

## Transfer Request: General Information - Access Restrictions

The **Access Restrictions** section allows you to choose one of three **Access Restrictions status options**. Subsequent steps change based on your selection. Specific instructions for each option appear on the next page(s).



**Access Restrictions**

**Required Field\***

**Access Restriction Status \***

- Select -

**Are Records Subject to the Privacy Act? \***

Yes  No

**Are records subject to Controlled Unclassified Information (CUI) controls? \***

Yes  No

*Figure 1 Accession Restrictions section with Accession Restriction Status circled*

**Access Restrictions Status options** in ERA 2.0 include:

**Unrestricted** - The records are available for public release.

**Restricted-Partly** - Some records in a transfer are restricted from public release but others are not.

**Restricted-Fully** - The entire transfer is restricted from public release.

## Unrestricted Status

If you select **unrestricted** in the **Access Restrictions Status** drop down menu, there are no additional screens.

[Click here to move on to instructions for handling the questions on the Privacy Act and CUI.](#)

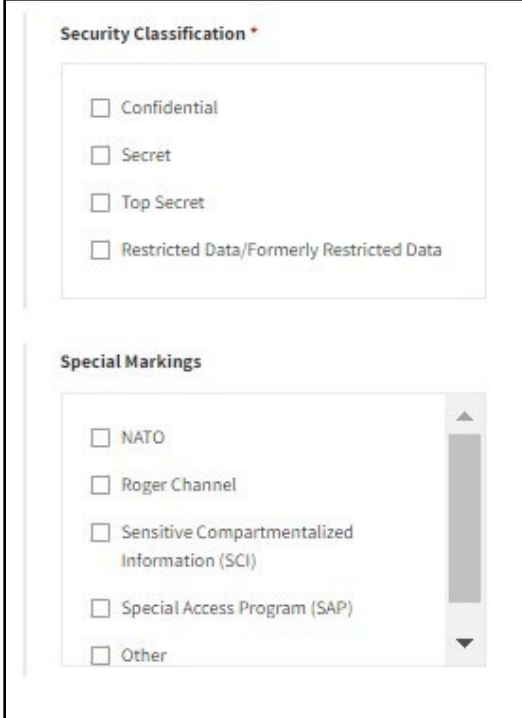
## Restricted Partly and Restricted Fully Status

If you select **Restricted Partly** or **Restricted Fully** in the **Access Restrictions Status** drop-down menu, the **Specific Access Restriction** drop-down menu displays.

Select all **options** that apply.

## FOIA (b)(1) Security Classification and Special Markings

**If** you select **FOIA (b)(1)**, the **Security Classification** and **Special Markings** menus appear as shown below.



The screenshot shows a web form with two sections. The first section, titled "Security Classification", contains four checkboxes: Confidential, Secret, Top Secret, and Restricted Data/Formerly Restricted Data. The second section, 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 section.

Figure 2 Security Classification and Special Markings Menu

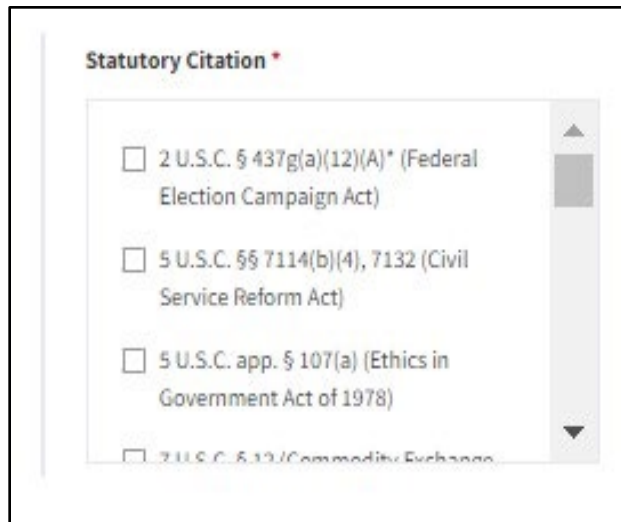
Under **Security Classification**,

1. Click the **box** next to the **highest national security classification level present** in the transfer.
2. Click the **box** next to **Restricted Data/Formerly Restricted Data** if it applies.

