

CLASSIFIED RECORDS TRANSFER CHECKLIST
FOR ELECTRONIC RECORDS & DIGITAL SPECIAL MEDIA RECORDS

The National Declassification Center (NDC) requests that agencies provide documentation certifying a declassification and referral review has been conducted as required by Executive Order 13526 and the Special Historical Records Review Plan (Public Laws 105-21 and 106-65)¹.

Criteria are outlined on this NA Form 14130b, Classified Records Transfer Checklist for Electronic Records & Digital Special Media Records. This form, or a comparable form created by your agency containing the same information, must be completed in its entirety for each classified accession for digital/electronic records proposed for transfer to the National Archives. The completed form must accompany each ERA Transfer Request (TR) as an attachment (or Agreement to Transfer Records to the National Archives (SF 258), if special circumstances merit use). This form does not apply to pre-accession electronic records. Direct questions to NDC@nara.gov.

Agency: _____ Declassification Manager: _____
Agency ID # (Internal transfer #): _____ Phone #/email: _____
ERA Transfer Request #: _____ NARA (N1/NC1/DAA) Disposition Authority: _____
Series Title: _____

1. Have these records been reviewed for declassification in accordance with [section 3.3 of E.O. 13526](#) & [32 CFR section 2001.30j](#)

- Yes
 No (STOP. Records may not be accessioned into the National Archives until a review has been completed. Contact the NDC@nara.gov to discuss.)

2. This series of records has been reviewed to evaluate the presence of RD/FRD information, as described under the [Special Historical Records Review Plan \(Supplement\)](#)

- Yes. Determination:
 This series of records is Highly Unlikely to contain RD or FRD information.
 This series of records contains Marked RD/FRD information.
 This series of records contains Un-Marked RD/FRD information.

Determination Date (most recent): _____

- No (STOP. Contact NDC@nara.gov)

3. Does the metadata identify the exempt records?

- Yes. If yes, for digital records is metadata: embedded external to file

If the metadata is external, is the format a: spreadsheet database other (specify)

- No (my agency equities are fully declassified)

Note: Unless properly exempted, your agency's equity is automatically declassified when 25 years old. Note: Though your agency equities may be declassified in full, records are still classified if other agency equities are present.

4. Have all referrals & exclusions been identified via metadata in accordance with [32 CFR section 2001.24](#)?

Please submit an electronic copy of any unclassified metadata maintained regarding the declassification review as a separate file via the ERA Transfer Request. Please use the following file naming convention: TR #_declass_review_data, example: TR-0064-2016-0234_declass_review_data.

¹ The Special Historical Records Review Plan was developed by the Department of Energy in response to the Kyl/Lot amendment to the Defense Authorization Act. The Plan outlines steps that must be taken to ensure no Restricted Data (RD) or Formerly Restricted Data (FRD) is present in the records being transferred. This is also called a Kyl/Lot Review by many in the declassification community.

If metadata is maintained in a classified system, submitting via removable media, or if submitting an SF 258, please coordinate with NDC. Note: If your agency does not maintain this information you are not expected to generate/send it.

- No. Referrals & exclusions are present but not identified via metadata. (STOP. Records cannot be accessioned into the National Archives until all referrals & exclusions have been identified.)
 - No. There are no referrals or exclusions present.
5. Do any records contain SAP or other information requiring special read-in access?
- Yes (STOP. Contact NDC@nara.gov. NARA is rated to store some SAP programs. If NARA is not rated for these records they cannot be accessioned into the National Archives until NDC staff have been read into the SAP.)
 - No
6. Are any of the records in the series proposed for transfer restricted under a statute? Place an X in the Present column for any statute that applies to these records. These must be reflected under Access Restrictions on the Transfer Request in ERA.

Present	Authority	Authority Title
	6 USC 131 – 134	Critical Infrastructure Information
	8 USC 1201	Application for visas
	10 USC 128	Physical protection of special nuclear material; limitation on dissemination of unclassified information
	10 USC 130	Authority to withhold from public disclosure certain technical data
	10 USC 424	Disclosure of organizational and personnel information: exemption for specified intelligence agencies
	10 USC 455	Maps, charts, and geodetic data: public availability; exceptions
	13 USC Section 9	Information as confidential; exception
	13 USC Section 214, Title 13	Wrongful disclosure of information
	18 USC 1210 – 2520	Wire and Electronic communication interception and Interception of Oral Communications
	18 USC 3123	Issuance of an order for a pen register or a tap and trace device
	18 USC 798	Disclosure of Classified information
	22 USC 2251	Arms Control and Disarmament
	26 USC 2603	Liability for tax
	42 USC 2162	Classification and declassification of Restricted Data
	50 USC 3002 (formerly 50 USC 401 Note Section 1082)	Congressional Declaration of purpose
	50 USC 3024	Responsibilities and authorities of the Director of National Intelligence
	50 USC 3121 (formerly 50 USC 421)	Protection of identities of certain United States undercover intelligence officers, agents, informants, and sources
	50 USC 3161 (formerly 50 USC 435)	Procedures
	50 USC 3605	Disclosure of Agency’s organization, function, activities, or personnel
	Other--List	Other—List

7. Additional Information (Comments/Notes):

Please Note: FAILURE TO COMPLY WITH APPLICABLE FEDERAL REGULATIONS PERTAINING TO PERMANENTLY VALUABLE SECURITY CLASSIFIED RECORDS MAY LEAD TO A DELAY IN PROCESSING YOUR RECORDS.