


Just-in-Time Instructions for: Complete the General Information Tab Transfer Request

You will enter general information about your Transfer Request on the General Information Tab. You will use this tab to input contextual information relating to the records. The General Information tab displays the following default fields:

- **Agency or Establishment** – This field is auto-populated in the system based on the user’s original input in the Create New Transfer Request dialog window.
- **Record Group** – This field is also an auto-populated field.
- **Creating Office** – This field is optional and allows users to provide additional context and enter the creating office for the records included in the transfer.



The screenshot shows a form titled "General Information". It contains three fields:

- Required Field*** (indicated in red text):
- Agency or Establishment ***: National Capital Planning Commission
- Record Group ***: 0328 - Records of the National Capital Planning Commission
- Creating Office**: An empty text-entry box.

Figure 1: General Information Tab - Default Fields

To complete this tab:

1. Enter the **Creating Office** (if appropriate) in the *Creating Office* text-entry field or go directly to Step 2.
2. Select **Next**. The Series subsection displays.

Complete the General Information Tab – Series Subsection

You will use the Series subsection of the General Information tab to identify records schedule series/items that will be included in the transfer to NARA. To complete this subsection:

1. Enter the **Accession Title** in the *corresponding text-entry field*. This will be a brief name that accurately summarizes the records included in the transfer.
2. Enter the **beginning date** (i.e., the date of the earliest record in the transfer) in the *Date Span of Records – From* field. Be as specific as you can be here, but only the Year is mandatory.
3. Enter the **last date** (i.e., the latest record in the transfer) in the *Date Span of Records – To* field.
4. Select the **Disposition Authority Number** button that displays under the *Disposition Authority List* header. The Disposition Authority Lookup dialog box displays.

Note: To see only disposition authorities associated with your Agency/Record Group, use the available filters that display at the top of the dialog box.

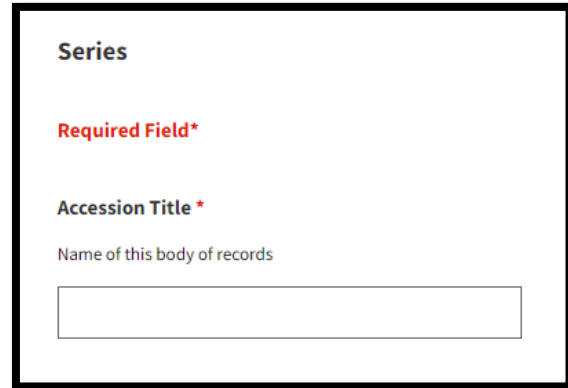


Figure 2: Series Tab - Accession Title Field

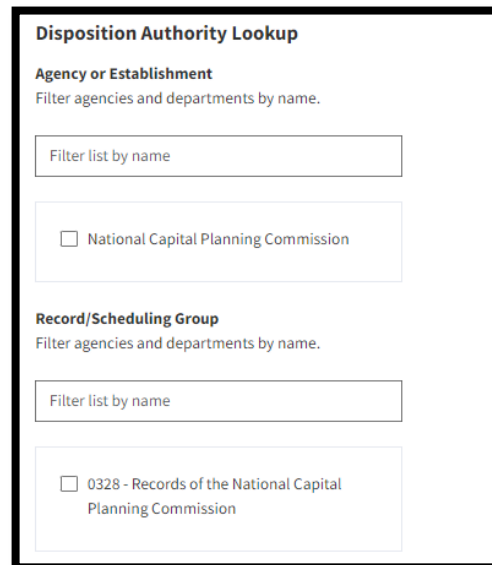


Figure 3: Disposition Authority Lookup Tool Filters

5. Select the **disposition authority number** you want to link to the Transfer Request by checking its associated box.
6. Select **View More** at any time to see additional items. Otherwise, go to step 7.

