ARCIS

Archives and Records Centers Information System

RECORDS TRANSFERS

USER'S MANUAL

February 10, 2012

ARCIS | *Archives and Records Centers Information System*

FEDERAL RECORDS CENTERS
of the National Archives and Records Administration

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Chapter 1

Overview of Records Transfers

1.1 Introduction to Records Transfers

1.1.1 What Is a Records Transfer?

The process of sending records to a Federal Records Center (FRC) for temporary storage is known as **transferring** the records, and a group of related records sent together is called a **transfer.**

The transfer is assigned a **transfer number** so that it can be tracked precisely while at the FRC.

The ARCIS **Records Transfers** module allows you to electronically fill out and submit records transfer requests and to track the status of the transactions online. It also allows you to look up information about transfers that are already being stored at an FRC.

1.1.2 Transfers vs. Accessions

Formerly, the records you sent to an FRC for temporary storage were called "accessions" and were given "accession numbers."

The launch of ARCIS has brought some changes in terminology. These changes standardize the way different categories of records are referred to and help differentiate records owned by your agency from records that have become permanent holdings of the National Archives.

The term "accession" is now reserved exclusively for records that have become permanent holdings of the National Archives. The process of taking such records into the National Archives is known as **accessioning.**

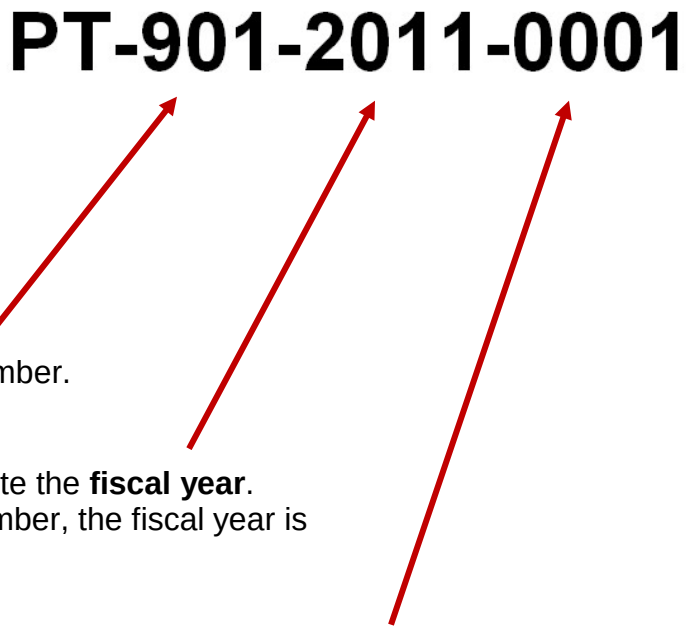
The term **"transfer"** is now used for agency-owned records that are sent to an FRC for temporary storage.

1.1.3 Transfer Numbers in ARCIS

The launch of ARCIS has also brought some changes to the structure of transfer numbers (formerly known as “accession numbers”). These changes standardize numbering across the entire Federal Records Centers system and ensure that each transfer has its own unique number in ARCIS.

ARCIS-Born Transfer Numbers

The transfer number for any **ARCIS-born transfer**—that is, a transfer created since the launch of ARCIS—consists of four parts.



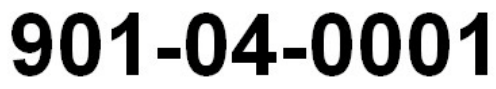
1. The first two characters—**PT**—stand for “Physical Transfer.”
2. The next three characters indicate the **record group** number.
3. The next four characters denote the **fiscal year**. In an ARCIS-born transfer number, the fiscal year is always four digits.
4. The final four characters are the ARCIS-generated **transfer sequence number**. If, for example, the number is 0001, that means this was the first transfer from that record group for that fiscal year.

Legacy Transfer Numbers

A **legacy transfer** is any transfer that was created using the legacy system NARS-5, before the launch of ARCIS. Your pre-ARCIS "accessions" are now legacy transfers in ARCIS.

Legacy transfer numbers look slightly different from the ARCIS-born transfer numbers described above—and slightly different from how accession numbers used to look.

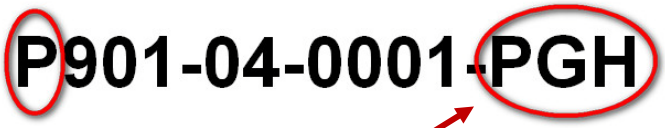
The former **NARS-5 accession numbers** consisted of three parts:



1. **Record group**
2. **Fiscal year**, expressed as a two-digit number.
3. **Transfer sequence number**

Under this system, the same accession number could be used for different accessions stored in different FRCs across the country.

In ARCIS, these numbers have become **legacy transfer numbers**. They have some additional information at each end, to ensure that each number is unique.



1. The first character is a **facility code** that signifies the records center in which the transfer was stored when ARCIS launched.
2. The final three characters are a **unique identifier** that was generated by NARS-5. (If there was no identifier generated by NARS-5, the last three characters will not appear.)

When looking for a legacy transfer in ARCIS, you need to know the facility where the records were stored when ARCIS launched, and you need to pay attention to the facility code (see chart below) at the beginning of the legacy transfer number.

NOTE: If your records were relocated between the time you sent them to an FRC and the time ARCIS launched, your agency will have received a **Notice of Accession Location Change.** Refer to the facility information on file at your agency.

With the launch of ARCIS, you no longer have to keep track of the location of your records. ARCIS automatically tracks the location of every transfer, even if the transfer is relocated to a different facility.

Here is a complete list of **FRC facility codes used in legacy transfer numbers**:

Atlanta	**A**	Pittsfield	**Q**
Boston	**B**	Riverside	**L**
Chicago	**C**	San Bruno	**S**
Dayton/Kingsridge	**D**	Seattle	**T**
Denver	**V**	St. Louis (MPR)	**X or Y**
Ft. Worth	**F**	St. Louis (CPR)	**U or R**
Lee's Summit/Lenexa	**K**	Suitland (WNRC)	**W**
Philadelphia	**P**		

1.2 The Records Transfer Workflow

1.2.1 Workflow Basics

The basic flow of the records transfer process in ARCIS is the same as it was pre-ARCIS:

1. **Your agency submits a form** to the FRC, requesting approval to transfer a group of records.
2. **The FRC reviews the form** to be sure that it is complete and accurate.
3. **The FRC approves the request** to transfer records.
4. **You send the records** to the FRC.

Before ARCIS, you would have started this process by filling out a paper form called an **SF 135**. The form collected information that the FRC needs in order to store and handle the records properly, track their lifecycle, and ensure that the records are dealt with correctly at the end of their lifecycle.

Now, you provide the same information electronically by filling out a **records transfer form** in ARCIS. The FRC reviews the form in ARCIS and approves the request.

ARCIS currently does not have the capability of sending automatic notifications, so the FRC will contact you by phone, e-mail, or regular mail to let you know that your request has been approved. (You can also check the status of your transaction in ARCIS. As soon as the request is approved, the status will change to “Approved.”)

Once the request is approved, you can send the records to the FRC.

1.2.2 Your Agency's Internal Workflow

Your agency may also have its own internal review and approval process that must take place **before the records transfer form is submitted to the FRC.**

In the paper world, you may have had an internal workflow in which different agency personnel played as many as four different roles:

1. One person—for example, a data entry clerk—may have **filled out the SF 135**.

2. Another person—perhaps the one who created the records—may have **appeared in the Agency Contact field** as the person with primary responsibility for the transfer—that is, the person the FRC staff would contact if they had questions to ask about the records or information to share about the status of the transfer.

AGENCY CONTACT	TRANSFERRING AGENCY LIAISON
	JONATHAN GOODWIN

3. A third person—possibly the division's records manager—may have **approved the completed SF 135** before it was sent to the FRC.

4. And yet another person—most likely the agency's records officer—may have **appeared in the Agency Transfer Authorization field** as the official responsible for authorizing the transfer of agency records to an FRC.

AGENCY TRANSFER AUTHOR-IZATION	TRANSFERRING AGENCY OFFICIAL
	Susan Adams

Now, since the form is filled out in ARCIS, **your agency's internal workflow is also managed within ARCIS.**

1.2.3 The Roles on an ARCIS Transfer

Your agency's internal workflow is controlled in part by the **roles** identified on an ARCIS records transfer form.

There are four roles listed on the form. These roles correspond exactly to the ones listed in section 1.2.2:

1. **Creator:** This is the person who created the transfer—that is, filled out the records transfer form in ARCIS.

2. **Agency Contact:** This is the person at your agency who knows about the records and is responsible for answering any questions or receiving any information from the FRC. As the responsible party, this person can edit the records transfer form even if it was created by someone else. (The Agency Contact may or may not be the same person who created the transfer.)

3. **Agency Approver:** This is the person at your agency who is responsible for approving the transfer and submitting it to the FRC. (The Agency Approver may or may not be the same person who created the transfer.)

4. **Agency Official:** This is the official at your agency who authorizes the transfer of agency records to the FRC. Typically, this is the agency records officer.

Whether or not someone can carry out a role in ARCIS is determined by what's been assigned in the user's **profile.**

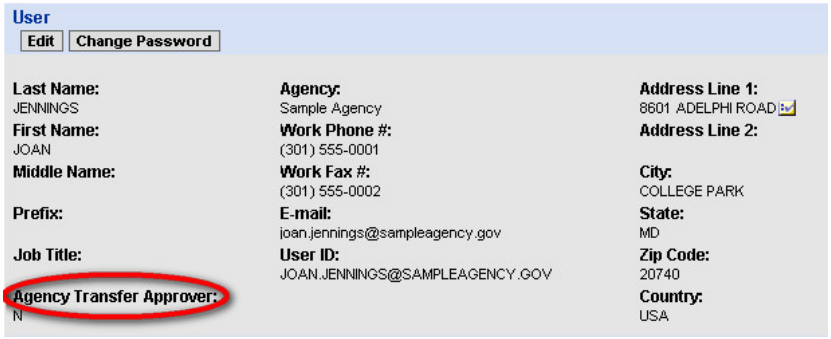
1.2.4 Profiles, Capabilities, and Links

About profiles

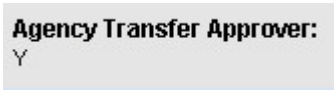
Every ARCIS user has a profile that specifies what the user can see and do in ARCIS.

To view your own profile, click the **Personal Profile** link at top right of any ARCIS page.

The top section of the profile includes basic information, such as your contact information. It also includes one item that relates to the records transfer workflow: the heading **Agency Transfer Approver.**



Under the heading, you'll see "Y" (for "Yes") if you are an approver, "N" (for "No") if you are not.



You must be designated as an agency transfer approver in order to approve **other people's** records transfer forms, **OR** to submit **your own** records transfer forms without anyone else's approval.

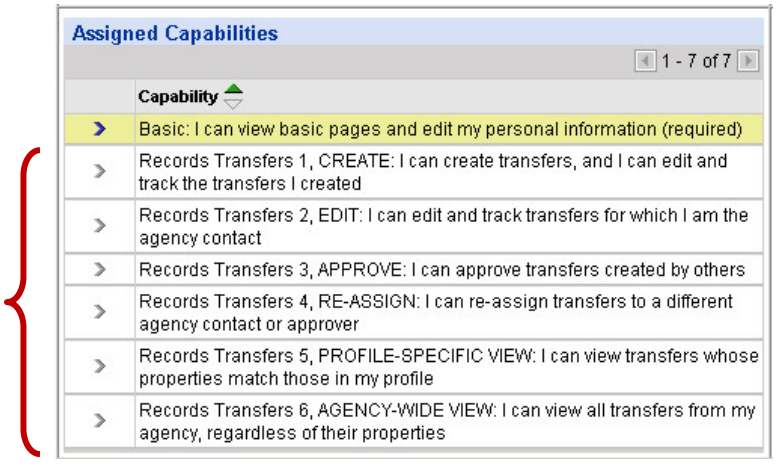
In order to approve **other people's** records transfer forms, you **ALSO** need to have the right **capability** assigned.

About capabilities and links

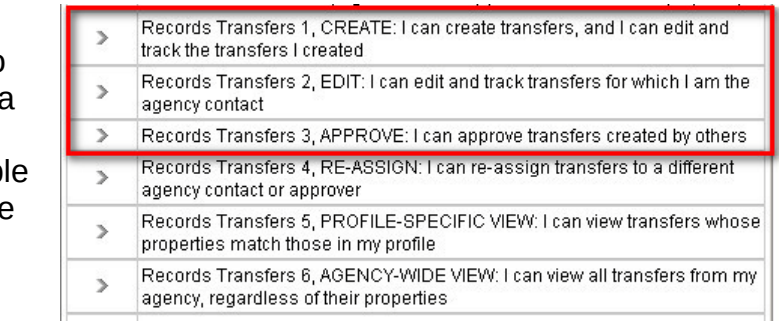
The capabilities in a user's profile determine exactly **what a user can do in the ARCIS system.**

In the bottom section of your profile, you'll find a list of all the capabilities that have been assigned to you.

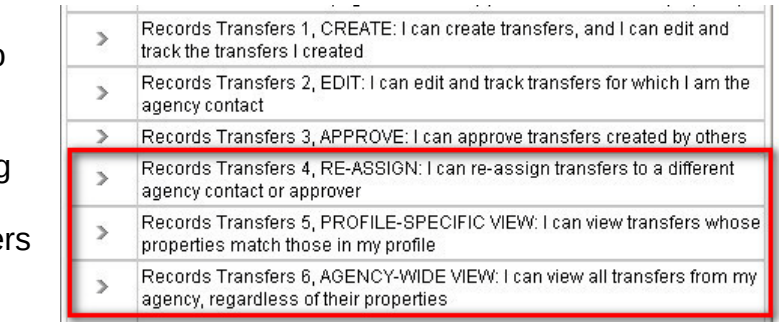
In the example at right, the user has been assigned all six of the capabilities having to do with records transfers. (The user has also been assigned the "Basic" capability, which is required for all users.)



The first three Records Transfer capabilities relate to the roles a user can play on a records transfer—creating it, editing it (a capability available to the person identified as the **agency contact**), and approving it.

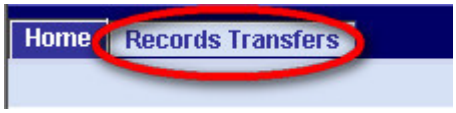


The last three Records Transfer capabilities relate to other tasks a user can carry out in the Records Transfer module, such as re-assigning transfers to other agency personnel, or viewing transfers that were created by other people.



The capabilities assigned to a user determine exactly what tabs and links that user sees in ARCIS. These tabs and links in turn determine what pages a user can access and, therefore, **what tasks a user can carry out**.

If a user has been assigned any Records Transfers capabilities, the Records Transfers **tab** will be visible, and the user will be able to access the Records Transfers menu page.



Here is how the six Records Transfers capabilities correspond to the **links** on the Records Transfers menu page. All possible links are seen on the page. **A user would see all of the links ONLY if all of the capabilities had been assigned in the user's profile.**

Chapters 2 through 6 describe how to create, edit, approve, reassign, and view records transfers.

NOTE: You can always see what capabilities have been assigned to you by checking your Personal Profile. If you believe you that you are missing capabilities that you need, contact an ARCIS user administrator at your agency.

1.2.5 Sample Workflows

ARCIS has been designed to accommodate a wide variety of agency workflows, from simple to complex**.** Here are some sample ARCIS workflows:

1) **In a small agency or office**, one person (Person A) may handle the whole process from beginning to end.

   Person A serves as the **creator, agency contact**, and **approver** for the transfer.

   - Person A simply fills out the transfer form and submits it to the FRC herself. If FRC staff have any questions about the transfer, they contact Person A. No other personnel are involved.

2) **In a mid-sized agency or office,** people may have somewhat more specialized roles. One person (Person A) may be mostly responsible for the transfer, but another person (Person B) may need to approve the form and submit it to the FRC.

   Person A serves as the **creator** and **agency contact.** Person B serves as the **agency approver.**

   - Person A fills out the transfer form and forwards it to Person B.
   - Person B approves the form and submits it to the FRC. After that, Person B's job is done.
   - If FRC staff have any questions about the transfer, they contact Person A.

3) **In another mid-sized agency or office,** one person (Person A) may do just the data entry for records transfers. Another person (Person B) may be responsible for knowing about the records and submitting the form to the FRC.

   Person A serves as the **creator**. Person B serves as the **agency contact** and **agency approver.**

   - Person A fills out the transfer form.
   - Person B can view and edit the form at any time during its development. When satisfied with the form, Person B submits it to the FRC. If FRC staff have any questions about the transfer, they contact Person B.

4) **In a large agency or office,** the roles may be highly specialized. One person (Person A) may do just the data entry for records transfers. Another person (Person B) may be responsible for knowing about the records. A third person (Person C) may need to approve the form and submit it to the FRC.

   Person A serves as the **creator**. Person B serves as the **agency contact.** Person C serves as the **agency approver.**

   - Person A fills out the transfer form.
   - Person B can view and edit the form at any time during its development. When satisfied with the form, either Person A or Person B forwards it to Person C
   - Person C approves the form and submits it to the FRC. After that, Person C's job is done.
   - If FRC staff have any questions about the transfer, they contact Person B.

Chapters 2 through 4 will describe how to create, edit, and approve a records transfer.

1.3 Records Transfers and Access Control

1.3.1 Why Access Control?

In a small agency, or in an agency with very few ARCIS users, it may be OK for any ARCIS user to deal with any records transfer. In other words, any user may work on or view any records transfer form, and any user may submit a reference request for those records once the records are stored at the FRC.

In most agencies, however, access needs to be controlled more tightly. For example, certain users may be permitted to transfer records only from particular record groups and charge accounts, and may permitted to submit reference requests for records only from particular record groups and charge accounts.

Access control helps your agency manage which ARCIS users can work with what records within in the ARCIS system.

NOTE: If your agency has chosen not to use access control, this section of the guide does not apply to you.

1.3.2 How Access Control Works

As explained in section 1.2.4, **every user has a profile that specifies what the user can see and do in ARCIS.**

Section 1.2.4 described **capabilities**, which determine **what tasks** a user can perform in ARCIS.

A user's profile also includes **access rights,** which determine **what records** a user can perform those tasks on.

Every **records transfer** is assigned certain properties:

- The **Record Group** the transfer belongs to
- The **Records Center** the transfer was sent to
- The **Charge Account** that will be charged for storage and services
- The **Security Classification** level of the transfer

Every ARCIS **user** has a parallel set of access rights assigned in the user profile:

- The **Record Group(s)** from which the user can transfer and/or request records
- The **Records Center(s)** to which the user can transfer records and/or from which the user can request records
- The **Charge Account(s)** from which the user can transfer and/or request records
- The **Security Classification** level(s) from which the user can transfer and/or request records

> **NOTE:** There are also optional properties that an agency may use to identify transfers and users. If your agency has chosen to use these properties, your records manager will let you know. Information about these properties is found in section 2.2.4 of this guide.

Access rights work like a filter. ARCIS compares the properties of the transfer to the properties of the user to be sure there is an exact match.

- A user can only **create records transfers** that have properties matching the ones in the user's profile.
- A user can only **submit reference requests** for transfers that have properties matching the ones in the user's profile.

1.3.3 Assigning Access Rights to a Transfer

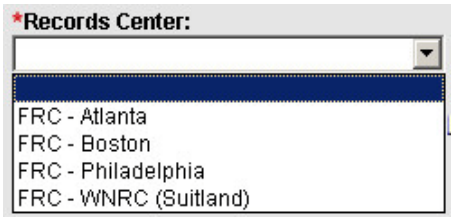
When you create a records transfer in ARCIS—that is, when you fill out the records transfer form—**you assign properties to the transfer that will determine who will be able to handle that transfer in the future.**

In other words, you determine what ARCIS users at your agency will be able to work on or view the records transfer form, and you determine what ARCIS users will be able to submit reference requests for those records. Only users whose profile properties match the properties of the transfer will be able to deal with that transfer.

The properties that you can assign are determined, in turn, by your own profile.

When you fill out any form in ARCIS—either a records transfer form or a reference request form—you select items from lists and menus. **The lists and menus will contain only the options that match those in your profile.**

In this example from the **Records Transfer** form, the user has been granted the right to transfer records to only four records centers, so only those records centers appear in the **Records Center** menu.



The user chooses to send this transfer to the Boston records center.

In the future, the only users who will be able to handle this transfer are ones who have been assigned access rights for that records center.

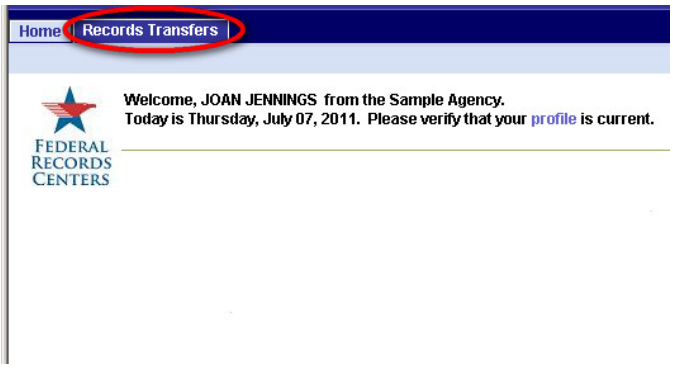
NOTE: You can always see what access rights have been assigned to you by checking your Personal Profile. If you believe you that you are missing access rights that you need, contact an ARCIS user administrator at your agency.

Chapter 2

Creating a Records Transfer

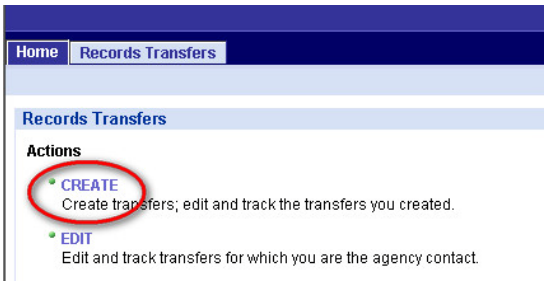
2.1 Getting Started

If you have been assigned any capabilities relating to records transfers, the **Records Transfers** tab will appear at the top of the ARCIS home page (as well as at the top of all other ARCIS pages).



Click the tab to go to the Records Transfers main page.

