

Review the Advanced Classified Transfer List

Why transfer classified permanent records to NARA?

The successful transfer of classified permanent records from federal agencies to the National Archives and Records Administration (NARA) is one of the most important partnerships in federal records management. Agencies are required by [36 CFR § 1235.12](#) to transfer permanent records to NARA when the records become eligible for accessioning according to a NARA-approved records schedule.

Through careful preparation, agency records management staff can successfully complete the transfer of permanent records to NARA, saving their agencies storage fees and ultimately saving agency staff time. NARA assumes responsibility for storage costs, FOIA searches, and records retrieval for permanent records once they are accessioned into the Archives. Successful transfer of permanent records will also ensure that our history is safe, accessible, and accurately reflected in the holdings of NARA.

How are candidate transfers identified in the Annual Move?

NARA will assist agencies in identifying permanent classified records stored at the Washington National Records Center (WNRC) which will soon become eligible for accessioning. Approximately 3-5 years prior to the transfers' accessioning eligibility date, NARA will provide your agency with an Advanced Classified Transfer List. This advanced notice will allow your agency time to carry out its declassification review responsibilities as required by [Executive Order 13526](#) and the [Special Historical Records Review Plan](#), per Executive Order 12958 (if applicable).

How can you help the process work smoothly?

- Regularly review your transfer information to determine which permanent records will soon become eligible for accessioning.
- Work with your agency's program staff and declassification team to review and declassify eligible records.
- Coordinate with NARA's Annual Move team.

Review each potential accession of permanent classified records

When you receive the Advanced Classified Transfer List:

1. Confirm the schedule and eligibility dates.
2. Make sure the transfer is documented correctly.
3. Protect the records by checking and documenting restrictions.
4. Identify and prepare to include accurate finding aids and folder lists.

Check the schedule and eligibility dates

A few simple checks at the beginning of the process can save you, your agency, and NARA time. Here are the steps you can take to be sure the right records will be accessioned successfully at the right time:

Step	Actions
<p>Confirm: Is the disposition authority correct?</p>	<p>Confirm that the schedule applied to the records is current and accurate.</p> <p>How:</p> <ul style="list-style-type: none">• Compare the records to your current records manual or records schedule and file plan. Do the records match the series title, description, and disposition listed in the schedule? Are these permanent records?• Compare the information in your internal tracking systems against the records transfer information as needed. <p>Identify and note:</p> <ul style="list-style-type: none">• Agency records manual or records schedule category number• NARA disposition authority number• Series title• Series description
<p>Check: Are the correct dates present, and is the disposition date correct?</p>	<p>Compare the dates for the records listed in your tracking systems, in ARCIS, and in any SF 135s.</p> <ul style="list-style-type: none">• Confirm that the transfer information includes an accurate date range for the records in the transfer.• Include starting and ending dates for the records in the transfer.• Confirm that the proposed accessioning date is correct.

Make sure the transfer is documented correctly

Good documentation is essential for each transfer. When a transfer is accurately documented, your agency will know exactly what was transferred, and when, and NARA will be able to accept the transfer.

Step	Actions
<p>Check: Are the listed agency/organization names correct?</p> <p>What are the correct major and minor divisions and subdivisions for these records?</p>	<p>Confirm that the agency and organization or department name for the unit that created the records is included and is correct.</p> <p>You'll identify the agency/office under which the records were created. List the name of the organization that was in effect when the records were created. (This may be different from the name of the office that is transferring the records.)</p> <p>Be sure to include and spell out any acronyms.</p> <p>If applicable, document any additional names for the program. Names change over time, and it helps when this is documented clearly.</p>
<p>Check: What formats are present in the transfer? Are any special media included?</p>	<p>Check to be sure the records' formats are identified and described correctly.</p> <p>NARA needs to know if the transfer includes large quantities of special media such as photographs, maps, oversized drawings, or blueprints, because NARA may need to take special actions to preserve and store those formats.</p>
<p>Document: Identify and discuss with NARA any digitized copies of the records.</p>	<p>Do these records exist in another format? For example, have they been digitized or microfilmed? If so, note the format(s) and location(s) of those alternate copies.</p> <p>If these alternate copies were not previously scheduled, discuss them with the Annual Move team as needed. If the schedule for the records is media neutral, discuss with the Annual Move team the proper format for transfer.</p>

Protect the records by checking and documenting restrictions

It is important to identify and document all restrictions. All agency-specified restrictions must comply with the exemptions in the Freedom of Information Act (FOIA). It can be difficult for NARA to determine and enforce restrictions if NARA does not receive current, correct information about the records from your agency.