Under **Special Markings**,

1. Select **applicable national security special handling restrictions**.

**Note:** If you select **FOIA (b)(3)**, the **Statutory Citation** menu appears. Select the **appropriate citation**.



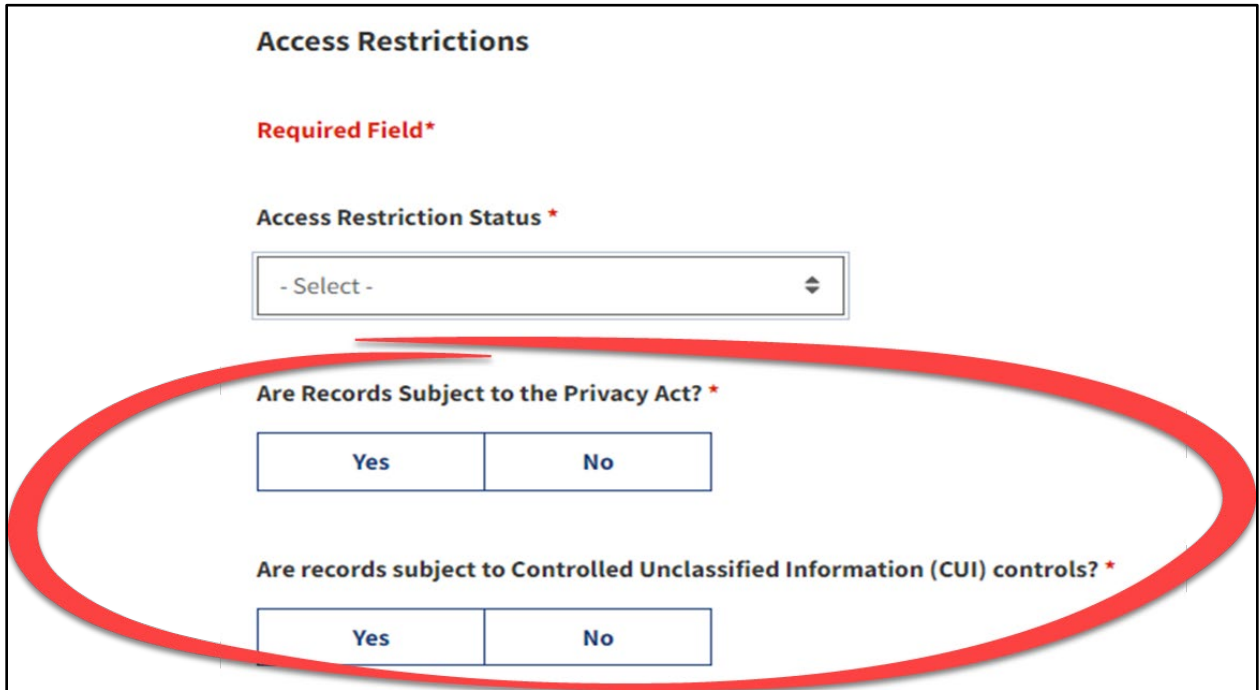
*Figure 3 Statutory Citation Menu*

## Restriction Note

If you select **Restricted Partly** or **Restricted Fully**, the **Restriction Note** field appears at the bottom of the page. Use this **optional** field to enter contextual information about the access restriction.

## Privacy Act and CUI Questions

The Privacy Act and CUI questions are yes/no questions that appear after the **Access Restrictions status options**. Everyone must respond to these questions regardless of what status is selected.