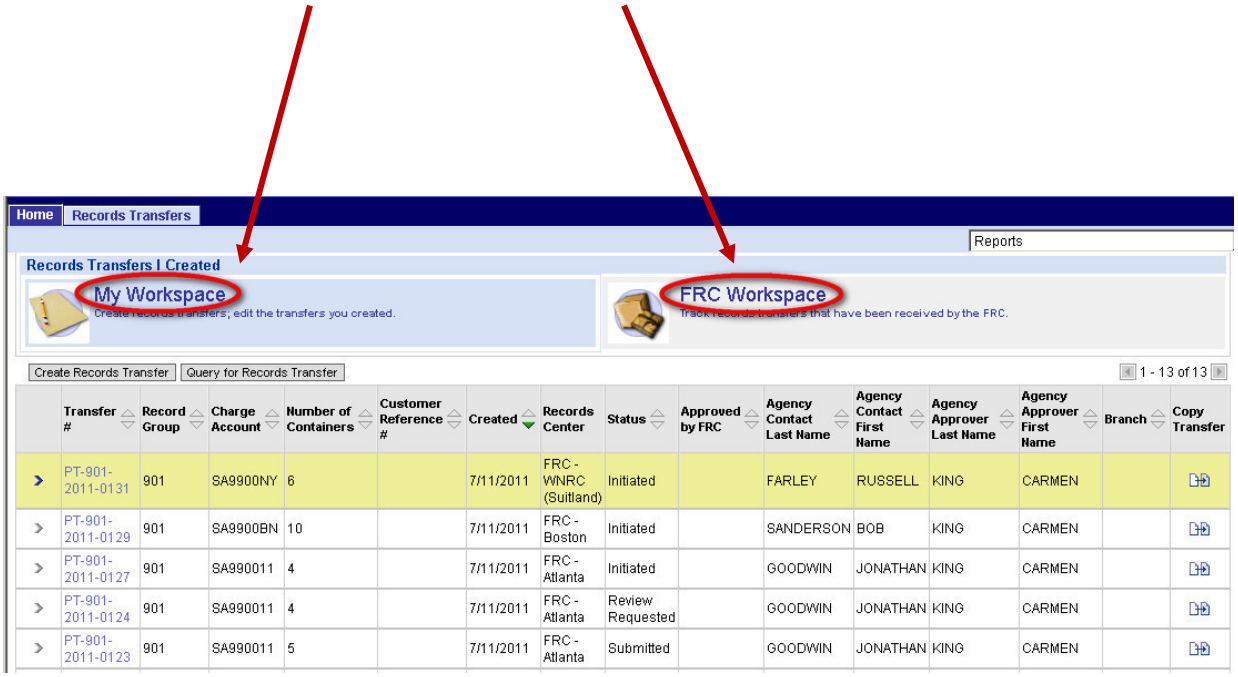
If you have been assigned the specific capability of creating records transfers, you will see the **CREATE** link on the Records Transfers main page.



Click the link to go to the **Records Transfers I Created** page.

2.1.1 The "Records Transfers I Created" Page

The **Records Transfers I Created** page displays information in two different views—**My Workspace** and **FRC Workspace.**

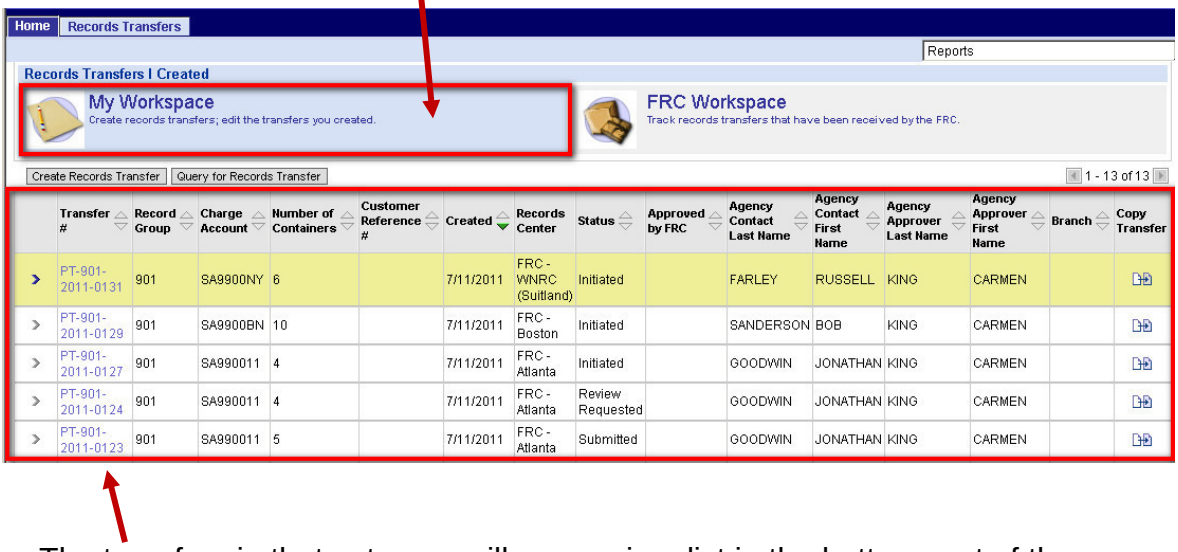


	Transfer #	Record Group	Charge Account	Number of Containers	Customer Reference #	Created	Records Center	Status	Approved by FRC	Agency Contact Last Name	Agency Contact First Name	Agency Approver Last Name	Agency Approver First Name	Branch	Copy Transfer
>	PT-901-2011-0131	901	SA9900NY	6		7/11/2011	FRC - WNRC (Suitland)	Initiated		FARLEY	RUSSELL	KING	CARMEN		
>	PT-901-2011-0129	901	SA9900BN	10		7/11/2011	FRC - Boston	Initiated		SANDERSON	BOB	KING	CARMEN		
>	PT-901-2011-0127	901	SA990011	4		7/11/2011	FRC - Atlanta	Initiated		GOODWIN	JONATHAN	KING	CARMEN		
>	PT-901-2011-0124	901	SA990011	4		7/11/2011	FRC - Atlanta	Review Requested		GOODWIN	JONATHAN	KING	CARMEN		
>	PT-901-2011-0123	901	SA990011	5		7/11/2011	FRC - Atlanta	Submitted		GOODWIN	JONATHAN	KING	CARMEN		

- **My Workspace** displays transfers that you have created **and** that are still under development at your agency. Transfers stay in this list until the boxes of records are received by the FRC.

- **FRC Workspace** displays transfers that you have created **and** that have already been received by the FRC. Transfers that are being stored at the FRC appear in this list.

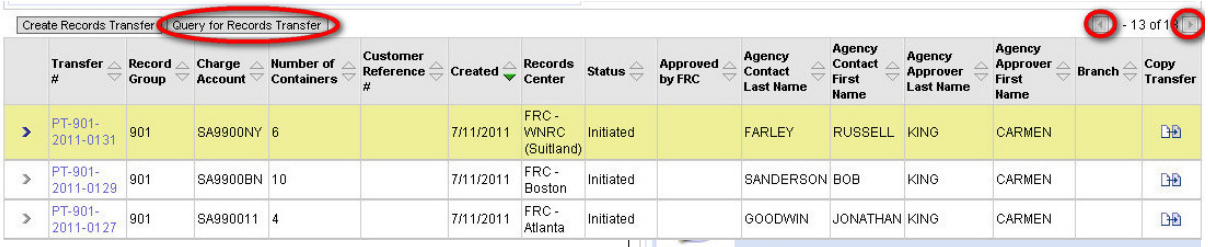
Clicking the name or the icon for either view will display the transfers currently in that category. The view name will be shaded blue to show that it's selected.



	Transfer #	Record Group	Charge Account	Number of Containers	Customer Reference #	Created	Records Center	Status	Approved by FRC	Agency Contact Last Name	Agency Contact First Name	Agency Approver Last Name	Agency Approver First Name	Branch	Copy Transfer
>	PT-901-2011-0131	901	SA9900NY	6		7/11/2011	FRC - WNRC (Suitland)	Initiated		FARLEY	RUSSELL	KING	CARMEN		
>	PT-901-2011-0129	901	SA9900BN	10		7/11/2011	FRC - Boston	Initiated		SANDERSON	BOB	KING	CARMEN		
>	PT-901-2011-0127	901	SA990011	4		7/11/2011	FRC - Atlanta	Initiated		GOODWIN	JONATHAN	KING	CARMEN		
>	PT-901-2011-0124	901	SA990011	4		7/11/2011	FRC - Atlanta	Review Requested		GOODWIN	JONATHAN	KING	CARMEN		
>	PT-901-2011-0123	901	SA990011	5		7/11/2011	FRC - Atlanta	Submitted		GOODWIN	JONATHAN	KING	CARMEN		

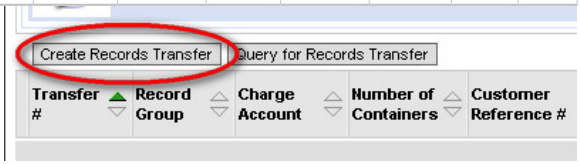
The transfers in that category will appear in a list in the bottom part of the page.

If you are looking for a particular transfer that you created, and if there are more transfers than can be displayed on one page, use the **Query for Records Transfer** button to search for the transfer, or use the arrow buttons to browse from page to page.



	Transfer #	Record Group	Charge Account	Number of Containers	Customer Reference #	Created	Records Center	Status	Approved by FRC	Agency Contact Last Name	Agency Contact First Name	Agency Approver Last Name	Agency Approver First Name	Branch	Copy Transfer
>	PT-901-2011-0131	901	SA9900NY	6		7/11/2011	FRC - WNRC (Suitland)	Initiated		FARLEY	RUSSELL	KING	CARMEN		
>	PT-901-2011-0129	901	SA9900BN	10		7/11/2011	FRC - Boston	Initiated		SANDERSON	BOB	KING	CARMEN		
>	PT-901-2011-0127	901	SA990011	4		7/11/2011	FRC - Atlanta	Initiated		GOODWIN	JONATHAN	KING	CARMEN		

start work on a new transfer, be sure you're in the **My Workspace** view.

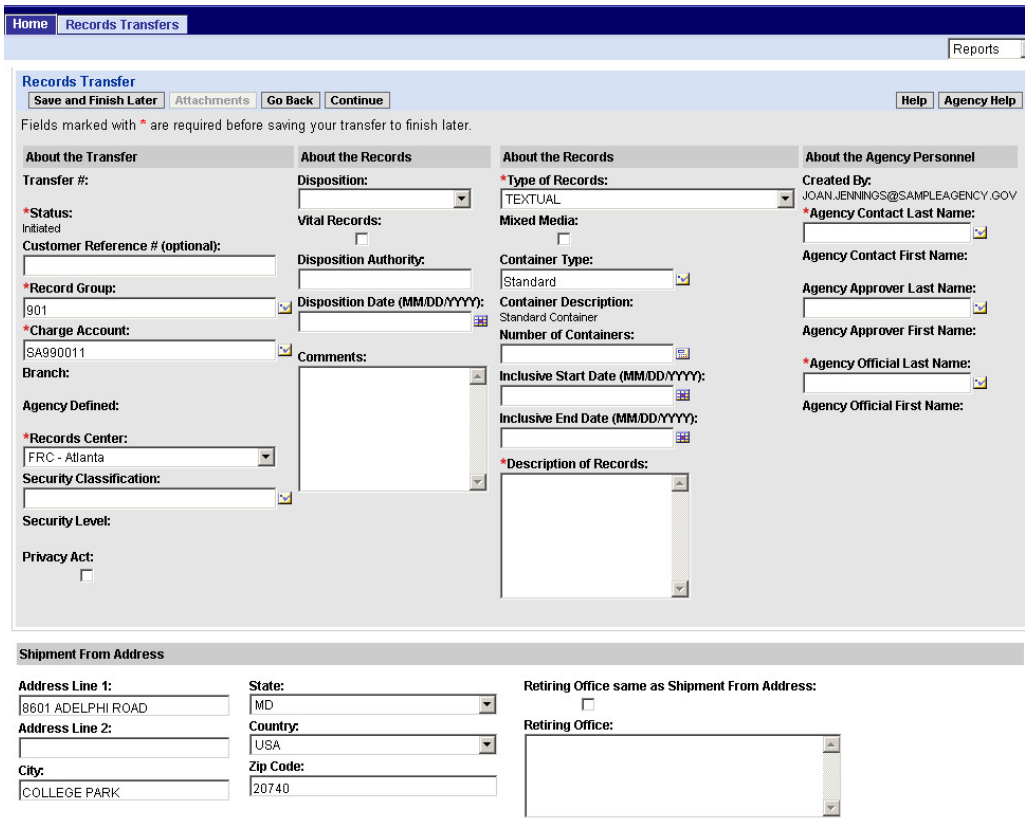


Then click the **Create Records Transfer** button.

The **Records Transfer** form opens.

2.1.2 The Records Transfer Form

The **Records Transfer** form collects information that allows the FRC to store and service your records properly and to help you manage the lifecycle of the records.



Some of the fields are filled in automatically by ARCIS based on information stored in your profile or based on what the most common selection is. You will be able to change that information if necessary.

Fields marked with a * must be filled in before you can save an unfinished records transfer form. Almost all of the fields must be filled in before the form can be submitted (or can be forwarded to the approver for review and submittal). A few exceptions are noted in the following sections of this guide.

NOTE: If are creating a records transfer that is very similar to one that has already been created, you can save time by using the "Copy Transfer" function. For more information, see section 2.11, "Copying a Transfer."

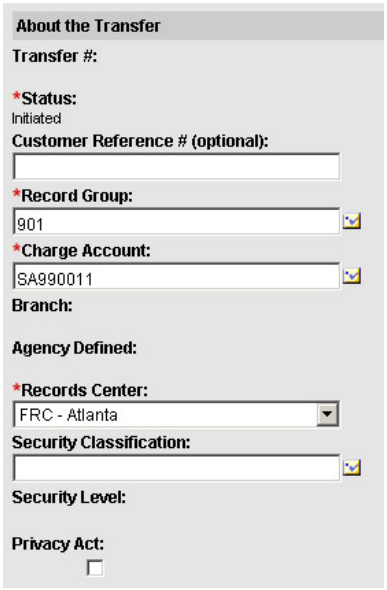
2.2 Filling In the "About the Transfer" Section

The first column of the **Records Transfer** form collects basic information about the transfer. The fields having to do with access rights are all found in this column. In other words, choices you make in this column will determine who can view information about or request records from this transfer in the future.

The first two fields contain information that is filled in automatically by ARCIS.

ARCIS will generate the **transfer number** after the transfer is saved for the first time. Until then, this space will be blank.

ARCIS keeps track of the **status** of the transfer. The status of a newly created transfer is always "Initiated."



Some of the other fields in this column are filled in with default values, based on what's in your profile. You will be able to change this information if other options are available in your profile.

2.2.1 Customer Reference Number

If your agency uses an internal numbering system to keep track of records transfers, you may enter your internal number here.

The number will be permanently associated with this transfer. Later, you and other staff from your agency will be able to query for the transfer using this number.

This field is optional.

2.2.2 Record Group

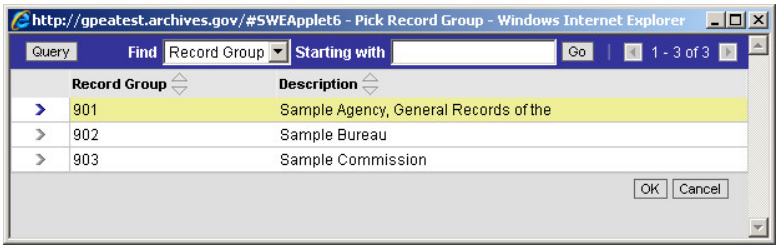
Your primary record group is the default selection. If this is the correct record group for this transfer, you don't need to do anything here.

If you are authorized to transfer records from more than one record group, you may select a different one.

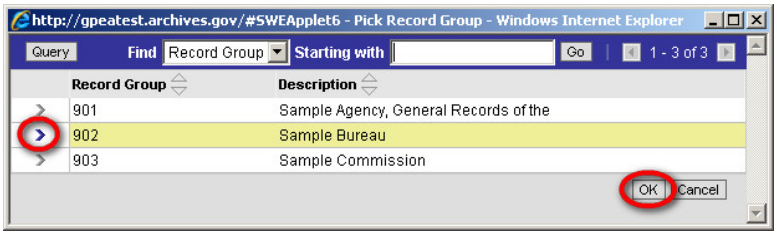
To select a different record group:

1. Click the button next to the **Record Group** field.

The **Pick Record Group** window opens. It lists all the record groups to which you have access.



2. Click the arrow next to the correct record group, then click **OK.**



TIP: You can directly enter a record group without opening the **Pick Record Group** window. Simply type the record group number into the **Record Group** field. Use a three-digit format—for example, 001.

If you type the number of a record group to which you do **not** have access, the **Pick Record Group** window will open so that you can select from the list of available record groups.

TIP: If you have access to numerous record groups, you can use the **Find** fields at the top of the window to quickly locate the right one. For example, you can enter the first few words of the record group description, then click **Go.**

Please note that queries are case sensitive. For more information on queries, see the **ARCIS Basics** user's manual.

2.2.3 Charge Account

The charge account identifies the organizational unit that gets billed for storing and servicing a transfer. Some agencies have only one charge account for the whole agency, but others have several charge accounts so that charges can be attributed to specific organizational units.

The first several characters of the charge account identify the agency and the interagency agreement number, so these characters will always be the same.

The last two characters, known as the **charge code,** identify a specific organizational unit in the agency, so these are the characters you'll need to pay attention to.

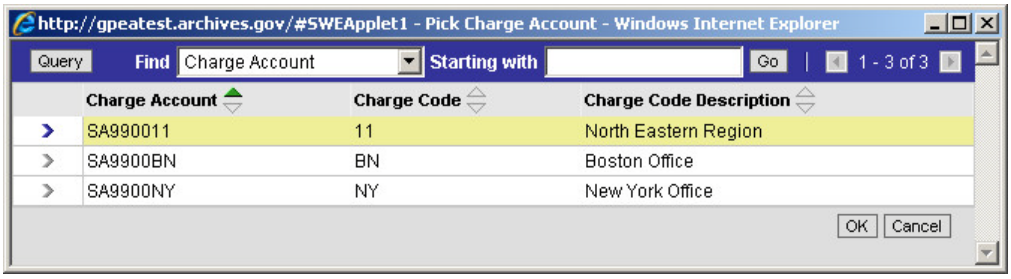
Your primary charge account is the default selection. If this is the correct charge account for this transfer, you don't need to do anything here.

If you are authorized to transfer records from more than one charge account, you may select a different one.

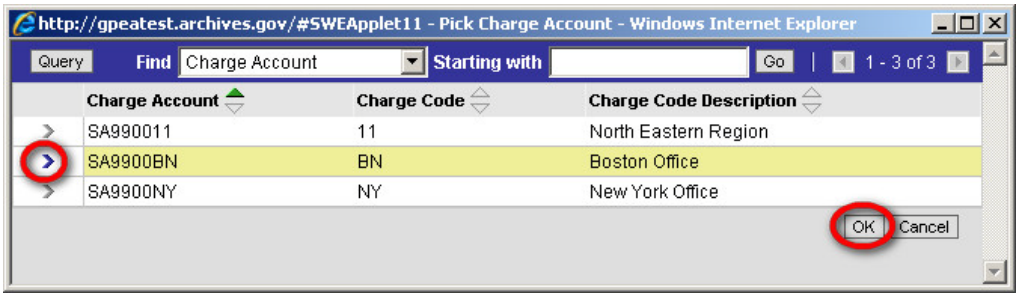
To select a different charge account:

1. Click the button next to the **Charge Account** field.

The **Pick Charge Account** window opens. It lists all charge accounts to which you have access.



2. Click the arrow next to the correct charge account, then click **OK.**



TIP: If you have access to numerous charge accounts, you can use the **Find** fields at the top of the window to quickly locate the right one. For example, you can enter the first few words of the charge code description, then click **Go.**

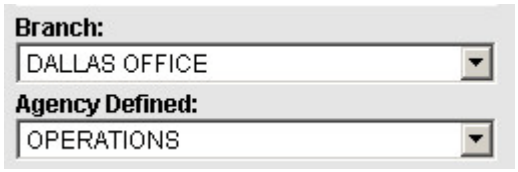
Please note that queries are case sensitive. For more information on queries, see the **ARCIS Basics** user's guide.

2.2.4 Branch and Agency Defined

These fields are intended for agencies with special access-control needs.

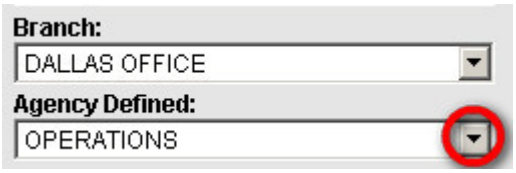
Most agencies do not use these fields for access control. If your agency does not use these fields, they will not be active. **You do not need to do anything here.**

If your agency **does** use these fields, they will be active, and they will be filled in with the values identified as "primary" in your profile. If you are authorized to assign other values to either field, you may select a different value.



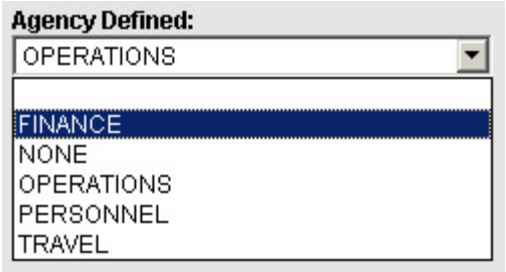
To select a different branch or agency-defined value:

1. Click the button next to the **Branch** or **Agency Defined** field.



A drop-down list opens, showing all the branches or agency-defined values to which you have access.

2. Select the correct value from the list.



2.2.5 Records Center

Your primary records center is the default selection. If this is the records center to which this transfer will be sent, you don't need to do anything here.

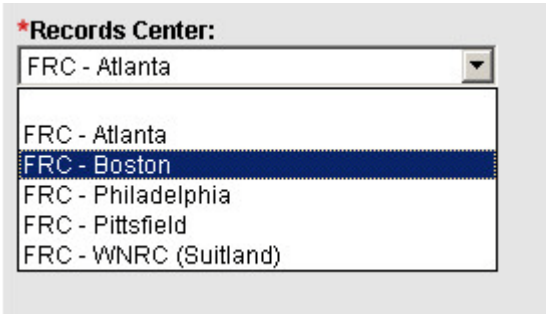
If you are authorized to transfer records to more than one records center, you may select a different one.

To select a different records center:

1. Click the button next to the **Records Center** field.

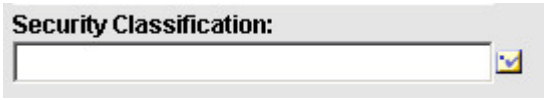
   A drop-down list opens, showing all the records centers to which you can transfer records.