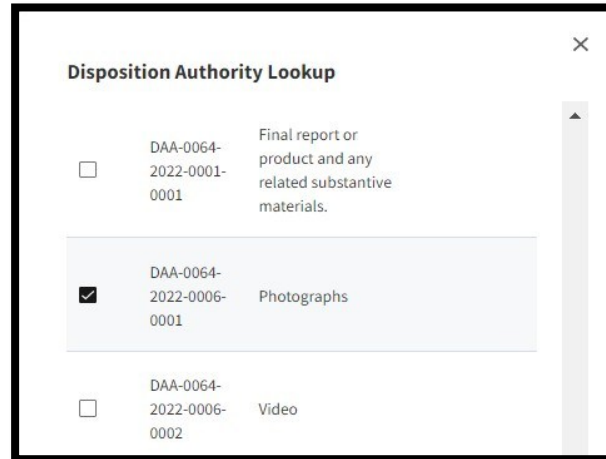



Figure 4: Populated Disposition Authority Lookup Tool

 Only Transfer Requests that have an active disposition authority linked with them can be submitted to NARA. Use the [Disposition Authority Lookup](#) tool to search and add one or more permanent active Records Schedule Item(s) to the Transfer Request. This tool presents all permanent disposition authorities.

7. Select **Add Disposition Item(s)** to add the disposition authorities to your *Transfer Request* form.
8. Select the **legal transfer type** from the Type of Legal Transfer drop-down menu. Options are:

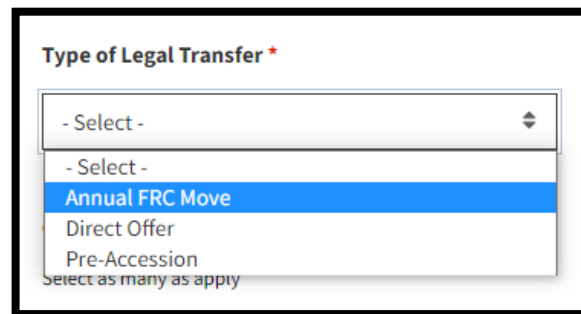


Figure 5: Type of Legal Transfer Drop-down Menu

- a. **Annual FRC Move:** Refers to records that are currently stored at a Federal Records Center (FRC) and are a part of the Annual FRC Move.
Note: *The majority of Annual FRC Move transfers are system generated.*
- b. **Direct Offer:** Refers to transfers initiated by agencies for records located in agency space.
- c. **Pre-Accession:** Refers to electronic records that are approved for legal transfer at a future date. **Note:** If

you select this option, the Pre-Accession: Date Eligible for Legal Custody sub-field displays. *Use this sub-field to indicate the date that NARA can take legal custody.*

9. Select the **record type(s)** for the records being transferred by selecting the corresponding checkboxes under the *General Records Type* header.
10. Select **Next**. The Tracking Numbers subsection displays.



Complete the General Information Tab – Tracking Numbers Subsection

If your Agency uses tracking numbers, enter them on the Tracking Numbers subsection of the General Information tab. To complete this subsection:

1. Select the **Add Tracking Numbers** button. A dialog window displays.

| Select | Tracking Number Type | Tracking Number |
|--------------------------|------------------------------------|-----------------|
| <input type="checkbox"/> | Legacy Accession Number ⓘ | |
| <input type="checkbox"/> | Records Center Transfer Number ⓘ | |
| <input type="checkbox"/> | State Department Lot File Number ⓘ | |

Figure 6: Add Tracking Numbers Dialog

2. Select the **tracking number type** for the records included in the Transfer Request by selecting its associated checkbox.
Note: You may select more than 1 checkbox from the following available options:
 - a. **Legacy Accession Number** – Refers to the National Archives-generated accession number for past accessions of related materials.
 - b. **Records Center Transfer Number** – Refers to the

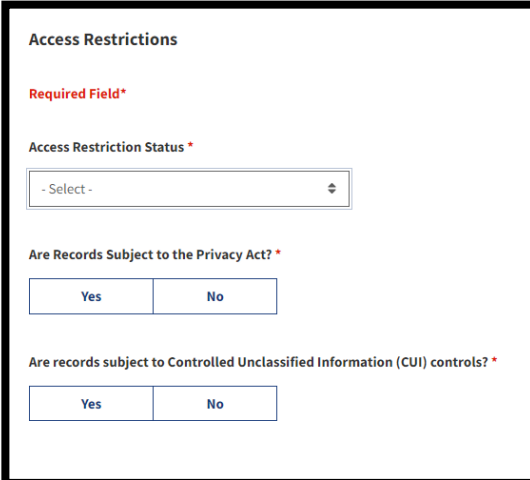
tracking number for this Federal Records Center (FRC) transfer.

