Electronic Records Archives
Agency User Manual

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Message from the Archivist of the United States

Thank you so much for using NARA's Electronic Records Archives. ERA gives Federal agency personnel new tools to help them perform essential records management activities, such as scheduling records and transferring permanent records to NARA. We hope this manual will be a handy and effective resource when you need more information on ERA processes or simply want to review specific process steps. Please use it often, and also consult the other resources we have made available for you, such as the online training modules, the ERA Help Desk, and of course, your appraisal and accessioning archivists.

NARA is building ERA to fulfill its mission in the digital age: to safeguard and preserve the records of our government; ensure that the people can discover, use, and learn from this documentary heritage; and ensure continuing access to the essential documentation of the rights of American citizens and the actions of their government. We can only accomplish this mission with your active participation. Your role in government is an essential part of our mission of preserving the records of the past and the present for study and use in the future. We are committed to ensuring that ERA supports you, our critical partner, in carrying out your records management duties efficiently and easily.

DAVID S. FERRIERO
Archivist of the United States

Welcome to ERA

The National Archives and Records Administration (NARA) is responsible for preserving permanently valuable records of the Federal Government. The Electronic Records Archives (ERA) is NARA's system that allows federal agencies to perform critical records management transactions with NARA online. Agency records management staff will use ERA to draft new records retention schedules for records in any format, officially submit those schedules for approval by NARA, request the transfer of permanent records in any format to the National Archives for accessioning or pre-accessioning, and submit electronic records for storage in the ERA electronic records repository.

1. Getting Your Agency Set Up with ERA

At a glance:

➢ *Appoint an ERA Account Manager*
➢ *Email ERA Account Manager contact information to ERAaccounts@nara.gov*

1a. Appointing an ERA Account Manager

Before you can start using ERA, your agency Records Officer will need to appoint a representative who will be responsible for approving access to the ERA system. This representative is called the **ERA Account Manager** and will often be the Records Officer.

Because the ERA Account Manager is responsible for who can access ERA and perform ERA system functions, the ERA Account Manager should carefully review the following instructions and become familiar with the procedures for account creation, review, deletion, and modification.

1b. Notifying NARA

To begin the process of creating ERA user accounts and to establish initial ERA system connectivity, your agency will need to notify the **NARA ERA Account Official** with the following information:

➢ Name and Contact Information of the ERA Account Manager.

The agency Records Officer should send the contact information by email to ERAaccounts@nara.gov.

2. Creating ERA User Accounts: Understanding Roles

At a glance:

- ➢ *ERA provides **five different roles** that can be assigned to each user based on the user's job function.*
- ➢ *A user can be assigned one or several roles.*
- ➢ *The **ERA Account Manager** should understand and be familiar with these roles prior to assigning and granting prospective users ERA system access.*

2a.   Roles for Scheduling Records

Records Scheduler
This role should be assigned to users who will draft **Records Schedules** and submit them to the **Certifying Official**. An agency may have multiple individuals assigned to this role.

Certifying Official
This role should be assigned to users who will certify that the agency is officially submitting a Records Schedule to NARA for review and approval. This is the person who had the authority to sign a paper SF 115, Request for Records Disposition Authority, and an SF 258, Agreement to Transfer Records to the National Archives of the United States, for the agency.

2b.   Roles for Transferring Permanent Records to NARA

Transferring Official
This role should be assigned to users who will create **Transfer Requests** and submit them to the **Agency Approving Official**. An agency may have multiple individuals assigned to this role.

Electronic Transfer Staff
This role should be assigned to users who will package and transmit electronic records to ERA via an electronic transfer method. Users assigned to the role should always discuss electronic records transfer options with NARA before attempting to transmit records.

Agency Approving Official
This role should be assigned to users who have the authority to transfer physical and legal custody of records on behalf of the agency. This is the person who signed block 2A on the SF 258.

ERA ROLES	DEFINITIONS	CAPABILITIES
For Scheduling Records		
Records Scheduler	**Records Schedulers** are agency staff responsible for preparing the draft Records Schedule and submitting it to the Certifying Official.	I am able to prepare a draft Records Schedule and submit it to the Certifying Official.
Certifying Official	**Certifying Officials** are agency representatives responsible for designating the official status of the Records Schedule before submitting it to NARA for review and approval.	I am able to certify that the agency is officially submitting a Records Schedule to NARA for approval.
For Transferring Permanent Records to NARA		
Transferring Official	**Transferring Officials** are the agency representatives who create the Transfer Request and submit it for approval by their Agency Approving Official.	I am able to create a Transfer Request and submit it to the Agency Approving Official who will submit the TR for NARA review.
Electronic Transfer Staff	The **Electronic Transfer Staff** is responsible for packaging electronic files and sending them to ERA. If the Electronic Transfer Staff has transmitted the files via an electronic transfer method, he or she is responsible for initiating the transfer processing of those electronic files once the transmission is complete. Users assigned to the role should always discuss electronic records transfer options with NARA before attempting to transmit records.	I am able to package and transmit the electronic files to ERA via an electronic transfer method. I am able to initiate the transfer processing of those electronic files once the transmission is complete.
Agency Approving Official	The **Agency Approving Official** submits Transfer Requests to NARA, thereby transferring legal custody of records on behalf of the agency.	I am able to submit Transfer Requests to NARA and transfer legal custody of records on behalf of the agency.

Table 1 – ERA User Roles

2c.   Getting Users Trained

The **ERA Account Manager** will identify the appropriate ERA system role(s) for a user and then ensure that the user completes the required ERA training for that role. Each user must complete training prior to submitting an **ERA Account Request** form. All ERA training courses are located online at http://www.archives.gov/era/training.

Many users may only use ERA once or twice a year. In those cases, the ERA Account Manager should require such users to take the online training as a refresher before conducting work in the ERA system.

Contact ERAtraining@nara.gov for further information about training opportunities.

2d.   Submitting ERA User Account Requests

➢ To submit an **ERA Account Request Form**, the **ERA Account Manager** should direct the user to http://www.archives.gov/forms/era/era-account-request.html to complete the online request form.

➢ Once submitted, the form will be reviewed by the **NARA ERA Account Official** and then forwarded via email to the ERA Account Manager for agency review and approval.

➢ The ERA Account Manager should verify that the request is correct and complete, and then reply to the email with the word "approved" in the body of the message. Questions and concerns about the request should be sent to ERAaccounts@nara.gov.

➢ If approved, the account will be created, and the **ERA Help Desk** will contact the new user with a username and temporary password.

➢ To change a temporary password to a permanent password:

- Go to https://www.era.nara.gov/eraportal/era.portal
- Click **Continue**
- Log on to ERA using the username and temporary password
- In the upper-right corner toolbar, click on **Update Password** and follow the instructions for creating a new password.

3. Managing ERA User Accounts: Responsibilities

At a glance:

- ➢ *The **ERA Account Manager** is responsible for managing the creation, modification, and deletion of accounts in ERA for agency users. This includes:*
    - o *Ensuring that users are trained*
    - o *Certifying user accounts on a quarterly basis*
    - o *Approving user account modifications*
    - o *Deleting accounts that are no longer used or needed*
- ➢ *The Account Manager is responsible for maintaining ERA account management files.*

3a. Modifying ERA Accounts

To modify an existing ERA account:

- ➢ The ERA user should go to http://www.archives.gov/forms/era/era-account-request.html, select **Modify Existing User** in Section 1 of the online form, and complete the rest of the form.

- ➢ Please note that a Modify Existing User request will entirely replace all information submitted in the original Create New User request, so be sure to include all roles on the modified that for which the user will need to perform work in ERA.

- ➢ Once submitted, the form will be reviewed by the **NARA ERA Account Official**, and then forwarded via email to the **ERA Account Manager** for agency review and approval.

- ➢ The ERA Account Manager should verify that the request form is correct and complete, and reply to the email with the word "approved" in the body of the message. Questions and concerns about the request should be sent to ERAaccounts@nara.gov.

The **ERA Help Desk** will modify the account and inform the ERA user when the modification has been completed.

3b. Reauthorizing ERA Accounts

The **ERA Account Manager** is responsible for maintaining records of the agency's ERA users and the assigned ERA roles.

On a quarterly basis, the **NARA ERA Account Official** will forward a list of authorized ERA users and their roles to the ERA Account Manager. The ERA Account Manager should review the list and certify that the ERA user accounts are still valid. Any changes should be sent to ERAaccounts@nara.gov.