2. Select the records center to which this transfer will be sent.



2.2.6 Security Classification

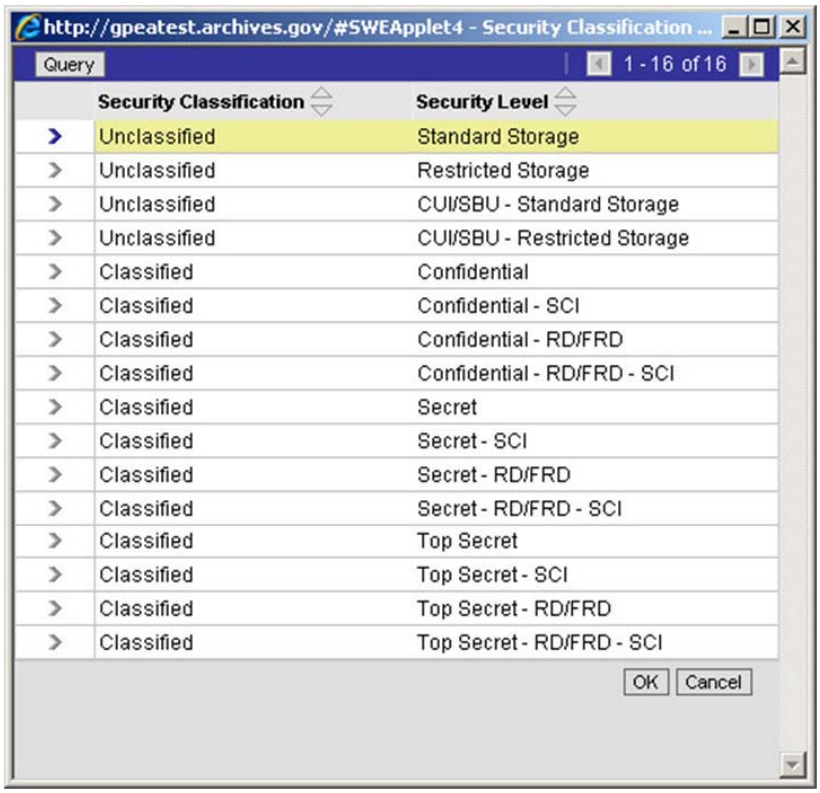
There is no default selection in the **Security Classification** field. Because of the importance of security classification, you must make a deliberate selection of the security classification of this transfer.



In ARCIS, there are 16 different values for security classification, reflecting various combinations of factors. The full list, and an explanation of the values, appears on the next page.

There are 4 values for **unclassified** records, reflecting various combinations of storage requirements and special markings.

There are 12 values for **classified** records, reflecting various combinations of security level and special markings.



For **unclassified** records:

- **Standard Storage** refers to standard FRC storage. Most records stored in FRCs are unclassified records stored in standard FRC storage areas.
- **Restricted Storage** refers to special vault-type storage areas. Your agency can choose to have unclassified records stored in vault-type storage for an additional fee.
- **CUI/SBU** refers to "Controlled Unclassified Information" (CUI), formerly known as "Sensitive But Unclassified" (SBU). For more information about CUI, see *http://www.archives.gov/cui/.*

For **classified** records:

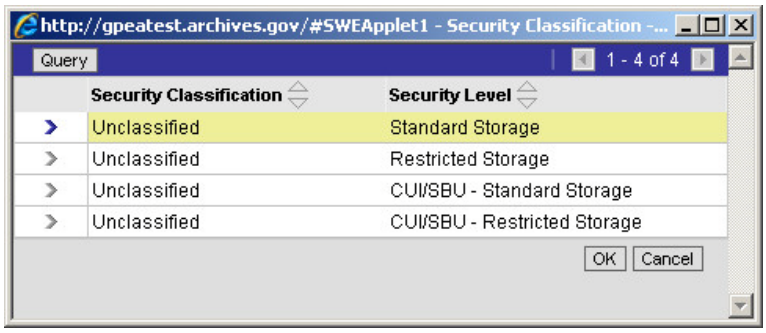
- **Confidential, Secret,** and **Top Secret** are the three basic classification levels into which classified information falls.
- **SCI** stands for Sensitive Compartmented Information.
- **RD/FRD** stands for Restricted Data/Formerly Restricted Data.

To enter the security classification for your records transfer:

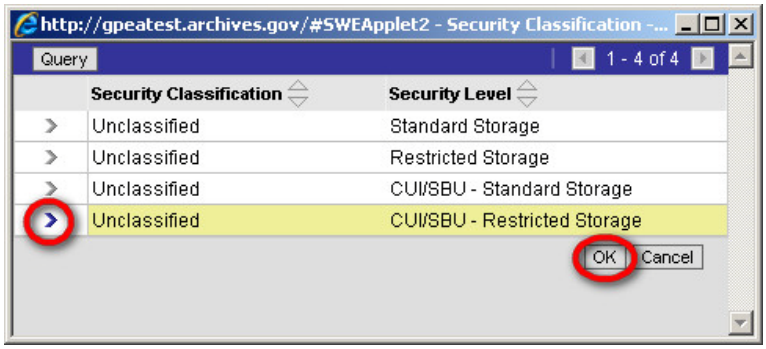
1. Click the button next to the **Security Classification** field.

The **Pick Security Classification** window opens. It lists all the security classification levels at which you are authorized to transfer records.

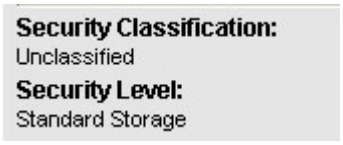
In the example at right, the user is authorized to transfer only unclassified records.



2. Click the arrow next to the correct security classification, then click **OK.**



NOTE: After you enter a security classification, this field is locked. The security classification of a transfer cannot be changed once it's been established.



2.2.7 Privacy Act

If the transfer contains records that are subject to the provisions of the Privacy Act, click to put a checkmark in the box.

2.3 Filling In the "About the Records" Section

The middle two columns of the **Records Transfer** form collect information about the disposition, format, and contents of the records.

2.3.1 Disposition

"Disposition" refers to what happens to records at the end of their lifecycle.

All records fall into one of three categories:

- **Temporary:** These records are scheduled to be destroyed at the end of their lifecycle.
- **Permanent:** These records are scheduled to be accessioned (made permanent holdings of the National Archives) at the end of their lifecycle.
- **Unscheduled:** These records do not yet have an approved disposition authority that identifies whether they are temporary or permanent.

  NOTE: As specified in 36 CFR Subpart B 1232.14(b) *[http://www.archives.gov/about/regulations/part-1232.html]*, you may transfer unscheduled records to an FRC as long as you **notify NARA in writing prior to the transfer.** (Send notification to Director, Records Management Services, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001.)

Additionally, temporary and permanent records may fall into one of the following subcategories:

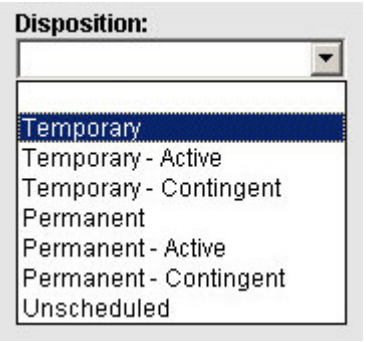
- **Active:** These records have not yet been closed, so a disposition date cannot be determined.
- **Contingent:** The disposition of these records is dependent on some future action or event, such as sale of property or destruction of a facility. Until that event happens, a disposition date cannot be determined.

To enter the disposition for your records transfer:

1. Click the button next to the **Disposition** field.

   A drop-down list opens, showing all the disposition options.

2. Select the disposition that applies to this transfer.



2.3.2 Vital Records

Vital records are essential agency records that are needed to meet operational responsibilities under emergency conditions, or to protect the legal and financial rights of the Government and of those affected by Government activities.

If the transfer contains vital records, click to put a checkmark in the box.

2.3.3 Disposition Authority

"Disposition authority" is the set of mandatory instructions that specifies what happens to records at the end of their lifecycle.

As required by 36 CFR Subpart B 1227.10-14 *[http://www.archives.gov/about/regulations/part-1227.html]* and 36 CFR Subpart B 1226.10-14 *[http://www.archives.gov/about/regulations/part-1226.html],* you should cite one of the following here:

- The appropriate schedule from the **General Records Schedules** (GRS) *[http://www.archives.gov/records-mgmt/ardor/].* Include the schedule number, item number, and sub-item (if present).
- **The NARA records disposition authority** (SF 115, Request for Records Disposition Authority). Include the SF 115 number, item number, and sub-item (if present).
- **Your agency records manual**. Include the schedule identifier, item number, and sub-item (if present). As specified in 36 CFR Subpart B 1226.12, your agency manual must cite the legal authority (GRS or SF 115 and item numbers).

The General Records Schedules provide disposition authorization for records common to most agencies, such as records relating to civilian personnel, payroll, accounting, and procurement. **Use the GRS if possible. If your records aren't covered by the GRS, use the NARA records disposition authority or your agency records manual**. If you need assistance, contact your agency's records officer.

The **Disposition Authority** field is a free-text field. Type the disposition authority directly into the box.

NOTE: FRC staff will verify the disposition authority before approving the records transfer request.

If your records are unscheduled: As specified in section 2.3.1, you may transfer unscheduled records as long as you notify NARA's Records Management Services in writing prior to the transfer. Use the **Disposition Authority** field to document that notification.

- **If you have an SF 115 pending** with Records Management Services, cite the SF 115 number and the item number, and enter the word "Pending" in parentheses.

- **If you do not have an SF 115 pending** with Records Management Services, indicate the date on which Records Management Services was notified about this transfer.

NOTE: **When an SF 115 is approved, please notify the Federal Records Centers program in writing** so that we may update your information in the ARCIS system. Provide a copy of the approved SF 115, and include a letter telling us the transfer number(s) to which the SF 115 applies and the specific disposition authority that applies to each transfer. Send the materials to Director, Federal Records Centers Program, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001.

2.3.4 Disposition Date

"Disposition date" is the date on which the records reach the end of their lifecycle and become eligible either for destruction or for accessioning into the National Archives.

Follow the instructions on your records schedule or NARA records disposition authority to compute the disposition date for this transfer.

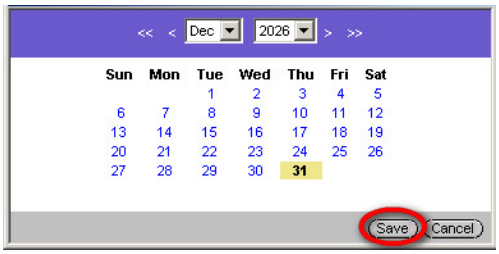
You may enter the disposition date in one of two ways:

1. Simply type the date into the box, using the format **MM/DD/YYYY.**

2. Or, use the calendar tool to enter the date.

   To open the calendar tool, click the icon.

   Select the right month and year from the drop-down lists, or click the forward and back arrows to get to the right month and year. Click the right day on the calendar, then click **Save.**

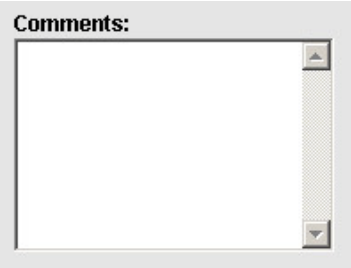


   NOTE: Disposition Date is required **only** for records with a disposition of **Temporary** or **Permanent.** A disposition date cannot be calculated for records that are unscheduled, active, or contingent.

   For records with a disposition of **Temporary** or **Permanent,** FRC staff will verify the disposition date before approving the records transfer request.

2.3.5 Comments

The **Comments** field is a place for you to include any information about this transfer that is not covered by one of the other fields on the Records Transfer form.



Here are a couple of specific situations that require information in the **Comments** field:

- **If your records are subject to a "freeze":** A "freeze" is applied when records cannot be destroyed on schedule because of special circumstances, such as a court order or investigation. A three-letter designation called a "freeze code" is created to identify the particular freeze that applies to a set of records. If your records are subject to a freeze, enter the freeze code in the **Comments** field. (If you have questions about whether your records are subject to a freeze, contact your agency's records officer.)

- **If your transfer contains mixed media:** As specified in sections 2.3.6 and 2.3.7, you will select the predominant type of media from the **Type of Records** list and will check the **Mixed Media** box to indicate that other media are included. Use the **Comments** field to identify the other types of media included in the transfer.

NOTE: There is a 300-character limit in the **Comments** field. If you need to provide more information than can fit into the field, please attach a separate document to the Records Transfer form. For information about adding attachments, see section 2.7.1, "Adding Attachments."

2.3.6 Type of Records

"Type of records" refers to the format in which the records are stored. Most records are stored as text on paper, so "TEXTUAL" is the default selection. If your records are textual, you don't need to do anything here.

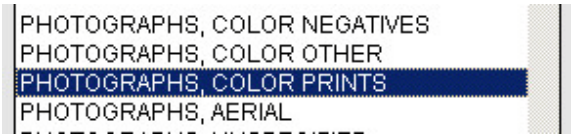
If your records are stored in a different format, you need to select it here.

To select a different type of records:

1. Click the button next to the **Type of Records** field.

A drop-down list opens, showing all the possible record types.

2. Select the correct type of records from the list.



NOTE: If your transfer contains records in more than one format, select the predominant format here and follow the additional instructions in section 2.3.7, "Mixed Media."

2.3.7 Mixed Media

If the transfer includes records in more than one format—for example, textual records and photographs, or textual records and sound recordings— click to put a checkmark in the box.

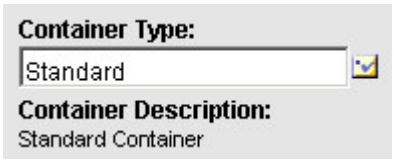
Additionally, be sure to do the following, so that FRC staff can ensure that the records are stored and cared for properly:

1. In the **Type of Records** field, identify the predominant type of media in this transfer (see section 2.3.6).

2. In the **Comments** field, identify the other types of media in this transfer (see section 2.3.5).

3. Attach a **folder list** that identifies what special media types are in what boxes and folders. (See section 2.7, "Adding and Deleting Attachments.")

2.3.8 Container Type and Container Description

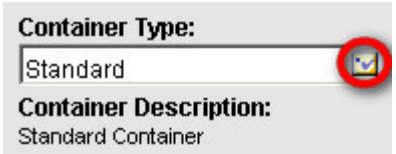


Most records are sent to the FRC in standard-size (14¾" x 12" x 9½") record boxes, so "Standard" is the default selection. If your records are stored in standard-size record boxes, you don't need to do anything here.

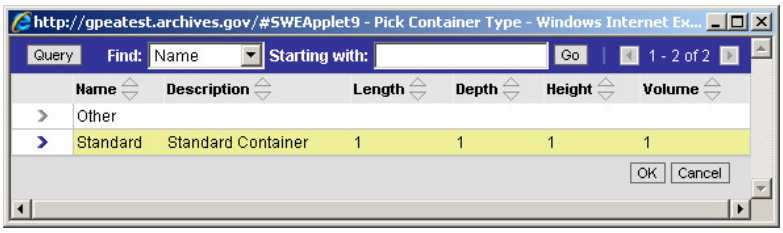
If your records are stored in a different type of container, indicate the container type here.

To indicate a different container type:

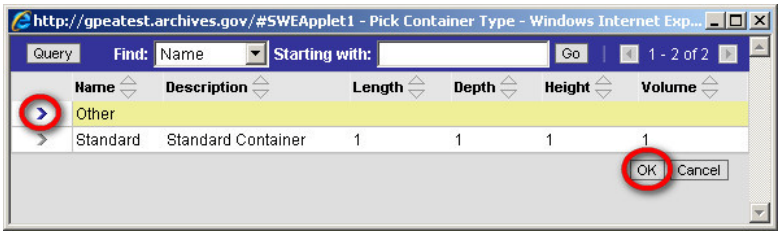
1. Click the button next to the **Container Type** field.



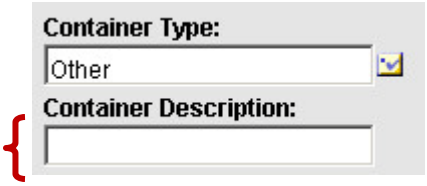
The **Pick Container Type** window opens.



2. Click the arrow next to “Other,” then click **OK.**



The **Container Description** field becomes available for editing.



3. In the **Container Description** field, enter the type and dimensions of your containers.

2.3.9 Number of Containers

In the **Number of Containers** field, enter the total number of containers in this transfer.

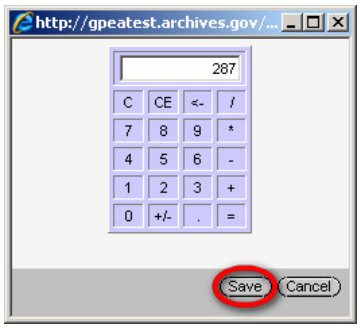
You may enter the number in one of two ways:

1. Simply type the number into the box.

2. Or, if you are sending a large number of containers and need to calculate the total, you may find it convenient to use the calculator tool.

To open the calculator tool, click the icon.

Click the buttons on the calculator to enter and manipulate numbers. When you have arrived at the total, click **Save.**

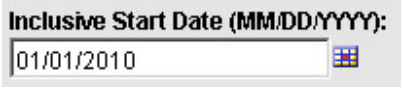


2.3.10 Inclusive Start Date and Inclusive End Date

These two fields indicate the dates on which the records started and stopped being created or accumulated.

You may enter each date in one of two ways:

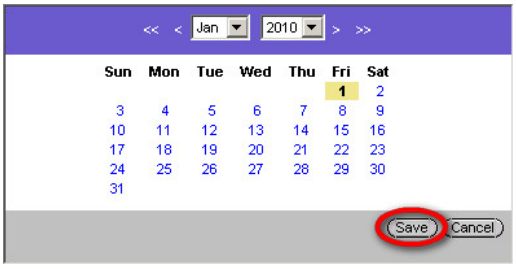
1. Simply type the date into the box, using the format **MM/DD/YYYY.**



2. Or, use the calendar tool to enter the date.

   To open the calendar tool, click the icon.

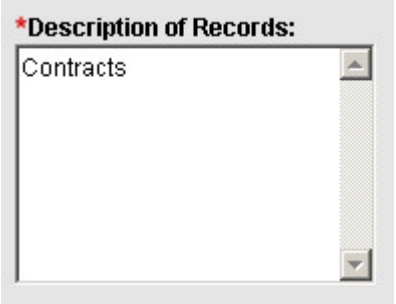
Select the right month and year from the drop-down lists, or click the forward and back arrows to get to the right month and year. Click the right day on the calendar, then click **Save.**



NOTE: Inclusive Start Date is an **optional** field. **Inclusive End Date** is **required unless the records are active**—that is, unless the disposition is "Temporary – Active" or "Permanent – Active."

2.3.11 Description of Records

Describe the records in sufficient detail to allow FRC staff to verify compliance with your records schedule. You may want to use the description provided in the records schedule. Enter the text directly into the box.



NOTE: Do **not** enter any text that reveals national security classified information, information restricted by exemption B6 of the Freedom of Information Act, or information subject to the Privacy Act.

NOTE: There is a 300-character limit in the **Description of Records** field. If you need to provide more information than can fit into the field, please attach a separate document to the Records Transfer form. For example, you can attach a box list or a folder title list. For information about adding attachments, see section 2.7, “Adding and Deleting Attachments.”

2.4 Filling In the "About the Agency Personnel" Section

The last column of the **Records Transfer** form collects information about the agency personnel who are responsible for different aspects of this transfer.

Created By always shows your user ID, since you created the transfer. ARCIS fills in this information automatically.

Agency Contact is the person at your agency who knows about the records and is responsible for answering questions. This may or may not be you.

Agency Approver is the person at your agency who is responsible for approving this transfer and submitting it to the FRC. This may or may not be you.

Agency Official is the official at your agency who authorizes the transfer of records to the FRC. Typically, this is the agency records officer.

Exactly what you see here depends on what's been assigned in your profile.

If you have been designated as an agency records transfer approver, the **Agency Contact** and **Agency Approver** fields will default to your name.

You will be able to select a different name for either of these fields if necessary.

If you have NOT been designated as an agency records transfer approver, the **Agency Contact** and **Agency Approver** fields will be blank.

You will need to select a name for each of these fields.

Whether or not you are an agency records transfer approver, you will need to select the name of the **Agency Official**.

The next sections of this manual explain how to select names for these fields. The process is the same for each field, although the names available for selection may vary. Time-saving tips for working with all three fields are found at the end of section 2.4.3.

2.4.1 Agency Contact

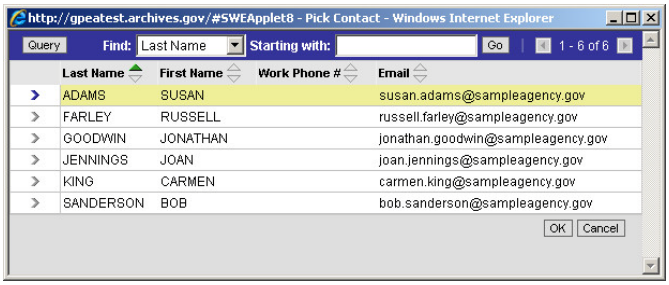
Agency Contact is divided into two fields: **Agency Contact Last Name** and **Agency Contact First Name.** After you select a value for the **Last Name** field, the **First Name** field will be filled in automatically.

To select a name for the Agency Contact Last Name field:

1. Click the button next to the **Agency Contact Last Name** field.

The **Pick Contact** window opens.

The window lists **all of the users whose access rights match the properties of this transfer.**

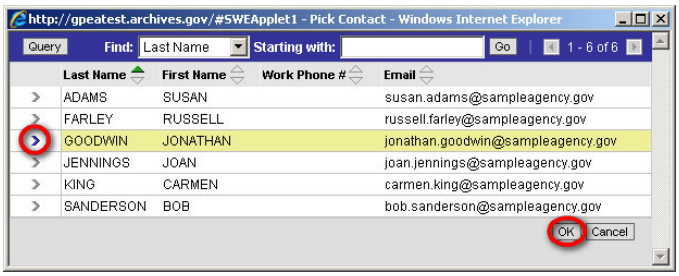


In other words, in their profiles, these users have been assigned the rights to work with transfers that belong to this record group and charge account, that have this level of security classification, and that are being sent to this FRC.

Your name will appear in the list; you could not have created this transfer if you didn't have these access rights!

> **TIP:** If **no** names appear in the list, chances are that you haven't yet assigned all of the access-control values to this transfer, so ARCIS doesn't yet know what users are eligible to serve as Agency Contact for this transfer. Go back to the **About the Transfer** column and be sure that you have selected a record group, a charge account, a security classification, and a records center. (If your agency is using the Branch and Agency Defined fields for access control, be sure that you have selected values for these fields as well.)

2. Locate the person who will serve as the Agency Contact for this transfer. Click the arrow next to the last name to select it, then click **OK.**



The **Agency Contact Last Name** and **Agency Contact First Name** fields will both be filled in.

