

The Annual Move

Agency Best Practices

FRC Transfer in ERA

- Draft Transfer Requests (TRs) for eligible FRC Transfers
- Created by NARA from data derived from ARCIS
- One FRC transfer = one ERA Transfer Request
- Agency responsible for reviewing and proposing TRs
- Corrected information must be provided to FRCs and in ERA

FRC Transfer In ERA – Sequence View

Box 1. Nara creates a “Draft” Transfer Request (TR) from ARCIS data

Box 2. Agency reviews and updates TR: then submits TR to Agency Records Officer. TR updates from “Draft” to “Submitted for Agency Approval

Box 3. Agency submits TR to NARA. TR updates from “Submitted for Agency Approval” to “Proposed”

Box 4. NARA receives, reviews, and accepts or rejects “Proposed” TR. If accepted, TR is “Approved.”

Box 5. Ship records

Box 6. NARA completes internal work processes

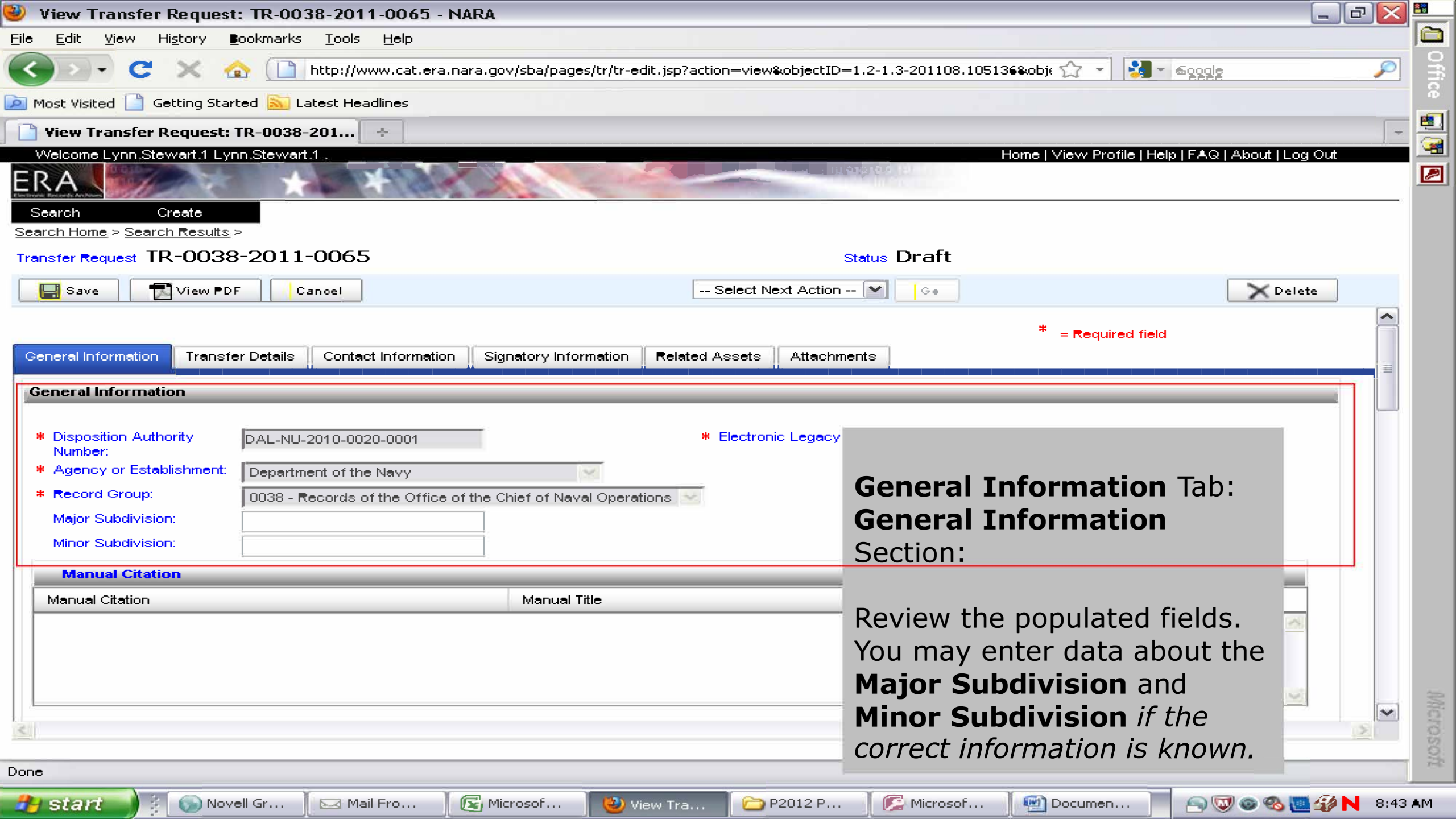
Box 7. NARA electronically signs TR Accepting Physical Custody of the records. ERA system automatically creates Legal Transfer Instrument (LTI) at this point.