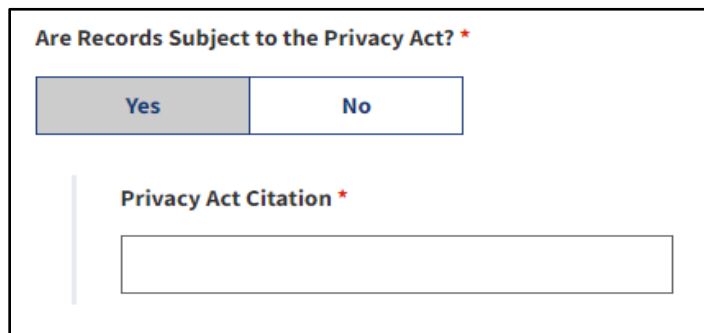
The screenshot shows a form titled "Access Restrictions". Below the title is a red "Required Field\*" label. The first question is "Access Restriction Status \*" with a dropdown menu showing "- Select -". Below this are two questions, each with "Yes" and "No" buttons, circled in red:

- "Are Records Subject to the Privacy Act? \*" with "Yes" and "No" buttons.
- "Are records subject to Controlled Unclassified Information (CUI) controls? \*" with "Yes" and "No" buttons.

Figure 4 Accession Restrictions section with Privacy Act and CUI questions circled

## Privacy Act

If you select **Yes**, you are indicating that a System of Record Notice (SORN) has been published in the Federal Register for the records included in the Transfer Request. A new field will appear.



The screenshot shows the "Are Records Subject to the Privacy Act? \*" question with the "Yes" button selected. Below it is a "Privacy Act Citation \*" field with an empty text input box.

Figure 5 Privacy Act Citation Subfield

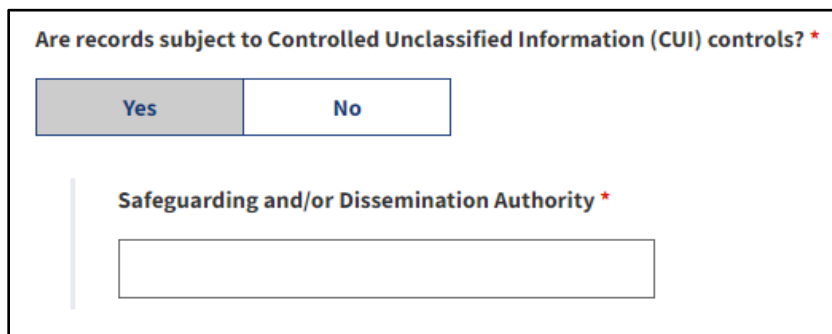
Enter the specific Privacy Act Citation details in the new sub-field.

The Privacy Act Citation consists of the Agency System Number, Federal Register Volume, and Federal Register Page Number for the Agency System of Record Notice (SORN).

## Controlled Unclassified Information (CUI)

If you select **Yes**, on the CUI question, you must enter the Safeguarding and/or Dissemination Authority entity for your agency in the field that appears.

**Note:** [Additional guidance on how to locate this information is found on the next page.](#)



Are records subject to Controlled Unclassified Information (CUI) controls? \*

Yes  No

Safeguarding and/or Dissemination Authority \*

*Figure 6 Safeguarding and/or Dissemination Authority*

After selecting your **Accession Restrictions status** and answering the **Privacy Act** and **CUI questions** (and all resulting questions that result), click the **Next** button.

The **Location** section appears.

## CUI Safeguarding and/or Dissemination Authority

Use the following steps to locate the appropriate CUI Safeguarding and/or Dissemination Authority:

1. Go to the [CUI Registry web page](#) in your web browser.
2. Locate and click the appropriate **Category** in the **Organizational Index Grouping** column that applies to your records. The category page will open.
3. **Scroll down** to view the Safeguarding and/or Dissemination Authority entry.

Remember to go back and input ***the proper authority*** into the **ERA 2.0 Safeguarding and/or Dissemination Authority field**.