- c. **State Department Lot File Number** - Refers to agency-created internal tracking numbers.
3. Enter the **tracking number** in the text-entry field when it activates for your selected tracking number type.
4. Select **Confirm**. *Verify that the tracking numbers you enter display under the Tracking Number Type header on the Tracking Numbers subsection.*
5. Select **Next**. The Access Restrictions subsection displays.

Complete the General Information Tab – Access Restrictions Subsection

You will use the Access Restrictions subsection of the General Information tab to enter information relating to the restrictions for the records within the Transfer Request, such as security-classification or adherence to Freedom of Information Act (FOIA) exemptions. To complete this subsection, you will need to select an **access restriction status** for the included records from the corresponding drop-down menu. Options are:

- a. **Unrestricted** indicates that the records are fully available for public release.
- b. **Restricted-Fully** indicates that that the whole transfer is restricted from public use, on a file or box level.
- c. **Restricted-Partly** indicates some records are restricted and others are not restricted, on a file or box level.



The screenshot shows a dialog box titled "Access Restrictions". It contains a "Required Field*" label in red. Below it is the "Access Restriction Status*" dropdown menu, which currently shows "- Select -". Underneath are two questions, each with "Yes" and "No" radio buttons: "Are Records Subject to the Privacy Act?*" and "Are records subject to Controlled Unclassified Information (CUI) controls?*".

Figure 7: Access Restrictions Dialog

The following provides step by step guidance for each of the above options.

Access Restriction Status – Unrestricted

1. Select **Unrestricted** from the *Access Restriction Status* drop-down menu.
2. Select **Yes** or **No** as appropriate in reply to the *Are Records Subject to the Privacy Act?* prompt.

Note: Selecting **Yes** indicates that a *System of Record Notice (SORN)* has been published in the Federal Register for the records included in the Transfer Request.

Consequently, the specific **Privacy Act Citation** will need to be entered in the corresponding sub-field that displays.

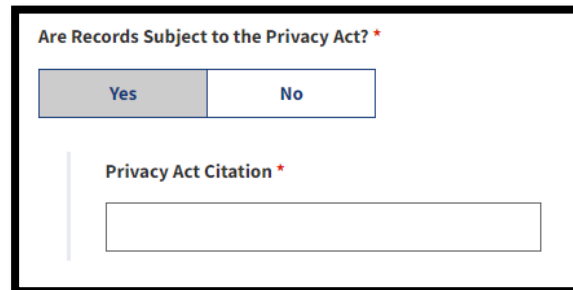
A screenshot of a web form titled "Are Records Subject to the Privacy Act? *". It features two radio button options: "Yes" and "No". Below the options is a text input field labeled "Privacy Act Citation *".

Figure 8 Privacy Act Citation Field

3. Select **Yes** or **No** as appropriate in reply to the *Are records subject to Controlled Unclassified Information (CUI) controls?*

Note: Selecting **Yes** indicates that this Transfer Request includes records with markings included in the [ISOO Controlled Unclassified Information \(CUI\) Registry](#).

Consequently, the **Safeguarding and/or Dissemination Authority** office or department will need to be entered in the corresponding sub-field that displays.

A screenshot of a web form titled "Are records subject to Controlled Unclassified Information (CUI) controls? *". It features two radio button options: "Yes" and "No". Below the options is a text input field labeled "Safeguarding and/or Dissemination Authority *".

Figure 9: Safeguarding and/or Dissemination Authority Field

4. Select **Next**. The Location subsection displays.

Access Restriction Status – Restricted – Partly

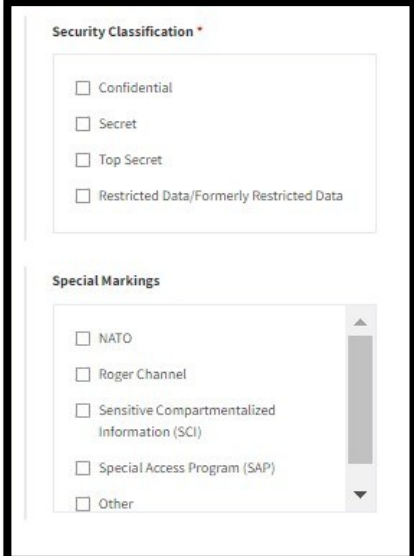
In Security Classification, agencies should select the highest standard national security classification level present in the transfer and indicate whether or not the records contain Restricted Data/Formerly Restricted Data. In Special Markings, agencies should select any applicable national security special handling restrictions.