Box 8. NARA completes standard accessioning procedures and “Approves” the LTI.

Note: One TR created for each FRC transfer

Search for Annual Move TRs

- Log in as Transferring Agency Official
- Search: Advanced Search
- Business Object: Transfer Request
- Keyword: “2014 Annual Move”
- Status: Draft • Record Group Number: #####



Search Create

Search Home > Search Results >

Transfer Request TR-0038-2011-0065

Status Draft

Save View PDF Cancel -- Select Next Action -- Delete

* = Required field

General Information Transfer Details Contact Information Signatory Information Related Assets Attachments

General Information

* Disposition Authority Number: DAL-NU-2010-0020-0001 * Electronic Legacy

* Agency or Establishment: Department of the Navy

* Record Group: 0038 - Records of the Office of the Chief of Naval Operations

Major Subdivision:

Minor Subdivision:

General Information Tab: General Information Section:

Review the populated fields. You may enter data about the Major Subdivision and Minor Subdivision if the correct information is known.



Search Create

Search Home > Search Results >

Transfer Request TR-0038-2011-0065

Status Draft

Save View PDF Cancel -- Select Next Action -- Delete

* Transfer Group Description: INCOMING CORRES Edit Spell check

LTI: * Security Scan: No

Legacy Disposition Authority Number: N1-NU-96-003 / 3

* Type of Legal Transfer: Annual FRC Move

Transaction Type

Add Delete

	Transaction Number Type	Transaction Number
<input type="checkbox"/>	* Records Center Transfer Number	* W03803-0006

Type of Legal Transfer: *Annual FRC Move* must be selected.

Transaction Type: *Records Center Transfer Number* (also known as the FRC accession number) is populated in the **Transaction Number Type** and **Transaction Number** fields



Search Create

Search Home > Search Results >

Transfer Request TR-0038-2011-0065

Status Draft

Save View PDF Cancel -- Select Next Action -- Delete

Disposition Authority

Records Schedule Item Title:

Inclusive Dates

* From: 1/1/1991 * To: 12/31/1991

Access Restriction

* Access Restriction Status: Restricted - Fully

* Specific Access Restriction: FOIA (b)(1) National Security

* Security Classification: Secret

Special Marking:

Statutory Citation:

Access Restriction Note:

Records Schedule Item Title is from the Records Schedule. Review dates for accuracy.

Access Restriction: Review this section very carefully. The data in these fields is derived from ARCIS, but may be incomplete or require updating.

- To edit a field, click on the ellipsis and arrow buttons to select the correct access information. It is essential that this

Save View PDF Cancel

Access Restriction

* Access Restriction Status: Restricted - Fully
* Specific Access Restriction: FOIA (b)(6) Personal Information
Special Marking: Statutory Citation:

To update **Specific Access Restriction** field, click on ellipses to open pick list. Use green arrow to choose the correct information, then Save. Use the same process to update **Security Classification** and **Special Marking** fields.

Selection

Available		Selected
Freedom of Information Act (FOIA)	➔	FOIA (b)(6) Personal Information
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 Inform		
FOIA (b)(5) Inter-agency or Intra-agency Memorandums or Let		
FOIA (b)(7) Law Enforcement		

Confirm Cancel

Use Restriction

* Use Restriction: Undetermined
* Use Restriction Note: Undetermined is the default value for TRs generated by NARA for agency review and approval for the annual move. Please select a more appropriate use restriction where appropriate.

Edit

From: 12/15/14
 * To: 12/31/15

Access Restriction

* Access Restriction Status:

* Specific Access Restriction: Security Classification:

Special Marking: Statutory Citation:

Access Restriction Note:

Privacy Act Notice Number: * Agency System Number:

* Federal Register Volume: * Federal Register Page Number:

Use Restriction

* Use Restriction:

Specific Use Restriction:

* Use Restriction Note:

For the **Privacy Act Notice Number** field, if **Yes** is selected, the **Agency System Number**, **Federal Register Volume** and **Federal Register Page Number** fields are required.