3c. Deleting ERA Accounts

To terminate an existing user account, the ERA Account Manager should send an email to the **NARA ERA Account Official** at ERAaccounts@nara.gov identifying the ERA user account to be deleted.

The **ERA Help Desk** will delete the account and inform the ERA Account Manager when the deletion has been completed.

4. Getting Help

Online

ERA Agency User Manual: http://www.archives.gov/records-mgmt/era/

ERA eLearning Training: http://www.archives.gov/era/training/

By Telephone

The **ERA Help Desk** can be reached from 6 a.m. to 8 p.m. ET at 1-877-372-9594

By Email

The **ERA Help Desk** email address is ERAHelp@nara.gov

Send questions regarding **training** to ERAtraining@nara.gov

Send questions regarding using ERA for the **Annual Move** to annual.move@nara.gov

5. ERA Forms & Related Elements

At a glance:

➢ *Forms by which records are scheduled and transferred to NARA are called Business Objects in ERA. Business Objects include:*
   o *Records Schedules (RS)*
   o *Records Schedule Items (RSI)*
   o *Legacy Records Schedule (LS)*
   o *Legacy Records Schedule Item (LSI)*
   o *Transfer Request (TR)*
   o *Transfer Processing Results (TPR)*
   o *Legal Transfer Instrument (LTI)*
   o *Folders*
   o *Transfer Plan (TP)*
   o *Data Type Template (DTT)*
   o *Code List (CL)*

5a. Records Schedules (RS) & Legacy Records Schedules (LS)

A **Records Schedule** is a Request for Records Disposition Authority developed by a Federal agency and approved or rejected by NARA in ERA. A Records Schedule contains a **Records Schedule Item(s)** that describes Federal records, establishes a period for their retention by the agency, and provides mandatory instructions for what to do with federal records that are no longer needed for current government business.

   This type of schedule is represented in ERA as:

   DAA=Disposition Authority Agency. The DAA prefix indicates a "born-in-ERA" schedule created by an agency.

A **Legacy Records Schedule** is an SF 115, Request for Records Disposition Authority, that was created by an agency and approved by NARA prior to the mandatory implementation of ERA. A Legacy Records Schedule containing **Legacy Records Schedule Items,** describes Federal records, establishes a period for their retention by the agency, and provides mandatory instructions for what to do with Federal records that are no longer needed for current government business**.**

   This type of schedule is represented in ERA as:

   DAL=Disposition Authority Legacy. The DAL prefix indicates a previously approved, SF 115, Request for Records Disposition Authority.

NARA is responsible for entering all permanent schedule items approved under Legacy Records Schedules into ERA. This process is implemented in two ways:

1. All permanent schedule items associated with currently eligible FRC transfers are entered in preparation for the most current Annual Move.
2. Schedule items are entered on an ad hoc basis for direct offer transfers. If proposing a direct offer transfer, an agency should check ERA to confirm whether or not a Legacy Records Schedule Item has been added to ERA. If the Legacy Records Schedule Item does not exist, the agency must request that it be entered via the legacy.schedule@nara.gov email box. For instructions on how to request that Legacy Records Schedule Items be added to ERA, go to http://www.archives.gov/records-mgmt/era/legacy-schedules.html.

5b.   Records Schedule Item (RSI) & Legacy Records Schedule Item (LSI)

The **Records Schedule Item** or **Legacy Records Schedule Item** is the specific item described on the Records Schedule or Legacy Records Schedule that defines a record series and its disposition.

5c.   Transfer Request (TR)

The ERA **Transfer Request** form replaces the paper form SF 258, Request to Transfer, Approval, and Receipt of Records to the National Archives of the United States, as the means for documenting and conducting physical and legal transfer of permanent records from agency custody to NARA custody. Much of the information captured on the SF 258 is now captured on the Transfer Request. The Transfer Request also captures additional information that was not formerly requested on the SF 258 in order to maximize intellectual and physical control over the records.

A Records Schedule Item or a Legacy Records Schedule Item will be attached, or linked, to each Transfer Request. Only one schedule item can be associated with a single Transfer Request.

Two other Business Objects associated with the Transfer Request are the **Transfer Processing Results** form and the **Legal Transfer Instrument** form. The Transfer Request and its associated Transfer Processing Results and Legal Transfer Instrument all share the same human-readable ID numerals (e.g. TR-0313-2011-0009, TPR-0313-2011-0009, and LTI-0313-2011-0009).

5d.   Transfer Processing Results (TPR)

The **Transfer Processing Results** form is used by NARA to document problems found during the processing and verification of a records transfer. Agencies can view the Transfer Processing Results form associated with their Transfer Request but not make any changes.

The Transfer Processing Results form is automatically generated by the system after a Transfer Request is approved. One Transfer Processing Results form is created for each Transfer Request.

5e.   Legal Transfer Instrument (LTI)

The **Legal Transfer Instrument** formally conveys the legal custody of records transferred to the National Archives. This business object is created automatically by the ERA system when a Transfer Request moves into **Physical Custody Accepted** status.

One Legal Transfer Instrument is created for each Transfer Request.

The status **Legal Custody Accepted** indicates that the National Archives has taken legal custody of the records and that the accessioning process is complete. Only staff with the role of **NARA Accessioning Manager** can accept legal custody of a records transfer.

5f. Folders

A **Folder** is a Business Object that can be used to aggregate other Business Objects and Attachments as a set.

The following Business Objects may be added to a Folder: Transfer Request, Records Schedule, Legacy Records Schedule, Transfer Processing Results, and Legal Transfer Instrument.

Currently only NARA can create, use, and view Folders.

5g. Transfer Plan (TP)

The **Transfer Plan** captures the transfer requirements for records transfers. ERA automatically creates the initial Transfer Plan when a Records Schedule is approved containing permanent Records Schedule Items that will be transferred to NARA. Much of the Transfer Plan is pre-populated directly from the Records Schedule Item.

5h.   Data Type Template (DTT)

The **Data Type Template** is a tool that reads all the records of a file and provides specific details, such as number of distinct values, or the minimum and maximum values, on a field-by-field basis to the person running the tool.

The Data Type Template is applicable to electronic records only.

5i.   Code List (CL)

A **Code List** is a file or printed document identifying and explaining the codes used in a specific file or field in a database.

A Code List is applicable to electronic records only.

5j.   Related Assets

Related Assets are the various Business Objects associated with a particular Business Object such as:

➢ The Records Schedule Item or Legacy Records Schedule Item associated with a Transfer Request
➢ The Transfer Processing Results form associated with a Transfer Request
➢ The Transfer Request associated with a Legal Transfer Instrument
➢ Attachments to a Records Schedule or Legacy Records Schedule, Transfer Request, Transfer Processing Results form, Legal Transfer Instrument, or Folder.

5k.   Attachments

An **Attachment** is a file that is associated with a Business Object. The following Business Objects may have an associated Attachment: Transfer Request, Transfer Processing Results, Records Schedule, Legacy Records Schedule, Legal Transfer Instrument, and Folder.

Attachments cannot be added or deleted by agency ERA users once the Transfer Request has been submitted to NARA for approval (**Proposed/Ready for Approval** status).

 Attachments may consist of box lists, letters, memos, or other correspondence related to a particular transfer.

All Attachments should contain the associated Business Object number in its title. For example, a box list for DOJ TR-0060-2011-0045 should be named:

- TR-0060-2011-0045_SF135.pdf or TR-0060-2011-0045_boxlist.xls

❖ Note: Documents containing classified information **must not** be attached to any Business Object in ERA**. Including any classified information on or attached to a Transfer Request is a security violation.**

❖ **Note: Agency users cannot download or view Attachments in ERA. It is recommended that agency users review Attachments thoroughly and keep a copy prior to uploading an attachment.**

6. Scheduling Records in ERA

At a glance:

> ➢ *All Records Schedules will be created and submitted to NARA electronically via ERA. ERA provides a more structured format for records schedules.*
>
> ➢ *ERA accommodates traditional series-based schedules as well as "big bucket" and flexible schedules, or even a combination of the two.*
>
> ➢ *Please note that while Records Schedules will be submitted and approved electronically, appraisal dossiers (including printed versions of schedules) are still maintained in paper.*

6a. Introduction to Scheduling in ERA

The ERA **Records Schedule (RS)** replaces the SF 115 as the means for agencies to request NARA approval of the dispostion of Federal records, whether those records are temporary or permanent. The ERA Records Schedule provides a more structured way of scheduling records in an effort to ensure that all necessary information is provided. It also captures additional information that was not formerly requested on the SF 115 in an effort to maximize intellectual and physical control over the records.