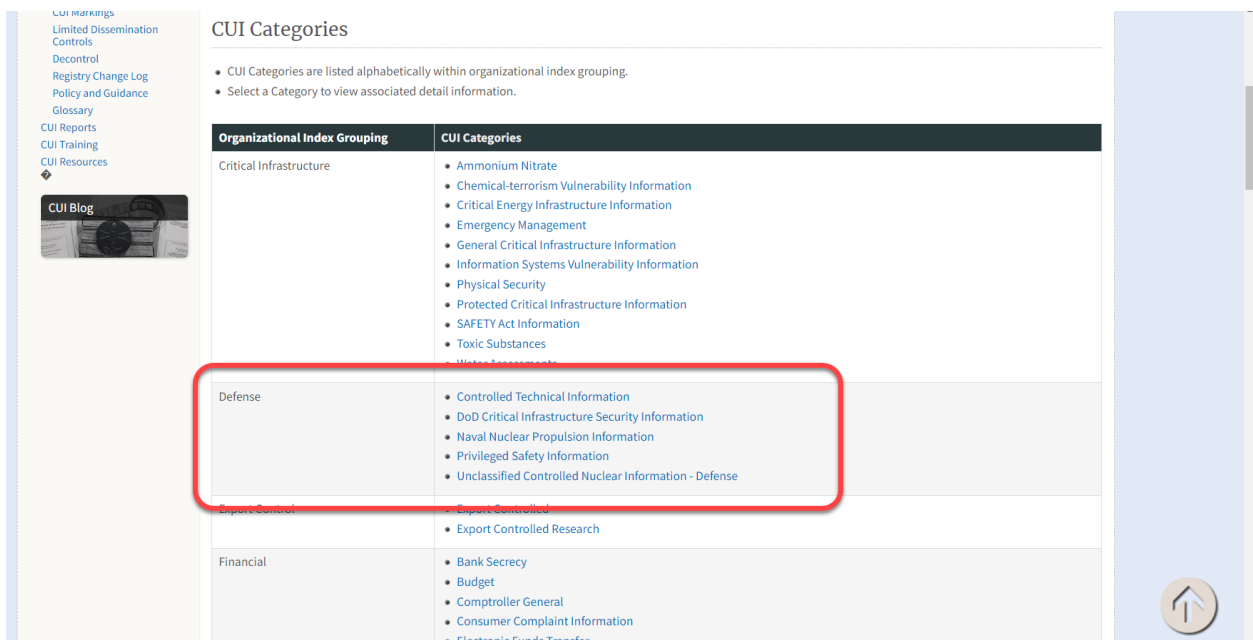



Figure 7 CUI Registry Web Page – Organization Index Grouping (Defense)



## Transfer Request: General Information: Access Restrictions


Notes for Safeguarding, Dissemination and Sanction Authorities:

- Whether CUI is Basic or Specified is determined by the applicable Safeguarding and/or Dissemination Authority for that CUI.
- Each "Safeguarding and/or Dissemination Authority" citation links to the statute, regulation or government-wide policy authorizing the control of that information as CUI.
- Each "Sanctions" authority links to the statute, regulation or government-wide policy that includes penalties for CUI misuse of CUI for the associated "Safeguarding and/or Dissemination Authority" on the same line.

Safeguarding and/or Dissemination Authority	Basic or Specified	Banner Marking	Sanctions
<a href="#">P.L. 115-232 (FY 2019 National Defense Authorization Act) Section 1087(j) </a>	Basic	CUI	
<a href="#">10 USC 184 - Joint Safety Council</a>	Basic	CUI	

Authority links are updated based on regular re-publication of the United States Code and Code of Federal Regulations, and the CUI Registry maintenance schedule.

 PDF files require the [free Adobe Reader](#).  More information on Adobe Acrobat PDF files is available on our [Accessibility page](#).



*Figure 8 Safeguarding and/or Dissemination Authority Entries*