2.4.2 Agency Approver

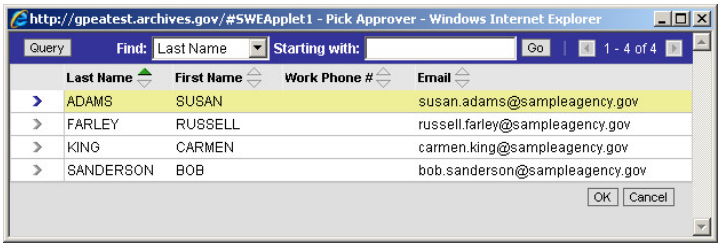
Agency Approver is divided into two fields: **Agency Approver Last Name** and **Agency Approver First Name.** After you select a value for the **Last Name** field, the **First Name** field will be filled in automatically.

To select a name for the Agency Approver Last Name field:

1. Click the button next to the **Agency Approver Last Name** field.

The **Pick Approver** window opens.

The window lists **all of the users whose access rights match the properties of this transfer, AND who have been designated as agency transfer approvers.**



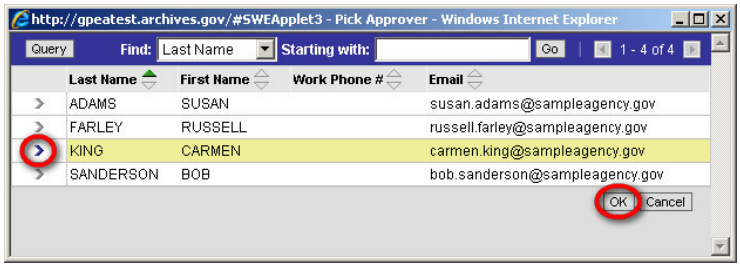
In other words, in their profiles, these users have been assigned the rights to work with transfers that belong to this record group and charge account, that have this level of security classification, and that are being sent to this FRC. **In addition,** in their profiles, the "Agency Transfer Approver" checkbox has been checked.

The list of names above is shorter than the list of potential Agency Contacts shown in section 2.4.1. Jonathan Goodwin and Joan Jennings do not appear, because neither of them has been designated as an approver.

Your name may or may not appear in the list, depending on whether or not you have been designated as an approver.

TIP: If **no** names appear in the list, chances are that you haven't yet assigned all of the access-control values to this transfer, so ARCIS doesn't yet know what users are eligible to serve as Agency Approver for this transfer. Go back to the **About the Transfer** column and be sure that you have selected a record group, a charge account, a security classification, and a records center. (If your agency is using the Branch and Agency Defined fields for access control, be sure that you have selected values for these fields as well.)

2. Locate the person who will serve as the Agency Approver for this transfer. Click the arrow next to the last name to select it, then click **OK.**



The **Agency Approver Last Name** and **Agency Approver First Name** fields will both be filled in.

2.4.3 Agency Official

Agency Official is divided into two fields: **Agency Official Last Name** and **Agency Official First Name.** After you select a value for the **Last Name** field, the **First Name** field will be filled in automatically.

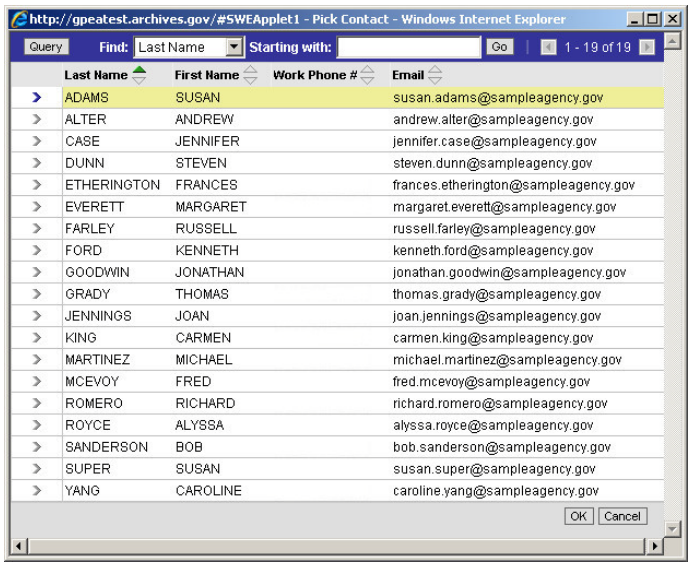
To select a name for the Agency Official Last Name field:

1. Click the button next to the **Agency Official Last Name** field.

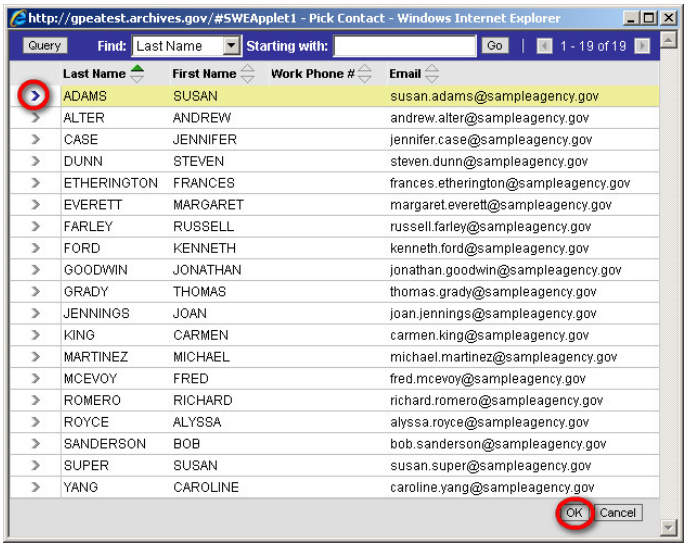
The **Pick Official** window opens.

The window lists **all agency users.**

Unlike the Agency Contact and Agency Approver lists, this list is not filtered by access rights, because it is not necessary for the official to handle the transfer in ARCIS. (The agency official may be a records officer who does not work in ARCIS at all.)



2. Locate the person who will serve as the Agency Official for this transfer. Click the arrow next to the last name to select it, then click **OK.**

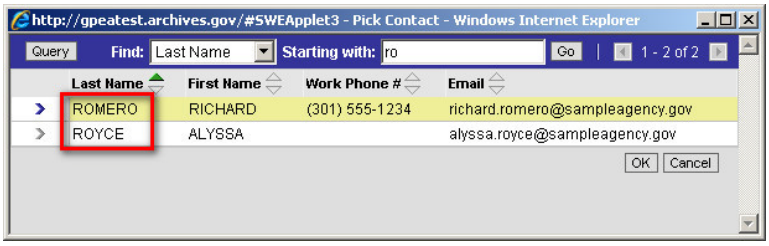


The **Agency Approver Last Name** and **Agency Approver First Name** fields will both be filled in.

TIP: For all of the Agency Personnel fields, if there are more names in the **Pick Name** window than can be displayed at one time, you can use the **Find** fields at the top of the window to quickly locate the right one. For example, you can enter the first few letters of the person's last name, then click **Go.**

If only one matching name is found, that name will be selected and filled in automatically.

If more than one matching name is found, all the matching names will be displayed so that you can select the right one.



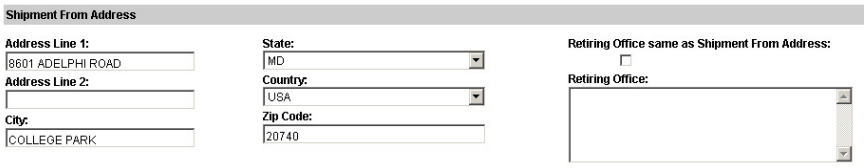
SHORTCUT: For all of the Agency Personnel fields, you can avoid opening the **Pick Name** window altogether. Simply type the first few letters of the name into the **Last Name** field, then press the **Tab** key.

The name will be filled in.

(If more than one matching name is found, the window, the **Pick Name** window will open automatically and will display all the matching names so that you can select the right one.)

2.5 Filling In the Addresses Section

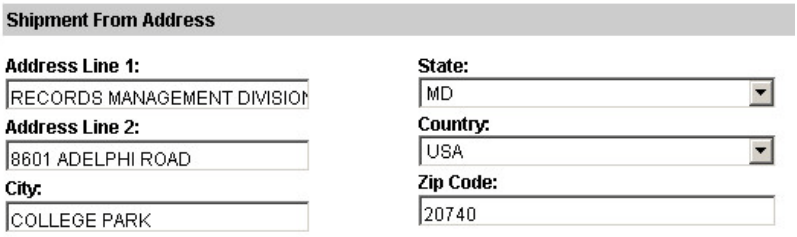
The bottom part of the **Records Transfer** form collects information about the addresses associated with this transfer.



2.5.1 Shipment From Address

The **Shipment From Address** fields indicate the address that the transfer is being shipped from.

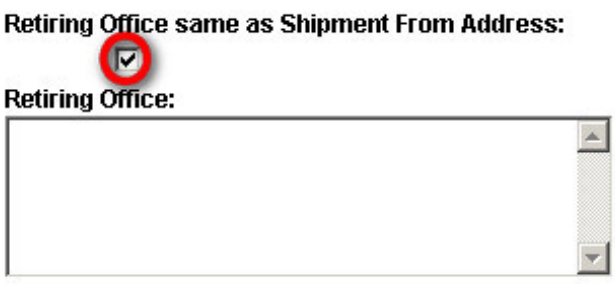
The **Shipment From Address** will default to the address that has been designated as primary in the **Agency Contact's** profile. You can change this address if necessary by simply entering new information into the fields.



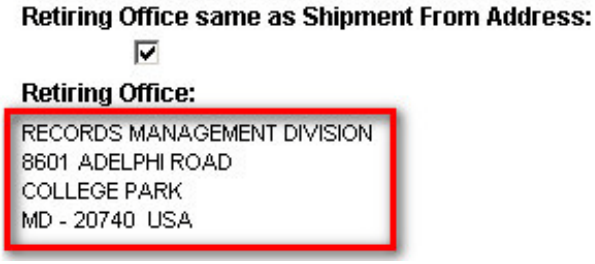
2.5.2 Retiring Office

The right side of the addresses section collects information about the office that is retiring the records.

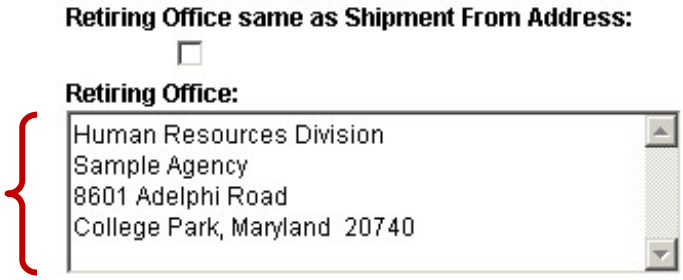
In many cases, the office that is retiring the records is the same office from which the records are being shipped. If this is the case for your transfer, simply click to put a checkmark in the **Retiring Office same as Shipment From Address** box



When you click anywhere else on the page, ARCIS will register the checkmark and will fill in the **Retiring Office** field automatically.



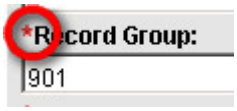
If the retiring office is **not** the same as the office from which the records are being shipped, type the name and address of the retiring office into the **Retiring Office** field.



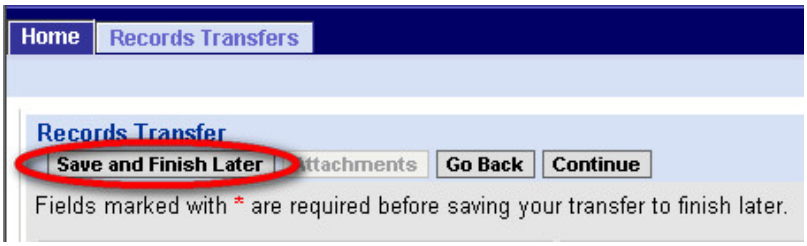
2.6 Saving an Unfinished Transfer

If you are unable to complete the records transfer form in one session, you can save your unfinished transfer and complete it later.

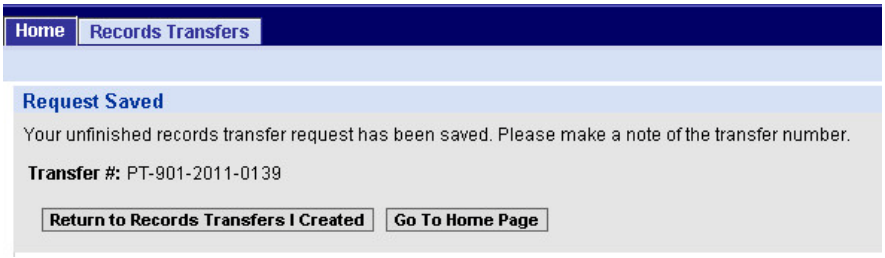
First, be sure you have filled in all the fields marked with a *. These fields must be filled in before an unfinished records transfer form can be saved.



Then click **Save and Finish Later** near the top of the **Records Transfer** form.



You'll see a message confirming that your unfinished transfer has been saved and providing the transfer number.



On the **Records Transfers I Created** page, you'll see the unfinished transfer in the **My Workspace** view, with a status of "Initiated."

When you want to work on the transfer again, click the transfer number to return to the records transfer form.

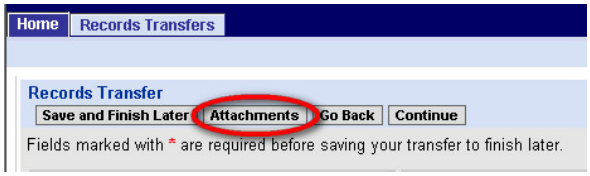
2.7 Adding and Deleting Attachments

You can add an attachment—such as a box list or a folder title list—to your records transfer form. Your attachment can be in any commonly-used electronic file format, such as a word-processing document, a spreadsheet, or a PDF.

> **NOTE: Attachments cannot be added to the transfer forms for classified transfers in ARCIS.** If your transfer is classified, please submit your box list or other attachment via a traditional method, such as e-mail, mail, fax, or courier.
>
> Whether you submit attachments via ARCIS or another method, **your attachments should not include any text that reveals national security classified information, information restricted by exemption B6 of the Freedom of Information Act, or information subject to the Privacy Act.**

You will find the **Attachments** button in two places:

1. After a transfer has been saved at least once, the **Attachments** button near the top of the **Records Transfer** form becomes active. (Before a transfer is saved, this button is not active. For information on saving a transfer, see section 2.6, “Saving an Unfinished Transfer.”)

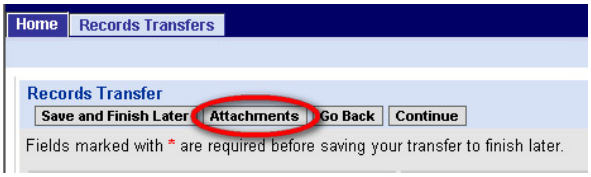


2. If you are completing the records transfer form in one session and do not need to save it for later, click **Continue.** You’ll see an **Attachments** button on the next page. (For more information on the final steps of the records transfer process, see section 2.9, “Completing a Transfer.”)

2.7.1 Adding Attachments

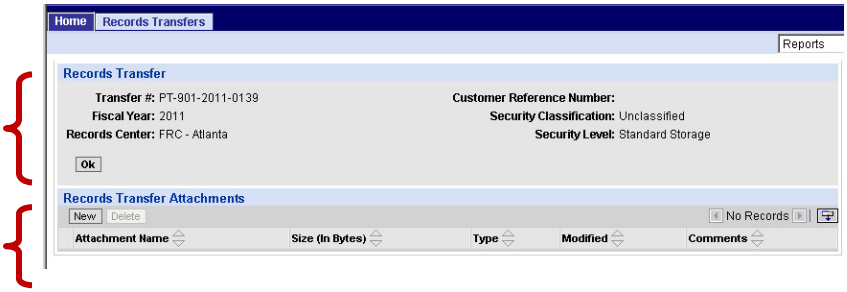
To add an attachment to your transfer:

1. Click the **Attachments** button.



The Attachments page opens.

At the top of the page is some basic information about the transfer you're working on.

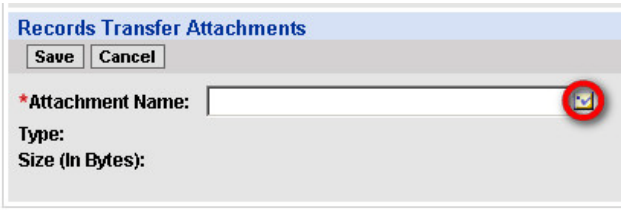


At the bottom is a list of attachments to this transfer. If you haven't previously attached anything to this transfer, the list will be empty.

2. In the **Records Transfer Attachments** section, click **New**.

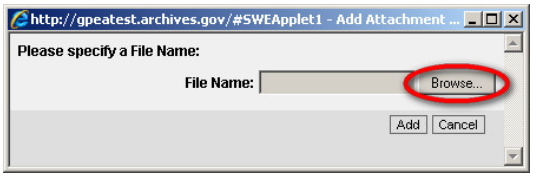
The **Attachment Name** field appears.

3. Click the icon next to the **Attachment Name** field.

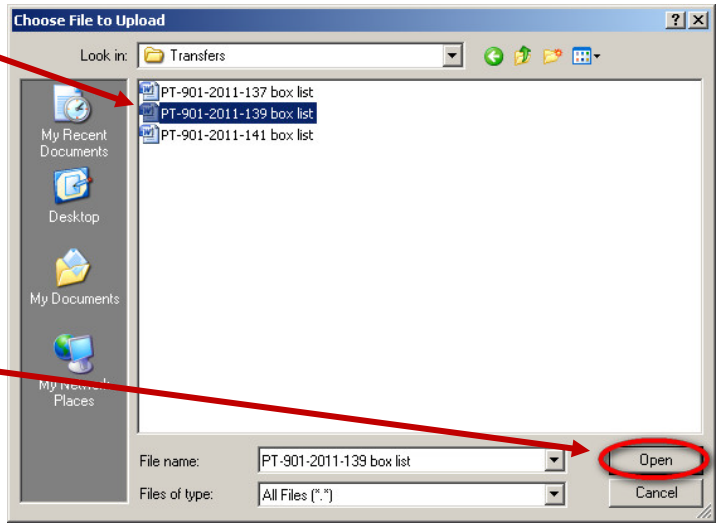


The **Add Attachment** window opens.

4. Click **Browse** to browse through the folders and files on your computer.

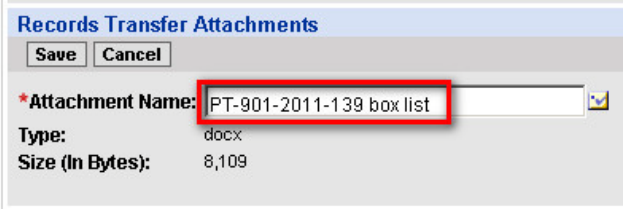


5. Locate and select the file you want to attach.

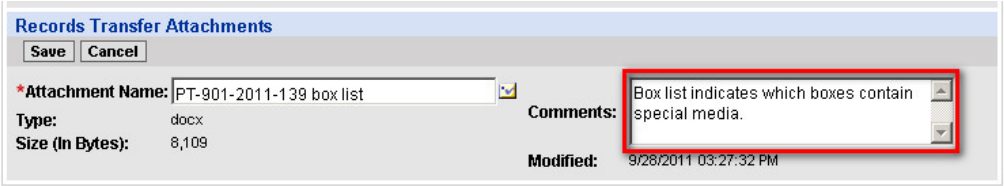


6. Click **Open.**

The file will appear in the **Attachment Name** field.

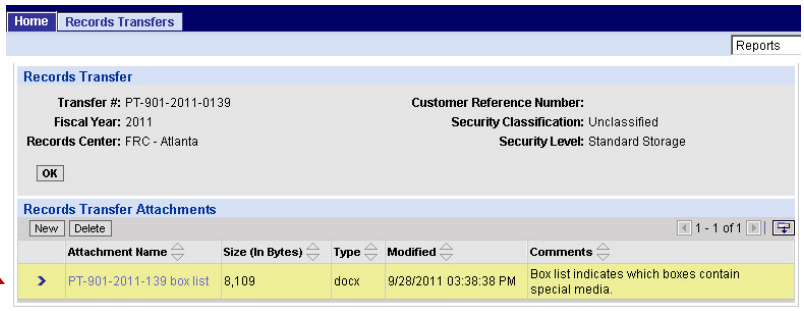


7. If you like, you may enter comments about this attachment in the **Comments** field on the right side of the page.



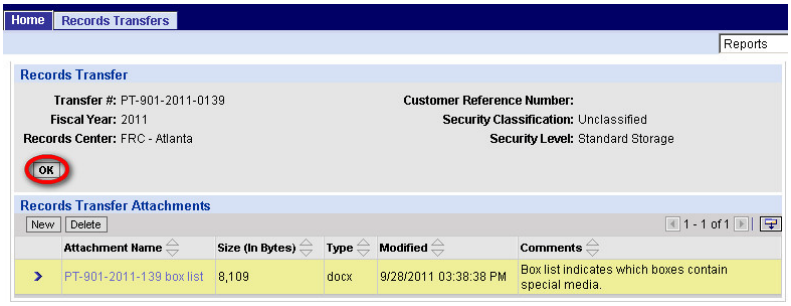
8. Click **Save.**

The file will appear in the list of attachments for this transfer.



9. To add more attachments to this transfer, repeat steps 2 through 8.

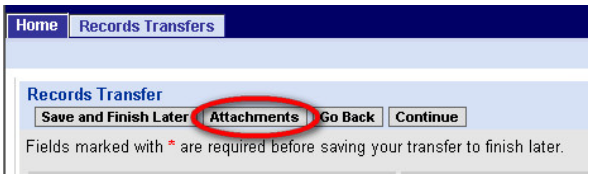
10. When you are done adding attachments, click **OK** to return to the **Records Transfer** form.



2.7.2 Deleting Attachments

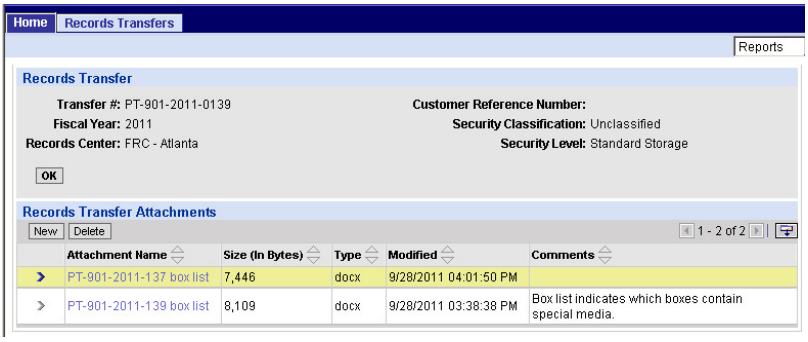
To delete an attachment from your transfer:

1. Click the **Attachments** button.

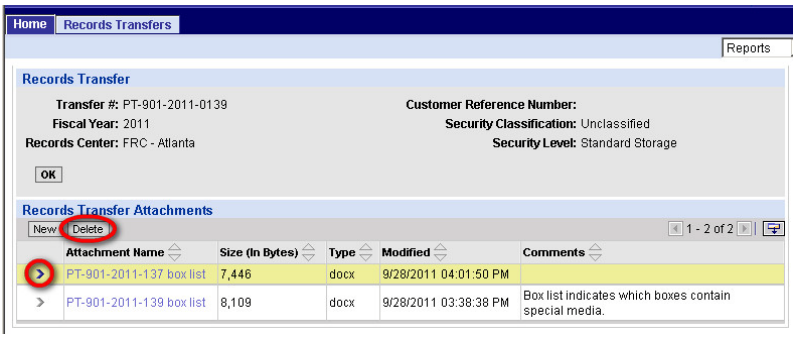


The Attachments page opens.