6a.1 Scheduling Roles

> ➢ There are only two agency user roles associated with the Records Schedule:
> > o **Records Scheduler** who **drafts the Records Schedule and submits it to the Certifying Official.**
> > o **Certifying Official** who **reviews the Records Schedule and submits it to NARA.**
>
> ➢ A Records Schedule is generally created by an agency Records Scheduler.
> > o This person may be the agency Records Officer or any person in the agency who has an account with the Records Scheduler role.
>
> ➢ Records Schedules can also be created by NARA staff on behalf of the agency, but this is rare.
>
> ➢ **For most agencies, the Certifying Official will be the agency Records Officer** (some departmental components must submit schedules through their departmental Records Officer, depending on their internal procedures).

6b. Preparing to Schedule Records Using ERA

Before you create a Records Schedule in ERA, you need to know that some terminology has changed.

> ➢ Prior to ERA, a disposition authority was submitted to NARA on a Standard Form (SF) 115 – Request for Disposition Authority. **A "born-in-ERA" schedule is called a Records Schedule (RS).**

> ➢ The term **Legacy Records Schedule (LS) refers to a schedule submitted and approved using a SF 115 prior to the implementation of ERA**.

> ➢ NARA assigned a unique Job Number to SF 115s in order to track disposition authorities. In ERA, this unique number is referred to as the **Records Schedule Number**.

6b.1 Scheduling and Appraisal Process

Schedules are submitted for approval to NARA by the agency. After receipt, a NARA appraiser reviews the schedule and works with the agency to answer any questions about the submitted schedule. For various reasons, a schedule may be returned for revisions or returned without action. When a schedule is deemed ready to move forward, the appraiser initiates the appraisal. This includes several steps such as information gathering (e.g., interviews, examination of records, and agency site visits), internal NARA stakeholder review, creation of the appraisal memo, and the Federal Register process. It is possible that further revisions to the schedule may occur. When ready, the appraiser initiates the NARA internal concurrence and approval process, resulting in approval by the Archivist of the United States. At any time during the process prior to final approval, the schedule may be returned without action.

Some of the steps described above occur inside ERA, and some occur outside ERA:

> ➢ Currently, **ERA is only for drafting and submitting a schedule, and for final approval of Records Schedules.** The appraisal process occurs outside of the system.

> ➢ Not captured in ERA are correspondence between the NARA appraiser and the agency, internal NARA stakeholder review and Federal Register process documentation, and the final appraisal memo. They are maintained in the appraisal dossier, which is still a paper record not currently part of ERA. NARA does not make appraisal dossiers available to agencies except upon request.

> ➢ ERA captures all signatory information (**Certifying Official** to **Archivist of the U.S.**) on the Signatory Tab.

6b.2 Before Entering a Schedule in ERA

Draft the Retention Schedule in Advance

It is highly recommended that you create a draft of the retention schedule ahead of time. While working in ERA, your ERA session will timeout (or expire) after 15 minutes of nonactivity (you will be given a warning if the session is about to expire, and you can choose to remain logged in). It is helpful if the schedule is already drafted so that you can avoid delays while entering the information.

Please refer to the Request for Disposition Authority Quality Control Checklist (http://www.archives.gov/records-mgmt/scheduling/quality-control-checklist.pdf) to ensure that the schedule includes all pertinent information.

This manual assumes that you are knowledgeable about creating records schedules. If you need assistance, please visit NARA's Records Management web page (http://www.archives.gov/records-mgmt/), attend NARA records management training courses (http://www.archives.gov/records-mgmt/training/), or contact your NARA appraisal archivist (http://www.archives.gov/records-mgmt/appraisal/).

Internal Agency Vetting

There is no workflow in ERA for internal agency vetting of the schedule because agencies have different internal review and approval processes. Vetting may occur before or after the schedule is entered into ERA depending on the agency's process. If the schedule has already been entered into ERA, options for internal agency vetting include:

➢ Print or save a PDF copy of the schedule to distribute for review (see Viewing PDF/Print Version: Saving in Appendix I for instructions).

➢ Assign reviewers the Records Scheduler role, allowing them access to the system and the ability to make changes prior to the Certifying Official certifying the schedule and submitting it to NARA.

In both cases, however, internal concurrence signatures must be captured outside the system. If internal concurrences are submitted to NARA, they can be submitted outside of ERA or as an attachment to the schedule. Agencies are required to let NARA know on the schedule if internal agency concurrences will be provided.

6b.3 ERA Workflow

The ERA process begins after the Records Schedule has been initially entered into ERA. As actions are initiated along the way by agency or NARA users, the status of the schedule will change. **See a diagram of the workflow on the next page (Figure 6a).** A detailed description of the steps to create a Records Schedule begins in the next section.

As noted on the diagram, a snapshot of the schedule is captured and maintained in ERA after a particular event occurs or status is reached. The snapshot remains in ERA and is available for viewing at any time. A status for which no snapshot is captured remains in ERA only until the next action occurs.

ERA Records Schedule Workflow
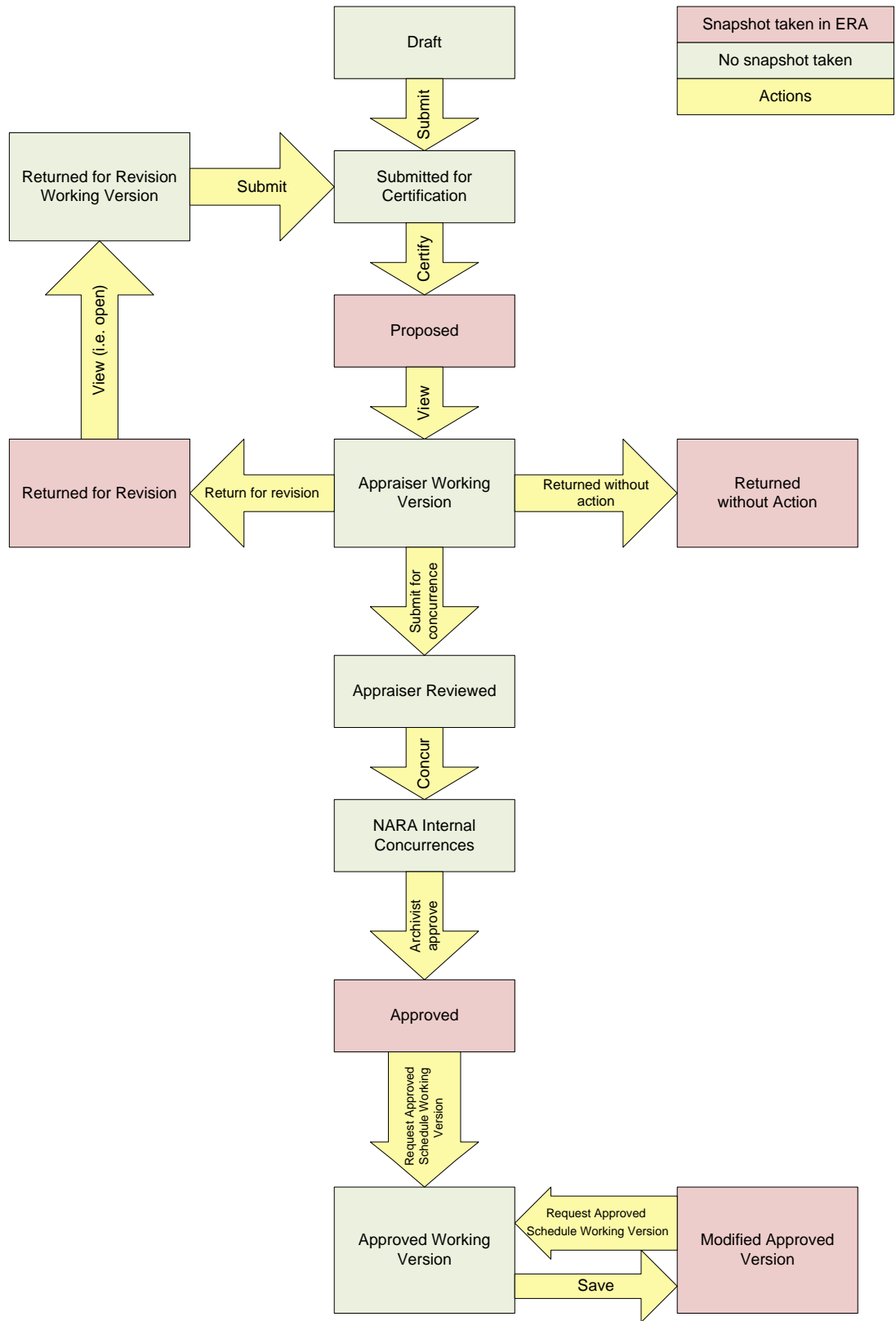
Figure 6a – ERA Records Schedule Workflow Diagram