To prepare each transfer for accessioning, you will need to do the following:

Step	Actions
<p>Coordinate: Coordinate with your agency team to identify and document restrictions.</p>	<p>Connect with the experts and resources you'll need to consult to determine what restrictions, if any, apply to the records. Depending on the records and your agency's procedures, you may need to work with your:</p> <ul style="list-style-type: none"> • FOIA team • Program staff • General Counsel • Declassification program <p>It may also help to talk with your Agency Records Officer and records management team, review information about similar transfers, and talk with colleagues in other programs and regional offices who deal with similar records.</p>
<p>Check and document: National Security Classification NA-14130, Classified Records Transfer Checklist</p>	<p>Declassification review prior to accessioning is required for all classified records. Proactive planning will help you ensure that eligible records are accessioned on time.</p> <p>Agencies must submit an NA-14130 - Classified Records Transfer Checklist documenting the results of their declassification review when proposing records in ERA.</p> <p>When it is time to complete the accessioning process, you will need to complete and include form NA-14130 with each transfer. Review the NA-14130 now to ensure that you will have the information you need when it is time to accession the records.</p> <p>Work with your agency's declassification program to ensure that the level of classification is identified properly. You must ensure that information about the records' classification is current and correct on all transfer documentation.</p>

Documenting restrictions, continued.

Step	Actions
<p>Check and document: RD/FRD status (Kyl-Lott review)</p>	<p>Work with your agency's declassification program to ensure that the records are reviewed for RD/FRD information. A Kyl-Lott memo will be required for each transfer of records. The memo must state that the records were reviewed by an HRRD-certified reviewer.</p>
<p>Check and document: Freedom of Information Act (FOIA) restrictions</p> <p>Resources</p> <ul style="list-style-type: none"> • Guide to the FOIA • ERA User Manual, section 7a.1d 	<p>Work with your program staff, declassification team, and FOIA program to identify and document all additional FOIA restrictions on the records.</p>
<p>Check and document: Privacy Act Information</p> <p>Resources</p> <ul style="list-style-type: none"> • Privacy Act 	<p>Are the records subject to the Privacy Act?</p> <p>Talk with program staff who work with the records to identify series which are subject to the Privacy Act.</p> <p>Consult with your agency's Privacy Act official.</p> <p>Note the number of the System of Records Notice (SORN) for the records. You will need the SORN information when completing the accessioning process for the records. While you are not required to submit a copy of the SORN(s), your agency's SORN(s) will help your agency and NARA identify all series where the Privacy Act applies.</p>
<p>Check and document: Other restrictions on future reproduction and use</p>	<p>In addition to access restrictions, are there any restrictions on how the records may be reproduced by researchers in the future, once the records are declassified?</p> <p>Common restrictions in this category include:</p> <ul style="list-style-type: none"> • Copyright restrictions • Trademark restrictions

Identify and prepare to include accurate finding aids and folder lists

Finding aids, including folder lists, play a critical role in NARA's ability to protect and provide access to records. Permanent records transfers must include a detailed folder list.

Reviewing this information now will help you ensure that you have the necessary documentation when each transfer is ready for accessioning.

Step	Actions
<p>Locate and plan to include: Finding aids for the records</p>	<p>Are there any indexes, databases, guides, or other tools that help you and your agency store, retrieve, and use the records? If so, identify them and plan to include a copy with the records.</p>
<p>Locate, review, update (as needed), and plan to include: Folder list for the transfer</p> <p>Resources</p> <ul style="list-style-type: none">• Finding Aid Requirements	<p>You will find more specific information about NARA's finding aid requirements on the Finding Aid Requirements webpage at archives.gov.</p> <p>Ensure that each transfer includes unclassified folder list information at the time of accessioning. NARA requires the information in order to accept the transfer. Your agency will also want to retain a copy of the list for future reference.</p> <p>Please include only unclassified information to identify the transfer contents. If some information regarding folder content cannot be released to the public, plan to provide a releasable and a non-releasable version of the list. Contact your accessioning archivist to discuss receipt of any non-releasable versions of folder lists.</p>