1. Select **Restricted – Partly** from the *Access Restriction Status* drop-down menu. The *Specific Access Restriction* drop-down menu displays.

You may select as many options as apply from the following available options; however, selecting **FOIA (b)(1) National Security** triggers the *Security Classification* and *Special Markings* sub-menus correspondingly.

- FOIA (b)(1) National Security
- FOIA (b)(2) Internal Personnel Rules and Practices
- FOIA (b)(3) Statute
- FOIA (b)(4) Trade Secrets and Commercial or Financial Information
- FOIA (b)(5) Inter-agency or Intra-agency Memorandums or Letters Not Available by Law
- FOIA (b)(6) Personal Information
- FOIA (b)(7) Law Enforcement
- FOIA (b)(7a) Law Enforcement
- FOIA (b)(7b) Law Enforcement
- FOIA (b)(7c) Law Enforcement
- FOIA (b)(7d) Law Enforcement
- FOIA (b)(7e) Law Enforcement
- FOIA (b)(7f) Law Enforcement
- FOIA (b)(8) Regulation or Supervision of Financial Institutions

- FOIA (b)(9) Geological or Geophysical Information and Data
- Freedom of Information Act (FOIA)



The image shows a screenshot of a web form with two sections: "Security Classification" and "Special Markings". The "Security Classification" section has four checkboxes: "Confidential", "Secret", "Top Secret", and "Restricted Data/Formerly Restricted Data". The "Special Markings" section has a scrollable list of checkboxes: "NATO", "Roger Channel", "Sensitive Compartmentalized Information (SCI)", "Special Access Program (SAP)", and "Other".

Figure 10: Security Classification and Special Markings Sub-menus for Partly Restricted Access

- Other

Selecting **FOIA (b)(3) Statute** triggers the *Statutory Citation* sub-menu, in which agencies should select all statutes that restrict access to records in the transfer.

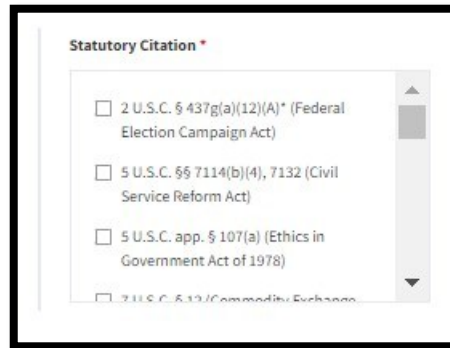


Figure 11: Statutory Citation Sub-menu for Partly Restricted Access

 Selecting **Restricted-Partly** activates the *Restriction Note* sub-field, an optional field for entering contextual information about the access restriction. This sub-field will display at the bottom of the page.

2. Select **Yes** or **No** as appropriate in reply to the *Are Records Subject to the Privacy Act?* prompt.

Note: Selecting **Yes** indicates that a *System of Record Notice (SORN)* has been published in the Federal Register for the records included in the Transfer Request. Consequently, the specific **Privacy Act Citation** will need to be entered in the corresponding sub-field that displays.

3. Select **Yes** or **No** as appropriate in reply to the *Are records subject to Controlled Unclassified Information (CUI) controls?*

Note: Selecting **Yes** indicates that this Transfer Request includes records with markings included in the [ISOO Controlled Unclassified Information \(CUI\) Registry](#). Consequently, the **Safeguarding and/or Dissemination Authority** office or department will need to be entered in the corresponding sub-field that displays.

The screenshot shows a form with the following elements:

- Question: "Are records subject to Controlled Unclassified Information (CUI) controls? *
- Radio buttons: "Yes" (selected) and "No"
- Text field: "Safeguarding and/or Dissemination Authority *
- Text area: "Restriction Note"

Figure 12: ISOO CUI Registry-Related Sub-fields

4. Select **Next**. The Location subsection displays.

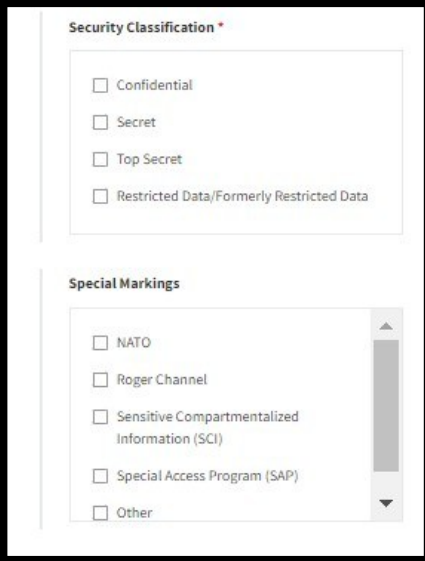
Access Restriction Status – Restricted – Fully

In Security Classification, agencies should select the highest standard national security classification level present in the transfer and indicate whether or not the records contain Restricted Data/Formerly Restricted Data. In Special Markings, agencies should select any applicable national security special handling restrictions.