Search Create

Search Home > Search Results >

Transfer Request TR-0038-2011-0065

Status Draft

Save View PDF Cancel

Access Restriction Note:

Privacy Act Notice Number:

No

Federal Register Volume:

Use Restriction: Review this section **very** carefully. There is no data in ARCIS regarding use restrictions. The **default for the field will be *Undetermined*** and there will be a default **Use Restriction Note** message. If you select anything other than *Unrestricted*, the **Use Restriction Note** field is required.

Use Restriction

* Use Restriction:

Undetermined

Specific Use Restriction:

Text area for Specific Use Restriction

* Use Restriction Note:

Explain reason Use Restriction is Undetermined.

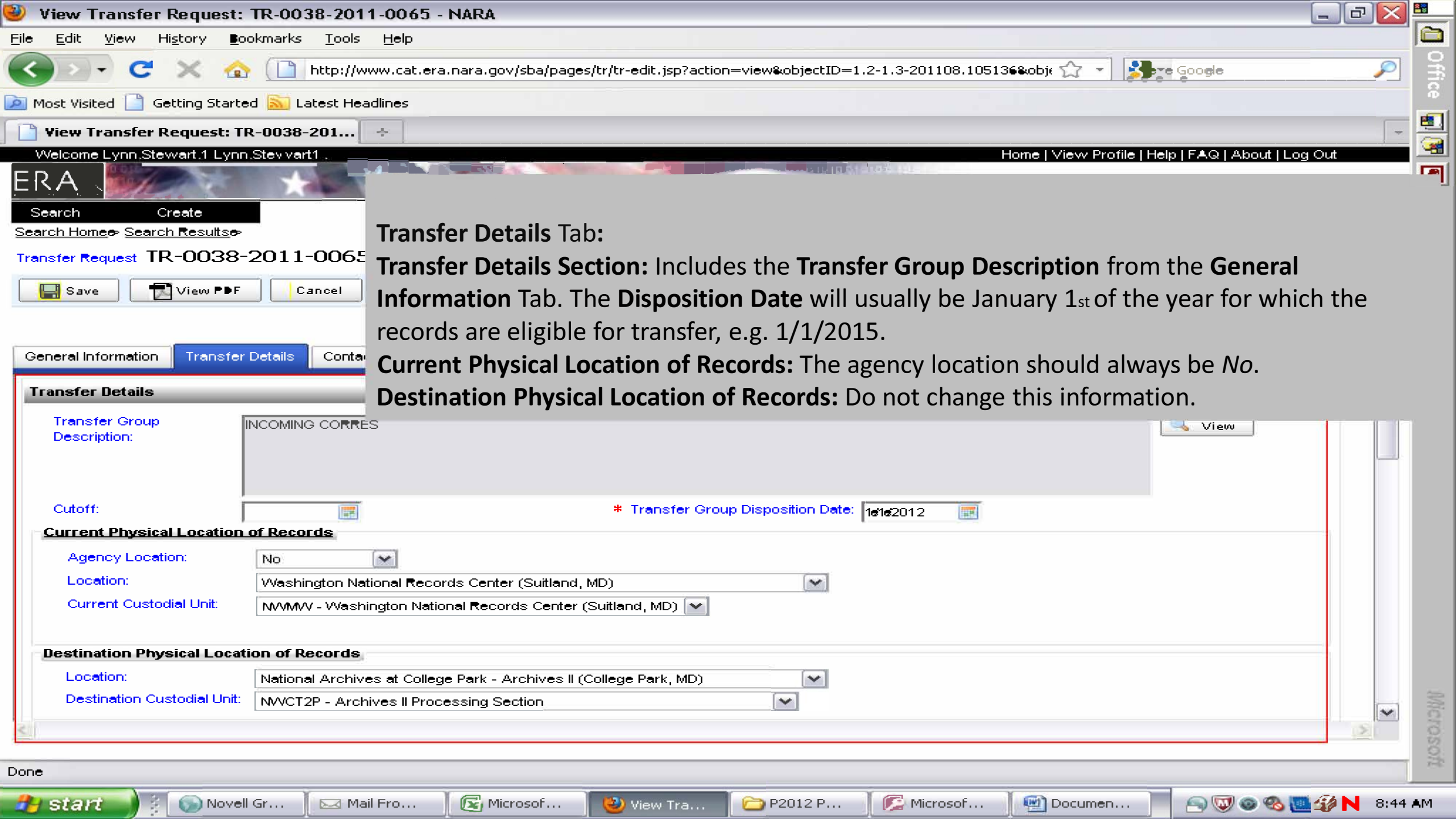
Edit Spell check

NA 14130 Classified Records Checklist

Complete one NA Form 14130 for each TR/FRC transfer

Checklist may be found at:

<http://www.archives.gov/declassification/ndc/forms/na-14130.pdf>



Transfer Details Tab:

Transfer Details Section: Includes the **Transfer Group Description** from the **General Information Tab**. The **Disposition Date** will usually be January 1st of the year for which the records are eligible for transfer, e.g. 1/1/2015.

Current Physical Location of Records: The agency location should always be *No*.

Destination Physical Location of Records: Do not change this information.



Search Create

Search Home > Search Results >

Transfer Request TR-0038-2011-0065 Status Draft

Save View PDF Cancel -- Select Next Action -- Go Delete

* Transfer Method

Electronic Means

Electronic Records Transferred by Electronic Means

Physical Means

Electronic Records on Physical Media Physical Transfer of Non-Electronic Records

* Physical Media Types - Non-Electronic Records

Add Delete

Quantity Transfer Media Type Container Description

1 Microfiche Quantity is number of containers

Transfer Method will always be Physical Means. Container Description is entered by NARA.

List of Containers

Add Delete

http://www.cat.era.nara.gov/sba/pages/tr/tr-edit.jsp?action=view&objectID=1.2-1.3-201108.105136&objectVersion=current#tab2

View Transfer Request: TR-0038-2011-0065 - NARA

File Edit View History Bookmarks Tools Help

http://www.cat.era.nara.gov/sba/pages/tr/tr-edit.jsp?action=view&objectID=1.2-1.3-201108.105136&obje

Most Visited Getting Started Latest Headlines

Welcome Lynn.Stewart.1 Lynn.Stewart.1 Home | View Profile | Help | FAQ | About | Log Out

ERA
Electronic Records Archiving

Search Create