6c.   Creating a Records Schedule

6c.1   Overview of Records Schedule Tabs

The ERA Records Schedule consists of several tabs: General Information, Item Information, Executive Summary, Contact Information, Signatory, Related Assets, and Attachments. Within these tabs, information is organized by sections that contain fields for which data is either automatically populated by the system or manually entered by the Records Scheduler.

General Information

This tab contains information that applies to all items in the Records Schedule.

Item Information

This tab contains a list of the Records Schedule Items and allows for adding, editing, moving, and reordering of those items.

Executive Summary

Information in the Executive Summary tab is system-generated. No information is entered by the Records Scheduler.

Contact Information

This tab contains information relating to contacts within the agency, including the person who created the schedule and anyone the agency wants to identify as a contact person for records appraisal purposes.

Signatory Information

ERA captures all signatory information (Certifying Official to Archivist of the U.S.) on the Signatory Information Tab as the Records Schedule proceeds through the ERA workflow. Information in the Signatory Information tab is system-generated, so no information is entered by the Records Scheduler.

Related Assets

This tab will show any records transferred to NARA in ERA under this Records Schedule. This tab will not contain any information until transfers are made against a schedule after it is approved.

Attachments

This tab is used when agency or NARA staff attaches additional electronic documents to the Records Schedule. Such documents may include scans or PDFs of internal agency concurrences, additional information from the agency related to the records being scheduled, or appraisal documents.

> ❖ **Note:** Agency users cannot download or view attachments in ERA. It is recommended that agency users review attachments thoroughly and keep a copy prior to uploading an attachment.

6c.2   Creating a Records Schedule

Upon logging in as a Records Scheduler, the Records Scheduler workbench appears.

6c.2a   Creating a New Blank Records Schedule

1.   In the main window at the top of the screen, *select* "**Create -Records Schedule**."

2.   Enter and select all required and any optional information to complete the General Information tab fields.

General Information Tab

The following fields, described below, are associated with the General Information tab.

Agency or Establishment is a required field that contains the immediate agency or establishment for which the schedule applies.

> ➢ **If your agency is a component agency of a larger Department, you should select your agency's name and not the Department's name.**

> ➢ The field is auto-populated based on the user's profile. If you have more than one agency associated with your profile, you will have a drop-down menu to select the appropriate agency.

Record Group/Scheduling Group is a required field that contains the NARA Record Group or Scheduling Group associated with the Agency or Establishment.

> ➢ **A Record Group is a numeric code used by NARA to uniquely identify an agency**.

> ➢ **A Scheduling Group is an alpha code used by NARA ONLY for department-wide schedules in military departments**. Scheduling Groups include NU (Department of the Navy), AU (Department of the Army), and AFU (Department of the Air Force).

If there is more than one Record Group/Scheduling Group associated with a particular Agency or Establishment the user must select the appropriate Record Group/Scheduling Group from a drop-down menu of selections.

Records Schedule applies to field indicates the schedule's scope, whether it applies to only a specific office or subdivision within the agency or to records created anywhere in the agency (agency-wide).

> ➢ Options for agency Records Schedulers include "**Major Subdivision**," "**Agency-wide**," or "**Department-wide**."

> ➢ If you are creating a schedule to be used by only one program office within the agency, select "**Major Subdivision**."

> ➢ If you are creating a schedule that is applicable across all program offices in an agency, select "**Agency-wide**."

> ➢ "**Department-wide**" is a new option available for Records Schedulers within a Department to create schedules that apply to all component agencies within the Department.

> ❖ **Note: Only Records Schedulers at the Department level should use "Department-wide" when creating Department-wide schedules. Records Schedulers in component agencies have this option available, but should not use it.**

Major Subdivision and **Minor Subdivision** are used to identify the program office that creates and/or maintains the records.

➤ The Major Subdivision field is required if Major Subdivision has been selected in the Records Schedule Applies to field.

➤ These fields should not be used to enter the name of a component agency that has its own Record Group (such agency names should be used in the Agency or Establishment field).

❖ **Note: As a Records Scheduler you should only enter your own program office name if you are specifically writing a schedule to cover records created or maintained by your office.**

Schedule Subject is a required field for entering a short title for the Records Schedule.

➤ For example: "Office of the Inspector General Records" or "Bio-Medical Research Records."

Internal agency concurrences will be provided is a required field that allows an agency to indicate whether or not internal agency concurrences will be provided to NARA for the schedule. Internal agency concurrences may be uploaded to the schedule as an attached document or may be sent in hardcopy.

Record Group(s) to which this schedule applies is a NARA-only field to identify the Record Groups that may use the approved authority. The field should pre-populate with the Record Group selected in the Record Group/Scheduling Group field; however NARA may edit this information as needed. This field is intended to help Federal Records Centers and accessioning units verify that the authority is applicable to the records being transferred when the transfer is being submitted under a different Record Group than that of the Records Schedule.

Background Information is an optional field that allows you to enter information relevant to the overall schedule, such as a description of the organizational subdivision to which the Records Schedule pertains or the larger program the records document.

Item Count fields identify the number of items on the schedule, the number of permanent and temporary items, and the number of items that have been withdrawn. These numbers are system-generated and they change as items are created or withdrawn from the schedule.

➤ **Withdrawn items are those removed from a schedule after its certification and submission to NARA**. They should not be confused with items deleted from a schedule during initial drafting by the agency. Items deleted before a schedule is submitted are not included in the item count.

➤ **Disposition items requiring GAO review: GAO approval is no longer indicated at the schedule level.** Instead, the need for GAO approval is indicated at the item level. Individual items requiring GAO approval will automatically appear under this field on the General Information tab once the items are created.

Revision Notes is a NARA-only field for NARA staff to enter comments related to modifications to the general information on the Records Schedule after approval (formerly known as "pen-and-ink changes"). This field should be used to note what change was made, the appraiser's initials, and the date. **This field should not be used by agencies.**

3.   Select the "**Save**" button to save the Records Schedule.

Once you save the General Information tab, ERA creates a Records Schedule Number. At the same time, it establishes a **Status** for the Records Schedule.

Records Schedule Number is system-generated and appears above the General Information section. It is a unique number assigned by the system upon Records Schedule creation.

- ➢ Records Schedule Numbers include:
    - o A prefix (DAA or DAL, defined below)
        - ▪ **DAA (Disposition Authority Agency)** indicates a new "born-in-ERA" Records Schedule created by an agency.
        - ▪ **DAL (Disposition Authority Legacy)** indicates that the Records Schedule is a previously approved schedule submitted on a Standard Form 115 (SF 115) Request for Disposition Authority. See Chapter 8 for further detail about Legacy Schedules.
    - o The Record Group (four numeric digits, example: 0563)
    - o The Fiscal Year in which the schedule is created (four numeric digits, example: 2012)
    - o A sequential number (four numeric digits, example: 0003)

    Records Schedule Number example: DAA-0563-2012-0003
    Legacy Records Schedule Number example: DAL-0059-2011-0005

- ❖ **Note:**

    - o Schedule numbers no longer reflect order of submission to NARA (as they have in the past), but instead, order of creation by the agency.

    - o If you create a schedule in one fiscal year but do not submit it until the next, the schedule number will reflect the fiscal year in which the schedule was created.

If a schedule is created and saved but later deleted, that schedule number will not be reused, and there will be gaps in Record Schedule Numbers.

Status: This field appears above the General Information tab. It is **a system-populated field that identifies the status of the overall schedule**. When creating a new Records Schedule, the status is **Draft**.