1. Select **Restricted – Fully** from the *Access Restriction Status* drop-down menu. The *Specific Access Restriction* drop-down menu displays.

You may select as many options as apply from the following available options; however, selecting **FOIA (b)(1) National Security** triggers the *Security Classification* and *Special Markings* sub-menus correspondingly.

- FOIA (b)(1) National Security
- FOIA (b)(2) Internal Personnel Rules and Practices
- FOIA (b)(3) Statute
- FOIA (b)(4) Trade Secrets and Commercial or Financial Information
- FOIA (b)(5) Inter-agency or Intra-agency Memorandums or Letters Not Available by Law
- FOIA (b)(6) Personal Information
- FOIA (b)(7) Law Enforcement
- FOIA (b)(7a) Law Enforcement
- FOIA (b)(7b) Law Enforcement
- FOIA (b)(7c) Law Enforcement
- FOIA (b)(7d) Law Enforcement
- FOIA (b)(7e) Law Enforcement
- FOIA (b)(7f) Law Enforcement
- FOIA (b)(8) Regulation or Supervision of Financial Institutions
- FOIA (b)(9) Geological or Geophysical Information and Data



The screenshot shows two sub-menus. The top sub-menu, titled "Security Classification *", contains four checkboxes: "Confidential", "Secret", "Top Secret", and "Restricted Data/Formerly Restricted Data". The bottom sub-menu, titled "Special Markings", contains five checkboxes: "NATO", "Roger Channel", "Sensitive Compartmentalized Information (SCI)", "Special Access Program (SAP)", and "Other". A vertical scrollbar is visible on the right side of the Special Markings sub-menu.

Figure 13: Security Classification and Special Markings Sub-menus for Fully Restricted Access

- Freedom of Information Act (FOIA)
- Other

Selecting **FOIA (b)(3) Statute** triggers the *Statutory Citation* sub-menu, in which agencies should select all statutes that restrict access to records in the transfer.

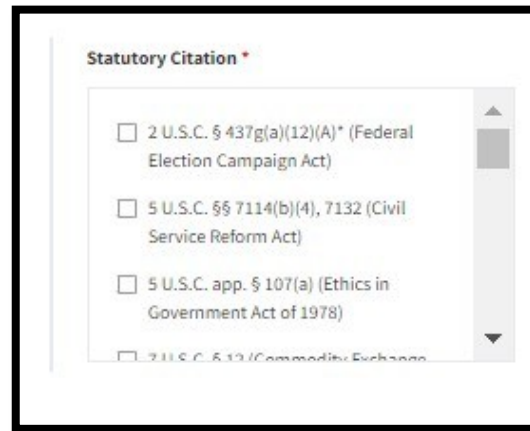



Figure 14: Statutory Citation Sub-menu for Fully Restricted Access

 Selecting **Restricted-Fully** activates the *Restriction Note* sub-field, an optional field for entering contextual information about the access restriction. This sub-field will display at the bottom of the page.

2. Select **Yes** or **No** as appropriate in reply to the *Are Records Subject to the Privacy Act?* prompt.

Note: Selecting **Yes** indicates that a *System of Record Notice (SORN)* has been published in the Federal Register for the records included in the Transfer Request. Consequently, the specific **Privacy Act Citation** will need to be entered in the corresponding sub-field that displays.

3. Select **Yes** or **No** as appropriate in reply to the *Are records subject to Controlled Unclassified Information (CUI) controls?*


Note: Selecting **Yes** indicates that this Transfer Request includes records with markings included in the [ISOO Controlled Unclassified Information \(CUI\) Registry](#). Consequently, the **Safeguarding and/or Dissemination**

Authority office or department will need to be entered in the corresponding sub-field that displays.

