

Checklist for Proposing the Late Legal Transfer of Permanent Records

Agency: _____

Component (if applicable): _____

Disposition authority number (schedule and item number): _____

Complete this checklist if your agency's proposed records schedule includes instructions to legally transfer records to NARA more than 30 years after cutoff, or if transfer is based on the age of the record, when the records are more than 30 years old. This checklist is not required if transfer is less than or equal to 30 years. By completing this checklist, your agency acknowledges the preservation and storage requirements for maintaining records as indicated in [36 CFR 1222.34](#) (all records), [36 CFR 1237](#) (for audiovisual, cartographic, and related records), and [36 CFR 1236.14](#) and [36 CFR 1236.28](#) (electronic records).

The Agency Records Officer (or appropriate agency official) must submit this checklist so NARA can complete the appraisal process for the proposed records. Use a new checklist for each schedule item proposed for late legal transfer. For Department-wide schedules, each component should provide responses to the checklist for each applicable schedule item.

Note: This checklist is intended to help determine if the proposed late legal transfer period is appropriate. Submission of this checklist does not guarantee NARA will approve the proposed transfer instructions.

Why is your agency requesting long-term transfer for these records?

What would be the business impact to your agency if your request for long-term transfer is not approved?

In what record type do the records currently exist? (check all that apply):

- Paper-based textual records
- Analog audio records
- Analog moving pictures
- Analog still images
- Analog maps
- Analog blueprints
- Computer aided design
- Digital audio
- Digital moving pictures
- Digital still images
- Geospatial formats
- Presentation formats

- Textual data
- Structured data formats
- Email
- Web records

Please answer the following:

	Yes	No	N/A
If applicable, are the records stored in a records storage facility that meets standards established in 36 CFR 1234 ?			
If applicable, does the average temperature and humidity of the storage space meet the following NARA requirements:			
<ul style="list-style-type: none"> • Electronic records storage media containing permanent or unscheduled records (36 CFR 1236.28(a) and (b)) 			
<ul style="list-style-type: none"> • Digital images on magnetic tape (36 CFR 1237.18(b)) 			
<ul style="list-style-type: none"> • Digital images stored on CDs and DVDs (36 CFR 1237.18(c)) 			
For electronic records, does the agency have a migration strategy, including sampling plans, as established in 36 CFR 1236.14 and 36 CFR 1236.28(f) ?			
For electronic records, do they meet the minimum metadata requirements as stated in NARA Bulletin 2015-04 ?			
For electronic records, can the metadata be transferred as an index in a pipe-delimited, machine-readable CSV file?			
For digital image files, do the files include descriptive elements pursuant to 36 CFR 1237.28(h) ?			
For permanent audiovisual records, can the agency provide finding aids and other documentation that identifies the records and production case files as indicated in 36 CFR 1237.12 ?			

If you answered “No” to any of the questions above, please explain your response(s):

Agency Certifications

As the Agency Records Officer, I certify that the agency's FOIA/Privacy Officer and Information Technology staff have been consulted about the responses on this form to ensure that the information is accurate. _____ (initial)

Agency Records Officer

Date