Figure 6b – Example of Completed General Information Tab

6c.3   Creating a Records Schedule Overview and Records Schedule Item

Once you save the General Information tab, a new tab appears for Item Information. The first thing you see on this tab is a pane that looks similar to a file directory tree. This directory contains a single folder labeled with the Records Schedule Number. This directory is the **hierarchy tree**, or **a view of all the items and overviews on the schedule**. As new items or overviews are created, they will appear in the hierarchy. There are buttons beside the hierarchy tree for adding Overviews and Items and to move, reorder, or delete them from the hierarchy.

An Overview is just a new word for an old concept – that of records series, a group of related records that are managed under a common heading or title. In previous Standard Form 115s, a records series may have included one or more sub-items. In ERA, an **Overview is a descriptive heading with information that is used to group Items under that heading**. There are no sub-items in ERA, just Items. **An Item is the level of description that contains the actual disposition instruction.** Descriptive information that relates to multiple Items is captured in an Overview. More than one Item may be listed under a single Overview.

The following example shows an item with sub-items from an SF-115 and how it becomes an overview with items in ERA:
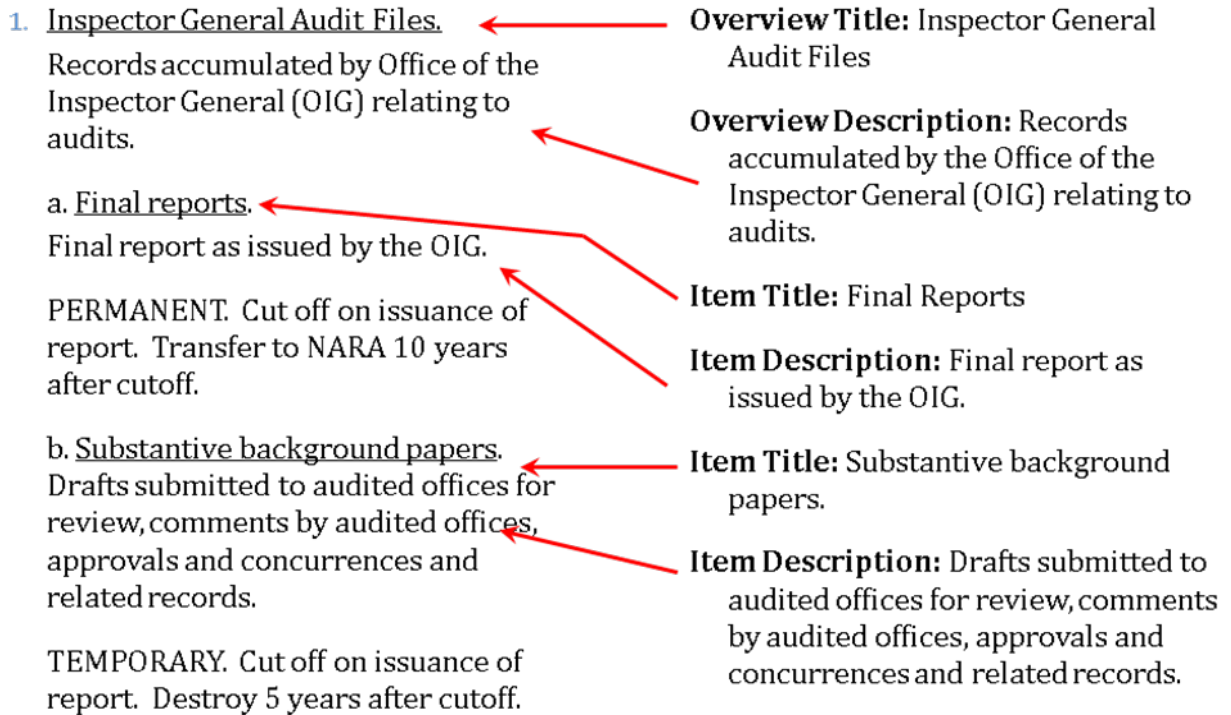
Figure 6c – Item with Sub-items vs. Overview with Items

Another example of an older records series with sub-items (from an SF 115) looks like the following:

> 1. <u>Inspector General Audit Files.</u> Records accumulated by the Office of the Inspector General (OIG) relating to audits. (*This is the records series.*)
>   a. <u>Final reports</u>. Final report as issued by the OIG. (*This is the first sub-item.*)
>   b. <u>Substantive background papers</u>. Drafts submitted to audited offices for review, comments by audited offices, approvals and concurrences and related records. (*This is the second sub-item.*)

In ERA, the hierarchy tree for this same example is:

> 📁 Inspector General Audit Files (*This is the Overview heading.*)
>   📄 Final Reports (*This is the first Item.*)
>   📄 Substantive background papers (*This is the second Item.*)

Overviews are identified in the hierarchy tree by the folder icon. Items are identified with a document icon.

Important Information: Create an Item or Overview

> ➢ *To create an item or overview, you must select either the Records Schedule folder icon or an overview in the hierarchy tree under which the item or overview is to appear.*

> ➢ *The item/overview will appear at the bottom of the selected location.*

> ➢ *Items can be moved between or out of overviews or reordered.*

Item Information Tab

6c.3a   Create a Records Schedule Overview

1.   Select the "**Item Information**" tab.

2.   Select the **location in the hierarchy tree** below where you want the Overview to appear.

3.   Select the "**Add Overview**" button.

There are two fields associated with Overviews:

Overview Title: A short descriptive title associated with the Overview, such as "Inspector General Audit Files." This is a required field when creating an Overview.

Overview Description: A longer descriptive field associated with the Overview Title. It is an optional field.

❖   **Note:** It is possible to have Overviews nested within other Overviews. The only requirement is that each Overview set must terminate in at least one Item. In other words, there cannot be an "empty" Overview containing zero Items. Items do not have to have an Overview.

4.   Enter all required and any optional information to complete the Add Records Schedule Overview screen.

5.   Select the "**OK**" button.

6.   Select the "**Save**" button to save the Records Schedule.

7.   Select the "**OK**" button in the resulting popup window.

*Important Information: The "**OK**" Button*

➢ *The **OK** button is available when creating or editing an item or overview.*

➢ *<u>**OK** does not save your work</u>. It only closes the item or overview you were working on.*

➢ *You must also select **Save** in order to save what you have done.*

➢ *You can create multiple items and overviews without the system prompting you to save.*

➢ *If you exit the system without selecting **Save**, all of your work will be lost, so **Save** after creating each item or overview.*

Important Information: The "Cancel" Buttons

➢ *There are two **Cancel** buttons.*

➢ *The **Cancel** button on the **left side** of the screen (both at the top and bottom) applies to the schedule as a whole.*

　　o *If you select this **Cancel** button, it will ignore any changes not previously saved on the schedule as a whole.*

➢ *The other **Cancel** button, on the **right side** of the screen, appears when you create or edit an item or overview.*

　　o *If you select this **Cancel** button, it will ignore anything done on the specific item or overview on which you are working and return you to the hierarchy tree.*

6c.3b   Create a Records Schedule Item

The user needs to determine the location in the hierarchy tree where the Item shall appear. If the Item goes under an Overview, select the Overview.

1.   Select the "**Item Information**" tab**.**

2.   Select the "**Add Item**" button.

3.   Enter and select all required and any optional information to complete the Add Records Schedule Item screen.

There are several fields associated with Records Schedule Items. Those fields are described below.

Item Title is a required field for the name of the records being scheduled.

Item Description is a required field for the description of the records being scheduled.

Is this item media neutral? field allows you to indicate if the item is media neutral or not.

- ➢ Since December 17, 2007, all schedule items are considered media neutral unless specifically stated otherwise, so this field defaults to "**Yes**." Media neutrality refers to disposition instructions that apply to records in any medium, unless the schedule identifies a specific medium for the records.

- ➢ If the records being scheduled are media-specific, select "**No**."

  - o If "**No**" is selected for **Is this item media neutral?** (indicating the item is NOT media neutral), then the **Explanation of limitation** field appears for the user to indicate the limitation of the applicability of the disposition instruction. This field is required if the schedule is not media neutral.

  - o This explanation can be expressed in either the positive or the negative (what it does apply to or what it does not apply to). For example:

    - ▪ If the disposition instruction only applies to paper records, enter "Applies only to paper records."