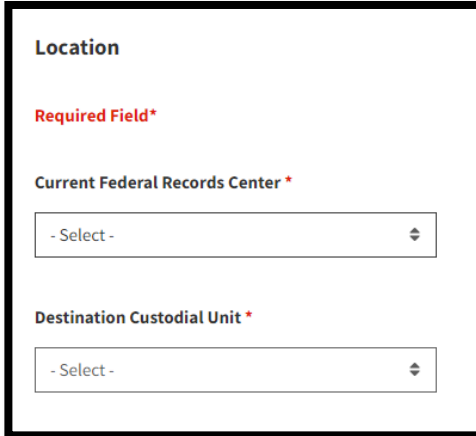
4. Select **Next**. The Location subsection displays.

Complete the General Information Tab – Location Subsection

You will use the Location subsection to identify where the records are currently being stored AND select a destination custodial unit for the records once transferred. NARA’s Custodial Units are responsible for processing Transfer Requests and accessioning records.

 The menu items that display on the Location subsection are dependent on the type of legal transfer selected for the records on the Series subsection of the General Information tab.

Location Instructions for Annual Federal Records Center (FRC) Move Transfers:



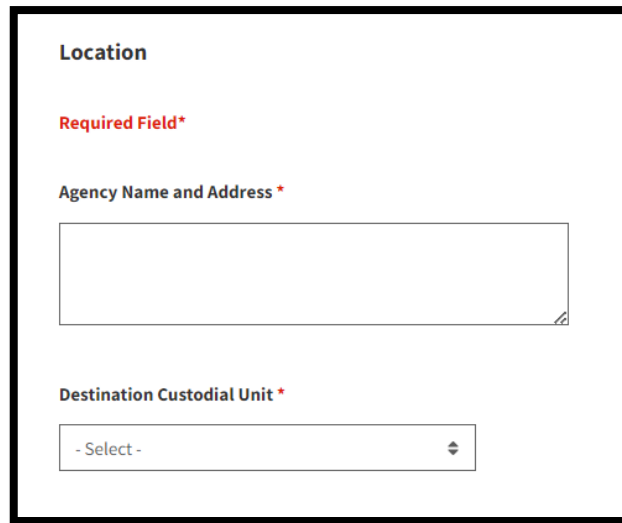
The screenshot shows a form titled "Location" with a "Required Field*" label. Below the label are two dropdown menus. The first is labeled "Current Federal Records Center *" and the second is labeled "Destination Custodial Unit *". Both dropdown menus currently display "- Select -".

Figure 15: Location Menu for Annual FRC Move Transfers

To complete this subsection:

1. Select the **Federal Records Center (FRC)** location where the records are stored from the *Current Federal Records Center* drop-down menu.
2. Select a **NARA Custodial Unit** from the *Destination Custodial Unit* drop-down menu.
3. Select **Next**. The Transfer Details subsection displays.

Location Instructions for Direct Offer & Pre-Accession Transfers:



Location

Required Field*

Agency Name and Address *

Destination Custodial Unit *

- Select -

Figure 16: Location Menu for Direct-Offer & Pre-Accession Transfers


To complete this subsection:

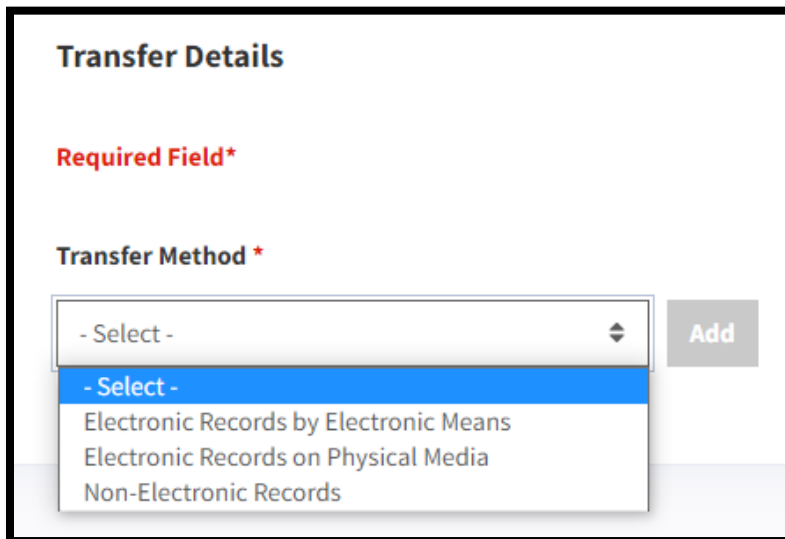
1. Enter the **Agency Name and Address** where the records are stored in the corresponding text-entry field.
2. Select a **NARA Custodial Unit** from the *Destination Custodial Unit* drop-down menu.
3. Select **Next**. The Transfer Details subsection displays.