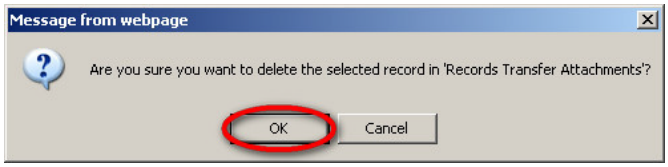
A list of files currently attached to this transfer appears at the bottom.



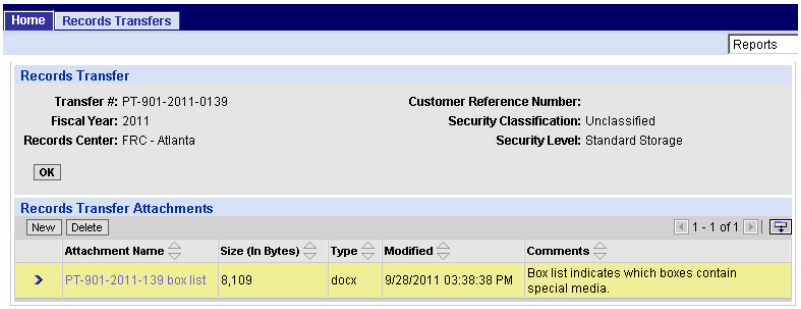
2. Click the arrow next to the attachment you want to delete, then click **Delete.**



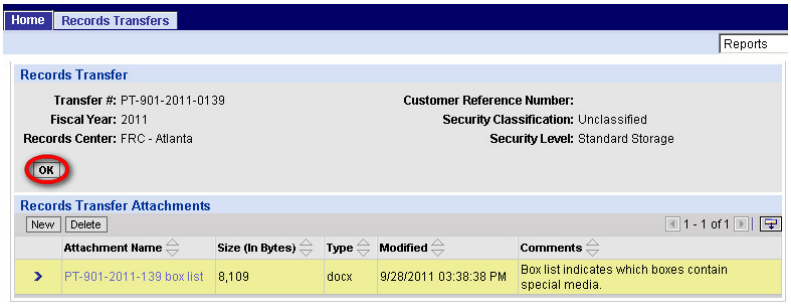
3. Click **OK** to confirm that you want to delete this attachment.



The attachment will disappear from the list of attachments to this transfer.



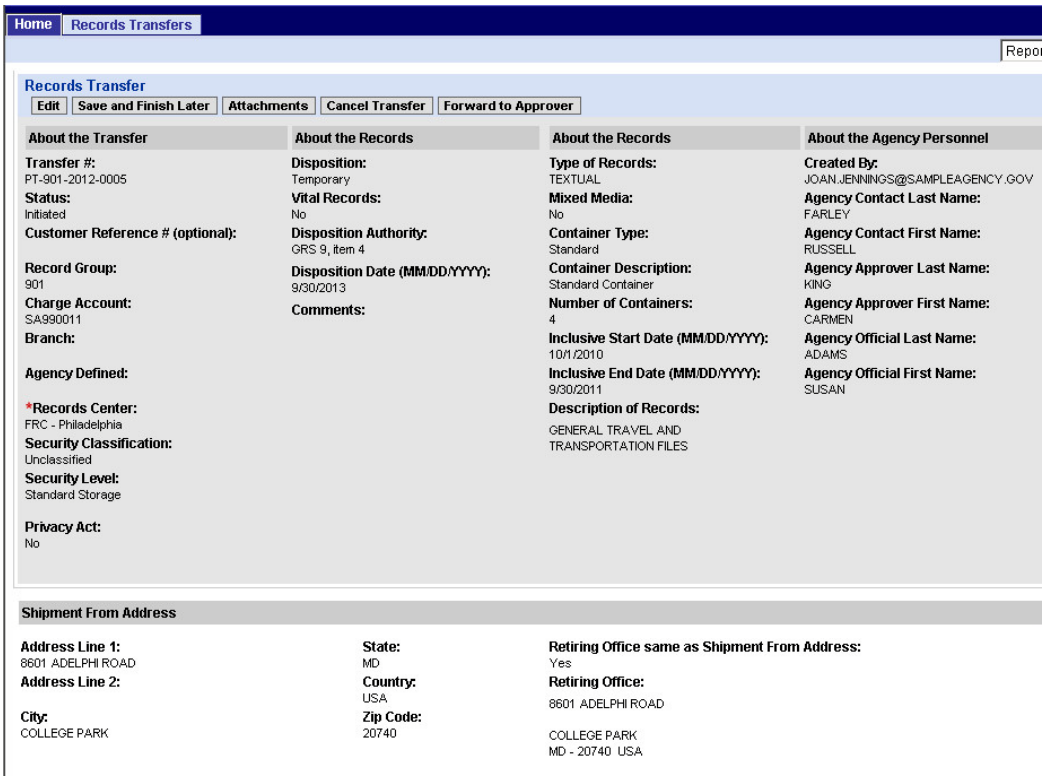
4. Click **OK** to return to the **Records Transfer** form.



2.8 Completing a Transfer

When you are done filling in the records transfer form, click **Continue.**

You'll see a summary page where you can review the data you've entered.



If you want to change any of the data, click **Edit** in the row of buttons near the top of the page.

(You can also save the transfer to finish later, add attachments to the transfer, or cancel the transfer. For more information about these processes, see sections 2.6, 2.7, and 2.10.)

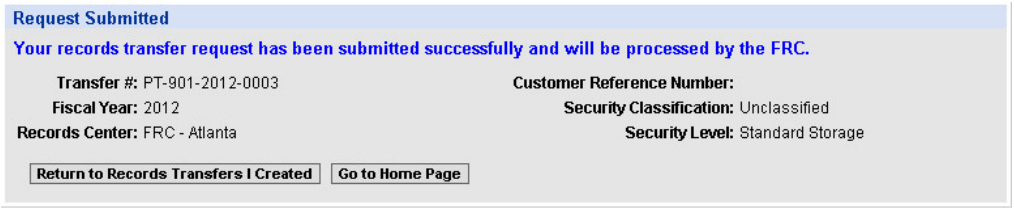
What happens next depends on whether or not you have been designated as the agency approver for this transfer

2.8.1 If You Are the Approver: Submitting the Transfer

If you are the approver for this transfer, the button **Submit to FRC** will appear at right in the row of buttons near the top of the page.

Click **Submit to FRC**.

You will see a message confirming that your records transfer request has been submitted successfully.



When you return to the **Records Transfers I Created** page, you'll see the submitted transfer in the **My Workspace** view, with a status of "Submitted."

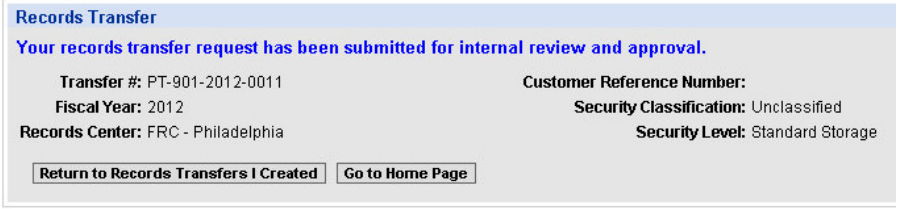
2.8.2 If You Are Not the Approver: Forwarding the Transfer

If you are not the approver for this transfer, you cannot submit the transfer to the FRC. You must forward the transfer to the approver, who will approve and submit it. The button **Forward to Approver** will appear at right in the row of buttons near the top of the page.

Click **Forward to Approver**.

You will see a message confirming that your records transfer request has been forwarded successfully.

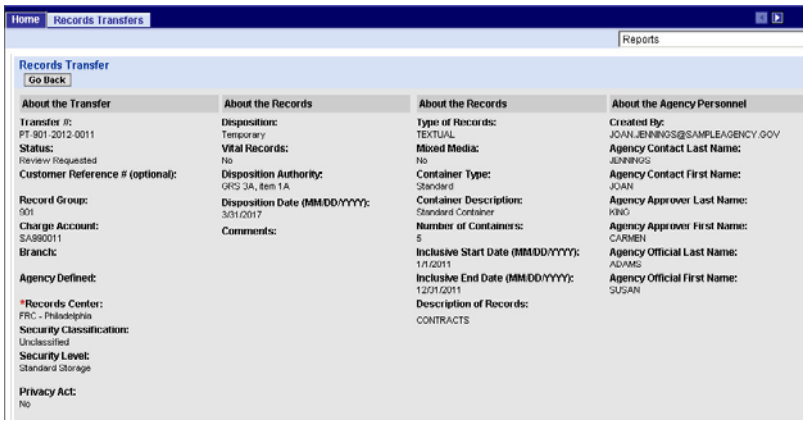
Note: On this screen, the phrase "submitted for internal review" will be changed to "forwarded for internal review." Image will be replaced after Optimos makes the screen change.



When you return to the **Records Transfers I Created** page, you'll see the forwarded transfer in the **My Workspace** view, with a status of "Review Requested."

Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority	Disposition Date	Number of Containers	Records Center	Created	Status	Approved by FRC	Agency Contact Last Name	Agency Contact First Name
PT-901-2012-0011	901	2012	SA990011		GRS 3A, item 1A	3/31/2017	5	FRC - Philadelphia	1/27/2012	Review Requested		JENNINGS	JOAN
PT-901-2012-0010	901	2012	SA990011		GSR 9, item 4	6/30/2013	6	FRC - Philadelphia	1/24/2012	Review Requested		FARLEY	RUSSELL
PT-901-2012-0009	901	2012	SA990011		GRS 2, item 7	5/1/2017	4	FRC - Atlanta	1/24/2012	Review Requested		GOODWIN	JONATHAN

NOTE: While the transfer has a status of “Review Requested”—that is, while it’s in the approver’s hands—you cannot make changes to the form. If you open the form, you will see a “read-only” view.



If the approver wants you to make corrections, you’ll see the status change to “Corrections Requested.” Open the transfer form to make corrections, then forward the transfer back to the approver.

Status	Approved by FRC
Corrections Requested	

NOTE: The person designated as agency contact can also open the transfer form, make corrections, and forward the transfer back to the approver.

Once the approver has submitted the transfer to the FRC, you’ll see the status change to “Submitted.”

Status	Approved by FRC
Submitted	

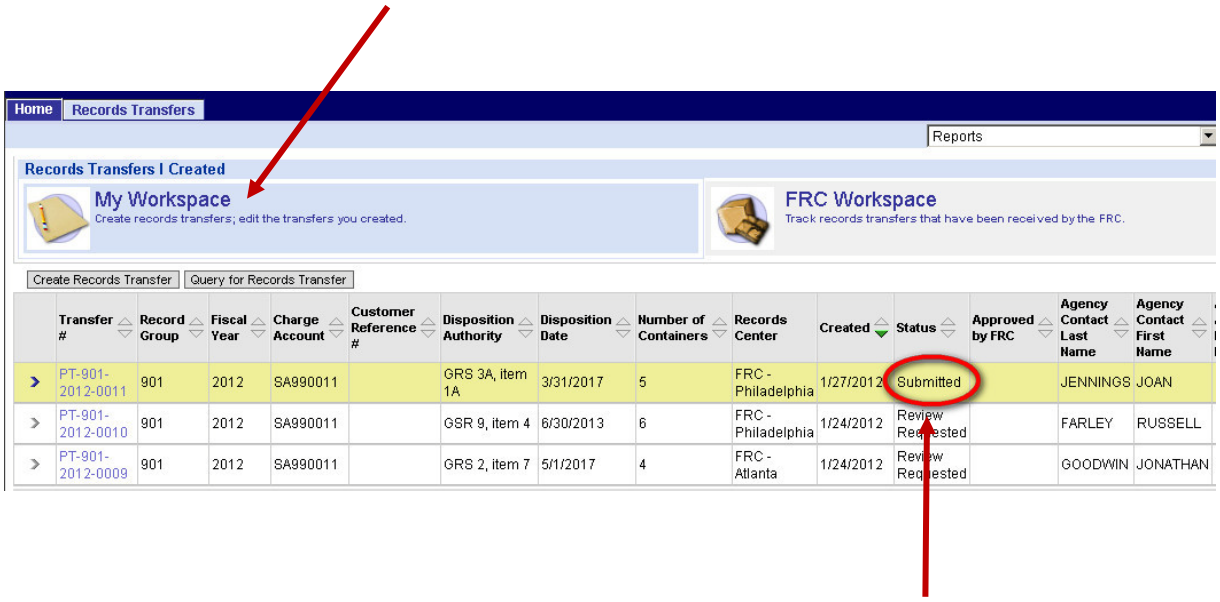
NOTE: While the transfer has a status of “Submitted,” neither you nor anyone else at your agency can make changes to the form. If you open the form, you will see a “read-only” view.

2.9 Next Steps

After you submit your records transfer request, **FRC staff will review the form** and will either **approve** it or **request clarification**. In either case, the FRC will get in touch with the person who has been designated as the agency contact for this transfer, whether that's you or someone else.

> **NOTE:** ARCIS currently does not have the capability of sending automatic notifications, so **the FRC will get in touch with the agency contact by phone, e-mail, or regular mail** to inform that person that the request has been approved or that clarification is needed.

You can track the progress of your transaction by monitoring its status on the **Records Transfers I Created** page. As long as the records are at your agency, the transfer will appear in the **My Workspace** view.



Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority	Disposition Date	Number of Containers	Records Center	Created	Status	Approved by FRC	Agency Contact Last Name	Agency Contact First Name
PT-901-2012-0011	901	2012	SA990011		GRS 3A, item 1A	3/31/2017	5	FRC - Philadelphia	1/27/2012	Submitted		JENNINGS	JOAN
PT-901-2012-0010	901	2012	SA990011		GSR 9, item 4	6/30/2013	6	FRC - Philadelphia	1/24/2012	Review Requested		FARLEY	RUSSELL
PT-901-2012-0009	901	2012	SA990011		GRS 2, item 7	5/1/2017	4	FRC - Atlanta	1/24/2012	Review Requested		GOODWIN	JONATHAN

Until the FRC staff has a chance to review it, it will remain in "Submitted" status.

If the FRC needs to get in touch with the agency contact for clarification, you'll see the status change to "Clarification Requested." The form will become editable again so that you or someone else at your agency can add or correct information and re-submit the form.

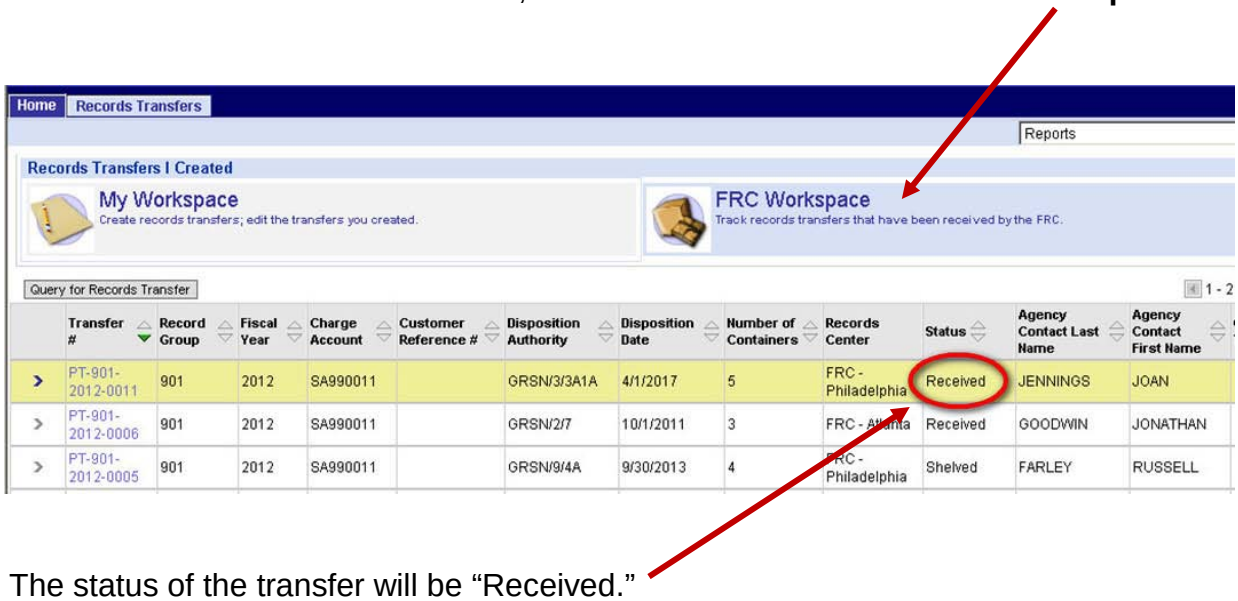
Status	Approved by FRC
Clarification Requested	

When the transfer request is approved by the FRC, the status will change to “Approved,” and the approval date will appear in the **Approved by FRC** column. Your agency can make no further changes to the form once the transfer request has been approved by the FRC.

Status	Approved by FRC
Approved	2/1/2012

NOTE: Once the transfer request has been approved by the FRC, your agency may ship the records to the FRC.

When the FRC receives the records, the transfer will move to the **FRC Workspace**.



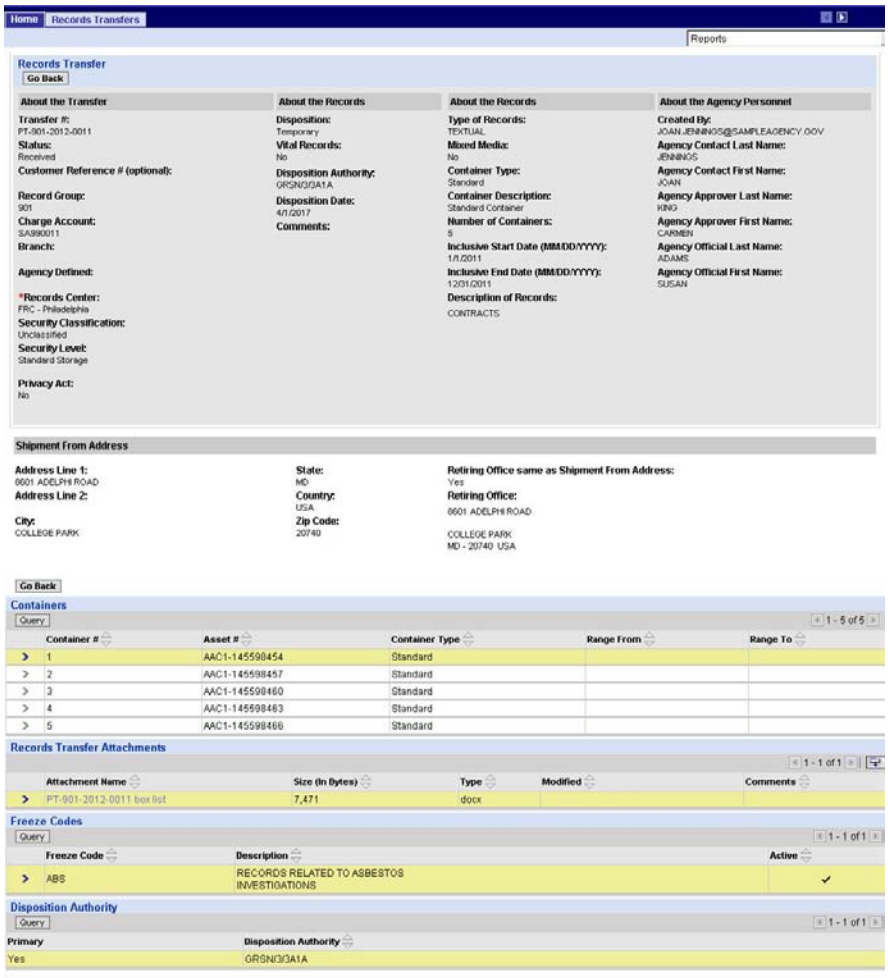
The status of the transfer will be “Received.”

When the FRC shelves the transfer, you may see a number of changes of status, including “Shelving in Progress,” “Partially Shelved,” and “Shelved.”

Much later, as the records near the end of their lifecycle, you may see other statuses, such as “Disposition Approved,” “Disposed,” “Accession Approved,” or “Accessioned.”

As the creator of this transfer, you will always be able to view information about it, even once it’s in the **FRC Workspace.** Simply click the transfer number.

A “read-only” summary of the transfer form will open.



Near the bottom of the form, you’ll see some information added by the FRC, including:

- Tracking numbers for the containers in the transfer.
- Any freeze codes that have been applied to this transfer.
- The NARA disposition authority for this transfer. If more than one disposition authority applies to this transfer, all of them will be listed, and the primary disposition authority will be indicated.

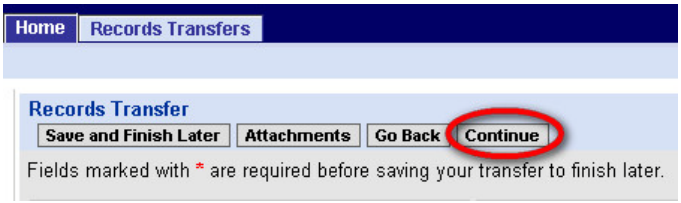
2.10 Canceling a Transfer

If, after beginning work on a records transfer request, you decide you don't want to transfer these records to an FRC after all, you can cancel the request. **You can cancel the request any time before the request is submitted to the FRC.**

To cancel a transfer, locate the transfer in the **My Workspace** view, and click the transfer number.

The **Records Transfer** form opens.