Search Home > Search Results >

Transfer Request TR-0038-2011-0065 Status Draft

Save View PDF Cancel -- Select Next Action -- Go Delete

* = Required field

General Information Transfer Details Contact Information Signatory Information **Related Assets** Attachments

Related Assets

No related objects found.

Save View PDF Cancel -- Select Next Action -- Go Delete

Related Assets Tab: No *Related Assets* will be listed until the TR has been approved by NARA. *Related Assets* include *Disposition Authority* and *Transfer Processing Results* business objects.



Search Create

Search Home > Search Results >

Transfer Request TR-0038-2011-0065

Save View PDF Cancel

Attachments Tab: You may add attachments, such as a box list. After you upload an attachment, click the *Refresh* button to see it displayed.

* = Required field

General Information Transfer Details Contact Information Signatory Information Related Assets Attachments

Add an Attachment

File Name: Browse...

File Description: Upload

List of Attachments

Refresh

Save View PDF Cancel

-- Select Next Action -- Go

Delete

View Transfer Request: TR-0441-2011-0046 - NARA

File Edit View History Bookmarks Tools Help

http://www.cat.era.nara.gov/sba/pages/tr/tr-edit.jsp?action=view&objectID=1.2-1.3-201108.105135&obje

View Transfer Request: TR-0441-2011-0046

Welcome For Lynn Home | View Profile | Help | FA | About | Log Out

ERA

Search

Search Home > Search Results >

Transfer Request **TR-0441-2011-0046** Status **Submitted For Agency Approval**

View PDF Cancel Submit Go

Transferring Agency Official

First Name:	Lynn.Stewart.1	Last Name:	Lynn.Stewart.1
Title:	Test User	Phone:	123-45-6789
Email:	Lynn.Stewart.1@lmco.com	Agency:	Department of Education

Agency Approving Official

First Name:	Lynn
Title:	111-222-5555
Email:	

NARA Contact

First Name:	
Title:	
Email:	

Other Contacts

Once your review is complete and you are ready to submit the TR for approval by your Agency Approving Official:
Save TR
Select **Submit** from the dropdown menu
Click **Go**
The TR is Submitted for Approval to the **Agency Approving Official.**

Transfer Request Propose TRs to NARA

- **Agency Approving Official** may Propose a TR for Approval by NARA. ERA will provide a task notification indicating that action needs to be taken on a particular TR. An **Agency Approving Official** may also reject a TR which will then return to Draft status.
- **Agency Approving Official** may also have the **Transferring Agency Official** role.

