<u>**Direct Offer Guidance**</u>

In order to transfer your permanent records to NARA you must complete and submit a Transfer Request in ERA (or an SF 258 if special circumstances merit use; see the ERA Frequently Asked Questions for more details). Please be sure to complete the following, in addition to all ERA system requirements as indicated by a red asterisk (*) on the Transfer Request form. ERA system requirements are further explained in the Agency ERA User Manual (http://www.archives.gov/records-mgmt/era/agency-user-manual.pdf).

Legacy Schedules (SF 115 Schedules):

If your agency plans to accession permanent records associated with a **Legacy Records Schedule**, follow these instructions:

In order to create a **Transfer Request** in ERA, the user must select the disposition authority for the records. Not all currently approved disposition authorities have been entered into ERA. NARA Records Management Services (ACNR) is responsible for systematically entering legacy disposition authorities into ERA. When preparing to transfer records, check ERA for the Legacy Records Schedule Item. If it is not in ERA ACNR will enter legacy disposition authorities upon request.
To request entry of a legacy disposition authority:

> ➢ *Send your request via email to: legacy.schedule@nara.gov. Your request must be a complete disposition authority citation (NARA job number and item number). We will not accept manual citations.* Please see page 51 of the ERA Agency User Manual for further details.

Transfer Group Description:

This field should contain a simple title, not Major/Minor Subdivision offices or a historical synopsis.

Major/Minor Subdivisions (not required fields):

These fields should consist of the offices under which the records being transferred were created, **NOT** the Records Management offices transferring the records. Only complete these fields if the information is known.

Access Restrictions:

The **Access Restriction*** is a required section and provides information about whether the records being offered for transfer are unrestricted or restricted, such as security classified or subject to other FOIA access restrictions.

Access Restriction Status* field allows you to identify if the records transfer is Unrestricted, Restricted-Fully, Restricted Partly, Restricted-Possibly, or Undetermined.

- ❖ Note: Please, only choose Restricted-Fully, Restricted-Partly, or Unrestricted.
- ❖ Note: Please appropriately identify Controlled Unclassified Information (CUI) with the appropriate FOIA (b)(2) - (b)(9) restriction(s).
- ❖ **RD/FRD Records: Please identify records containing <u>RD/FRD </u>by selecting the appropriate**:
    - ▪ **Access Restriction Status:** Restricted-Fully
    - ▪ **Specific Access Restriction(s):** National Security FOIA (b)(1) and Statute FOIA (b)(3) (and any other applicable restriction)
    - ▪ **Security Classification:** Restricted Data/Formerly Restricted Data (and any other applicable security classification).
    - ▪ **Special Marking:** 42 USC 2162(a)(RD) 42 USC 2168(a)(1)(C)(FRD), Information Regarding Atomic Energy; Restricted and Formerly Restricted Date (A.E. Act of 1954)

Restricted-Fully: *All* records in this transfer are restricted.	NATIONAL SECURITY CLASSIFIED - Records are security classified (Confidential, Secret, Top Secret, SCI) - Records have been declassified in full for your agency, but other agency equities are present, indicate the highest level *Security Classification* on the TR. - Complete NA Form 14130—Classified Transfer Check List and attach to the TR. FOIA EXEMPTIONS B2 through B9 - If some records are subject to FOIA (b2) – (b)(9) but you cannot identify those records within a specific box. Also choose appropriate *Specific Access Restriction*. PRIVACY ACT - If records are subject to the Privacy Act please complete the required associated fields, identify the records as Restricted—Fully and choose FOIA (b)(6) as the specific restriction, in addition to any other applicable restriction.
Restricted-Partly: *Some* records in this transfer are restricted.	- **DO NOT CHOOSE THIS STATUS IF RECORDS ARE SECURITY CLASSIFIED —EVEN IF RECORDS ARE DECLASSIFIED IN PART.** - Identify the records in the attached folder unit/box list, or electronic index and supply the restriction. - Only the identified boxes or electronic files will be restricted from public access until reviewed by NARA's Special Access/FOIA staff. Boxes or electronic files not identified as restricted will be made fully available to the public upon completion of accession.
Restricted-Possibly:	- Some records in this transfer may be restricted. Do not select this option for textual records.
Unrestricted: Records in this transfer are not restricted.	- All records are unrestricted - Records Declassified in Full: If your agency has declassified a records set in full, no other agency equities exist, and no referrals, exclusions, or exemptions are tabbed then the records are considered declassified/unrestricted. In this instance please select Access Restriction Status of Unrestricted. - Complete form NA-14130—Classified Transfer Check List and attach to the TR.

Classified Information:

ERA is an unclassified system. However, a Transfer Request should be completed for classified records transfers. Keep in mind that no classified information may be included in ERA, particularly box/folder titles. Please include only unclassified information to identify box/folder titles.

The form NA-14130 should also accompany all classified and declassified records Transfer Requests as an attachment.

Location of Records:

The **Current Physical Location of Records** is a required area that contains information about the location of the records.

The **Agency Location** field allows you to select whether the records are coming directly from an agency location, a commercial records center, or a FRC.

 ➢ *Select Yes to display the **Agency Name and Address** field.*

 ➢ *Select No to display the **Location** and **Current Custodial Unit** fields.*

 ➢ If records are located at a Federal Records Center (FRC) always select *No.*

The **Destination Physical Location of Records** area contains information about the destination of the records.

 ➢ *Select a NARA facility such as Archives II, College Park, MD from the **Location** field.*

 ➢ *In the **Destination Custodial Unit** field select the specific NARA custodial unit to which the records will go, such as NWCT2P, Archives II Processing Section.*

Attachments:

Attach documentation pertinent to the records such as finding aids (folder title lists), memoranda, letters, or correspondence related to the transfer. Finding aid information provided should include sufficient detail to describe the body of records being transferred.

A finding aid is required for all Direct Offers and must be attached to the TR at the time of submission to NARA. An Excel spreadsheet is the preferred format.

 ➢ Please include the TR number in the Attachment title, e.g. TR-0313-2011-0007_boxlist.xls

Physical Media Type & Quantity:

For textual records transfer only:

 ➢ If you are transferring 25 containers of paper records place **25** in the **Quantity** field and select **Paper** in the **Transfer Media Type** field.

 ➢ If you are transferring 25 containers of microform place **25** in the **Quantity** field and select **Microform** in the **Transfer Media Type** field

Rejected TRs:

A TR may be returned to Draft status by NARA if we identify discrepancies with information. You will receive an ERA system or e-mail notification. The reason(s) why a TR is rejected will appear in the **Rejection Comment** field at the bottom of the **General Information** tab. Please review this information before contacting your accessioning POC. In such cases, the TR can be resubmitted to NARA after cited discrepancies are addressed.

Please contact your Textual Accessioning POC or either A2accessions@nara.gov or A1accessions@nara.gov with any questions.