

Instructions for Completing the Box List and the SF 135 Form

Overview:

- 1) SF 135s are submitted electronically to the Records and Declassification Division. Request a copy of the form from your OSD Component Records Manager or from the Records and Declassification Division
 - a. Ms. Mary Beth Weaver, (571) 372-0472, marybeth.e.weaver.ctr@mail.mil
 - b. Ms. Jeannie Mann, (703) 692-9757, barbara.i.mann22.civ@mail.mil
 - c. Mr. Ron McCully (571) 372-0473, whs.mc-alex.esd.mbx.records-and-declassification@mail.mil
- 2) The SF 135 and Box List are submitted by the Records and Declassification Division to the appropriate Federal Records Center for approval.
- 3) Accession numbers are provided by Records Center once a completed SF 135 and its applicable Box List have been approved for transfer. The accession number applies to all boxes on the SF 135; do not modify the accession number provided.
- 4) Only records with a disposal date (temporary records) or a transfer date to the National Archives (permanent records) can be retired. Records must have a year or more left on their retention period to be eligible for retirement.

Box and Box List Guidelines:

- 1) Records center boxes are purchased from the supply store as well as other GSA-approved vendors (NSN 8115-00-117-8249). Only records center boxes shall be used for retiring standard-sized hard copy records (letter and legal-sized).
- 2) Containers for odd-size records, those too small or too large for the standard records center box, should be ordered directly from supply services using the stock numbers listed below.
 - a. *Half-size Box*: 14-3/4 X 9-1/2 X 4-7/8 inches, NSN: 8115-00-117-8338
 - b. *Magnetic Tape Box*: 14-3/4 x 11-3/4 x 11-3/4 inches for Magnetic Tape Records, NSN: 8115-00-117-8347
 - c. *Microfiche Box*: 14-3/4 x 6-1/2 x 4-1/2, NSN: 8115-01-025-3254
 - d. *Tubes*: not longer than 36 inches should be used for documents that are normally shipped rolled (maps, charts, plans). If tubes are not available, fold these records and ship in the standard container above. Note: Tubes shall be used for permanent records.
- 3) When packing boxes:
 - a. Ensure that all records are complete and screened for extraneous materials.
 - b. Ensure that file labels are in good condition and not falling off the folders.
 - c. Do not mix classified with unclassified records, nor top secret with secret.
 - d. Do not mix temporary and permanent records in the same accession.
 - e. Do not mix different series of records in the same accession.
 - f. Maintain the date range of the records to within the same year or within a couple of years of each other. For example all the records were created in 1999 only or from 1999 to 2001.
 - g. Do not over pack boxes; leave at least 1-2 inches of space in each box.
 - h. Boxes containing classified records shall have the classification written the front and side of the box. These boxes should also be taped shut for pickup, taking care not to tape over any information written in the front of the box.
 - i. Arrange folders in the order identified on the box list

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- 4) Number the boxes within the accession, starting with one (1) and list the total number of boxes: e.g., Box 1 thru 5, Box 1 of 1, Box 1 of 7, etc.
- 5) A box list or folder list shall accompany each SF 135. Folder lists (where each folder is listed by title) are required for permanent records; for temporary records, a file range of each box is adequate. For example: Files Apples - Oranges 1984 or June 1984 thru September 1985.
 - a. Do not list classified information on the SF 135 or the box list when retiring these types of records. The SF 135 is considered a public record and is accessible to the public.
 - b. Do not identify individuals' social security numbers or other personally identifiable information on the box list, including (but not limited to) first name, middle name, and last name. Instead use first and middle initial and last name. For example J.D. Smith NOT Jane Doe Smith.
- 6) For additional information and examples, refer to AI 15, (<http://www.dtic.mil/whs/directives/>).

SF 135 Guidelines:

- 1) The SF 135 has a limit of 50 boxes; create additional SF 135 forms as needed for larger accessions.
- 2) The form must be completed as follows:

- a. Box 1 - Enter the address for WHS:

Federal Records Center
Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

- b. Box 2 – Enter Ronald McCully for OSD Records Administrator or Luz Ortiz for OSD Records Administrator
- c. Box 3 – Enter the name of the transferring individual, the component name, and the telephone number of the transferring individual.