The **Agency Approving Official** may search for TRs in the Status Submitted for Agency Approval, or set the User Profile to receive a **Task Notification/e-mail** indicating that action needs to be taken on a particular TR.

To propose a TR for NARA approval, the Agency Approving Official must accept the Terms of Agreement for transfer to NARA and must have the legal authority to do so.

Accept the Terms of Agreement: Select **Submit**

Check the **Terms of Agreement check box**

Click **Continue**

Click **Go**

The status of the TR will change to **Proposed**.

Transfer Request Use SAMO to Propose TRs

An **Agency Approving Official** may also use the Single Action, Multiple Objects (SAMO) function to submit multiple Transfer Requests to NARA for approval or to reject them.

To approve multiple TRs using **SAMO**:

- SAMO works best using the Firefox browser
- Filter the search results by status: **Submitted for Agency Approval**
- Select the TRs you wish to approve by either clicking on the check boxes next to each TR or by using the **Select All feature next to the filter**
- Click **Submit**

[Download Full Search Results](#)

[Back to Top](#) Transfer Request (TR):

f 339

To perform Next Action on multiple Asset(s), you must filter your search by a single status

Status:

Submitted For Agency Approval

Select: [All](#) [All on page](#) [None](#)

<< first < prev 1 2 3 4 34 next > last

	Transfer Request ID	Disposition Authority Number	Status	Agency or Establishment	Record Group Number				
<input checked="" type="checkbox"/>	TR-0255-2013-0413	DAL-0255-2008-0002-0001	Submitted For Agency Approval	National Aeronautics and Space Administration	0255				
<input checked="" type="checkbox"/>	TR-0255-2013-0406	DAL-0255-2010-0003-0014	Submitted For Agency Approval	National Aeronautics and Space Administration	0255	^JS AGRMT MEMO OF UNSTD Johnson Space Center	No	Records Center Transfer Number	F255-06-0008
<input checked="" type="checkbox"/>	TR-0255-2013-0376	DAL-0255-2013-0001-0001	Submitted For Agency Approval	National Aeronautics and Space Administration	0255	TECH ENGR DOC FILES Johnson Space Center	No	Records Center Transfer Number	F255-95-0047
<input checked="" type="checkbox"/>	TR-0255-2013-0318	DAL-0255-2013-0001-0001	Submitted For Agency Approval	National Aeronautics and Space Administration	0255	OFFICE OF PRIM RESPONSIBILITY (OPR) Johnson Space Center	No	Records Center Transfer Number	F255-95-0091
<input type="checkbox"/>	TR-0255-2012-2003	DAL-0255-2010-0001-0001	Submitted For Agency Approval	National Aeronautics and Space Administration	0255	^JP PROGRAM/PROJECT - HISTORIC Jet Propulsion Laboratory	No	Records Center Transfer Number	L255-06-0022
<input type="checkbox"/>	TR-0255-2012-2001	DAL-0255-2010-0003-0009	Submitted	National	0255	INTL ACT	No	Records	W255-80-0622

Filter for TRs by *Submitted for Agency Approval* status.

- Select the TRs you wish to approve by either clicking on the check boxes next to each TR or
- Use the *Select All* features next to the filter .

Select **Submit**, then **Go**.

Check **Terms of Agreement** check box

Click **Continue**

Click **Go**

NARA Bulletin 2014-05: Guidance on NARA-Created Transfer Requests

- Establishes an expiration date for NARA-created ERA Transfer Requests (TRs)
 - TRs expire 15 months after date of creation, if not yet submitted to NARA
 - Includes any TRs in “Draft” or “Submitted for Agency Approval” states
- 2015 TRs loaded on October 1, 2014 will expire at the beginning of CY2016

Agency Review List: ARCIS Fields

- Most of this information is agency supplied. The quality of the data in ARCIS is dependent on the quality of the data provided to the Federal Records Centers by the agency. Most of the data provided on the spreadsheets will be used to populate one or more fields in ARCIS. Other fields were included to assist you in your review process.