Complete the General Information Tab – Transfer Details Subsection

Use the Transfer Details subsection of the General Information tab to identify how the records will be transferred. 3 options are available as follows:

- **Electronic Records on Physical Media** indicates that the records are stored on physical media (e.g., CD-ROM) for transfer to NARA.
- **Electronic Records by Electronic Means** indicates that the records are going to be transmitted to NARA via an electronic transfer method. If users select this, the sub-field of Estimated Electronic Volume
- **Non-Electronic Records** indicates that the records are analog (e.g., hard copy), and will be transmitted via physical means (e.g., FRC-S boxes).

 Completion of this subsection is dependent upon the transfer method(s) selected. The instructions for each transfer method are provided below. **Multiple transfer methods may be used to support a Transfer Request.**



The screenshot shows a web form titled "Transfer Details". Below the title, there is a red "Required Field*" label. Underneath, the label "Transfer Method *" is followed by a drop-down menu. The menu is currently open, showing four options: "- Select -" (highlighted in blue), "Electronic Records by Electronic Means", "Electronic Records on Physical Media", and "Non-Electronic Records". To the right of the drop-down menu is a grey "Add" button.

Figure 17: Transfer Method Drop-Down Menu

Transfer Details Instructions for Electronic Records by Electronic Means Transfer Method

1. Select **Electronic Records by Electronic Means** from the *Transfer Method* drop-down.
2. Select **Add**. A dialog window displays.

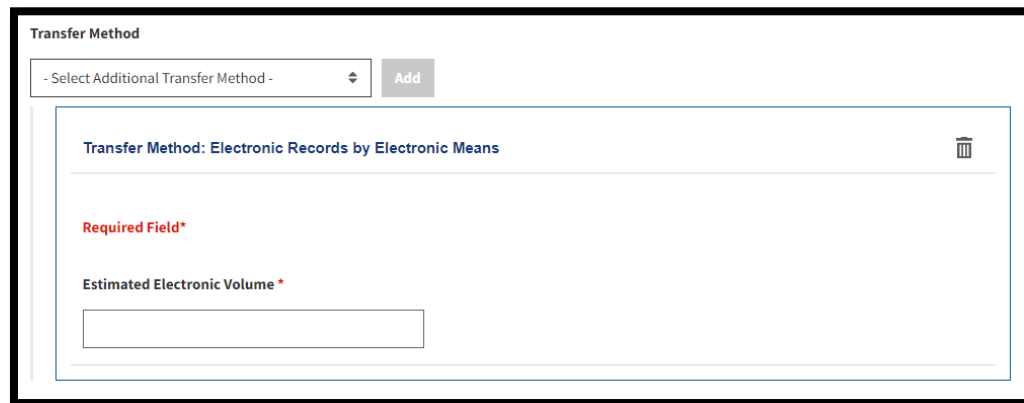


Figure 18: Electronic Records by Electronic Means Sub-menu

3. Enter the **Estimated Electronic Volume** (in MB, GB, TB) of the records included in the Transfer Request in the corresponding text-entry field.
4. Add **transfer method(s)** as appropriate. Otherwise go to Step 5.
5. Select **Next**. The Contact Information tab displays.

Transfer Details Instructions for Electronic Records on Physical Media Transfer Method

1. Select **Electronic Records on Physical Media** from the *Transfer Method* drop-down.
2. Select **Add**. A dialog window displays.