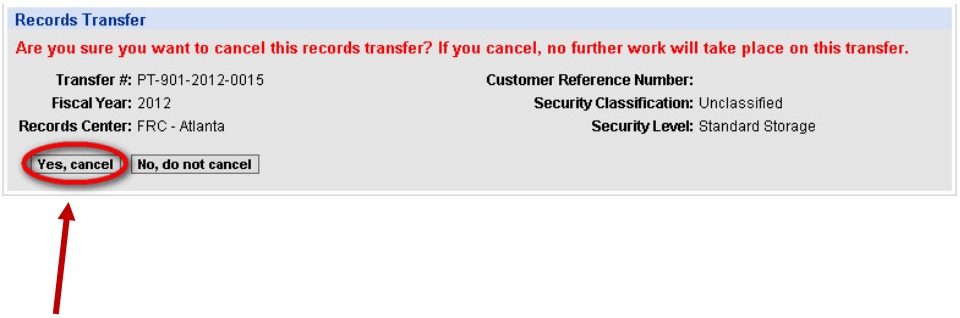
In the row of buttons at the top of the form, click **Continue** to go to the summary page.



NOTE: ARCIS will require you to enter text into all required fields before it allows you to continue to the summary page.

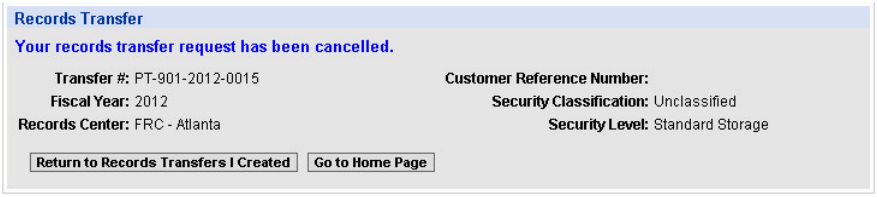
In the row of buttons at the top of the summary page, click **Cancel Transfer.**

You will see a message asking whether you are sure you want to cancel the records transfer.

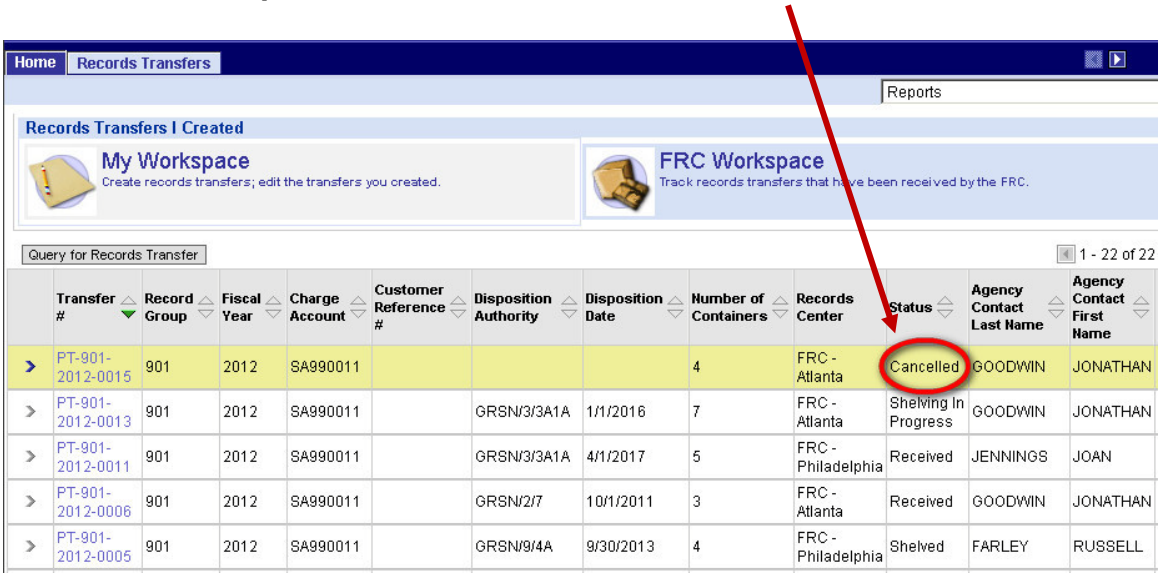


If you are sure, click **Yes, cancel.**

You will see a message confirming that the records transfer has been cancelled.



The records transfer will no longer appear in the **My Workspace** view. Instead, it will appear in the **FRC Workspace** view, with a status of "Cancelled."



Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority	Disposition Date	Number of Containers	Records Center	Status	Agency Contact Last Name	Agency Contact First Name
PT-901-2012-0015	901	2012	SA990011				4	FRC - Atlanta	Cancelled	GOODWIN	JONATHAN
PT-901-2012-0013	901	2012	SA990011		GRSN/3/3A1A	1/1/2016	7	FRC - Atlanta	Shelving In Progress	GOODWIN	JONATHAN
PT-901-2012-0011	901	2012	SA990011		GRSN/3/3A1A	4/1/2017	5	FRC - Philadelphia	Received	JENNINGS	JOAN
PT-901-2012-0006	901	2012	SA990011		GRSN/2/7	10/1/2011	3	FRC - Atlanta	Received	GOODWIN	JONATHAN
PT-901-2012-0005	901	2012	SA990011		GRSN/9/4A	9/30/2013	4	FRC - Philadelphia	Shelved	FARLEY	RUSSELL

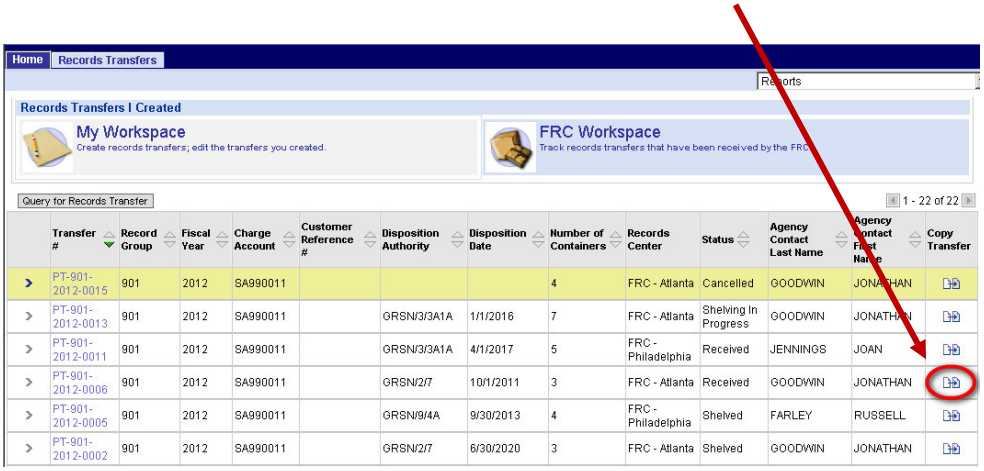
Neither your agency nor the FRC will be able to take any further action on this transfer.

2.11 Copying a Transfer

If your records transfer request will be similar to one that has already been created, you may want to start from a copy of a previous transfer. This option automatically fills in some of the information from the previous form.

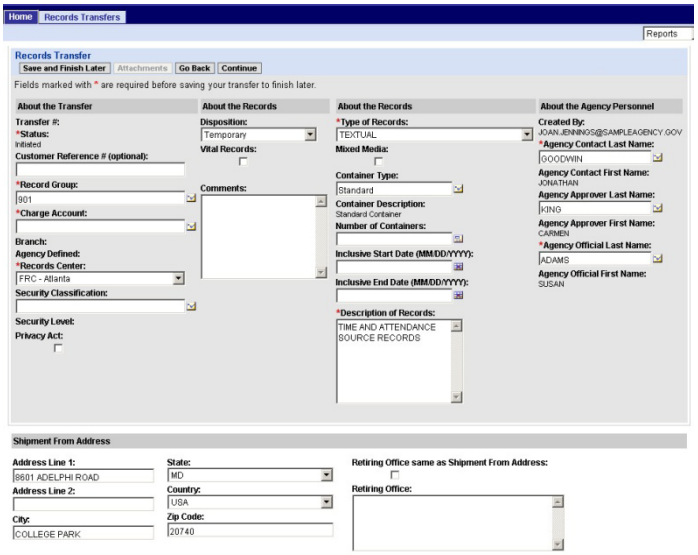
To copy a previous transfer, locate the transfer in either the **My Workspace** view or the **FRC Workspace** view. (Yes, you can copy a records transfer form even after the records have been sent to the FRC.)

Once you've found the right transfer, look to the far right of the row of information about the transfer. In a column labeled "Copy Transfer," you'll see an icon.



Click the icon. The **Records Transfer form** opens.

Some fields, such as **Disposition** and **Description of Records,** will be filled in with information from the previous transfer. Fill in the missing information, then review, add attachments to (if desired), and submit (or forward for internal approval) the new records transfer request.

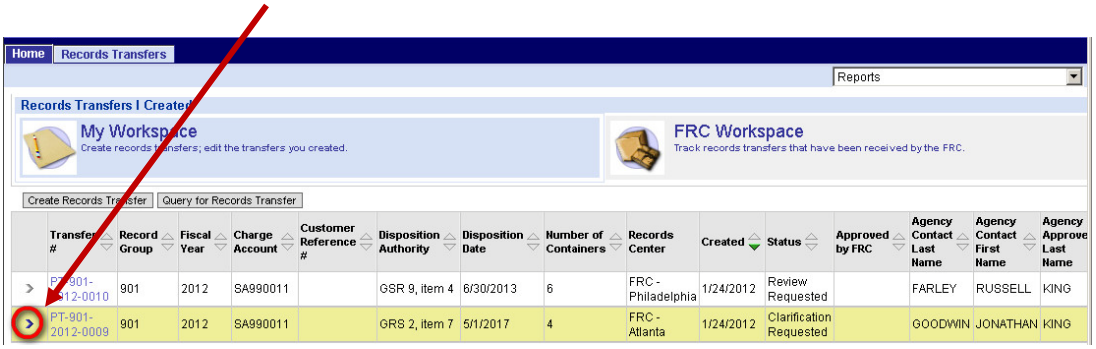


2.12 Printing an SF 135

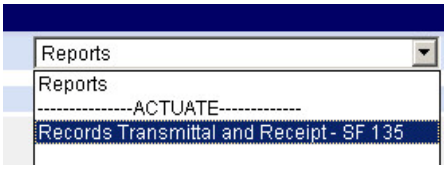
To print an SF 135 for a transfer, locate the transfer in any list of transfers—in either the **My Workspace** view or the **FRC Workspace** view.

> **NOTE:** The example below shows a list on the **Records Transfers I Created** page, but you can also print a transfer from any of the other main pages in the **Records Transfers** module.

Click the arrow next to the transfer to select it.

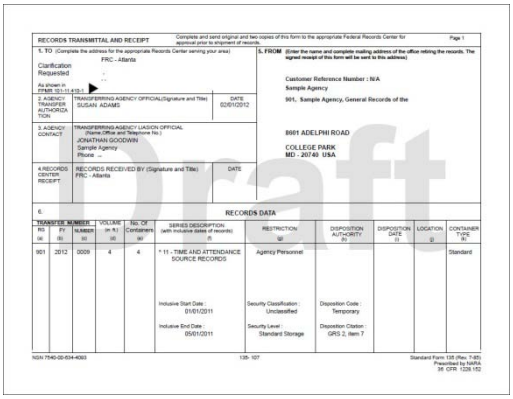


Then, from the **Reports** drop-down list near the top right of the page, select “Records Transmittal and Receipt – SF 135.”



The SF 135 opens.

> **NOTE:** Until the transfer is approved by the FRC, it will have a large watermark reading “Draft.” Once the transfer is approved by the FRC, the watermark disappears.



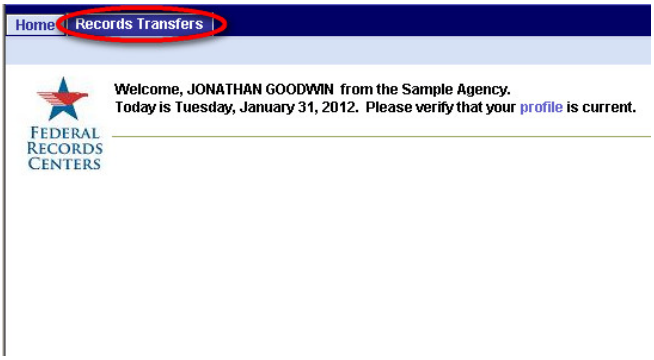
Click the printer icon in your browser window to print the SF 135.

Chapter 3

Editing a Records Transfer

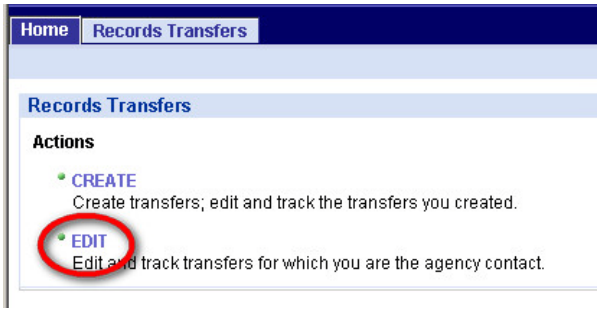
3.1 Getting Started

If you have been assigned any capabilities relating to records transfers, the **Records Transfers** tab will appear at the top of the ARCIS home page (as well as at the top of all other ARCIS pages).



Click the tab to go to the Records Transfers main page.

If you have been assigned the specific capability of editing records transfers, you will see the **EDIT** link on the Records Transfers main page.



NOTE: You can only edit records transfers for which you have been designated as the agency contact.

Click the **EDIT** link to go to the **Records Transfers For Which I Am the Contact** page.

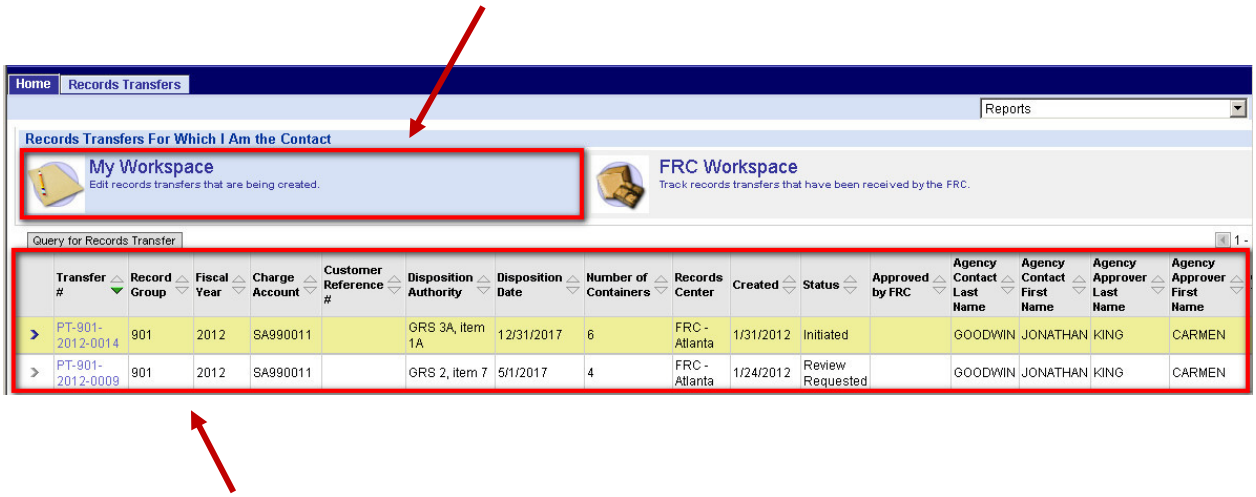
3.1.1 The "Records Transfers For Which I Am the Contact" Page

The **Records Transfers For Which I Am the Contact** page displays information in two different views—**My Workspace** and **FRC Workspace.**

- **My Workspace** displays transfers that have you listed as the agency contact **and** that are still under development at your agency. Transfers stay in this list until the boxes of records are received by the FRC.

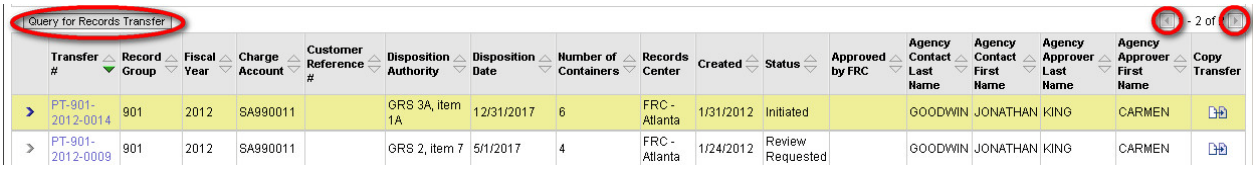
- **FRC Workspace** displays transfers that have you listed as the agency contact **and** that have already been received by the FRC. Transfers that are being stored at the FRC appear in this list.

Clicking the name or the icon for either view will display the transfers currently in that category. The view name will be shaded blue to show that it's selected.



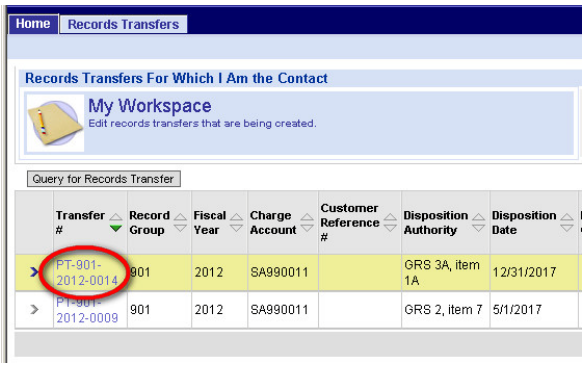
The transfers in that category will appear in a list in the bottom part of the page.

If you are looking for a particular transfer that you created, and if there are more transfers than can be displayed on one page, use the **Query for Records Transfer** button to search for the transfer, or use the arrow buttons to browse from page to page.



To edit a transfer, be sure you're in the **My Workspace** view. (You can only edit a transfer that is still under development at your agency.)

Then locate the transfer you want to edit, and click the transfer number.

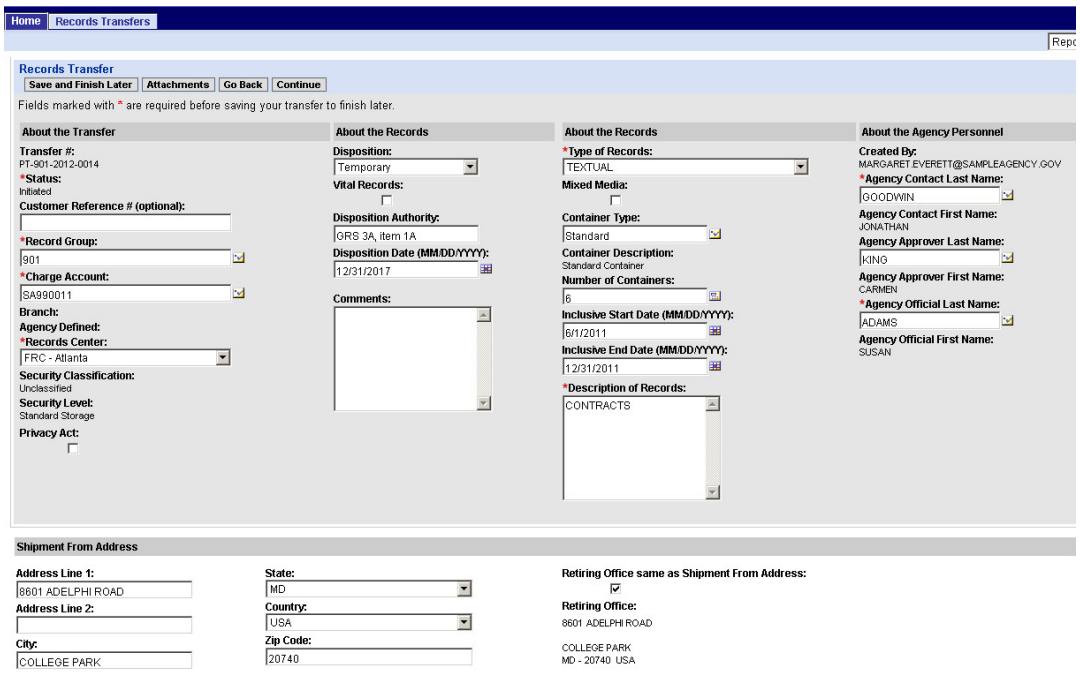


NOTE: You can only edit a transfer when it has a status of "Initiated" or "Corrections Requested." Once it's been forwarded to an approver at your agency, only the approver can make changes. And once it's been submitted to the FRC, only the FRC can make changes. You will still be able to open and view the transfer form, but you won't be able to edit it.

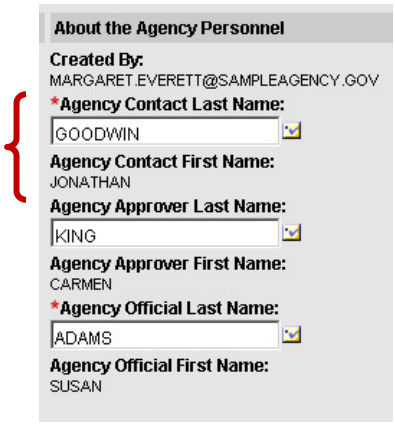
When you click the transfer number, the **Records Transfer** form opens.

3.2 Editing the Records Transfer Form

The **Records Transfers** form displays information that has already been entered by the person who created the transfer.

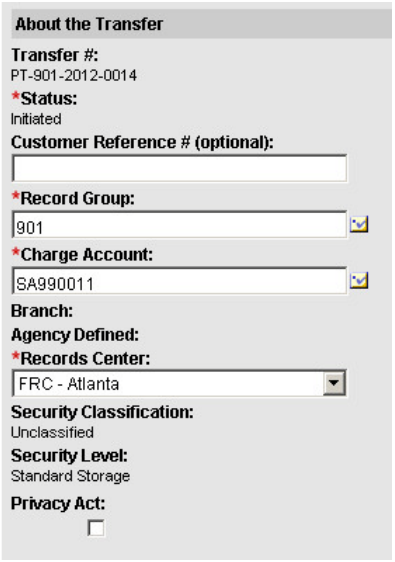


You will always see your own name in the **Agency Contact** fields.



As the agency contact for this transfer, you can do almost everything that a transfer creator can do.

- You can **enter or change information** in most of the fields on the **Records Transfer** form. For information on filling in the “About the Transfer,” “About the Records,” “About the Agency Personnel,” and “Addresses” sections of the form, see sections 2.2 through 2.5 of this guide.



NOTE: The security classification of a transfer cannot be changed after the transfer creator selects it. For more about security classification, see section 2.2.6.

- You can **add or delete attachments**. For information on adding and deleting attachments, see section 2.7 of this guide.

- If you decide that you don’t want to transfer these records to the FRC after all, you can **cancel the transfer.** For information on canceling a transfer, see section 2.10 of this guide.