The ARCIS fields that are used to provide data for ERA Transfer Request are provided in **bold** on the next slides

ARCIS Fields Review Cont.

- **Record Group:** Record Group under which records are stored in the Federal Records Centers (FRCs).
- **Transfer #:** Also known as an FRC accession number. Legacy numbers from NARS-5 are preceded by a code for the FRC they were held in when the transition was made to ARCIS. PT numbers are “born in ARCIS” and are system supplied. Transfers with disposition dates for 2014 are included as are those with 2009, 2004, 1999, or 1994 disposition dates. Please note that transfers that were “broken out” in NARS-5 or “split” in ARCIS will be separate transfers.
- **Records Center:** FRC at which the records are currently stored. This may not be the FRC the records were stored in when the legacy transfer numbers were created in ARCIS. For instance, a transfer with a number starting with “C” for Chicago, may now be stored in the Lee’s Summit FRC.
- **Status:** Usually Shelved but in a few cases may be Accession Generated if information that the agency was previously provided an SF 258 or ERA Transfer Request was entered into ARCIS. Status is updated by FRC staff.
- **Billable Volume:** volume by cubic foot.

ARCIS Fields: Access Restriction Information

- Please pay particular attention to the Access Restrictions represented in this set of fields. This needs to be accurate in ARCIS as well as in ERA. The ERA data is derived from the ARCIS data.
- Especially make sure that the Security Classification Type and Security Level information is correct. If the actual National Security classification level is ABOVE that listed in ARCIS, contact the FRC in which the records are stored immediately. In order to provide the proper security for the records, FRC staff must know the transfer's highest security level.

ARCIS Fields: Access Restriction Information

- **Security Classification Type:** Either Classified or Unclassified.
- **Security Level:** May simply be Standard Storage. National Security Classification level, such as Confidential, Secret or Top Secret will appear here, or agency requested Restricted Storage. For instance, agencies may request Restricted Storage for law enforcement or other sensitive information.
- **Access Restriction Code:** Usually Agency Personnel, but Classified or Restricted Storage will have Specific Agency Personnel. No Restrictions usually applies to records open to the public, such as court records.
- **Privacy Act:** If the agency has indicated the records are covered by the Privacy Act, and this was captured in either NARS-5 or ARCIS this will be Y. All other records will be N or blank. Earlier practices by individual agencies and FRCs varied. Just because this field has an N, agencies should independently validate whether the records are covered by a Privacy Act notice. Do not assume an N means that they are NOT covered by the Privacy Act.
- In addition to Access Restriction information, ERA also requires information about USE RESTRICTIONS, such as copyright or donor restrictions. This is not information captured in ARCIS.

ARCIS Fields: Disposition Information

- **Disposition Authority:** Also known as the ARCIS or NARS-5 DAU, this is the disposition authority applied to the records. All of the records in a transfer should have the same disposition authority for a specific records series. Each disposition authority must be based on a valid permanent item on an SF 115 or ERA-born “DAA” records schedule. Except:
- **Mixed Series:** This is legacy information from NARS-5. In some cases, older records may have been retired for storage with mixed series with more than one disposition authority. Often these records have been “broken out” into multiple transfers which contain different records series. Some transfers and/or boxes may continue to contain mixed series, however. If mixed series have been identified in the transfer this will be Y. All other records will be N. Fair Warning: archival units may decline to accept transfers of mixed temporary and permanent records until the agency has separated the records.
- **Disposition Code:** This should always be Permanent or in rare cases Permanent Contingent.
- **Disposition Date:** Date records are eligible for legal transfer to the National Archives. This is calculated from the Inclusive End Date of the records and the retention period in the transfer instructions in the disposition authority. Remember that transfers with disposition dates for 2009, 2004, 1999, or 1994 are included as well as those with for 2014.