    - ▪ If the disposition instruction excludes databases, enter "Does not apply to electronic databases."

Do any of the records covered by this item currently exist in electronic format(s) other than email and word processing? is a required field that allows you to indicate whether the records currently exist in an electronic format other than e-mail or word processing files. This information is used during appraisal.

- ➢ Select "**Yes"** or "**No**."

  If "**Yes"** is selected, then the field **Do any of the records covered by this item exist as structured electronic data?** appears. This field indicates if the records exist as electronic structured data, or in other words, as a database or fielded data.

  - o Select "**Yes**" or "**No**."

The **Manual Citation** is a set of repeatable fields that include:

- ➤ **Manual Citation:** an optional field for agencies to enter the manual citation they have assigned to the disposition item.

- ➤ **Manual Title:** an optional field for entering the title of the agency's records disposition manual.

- ➤ **Format:** a NARA-only field for Federal Records Center (FRC) staff to indicate the format of the records disposition manual (i.e., paper or electronic) that the FRC program uses for reference.

- ➤ **Location:** a NARA-only field for FRC staff to note the location (e.g., URL of web version) of the records disposition manual that is used for FRC reference.

- ➤ **Verification Date and Verifier's Initials:** NARA-only fields used by FRC staff to indicate that the manual information has been verified.

This item supersedes Disposition Authority Number is a repeatable field used to indicate if the item supersedes a previously approved authority and to enter the superseded authority number(s).

- ➤ Only one authority may be entered per data entry field.

- ➤ If the item supersedes multiple authorities, then use the "**Add**" function to add additional fields for data entry.

- ➤ Enter the superseded authority number using a standard format. For example:

  - o "Born in ERA" superseded authority number format: DAA-0059-2010-0002-0005

  - o SF 115 superseded authority number format: N1-059-83-001 / 4/B/13

  - o GRS superseded authority number format: N1-GRS-87-005 / 2/B

Important Information: General Records Schedule (GRS) Exceptions

➢ *NARA removes all GRS items from newly submitted schedules because GRS items are **already approved** by the Archivist of the United States*

➢ *New Records Schedules should only submit items that need new authority, re-authorization, or exception from the GRS*

➢ *To request a GRS exception for a specific Records Schedule Item:*

1. *Select the **Records Schedule Item** that will be edited.*

2. *Select the **Edit** button (right side).*

3. *Scroll to "GRS or Superseded Authority Citation" and enter the GRS citation that you wish to supersede in the field **This item supersedes Disposition Authority Number**.*

4. *Select the **OK** button.*

5. *Select the **Save** button to save the changes to the **Records Schedule**.*

6. *Select the **OK** button in the resulting popup window.*

The **Final Disposition** is a required field that indicates the disposition of the records.

➢ Select "**Permanent**" or "**Temporary**" as appropriate. (The system defaults to Temporary.)

➢ If you select "**Permanent**," the screen will reset to a different set of fields that concern scheduling permanent records.

Cutoff Instruction is an optional free-text field for entering a cutoff instruction for the records, for example: "**Cut off at the end of the calendar year in which the case closes**." If your agency does not use cutoff instructions in its disposition instruction, do not use this field.

Transfer to Inactive Storage is an optional, free-text field for entering any instructions related to transferring records to inactive storage prior to disposal or accessioning to the National Archives. This is the field for entering any instructions related to transferring records to Federal Records Centers or other off-site agency storage facilities.

The **Retention Period** is the length of time before temporary records are to be destroyed.

➢ Select one of the options as appropriate.

➢ Please try to use the options provided rather than the "**Other**" field.

Whether or not **GAO approval** of a retention period is required for a temporary item is indicated in ERA at the item level rather than at the schedule level (as is done on the paper SF 115).

➢ Select whether GAO approval is required or not required for the item.

Multiple Transfer/Accessioning Instructions: ERA allows multiple accessioning instructions to be created for a single permanent item to accommodate flexible scheduling and different instructions based on the format of the record. For example, you can create an instruction such as "Accession electronic records to the National Archives 3 years after cutoff. Accession paper records to the National Archives 20 years after cutoff."

To create multiple accessioning instructions:

➢ Within the Records Schedule Item, scroll down to the **Disposition Section**.

➢ Select the "**Add**" button to add an additional Disposition Section.

➢ Enter and select the required fields to complete the **Disposition Instruction** and **Additional Information**.

➢ Repeat steps above for every additional Disposition Instruction.

➢ Select the "**OK**" button.

➢ Use **If this item has multiple sections, indicate here the records to which this section applies** to define the records to which the particular Disposition Instruction section applies. Standard format options are available as a free-text option (**Other**).

❖ **Note: This field should only be used if you need to write multiple transfer instructions. If there is only a single instruction for the item, DO NOT use this field.**

Figure 6d(1) – Example of Multiple Transfer/Accessioning Instructions

(Section 1 of 2)

Figure 6d(2) – Example of Multiple Transfer/Accessioning Instructions (Section 2 of 2)

If your agency plans on transferring physical custody of permanent records prior to transferring legal custody to NARA (a transfer that is known as "pre-accessioning"), use the **Transfer Electronic Records to National Archives for Pre-accessioning** option under the disposition instruction section for permanent records.

The **Transfer to NARA for Accessioning** section defines when permanent records are eligible for transfer to NARA.

> ➤ Select an option as appropriate.

> ➤ Please try to use the options provided rather than the "**Other**" field if possible.

> ➤ Any additional instructions about cutoff or maintenance of the records should go either in the **Cutoff Instruction** or in the **Item Description** field as appropriate.

Sometimes permanent records remain in the physical custody of another institution (an affiliated archives) after NARA accepts legal custody. If the records will reside in an affiliated archives, use the field **If records are not transferred to NARA physical custody when legal custody is transferred, specify institution that will maintain physical records** to indicate the specific institution that will maintain physical custody of the records. Transfer to an affiliated archives is rare.

First Year of Records Accumulation is a required field for permanent records wherein the user indicates when the agency began to accumulate the records described by the item.

End Year of Records Accumulation is a required field to indicate if the records are still being created or not.

- ➢ In most cases, the records described in a new schedule are still being created, so you can leave this field on the default setting, **Records are still being accumulated**.

- ➢ If the records are no longer being created select "**Records ceased accumulation in:**" and enter the year the records ceased accumulation.

Two fields in the Records Schedule capture information about permanent records that will eventually be used to predict when accessions are due and the date span of records expected in those accessions:

What will be the date span of the initial transfer of records to the National Archives? is a required field used to determine the date span of the initial accession.

- o The initial date span will usually correspond to the **First Year of Records Accumulation -** the year the records will first be cut off.

- o In some cases, the initial date span may be unknown. In these cases, select the "**Unknown**" option and provide an explanation in the associated text field.

How frequently will your agency transfer these records to the National Archives? is a required field used to indicate how often records will be transferred.

- o If records are cut off annually and not transferred in blocks, the interval will be every 1 year.

- o If records are transferred in blocks, the interval will correspond to the block.

- o If the records are transferred at the end of a Presidential administration, the interval would be every 4 years.

- o In some cases, the interval will be unknown. In these cases, select the "**Unknown**" option and provide an explanation in the associated text field.

The section **Estimated Current Volume and Annual Accumulation** allows you to identify record formats, current volume, and annual accumulation of the records covered by a permanent item. This information is optional.

Revision Notes is a NARA-only field for NARA staff to enter comments related to modifications to the Item on the Records Schedule after approval (formerly known as "pen-and-ink changes"). This field will show changes made, the appraiser's initials, and the date of change.