EX: Jane Doe, OSD AT&L, 703-999-9999 or John Doe, DARPA, 703-123-1234

- d. Box 4 – Leave blank (**Federal Records Center completes**)
- e. Box 5 – Enter the following:

DOD/Washington Headquarters Services
Records and Declassification Division
1155 Defense Pentagon
Washington, D.C. 20301-1155

- f. Box 6 (a) – Enter Records Group Number – PT-330 (PT stands for Physical Transfer)
- g. Box 6 (b) – Enter current Fiscal Year – 2010
- h. Box 6 (c) – Leave blank (**Transfer numbers assigned by Federal Records Center**)

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- i. Box 6 (d) – Enter the total number of boxes within the accession, e.g., 25
- j. Box 6 (e) – Enter the range of boxes within the accession, e.g., 1-25 or 1 thru 25
- k. Box 6 (f) – Enter the full name of the organization retiring records, a description of the records (which should not contain any classified or personally identifiable information), and the date range of the records per the Example below:

Office of the Assistant Secretary of Defense, Health Affairs, Clinical & Program Policy
 Policy Analysis files
 Fiscal Years 2003-2005
 Box Listing Attached (or See Attached Box List)

- i. Add “Witnessed disposal required” if the Restriction Code is W.
 - ii. Add “Restricted use – no witness required for destruction” if the Restriction Code is R.
 - iii. Add “Subject to the Privacy Act” for records that are covered under a Privacy Act Systems of Records Notice – and choose W as the Restriction Code in Box 6 (g)
- l. Box 6 (g) – Enter the restriction code applicable to the accession of records, per the table below:

Code	Restriction	Code	Restriction
N	No Restrictions	T	Top Secret
C	Confidential	T-E	Top Secret Restricted Data (RD) or Formerly RD (FRD)
C-E	Confidential RD or FRD	R	Restricted use – no witness required for destruction (specify in box 6 (f))
S	Secret	W	Witnessed disposal required (specify in box 6 (f))
S-E	Secret RD or FRD	T-SCI	Top Secret Sensitive Compartmented Information

- m. Box 6 (h) – Enter OSD AI 15, then the AI 15 file number (FN) that is applicable to the records being retired. Next enter the NARA job number or the GRS number cited at the end of the disposition instructions.

OSD AI 15		OSD AI 15
1301-08	OR	103-12
NC1-330-77-15		GRS 23/5a

- n. Box 6 (i) – Compute the disposal date for temporary records and the date eligible for transfer to NARA for permanent records as follows:
 - i. Temporary Records
 - 1. Enter “TEMP”
 - 2. Compute the date the records are eligible for disposal by adding the retention period to the date the records were cut off or closed.
 - a. Temporary destroyed on a quarterly basis at the Federal Records Centers (January, April, July, and October). The retention periods for temporary records begins on the first day of the next quarter after the records are closed.
 - i. For calendar year records (January through December) that are closed in 1999, the retention begins in 1/1/2000.
 - ii. For fiscal year records (October - September) that are closed in 1999, the retention begins 10/1/1999.

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- b. Then add the number of years required by the disposition instructions for that series to the year the records are closed. This indicates when the records are eligible for destruction.
 - c. For example, if the disposition instructions say to cut off annually and to destroy 5 years afterwards, calendar year records closed in 1999 would have a retention period starting 1/1/2000 – add 5 years to get a disposal date of 1/1/2005. Fiscal year records closed in 1999 would have a retention period starting 10/1/1999 – add 5 years to get a disposal date of 10/1/2004.
3. Using the above example, box 6 (i) would look like this:

<u>Calendar Year</u>	<u>Fiscal Year</u>
TEMP	TEMP
Destroy 1/2005	Destroy 10/2004

- ii. Permanent Records
 1. Enter "PERM"
 2. Permanent records are only transferred to NARA once a year (every January). Therefore, compute the date records are eligible for transfer to NARA in the same way the disposal date is computed for temporary cut off by calendar year and enter in under PERM.
 3. Example: for records cut off in 2000 and are eligible to transfer when 25 years old , box 6 (i) would look like this:

PERM
Transfer to NARA 1/2026

- iii. If you are not sure of the disposal date (for temporary records) or transfer date (permanent records) leave box 6(i) blank.

o. Boxes 6 (j) through 6 (m) – Leave blank (Completed by Federal Records Center)

- 3) Send the completed SF 135 form and Box List to the Records and Declassification Division by e-mail

Box Shipment Guidelines:

- 1) Place a copy of the approved SF 135 and box list in Box 1 of the accession, prior to shipment or pickup.
- 2) If you have 50 boxes or more, Records and Declassification Division will arrange for a pick-up once your SF 135 has been approved by the records center. You must submit your request for pickup (via email) at least two weeks prior to Luz Ortiz, Records and Declassification Division. Please provide proposed date (Monday –Thursday only), accession numbers, classification, and point of contact for the pick-up. Ms. Ortiz will submit your proposed date to WNRC and will provide you the confirmed date and driver's name, so that you can coordinate the pickup with you building manager or Dockmaster's Office. Driver will call the point of contact the morning of the pickup with estimated arrival time.
- 3) Smaller accessions can be sent to the records center via the mail, Defense Courier, or delivered by office personnel to the records center.
- 4) Pentagon pickups will have to be coordinated through the Dockmaster's Office by the requesting office. The process has now been automated. Customer accounts need to be established before coordinating a pickup. The Dockmaster's Office requires the requestor to submit the information 48 hours prior to pickup. For additional guidance please contact (703) 692-8000.