ARCIS Fields: Details About the Records

- **Series Description:** Most of this information is legacy data from NARS-5 which had a very limited field length. Information was and is drawn from the SF 135 and the records series title.
- **Inclusive Start Date:** The beginning date of the records is from information provided on the SF 135. This field requires day, month and year in both NARS-5 and ARCIS. If no beginning date was supplied by the agency, such as for closed case files, many FRCs used the first day of the year the records closed. For instance, for files closed in 1991, the start date would be entered as 1/1/1991.
- **Inclusive End Date:** The last date of any records in the transfer, as supplied by information on the SF 135. It also requires day, month and year. If the SF 135 showed only a year, e.g. 1991, the end date would be 12/31/1991.
- **Type of Records:** The format or the media of the records, such as textual, photographs, maps, microforms. If the SF 135 indicated that the transfer contained mixed media, this data may indicate either the most common media of the records or the most sensitive media type, such as photographs.
- **Mixed Media:** This is a relatively new field in ARCIS, which now allows FRC staff to indicate that there are mixed media in a transfer. In most cases there is no legacy data and this field will probably be blank.

ARCIS Fields: Container Information

- **Number of Containers:** Number of containers in the transfer.
- **Container Type:** Most often will be Standard, which is a standard FRC box, but other container types may appear, including some indicated as Other from NARS-5 data due to unusual container types and sizes. More specific information than Other is required for ERA.
- **Container Volume:** Volume in cubic feet of one container of the type specified. Volume of the entire transfer is in the Billable Volume field.
- **Container Numbers:** This information was not included in the spreadsheets sent out last week, since it must be derived from the asset level data in ARCIS, but it is available upon request. If you would like this information, please email Mike Carlson or me. Container numbers are very useful to verify transfers that may have been broken out or from which boxes have been permanently withdrawn. For instance, a 15 box, 15 cubic feet transfer may have box numbers 2-12, 14 and 17-19.

ARCIS Fields: Agency Reference Information

- **Disposition Citation:** Either legacy DAU information from NARS-5 or for transfers created in ARCIS, the disposition authority cited by the agency. Often this will be the same information that is in the Disposition Authority field. This is a free-text field. By contrast, the Disposition Authority field has a controlled authority list and is used to determine whether the transfer has a valid permanent disposition.
- **Customer Reference Number:** Either legacy FRC transfer (accession) number from NARS-5 or an agency internal control number provided by the agency.
- **Charge Code:** Only FRC stratified billing customers will see varied values in this two digit field. Non-stratified billing customers will see only 00.
 - Stratified billing customers should verify that the correct code is present. This information is useful for identifying transfers for specific offices for agency review.
- **Charge Code Description:** This is linked to the Charge Code field, and only stratified billing customers will see varied values this field. Non-stratified billing customers will see only a brief version of the agency name.

ARCIS Fields: A Couple More

- **Begin Container Location:** FRC location of first box in the transfer.
- **Agency:** Agency responsible for the records.

We have erred on the side of more information in the spreadsheet, rather than leave out potentially useful information.

ARCIS Fields: Retiring Office

- May be legacy data from the NARS-5 Records Officer Address (ROA) code fields
 - This has been included to assist agencies in identifying agency retiring or creating offices. However, much of this is legacy data from NARS-5.
 - For legacy transfers from NARS-5, this will probably be legacy data from the NARS-5 Records Officer Address (ROA) code fields
- May be retiring office information from the SF135 for “PT” ARCIS transfers
 - For “born in ARCIS” transfers beginning with “PT”, this would be retiring office information from the SF135

Legal Transfer: Some Agency Best Practices

- Follow your agency's guidance for transferring permanent records to the National Archives.
 - This should be included in your agency's records manual or records policy.
- Validate the information provided from ARCIS or in ERA.
 - The spreadsheets provide a great head start.
- Make sure records have the correct disposition authority and series title.

Legal Transfer: Agency Best Practices Cont'd

- Determine if there are any special restrictions on the information such as:
 - sensitive business information or other FOIA exemptions,
 - national security information,
 - Information subject to the Privacy Act,
 - Use restrictions such as copyright,
 - Any other restrictions on the records.

Legal Transfer: Agency Best Practices Cont'd

- Determine that the records are not needed for current agency business such as litigation discovery.
- Consult your FOIA office, security office and general counsel as needed.

Legal Transfer: And Remember

- Folder title list of the box contents or equivalent for non-electronic records.
 - All transfers of non-electronic permanent records must be accompanied by a folder title list of the box contents or equivalent detailed records description.
- Documentation adequate to identify, service, and interpret electronic records and special media.
- Special media, such as motion pictures, and electronic records have special transfers instructions.
- See 36 CFR 1235, Transfer of Records to the National Archives of the United States.