After all of the fields on the Item Information tab are filled in:

4. Select the **"OK"** button**.**

5. Select the "**Save**" button to save the Records Schedule.

6. Select the "**OK"** button in the resulting popup window.

Once you have saved the Records Schedule, ERA assigns a simple four-digit number (0001, 0002, 0003, etc.) to each Item. It does not number headings and sub-items in the same way as previous SF 115s (e.g., 2A, 7(a)1, 3.1.4). You can still create outline structures with headings and overarching descriptions using the Overview feature, but headings are not numbered. An example in ERA:

Figure 6e – Example of Hierarchy Tree

Important Information: Item Numbers

➢ *Item numbers may not appear in order in **Draft.***

➢ *ERA assigns temporary item numbers at the moment of creation.*

➢ *If you delete an item in Draft state, that item number will not be reused.*

➢ *Similarly, if items are moved or reordered, they retain their originally assigned item number while in Draft state.*

➢ *Once the schedule is certified, however, all the numbers will be reset so that they are in order with no gaps.*

➢ *Similarly, if changes are made while a schedule is returned to an agency for revision, the numbers will be reset when the schedule is returned to NARA.*

In addition to the status of the overall Records Schedule (shown at top of page), each Item has a **Status** field (shown at right) that identifies the status of an individual Item (see Figure 6f). The system pre-populates the item status to **Pending** or **Active**. Changing the status to **Withdrawn** and **Inactive** must be done manually by a user. Item statuses include:

➢ **Pending** while the schedule is in Draft and Proposed states.

➢ **Active** once the schedule is approved.

➢ **Withdrawn** if the item is withdrawn prior to approval.

➢ **Inactive** if the item is no longer in use or has been superseded by another authority.

Figure 6f –Records Schedule Status and Item Status Fields

The **Disposition Authority Number** field contains a system-generated number including the ERA Records Schedule (RS) Number followed by the Records Schedule Item (RSI) Number, a four-digit sequential number (e.g., 0001, 0002).

❖ **Note:** Instructions for modifying (edit, add, move, reorder, delete) an existing Records Schedule, Overview and Item are found in Section 6d.

Contact Information Tab

After the Item Information tab is saved, the Records Scheduler selects the Contact Information tab and enters all required and any optional information. This tab contains information relating to contacts within the agency including the person who created the schedule and anyone the agency wants to identify as a contact person for records appraisal purposes.

1.   Select the "**Contact Information**" tab**.**

Records Scheduler: This information auto-populates based on the user's profile. The information includes first and last name, title, telephone number, and email address.

Contact Persons: These required fields are available to enter contact information for persons who can provide additional information during the appraisal process.

➢   At least one contact must be provided; however, this person can be the Records Scheduler or Certifying Official (in which case the information still needs to be provided, even if it exists elsewhere in the schedule).

➢   Required data fields include **First Name**, **Last Name**, **Phone**, and **Email** for at least one contact person. The **Title** field is optional.

➢   Multiple contact persons can be added using the "**Add**" button.

> ➢ To delete a contact person, check the box before the person's name and click on the "**Delete**" button.

2. Select the "**Save**" button to save the Records Schedule.

3. Select the "**OK"** button in the resulting popup window.

Figure 6g – Example of Blank Contact Information Tab

Attachments Tab

This tab is used when agency or NARA staff attaches additional electronic documents to the Records Schedule. Such documents may include scans or PDFs of internal agency concurrences, additional information from the agency related to the records being scheduled, or appraisal documents. See Uploading Attachments in Appendix I of this manual for more information about uploading attachments.

ADDITIONAL TABS:

There are additional tabs associated with the Records Schedule: Executive Summary tab, Signatory Information tab (appears after Records Schedule is submitted for certification) and Related Assets tab. These tabs are available to view, but do not require the Records Scheduler to enter any information.

Executive Summary Tab

Information in the Executive Summary tab is system-generated. No information is entered by the Records Scheduler.

The **Summary** field corresponds to a summary of the schedule per NARA appraisal procedures.

The **Approving Official** field is used to indicate the appropriate approving official for the schedule. In most cases, this will be the **Archivist of the United States**, but some schedules only require approval from NARA's Chief Records Officer (CRO).

Permanent Item Numbers contains a system-generated list of the permanent items on the Records Schedule.

Federal Register Notice

➢ **(Required/Not Required):** These radio buttons are used to indicate if a Federal Register Notice publication is required for the schedule.

➢ **Publication Date:** If a Federal Register Notice is required, this field is for entering the publication date.

➢ **Copies Requested:** This field is for indicating the number of Federal Register requests for the Records Schedule.

➢ **Comments Received:** This field is for indicating the number of comments received on requests for copies from the Federal Register notice.

Signatory Information Tab

ERA captures all signatory information (Certifying Official to Archivist of the United States) on the Signatory Information tab as the Records Schedule proceeds through the ERA workflow. Information in the Signatory Information tab is system-generated. No information is entered by the Records Scheduler.

Related Assets Tab

This tab will show any records transferred to NARA in ERA under this Records Schedule. This tab will not contain any information until transfers are made against a schedule once it is approved.

If the Records Schedule is complete and ready to be submitted for certification, see Section 6e for instructions to submit the Records Schedule to the Certifying Official.

6d. Modifying an Existing Records Schedule

A Records Schedule can be modified when in the following statuses:

- by the Records Scheduler while in **Draft** status before submitting it to the Certifying Official

- by the Certifying Official while in **Submitted for Certification** status before submitting it to the Records Appraiser

- or by the Records Scheduler or Certifying Official after the Records Schedule is returned by the Records Appraiser and it is in **Returned for Revision Working Version** status.

Steps to follow for taking these actions:

- Edit Records Schedule Overview(s) and Records Schedule Item(s)

- Add Records Schedule Overview(s) and Records Schedule Item(s)

- Add Multiple Transfer/Accessioning Instructions to Records Schedule Item(s)

- Move or Reorder Records Schedule Overview(s) or Records Schedule Item(s)

- Delete Records Schedule(s), Records Schedule Overview(s), or Records Schedule Item(s)

- Create Records Schedule(s) from an Existing Schedule

6d.1   Edit Records Schedule Overview(s) and Records Schedule Item(s)

6d.1a   Edit a Records Schedule Overview

1.   Select the "**Item Information**" tab.

2.   Expand the Records Schedule folder by selecting the "**+**" symbol.

3.   Select the **Overview** that will be edited.

4.   Select the "**Edit**" button (right side).

5.   Modify the **Overview** fields that need to be edited. You may edit the "**Overview Title**" and "**Overview Description**" fields.

6.   Select the "**OK**" button.

7.   Select the "**Save**" button to save the changes to the Records Schedule.

8.   Select the "**OK**" button in the resulting popup window.

6d.1b   Edit a Records Schedule Item

1.   Select the "**Item Information**" tab.

2.   Expand the Records Schedule folder by selecting the "**+**" symbol.

3.   If appropriate, expand the Overview that contains the Item that will be modified by selecting the "**+**" symbol.

4.   Select the **Item** that will be edited.

5.   Select the **"Edit"** button (right side).

6.   Make desired change(s) to the **Item** field(s).

7.   Select the "**OK**" button.

8.   Select the "**Save**" button to save the changes to the Records Schedule.

9.   Select the "**OK**" button in the resulting popup window.

6d.2   Add Records Schedule Overview(s) and Records Schedule Item(s)

6d.2a   Add a Records Schedule Overview

1.   Select the "**Item Information**" tab.

2.   Select an existing **Overview**.

3.   Select the "**Add Overview**" button.

4. Enter all required and any optional information to complete the Add Records Schedule Overview screen.

5. Select the "**OK**" button.

6. Select the "**Save**" button to save the changes to the Records Schedule.

7. Select the "**OK**" button in the resulting popup window

6d.2b   Add a Records Schedule Item

1. Select the "**Item Information**" tab.

2. Select an existing **Overview**.

3. Select the "**Add Item**" button.

4. Enter and select all required and any optional information to complete the Add Records Schedule Item screen.

5. Select the "**OK**" button.

6. Select the "**Save**" button to save the changes to the Records Schedule.

7. Select the "**OK**" button in the resulting popup window.

6d.3   Add Multiple Transfer/Accessioning Instructions to Records Schedule Item(s):

1. Within the Records Schedule item, scroll down to the **Disposition** section.

2. Select the "**Add**" button to add an additional **Disposition** section.

3. Enter and select the required fields to complete the **Disposition Instruction** and **Additional Information.**

4. Repeat steps 2 and 3 for every additional **Disposition Instruction**.

5. Select the "**OK**" button.

6. Select the "**Save**" button to save the Records Schedule.

7. Select the "**OK**" button in the resulting popup window.

6d.4 Move or Reorder a Records Schedule Overview(s) or Records Schedule Item(s)

Users have the ability to change the hierarchy of the Overviews and Items. Overviews can be moved or reordered. Items can be moved between or out of Overviews or reordered.

