<b>DATE RANGE (yyyy/yyyy)</b>	<b>DISPOSITION DATE (yyyy)</b>
1	1/18A	Rebecca Stillwell	1999-2012	2013
2	1/18A	Tony Thomas	1998-2011	2012
3	1/18A	Earl Thompson	2001-2002	2004

BOX 2 OF 2

1	3/3a(1)a	World Office Furniture	1995-1995	2002
2	3/3a(1)b	Office Max	1990-1991	2004
3	23/1	Office of Trust Records - Transitory	2001-2002	2004