3.3 Next Steps

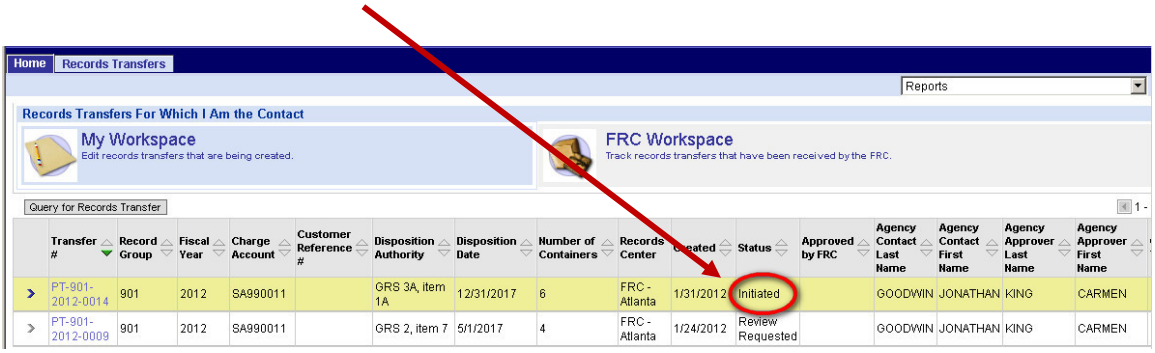
When you are done working on the transfer form, you have a few options:

- If you are ready to complete the transfer, click **Continue.** You can then either **submit** the transfer to the FRC (if you are the approver) or **forward** it to the person who will review and submit it (if you are not the approver). For more information on submitting or forwarding a transfer, see section 2.8 of this guide.

- If you want to complete the transfer later, or if you want the creator to complete it, click **Save and Finish Later.** For more information on saving an unfinished transfer, see section 2.6 of this guide.

- If you decide against your changes, click **Go Back** to return to the previous page without saving your changes.

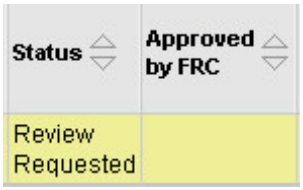
When you return to the **Records Transfers For Which I Am the Contact** page, the transfer will still be in the **My Workspace** view. If the transfer has not been submitted or forwarded, it will still be in "Initiated" status.



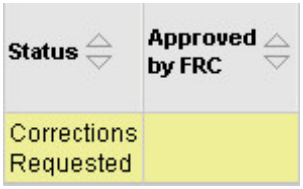
Because you are the agency contact for this transfer, **you will always have access to information about this transfer** and will be able to track its status as it moves through the records transfer process.

Until the records are shipped to the FRC, the transfer will appear in the **My Workspace** view. You may see the following changes to the transfer's status:

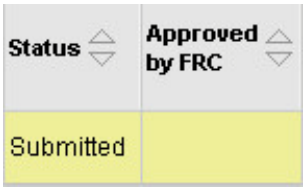
Review Requested: The transfer form has been forwarded to the agency transfer approver for internal review and approval. While the transfer is in this status, you cannot make changes to the form. If you open the form, you will see a "read-only" view.



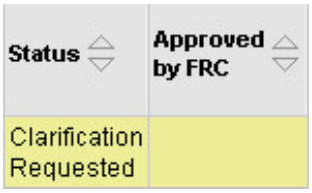
Corrections Requested: The approver has returned the transfer form so that corrections can be made. Either you or the creator can make the corrections to the form.



Submitted: The transfer form has been submitted to the FRC. While the transfer is in this status, you cannot make changes to the form.



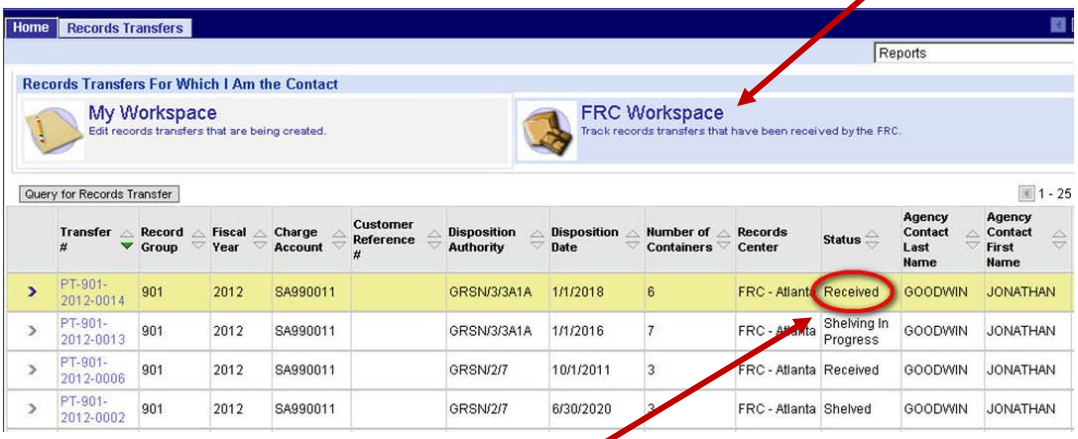
Clarification Requested: The FRC needs additional information before it can approve the request to transfer records. Either you or the creator can make the necessary changes to the form.



Approved: The FRC has approved the request to transfer records. The approval date appears in the **Approved by FRC** column. Your agency can make no further changes to the form.

NOTE: **Once the transfer request has been approved by the FRC, your agency may ship the records to the FRC.**

When the FRC receives the records, the transfer will move to the **FRC Workspace**.



The status of the transfer will be “Received.”

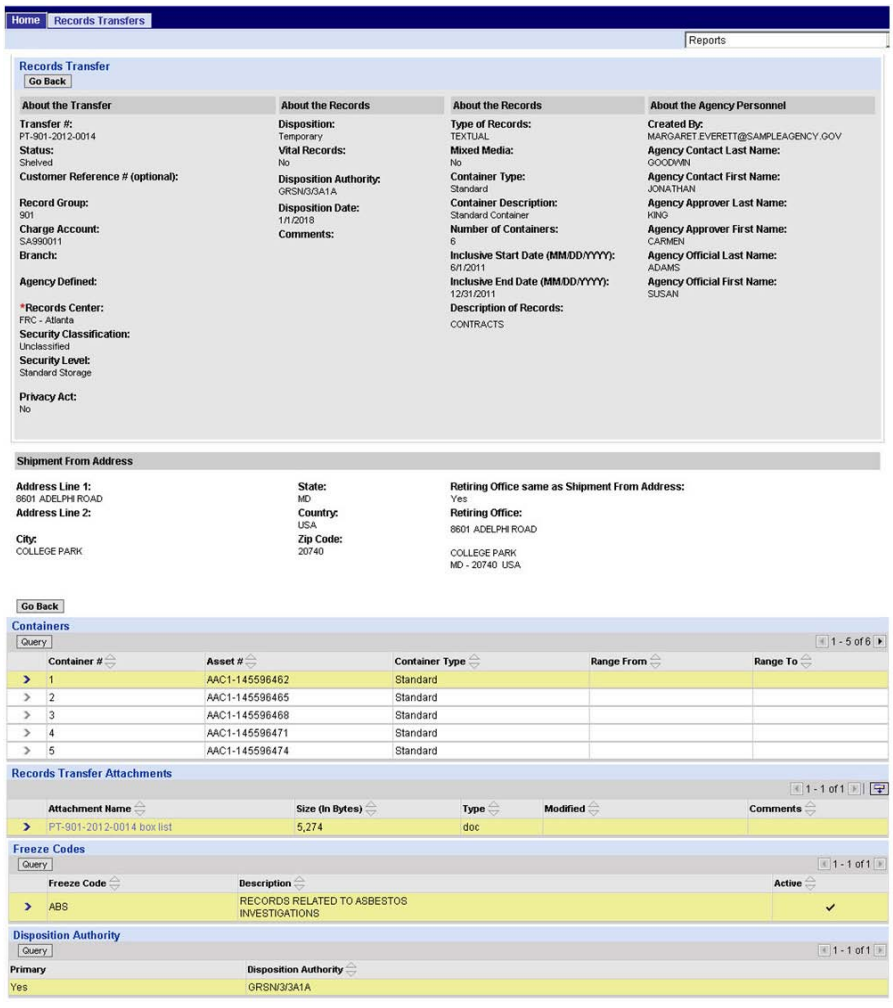
When the FRC shelves the transfer, you may see a number of changes of status, including “Shelving in Progress,” “Partially Shelved,” and “Shelved.”

Much later, as the records near the end of their lifecycle, you may see other statuses, such as “Disposition Approved,” “Disposed,” “Accession Approved,” or “Accessioned.”

As the creator of this transfer, you will always be able to view information about it, even once it’s in the **FRC Workspace.**

Simply click the transfer number.

A “read-only” summary of the transfer form will open.



Near the bottom of the form, you’ll see some information added by the FRC, including:

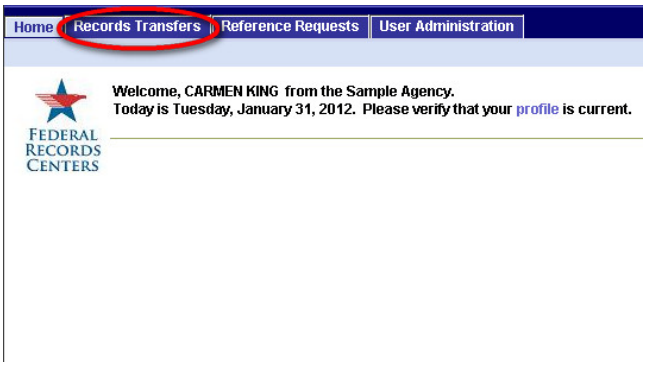
- Tracking numbers for the containers in the transfer.
- Any freeze codes that have been applied to this transfer.
- The NARA disposition authority for this transfer. If more than one disposition authority applies to this transfer, all of them will be listed, and the primary disposition authority will be indicated.

Chapter 4

Approving a Records Transfer

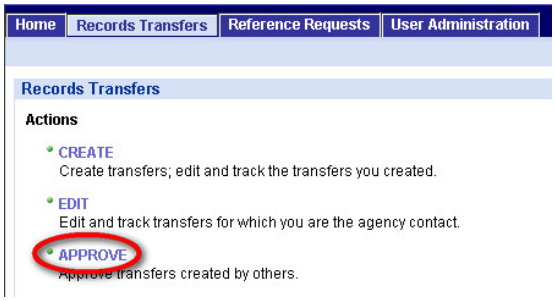
4.1 Getting Started

If you have been assigned any capabilities relating to records transfers, the **Records Transfers** tab will appear at the top of the ARCIS home page (as well as at the top of all other ARCIS pages).



Click the tab to go to the Records Transfers main page.

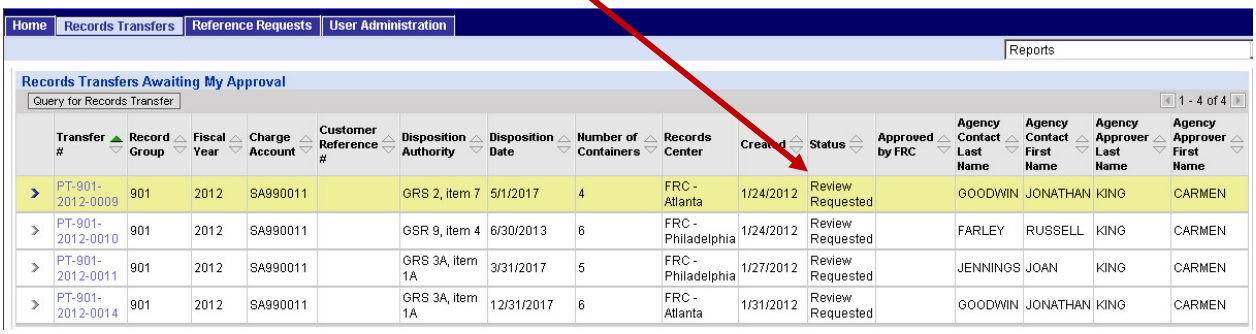
If you have been assigned the specific capability of approving records transfers, you will see the **APPROVE** link on the Records Transfers main page.



Click the link to go to the **Records Transfers Awaiting My Approval** page.

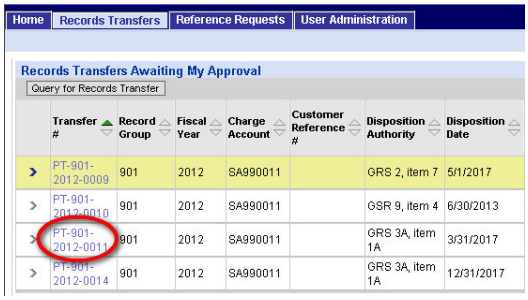
4.1.1 The “Records Transfers Awaiting My Approval” Page

The **Records Awaiting My Approval** page displays all the transfers that are currently awaiting your review and approval. All of these transfers will have a status of “Review Requested.



Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority	Disposition Date	Number of Containers	Records Center	Created	Status	Approved by FRC	Agency Contact Last Name	Agency Contact First Name	Agency Approver Last Name	Agency Approver First Name
PT-901-2012-0009	901	2012	SA990011		GRS 2, item 7	5/1/2017	4	FRC - Atlanta	1/24/2012	Review Requested		GOODWIN	JONATHAN	KING	CARMEN
PT-901-2012-0010	901	2012	SA990011		GSR 9, item 4	6/30/2013	6	FRC - Philadelphia	1/24/2012	Review Requested		FARLEY	RUSSELL	KING	CARMEN
PT-901-2012-0011	901	2012	SA990011		GRS 3A, item 1A	3/31/2017	5	FRC - Philadelphia	1/27/2012	Review Requested		JENNINGS	JOAN	KING	CARMEN
PT-901-2012-0014	901	2012	SA990011		GRS 3A, item 1A	12/31/2017	6	FRC - Atlanta	1/31/2012	Review Requested		GOODWIN	JONATHAN	KING	CARMEN

To review and approve a transfer, locate the transfer you want to review and approve, and click the transfer number.

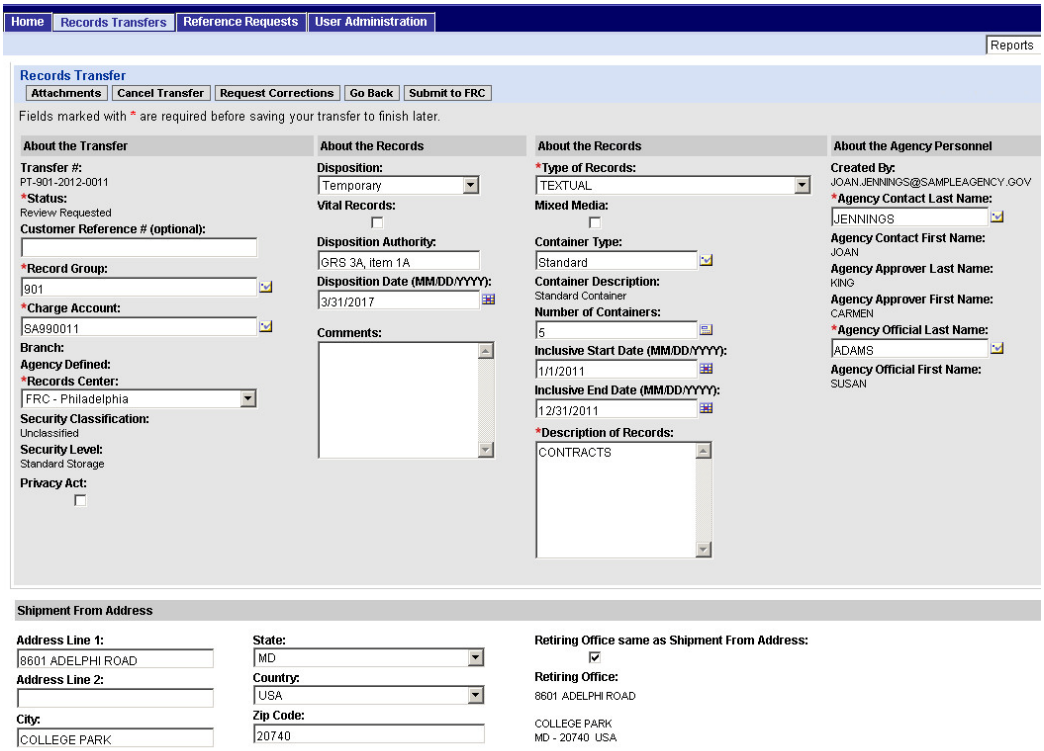


Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority	Disposition Date
PT-901-2012-0009	901	2012	SA990011		GRS 2, item 7	5/1/2017
PT-901-2012-0010	901	2012	SA990011		GSR 9, item 4	6/30/2013
PT-901-2012-0011	901	2012	SA990011		GRS 3A, item 1A	3/31/2017
PT-901-2012-0014	901	2012	SA990011		GRS 3A, item 1A	12/31/2017

The **Records Transfer** form opens.

4.2 Reviewing the Records Transfer Form

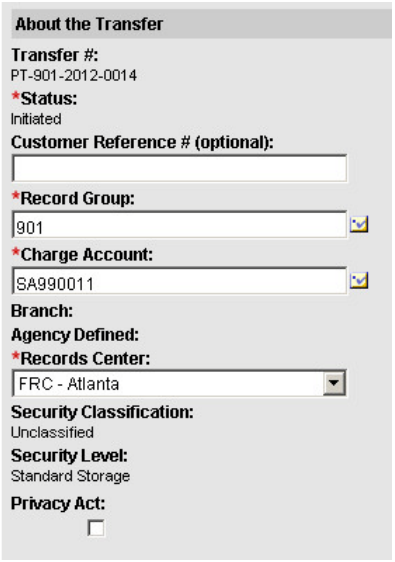
The **Records Transfers** form displays information that has already been entered by the person who created the transfer (and possibly also by the agency contact).



You will always see your own name in the **Agency Approver** fields.

Review the information that has been entered into the other fields to ensure that it is correct. If you like, you can make any necessary corrections or additions yourself.

- You can **enter or change information** in most of the fields on the **Records Transfer** form. For information on filling in the “About the Transfer,” “About the Records,” “About the Agency Personnel,” and “Addresses” sections of the form, see sections 2.2 through 2.5 of this guide.



NOTE: The security classification of a transfer cannot be changed after the transfer creator selects it. For more about security classification, see section 2.2.6.

- You can **add or delete attachments**. For information on adding and deleting attachments, see section 2.7 of this guide.

- If you decide that you don’t want to transfer these records to the FRC after all, you can **cancel the transfer.** For information on canceling a transfer, see section 2.10 of this guide.

4.3 Next Steps

When you are done reviewing the transfer form, you have a few options:

- If you are satisfied with the transfer form and are ready to submit it to the FRC, click **Submit to FRC.**

- If you want the creator of the transfer to make the corrections, click **Request Corrections** to send the transfer form back. (You will need to communicate with the creator separately about exactly what corrections you want made.)

- If you decide you are not ready to work on this transfer after all, click **Go Back** to return to the previous page. (You can also click this button if you want to return to the previous page without saving any changes you may have made.) The transfer will remain in the list of transfers awaiting your approval.

If you have either submitted the transfer to the FRC or returned it for corrections, the transfer will be gone when you return to the **Records Transfers Awaiting My Approval** page. In the example below, transfer # PT-901-2012-0011 no longer appears in the list of transfers awaiting approval.

If you have returned the transfer for corrections, it will show up in the list again once the corrections have been made and the transfer has been forwarded back to you. You will need to open and review it again, and, if it meets with your approval, submit it to the FRC.

Once you submit a transfer to the FRC, your work on this transfer is done.

Chapter 5

Re-assigning a Records Transfer

There are three people who are capable of making changes to a records transfer form in ARCIS:

1) The **creator**
2) The person designated as the **Agency Contact**
3) The person designated as the **Agency Approver**

NOTE: The **Agency Approver** can only make changes to the form after the form has been forwarded to him or her for review.

What if one person is serving in all three roles, and that person suddenly gets sick?

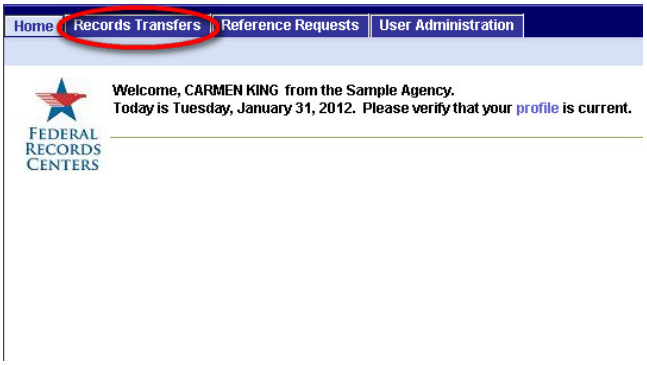
Or if one person is both the creator and the agency contact, and that person gets sick before forwarding the transfer to the agency approver?

Or if the approver is called away for an emergency, leaving unapproved transfers in his or her queue? (No changes can be made to the data on a transfer while it's awaiting the approver's review.)

RE-ASSIGN is the failsafe mechanism. If one or more people in the agency has been given the **RE-ASSIGN** capability, transfers won't languish if key personnel are unavailable.

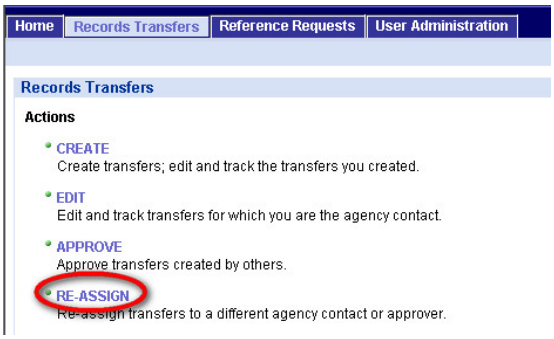
5.1 Getting Started

If you have been assigned any capabilities relating to records transfers, the **Records Transfers** tab will appear at the top of the ARCIS home page (as well as at the top of all other ARCIS pages).



Click the tab to go to the Records Transfers main page.

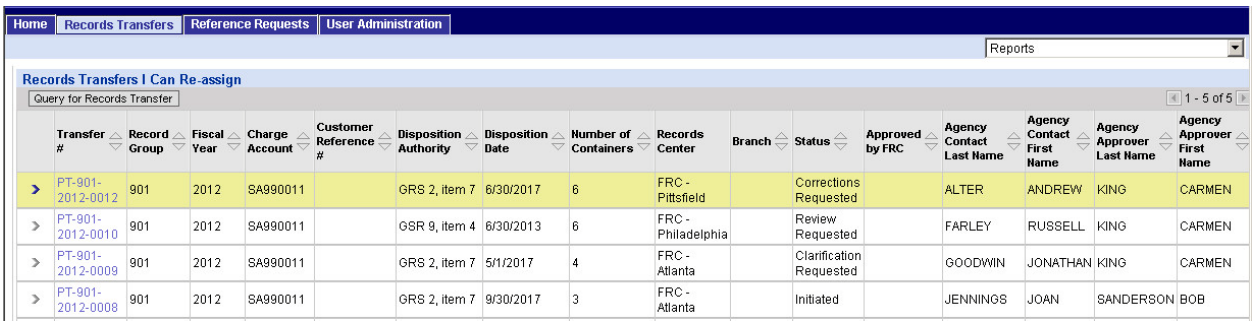
If you have been assigned the specific capability of approving records transfers, you will see the **RE-ASSIGN** link on the Records Transfers main page.