Transfer Method

- Select Additional Transfer Method - Add

Transfer Method: **Electronic Records on Physical Media**

Required Field*

Estimated Electronic Volume *

Electronic Transfer Media Type *

Media Disposition *

- Select -

Container List

Add Container

| Container Type | Dimensions (Inches) (Depth x Width x Height) | Quantity of Containers * | Container Numbers | Comments |
|----------------------|--|--------------------------|-------------------------------|----------|
| FRC Carton, Standard | 15.000 x 12.250 x 10.125 | 0 Invalid Quantity. | Invalid Container Number. | |

Total Quantity of Containers: **0 Containers**
Total Volume of Containers: **0.000 Cubic Feet (cu. ft.)**

Figure 19: *Electronic Records on Physical Media Sub-menu*

3. Enter the **Estimated Electronic Volume** (in MB, GB, TB) of the records included in the Transfer Request in the corresponding text-entry field.
4. Enter the **type of physical storage device** (e.g., CD / DVD, hard drives, computer tape., etc.) on which the electronic records will be transferred in the *Electronic Transfer Media Type* text-entry field.
5. Enter the **Media Disposition** (i.e., the Agency's preference

for what happens to the original physical storage device after the records are accepted into the legal custody of the National Archives) in the corresponding text-entry field. Options are **Destroy** or **Return to Agency**.

6. Add Container details.

- a. **For FRC Standard Cartons:** Enter the **quantity and number of containers** that conform to the FRC Standard Carton in the spaces provided. ERA 2.0 automatically calculates the quantity and volume of containers.
- b. **For Other Container Types:** Select the **Add Container** button that displays under the *Container List* header. The Search Container Type dialog window displays.

Select a **container code** for the container type(s) that best correspond to the container(s) that will be used for the Transfer Request.

Select **Add**. The Electronic Records on Physical Media dialog window displays the selected container type.

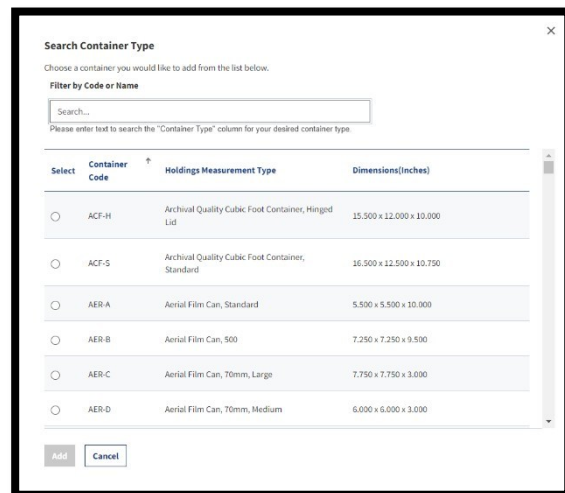


Figure 20: Add Container Search Tool

Enter the **quantity and number of containers** that conform to the container type that was just added in provided the spaces. ERA 2.0 automatically calculates the quantity and volume of containers.

7. Add **transfer method(s)** as appropriate. Otherwise go to step 8.

8. Select **Next**. The Contact Information tab displays.

Transfer Details Instructions for Non-Electronic Records Transfer Method

1. Select **Non-Electronic Records** from the *Transfer Method* drop-down.
2. Select **Add**. A dialog window displays.

Transfer Method

- Select Additional Transfer Method - Add

Transfer Method: Non-Electronic Records

Required Field*

Container List *

Add Container

| Container Type | Dimensions (Inches) (Depth x Width x Height) | Quantity of Containers * | Container Numbers * | Comments |
|----------------------|--|--------------------------|-------------------------------|----------|
| FRC Carton, Standard | 15.000 x 12.250 x 10.125 | 0 Invalid Quantity. | Invalid Container Number. | |

Total Quantity of Containers: 0 Containers
Total Volume of Containers: 0.000 Cubic Feet (cu. ft.)

Figure 21: Non-Electronic Records Sub-menu

3. Add Container details.
 - a. **For FRC Standard Cartons:** Enter the **quantity and number of containers** that conform to the FRC Standard Carton in the spaces provided. ERA 2.0 automatically calculates the quantity and volume of containers.
 - b. **For Other Container Types:** Select the **Add Container** button that displays under the *Container List* header. The Search Container Type dialog window displays.
 - Select a **container code** for the container type(s) that best correspond to the container(s) that will be used for the Transfer Request.
 - Select **Add**. The Non-Electronic Records dialog window displays the selected container type.

- Enter the **quantity and number of containers** that conform to the container type that was just added in provided the spaces. ERA 2.0 automatically calculates the quantity and volume of containers.
4. Add **transfer method(s)** as appropriate. Otherwise go to Step 5.
 5. Select **Next**. The Contact Information tab displays.

END.