Click the link to go to the **Records Transfers I Can Re-assign** page.

5.1.1 The "Records Transfers I Can Re-assign" Page

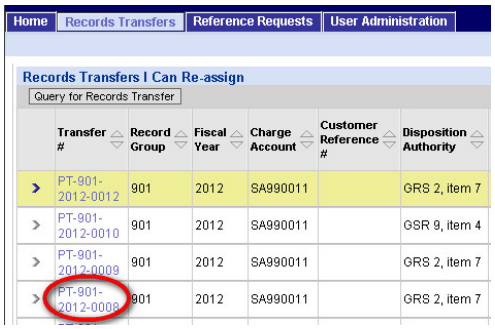
The **Records I Can Re-assign** page displays all the transfers that you are able to re-assign.



	Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority	Disposition Date	Number of Containers	Records Center	Branch	Status	Approved by FRC	Agency Contact Last Name	Agency Contact First Name	Agency Approver Last Name	Agency Approver First Name
>	PT-901-2012-0012	901	2012	SA990011		GRS 2, item 7	6/30/2017	6	FRC - Pittsfield		Corrections Requested		ALTER	ANDREW	KING	CARMEN
>	PT-901-2012-0010	901	2012	SA990011		GSR 9, item 4	6/30/2013	6	FRC - Philadelphia		Review Requested		FARLEY	RUSSELL	KING	CARMEN
>	PT-901-2012-0009	901	2012	SA990011		GRS 2, item 7	5/1/2017	4	FRC - Atlanta		Clarification Requested		GOODWIN	JONATHAN	KING	CARMEN
>	PT-901-2012-0008	901	2012	SA990011		GRS 2, item 7	9/30/2017	3	FRC - Atlanta		Initiated		JENNINGS	JOAN	SANDERSON	BOB

For you to be able to re-assign a transfer, it must meet two criteria:

- The properties of the transfer must match the **access rights** in your own profile.
- The records transfer form must still be **under development** at your agency. Once the form has been submitted to the FRC, your agency cannot make changes to it (unless the FRC requests clarification from your agency).



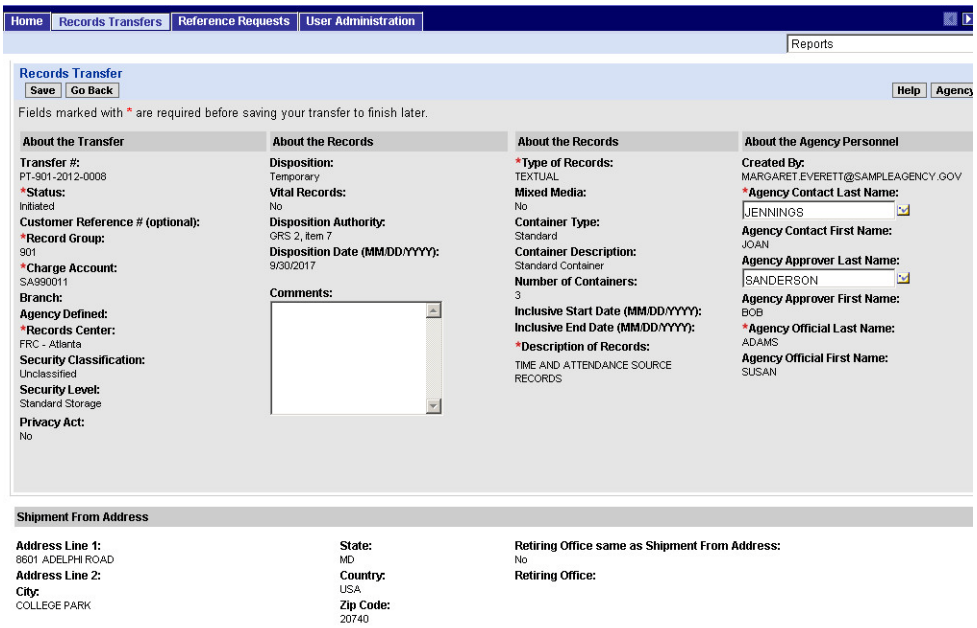
	Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority
>	PT-901-2012-0012	901	2012	SA990011		GRS 2, item 7
>	PT-901-2012-0010	901	2012	SA990011		GSR 9, item 4
>	PT-901-2012-0009	901	2012	SA990011		GRS 2, item 7
>	PT-901-2012-0008	901	2012	SA990011		GRS 2, item 7

To re-assign a transfer, locate the transfer you want to re-assign, and click the transfer number.

The **Records Transfer** form opens.

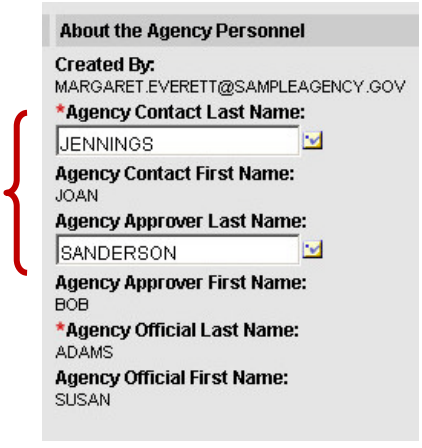
5.2 Assigning the Transfer to Other Agency Personnel

The **Records Transfers** form displays information that has already been entered by the person who created the transfer (and possibly also by the agency contact).



Most of these fields are not available for you to edit.

However, the **Agency Contact** and **Agency Approver** fields are both editable so that you can re-assign the transfer to a different contact, a different approver, or both.



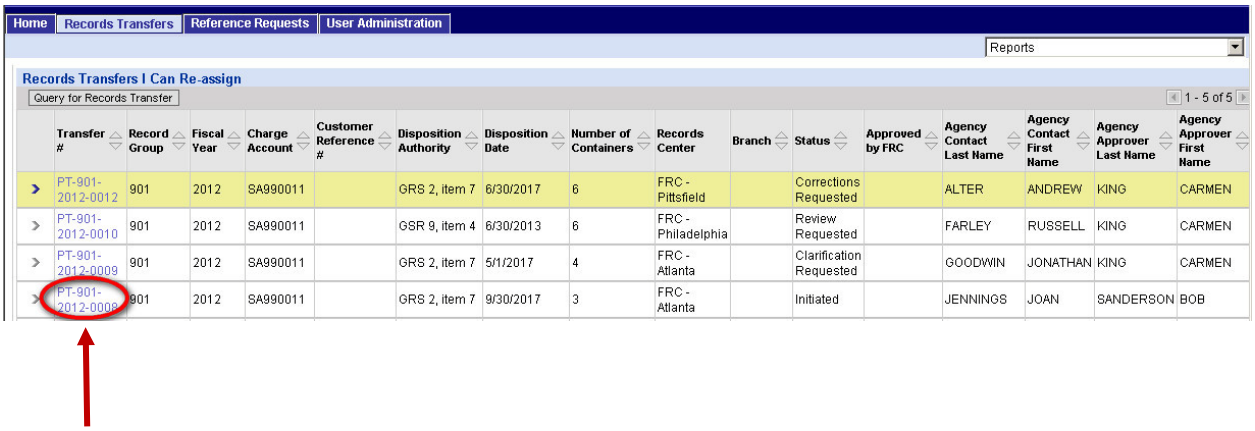
For more information on filling in these fields, see sections 2.4.1 and 2.4.2 of this guide.

5.3 Next Steps

When you are done re-assigning personnel, you have two options:

- Click **Save** to save your changes and return to the previous page.

- Click **Go Back** to return to the previous page without saving any changes.



The transfer will remain in the **Records Transfers I Can Re-assign** list until it is submitted to the FRC. If the FRC requests clarification of any of the information on the form, it will become available to re-assign again.

Once the transfer request has been approved by the FRC, it will disappear permanently from the list of transfers that you can re-assign.

Chapter 6

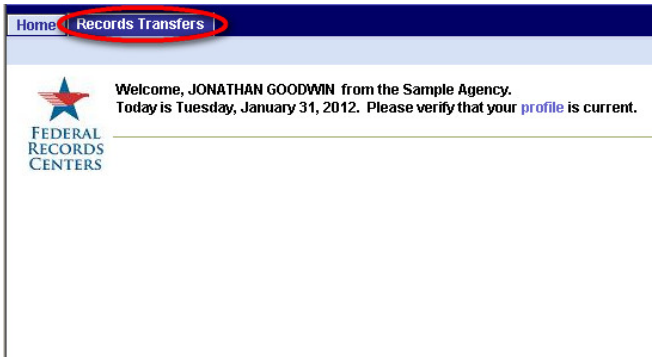
Viewing Other Records Transfers

You can always view a records transfer that **you** created or for which **you** are the agency contact.

If you have been given the appropriate capabilities, you can also view **other** records transfers from your agency.

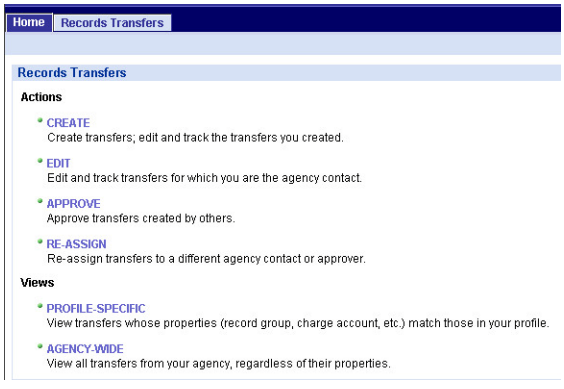
6.1 Getting Started

If you have been assigned any capabilities relating to records transfers, the **Records Transfers** tab will appear at the top of the ARCIS home page (as well as at the top of all other ARCIS pages).



Click the tab to go to the Records Transfers main page.

If you have been assigned one or both of the capabilities relating to viewing records transfers from your agency, you will see one or two links under the **Views** heading.



- **PROFILE-SPECIFIC** allows you to view just the transfers whose access-control properties (such as record group, charge account, etc.) match those in your own profile.

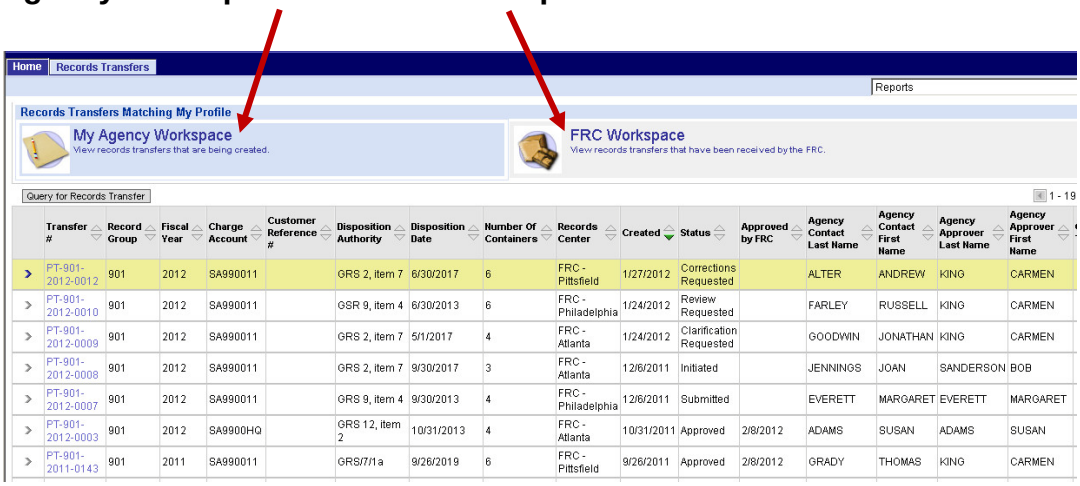
- **AGENCY-WIDE** allows you to view all transfers from your agency, regardless of their properties.

Even if you have been given the **AGENCY-WIDE** capability, you may sometimes find it convenient to use the **PROFILE-SPECIFIC** link to see a filtered list of transfers.

Click one of the links to go to the corresponding page.

6.1.1 The "Records Transfers Matching My Profile" and "All Records Transfers From My Agency" Pages

Each of these pages displays information in two different views—**My Agency Workspace** and **FRC Workspace.**

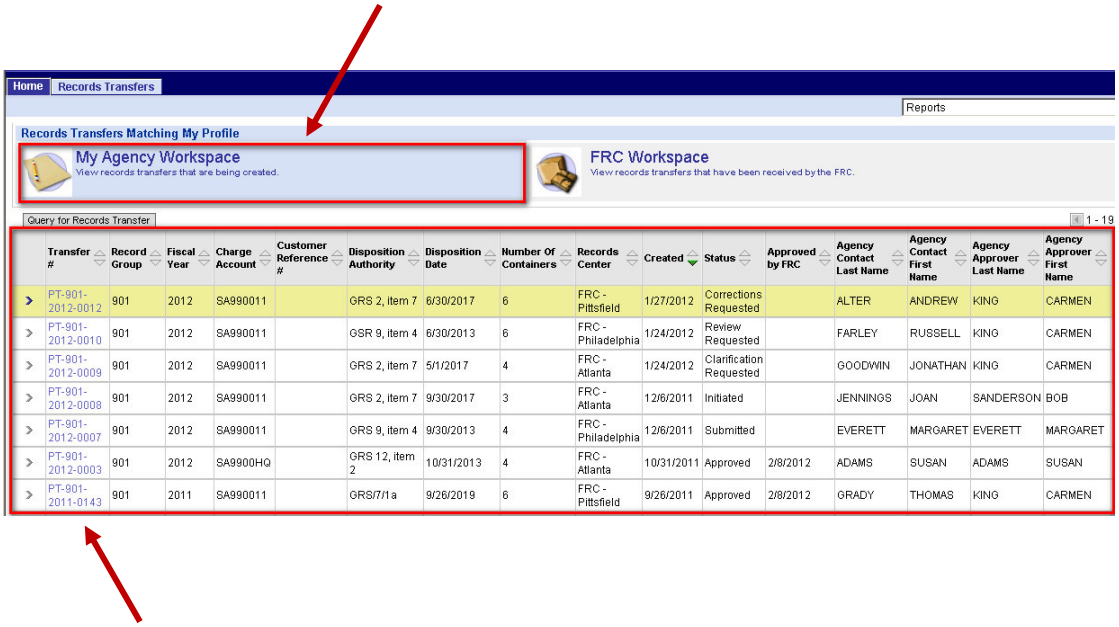


Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority	Disposition Date	Number Of Containers	Records Center	Created	Status	Approved by FRC	Agency Contact Last Name	Agency Contact First Name	Agency Approver Last Name	Agency Approver First Name
PT-901-2012-0012	901	2012	SA990011		GRS 2, item 7	6/30/2017	6	FRC - Pittsfield	1/27/2012	Corrections Requested		ALTER	ANDREW	KING	CARMEN
PT-901-2012-0010	901	2012	SA990011		GSR 9, item 4	6/30/2013	6	FRC - Philadelphia	1/24/2012	Review Requested		FARLEY	RUSSELL	KING	CARMEN
PT-901-2012-0009	901	2012	SA990011		GRS 2, item 7	5/1/2017	4	FRC - Atlanta	1/24/2012	Clarification Requested		GOODWIN	JONATHAN	KING	CARMEN
PT-901-2012-0008	901	2012	SA990011		GRS 2, item 7	9/30/2017	3	FRC - Atlanta	12/6/2011	Initiated		JENNINGS	JOAN	SANDERSON	BOB
PT-901-2012-0007	901	2012	SA990011		GRS 9, item 4	9/30/2013	4	FRC - Philadelphia	12/6/2011	Submitted		EVERETT	MARGARET	EVERETT	MARGARET
PT-901-2012-0003	901	2012	SA9900HQ		GRS 12, item 2	10/31/2013	4	FRC - Atlanta	10/31/2011	Approved	2/8/2012	ADAMS	SUSAN	ADAMS	SUSAN
PT-901-2011-0143	901	2011	SA990011		GRS/7/1a	9/26/2019	6	FRC - Pittsfield	9/26/2011	Approved	2/8/2012	GRADY	THOMAS	KING	CARMEN

- **My Agency Workspace** displays transfers that are still under development at your agency. Transfers stay in this list until the boxes of records are received by the FRC.

- **FRC Workspace** displays transfers that have already been received by the FRC. Transfers that are being stored at the FRC appear in this list.

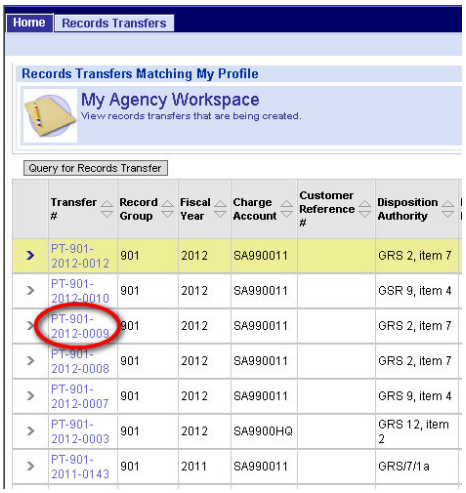
Clicking the name or the icon for either view will display the transfers currently in that category. The view name will be shaded blue to show that it's selected.



	Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority	Disposition Date	Number Of Containers	Records Center	Created	Status	Approved by FRC	Agency Contact Last Name	Agency Contact First Name	Agency Approver Last Name	Agency Approver First Name
>	PT-901-2012-0012	901	2012	SA990011		GRS 2, item 7	6/30/2017	6	FRC - Pittsfield	1/27/2012	Corrections Requested		ALTER	ANDREW	KING	CARMEN
>	PT-901-2012-0010	901	2012	SA990011		GSR 9, item 4	6/30/2013	6	FRC - Philadelphia	1/24/2012	Review Requested		FARLEY	RUSSELL	KING	CARMEN
>	PT-901-2012-0009	901	2012	SA990011		GRS 2, item 7	5/1/2017	4	FRC - Atlanta	1/24/2012	Clarification Requested		GOODWIN	JONATHAN	KING	CARMEN
>	PT-901-2012-0008	901	2012	SA990011		GRS 2, item 7	9/30/2017	3	FRC - Atlanta	12/6/2011	Initiated		JENNINGS	JOAN	SANDERSON	BOB
>	PT-901-2012-0007	901	2012	SA990011		GRS 9, item 4	9/30/2013	4	FRC - Philadelphia	12/6/2011	Submitted		EVERETT	MARGARET	EVERETT	MARGARET
>	PT-901-2012-0003	901	2012	SA9900HQ		GRS 12, item 2	10/31/2013	4	FRC - Atlanta	10/31/2011	Approved	2/8/2012	ADAMS	SUSAN	ADAMS	SUSAN
>	PT-901-2011-0143	901	2011	SA990011		GRS/7/1a	9/26/2019	6	FRC - Pittsfield	9/26/2011	Approved	2/8/2012	GRADY	THOMAS	KING	CARMEN

The transfers in that category will appear in a list in the bottom part of the page.

To view a transfer, locate the transfer you want to view, and click the transfer number.

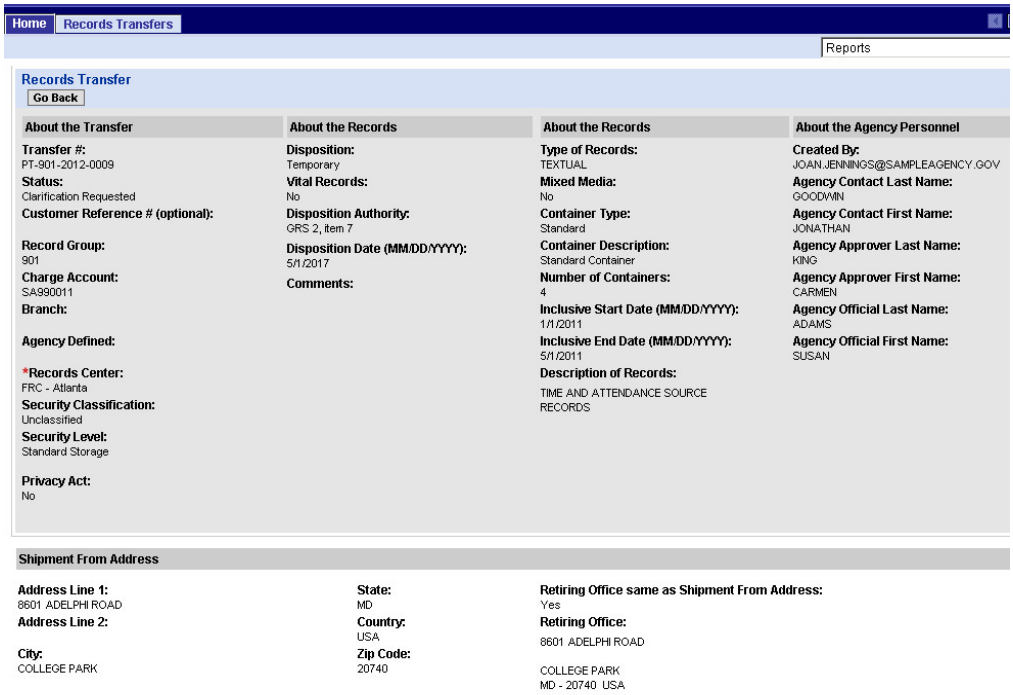


	Transfer #	Record Group	Fiscal Year	Charge Account	Customer Reference #	Disposition Authority
>	PT-901-2012-0012	901	2012	SA990011		GRS 2, item 7
>	PT-901-2012-0010	901	2012	SA990011		GSR 9, item 4
>	PT-901-2012-0009	901	2012	SA990011		GRS 2, item 7
>	PT-901-2012-0008	901	2012	SA990011		GRS 2, item 7
>	PT-901-2012-0007	901	2012	SA990011		GRS 9, item 4
>	PT-901-2012-0003	901	2012	SA9900HQ		GRS 12, item 2
>	PT-901-2011-0143	901	2011	SA990011		GRS/7/1a

The **Records Transfer** form opens.

6.2 Viewing the Records Transfer Form

The **Records Transfers** form displays information that has been entered about this transfer.



You'll see a "read-only" summary of the information. None of the fields will be available for editing.

> **NOTE:** Opening a records transfer form via one of the "View" links always gives you a "read-only" summary of the transfer. **You can take no action on a transfer by using a "View" link.**

When you are finished viewing the form, click **Go Back** to return to the previous page.