❖ **Note: If the user selects the Cancel Button, the Item Information screen will refresh and the hierarchy will remain unchanged.**

6d.4a   Move a Records Schedule Overview

1.   Select the "**Item Information**" tab.

2.   Select the **Overview** to be moved.

3.   Select the "**Move**" button.

4.   Select the **Folder** (which represents either an Overview or the Records Schedule) for the new location of the Overview.

5.   Select the "**OK**" button.

6.   Select the "**Save**" button.

7.   Select the "**OK**" button in the resulting popup window.

6d.4b   Move a Records Schedule Item

1.   Select the "**Item Information**" tab.

2.   Select the **Item** to be moved.

3.   Select the "**Move**" button.

4.   Select the **Folder** (which represents either an Overview or the Records Schedule) for the new location of the Item.

5.   Select the "**OK**" button.

6.   Select the "**Save**" button.

7.   Select the "**OK**" button in the resulting popup window.

6d.4c   Reorder a Records Schedule Overview

The order of the Overviews can be changed.

1.   Select the "**Item Information**" tab

2.   Select the **Overview** that will be re-ordered.

3.   Select the "**Re-order**" button.

4.   Select either the **up** or **down** arrow, to the right of the Disposition Items List, until the Overview is in the desired position.

5.   Select the "**OK**" button.

6.   Select the "**Save**" button.

7.   Select the "**OK**" button in the resulting popup window.

   ❖   **Note: All Items linked to the Overview will move with the Overview.**

6d.4d   Reorder a Records Schedule Item

The order of Items, within an Overview or without an Overview, can be changed.

1.   Select the "**Item Information**" tab.

2.   Select the **Item** that will be re-ordered.

3.   Select the "**Re-order**" button.

4.   Select either the **up** or **down** arrow, to the right of the Disposition Items List, until the Item is in the desired position.

5.   Select the "**OK**" button.

6.   Select the "**Save**" button.

7.   Select the "**OK**" button in the resulting popup window.

6d.5   Delete Records Schedule(s), Records Schedule Overview(s), or Records Schedule Item(s)

6d.5a   Delete a Records Schedule

The user must be a Records Scheduler to perform the following steps:

1.

2.   Select "**Search –Business Object**."

3.   Select the "**Advanced Search**" tab.

4.   Select the "**Records Schedule**" option in the **Search For** dropdown.

5.   Select and enter known distinct information pertaining to the Records Schedule and select the "**Search**" button.

6.   Select the **Records Schedule Number** link in the Search Results List.

7.   Select the "**View**" button on the floating menu.

8.   Select the "**X Delete**" button on the top right of the form.

9.   Confirm desire to Delete the Records Schedule by selecting "**Yes**" in the resulting popup window.

10. Select the "**OK**" button in the resulting popup window.

11. Select the "**Save**" button.

> ❖ **Note: Only Record Schedules in a Draft state can be deleted.**

Users can choose to execute a simple search, which will return all Records Schedules found in the system that are accessible by an authorized user. Users can also select the Records Schedule from the Business Objects Task List.

6d.5b   Delete a Records Schedule Overview

❖ **Note: Deleting the Overview will also delete all Records Schedule Items associated with the Overview. If you want to retain Records Schedule Items associated with an Overview that you want to delete, you must move them to the root Records Schedule before deleting the Overview.**

To delete a Records Schedule Overview, a user performs the following steps:

1.   Select the "**Item Information**" tab.

2.   Expand the Records Schedule folder by selecting the "**+**" symbol.

3.   Select the **Overview** that will be deleted.

4.   Select the "**Delete**" button that appears under the "**Re-order**" button.

5.   Confirm desire to delete the Overview by selecting "**Yes**" in the resulting popup window.

6.   Select the "**OK**" button in the resulting popup window.

6d.5c   Delete a Records Schedule Item

To delete a Records Schedule Item, the user will perform the following steps:

1.   Select the "**Item Information**" tab.

2.   Expand the Records Schedule folder by selecting the "**+**" symbol.

3.   If appropriate, expand the Records Schedule Overview that contains the Records Schedule Item that will be deleted.

4.   Select the **Records Schedule Item** that will be deleted.

5.   Select the "**Delete**" button that appears under the "**Re-order**" button.

6.   Confirm desire to delete the Overview by selecting "**Yes**" in the resulting popup window.

7.   Select the "**OK**" button in the resulting popup window.

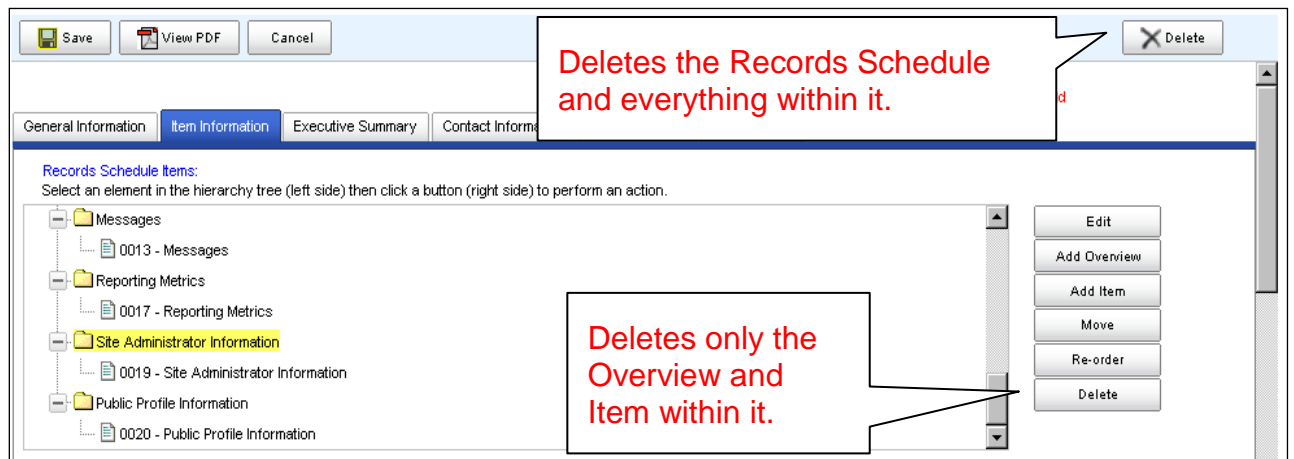❖ **Note:** The deleted Records Schedule Item is removed from the Item Information screen.

Figure 6h – Different Delete Buttons for Different Purposes

6d.6 Creating a Records Schedule from an Existing Schedule

Important Information: Limitations for Creating a Records Schedule from an Existing Schedule

➢ *New Records Schedules can be created in ERA from "born-in-ERA" schedules that already have been created.*

    o *This is particularly useful if you want to revise and submit a schedule that has been Returned Without Action or want to copy a schedule that you can revise and submit as a new Records Schedule.*

➢ *Schedules can only be created from other schedules with the DAA prefix (those that were initially created in ERA).*

➢ *You cannot create new schedules from legacy schedules (DAL schedules) in ERA.*

In order for the Records Scheduler to create a new Records Schedule using an existing Records Schedule as a template, a search must be performed for the existing Records Schedule.

1. In the main window at the top of the screen, select "**Search -- Business Object.**"

2. Enter search criteria and/or select the "**Search**" button.

3. Select the **Records Schedule Number** link in the Search Results List.

4. Select the "**Create from Existing**" option.

5. Modify the existing information as necessary to complete the Records Schedule General Information screen.

6. Select the "**Save**" button.

7. Select the "**OK**" button in the resulting popup window.

8. Select the "**Item Information**" tab.

9. Select the "**+**" symbol to expand the Records Schedule.

10. Select the **Overview** or the **Records Schedule Item** to view the details.

11. Modify the Overview or the Records Schedule Item information, accordingly.

12. Select the "**OK**" button.

13. Select the "**Save**" button to save the Records Schedule.

14. Select the "**OK**" button in the resulting popup window.

6e.   Submit a Records Schedule for Certification

After completing the schedule, the Records Scheduler must submit it for certification by the Certifying Official in order for it to be submitted to NARA.

6e.1   Submit a Records Schedule

The user must be a Records Scheduler (NARA or Agency) to perform the following steps:

1. Select the "**Submit for Certification**" option from the **Next Action** dropdown.
2. Select the "**Go**" button**.**
3. Select the **"OK**" button in the resulting popup window.

> ❖ **Note: Selecting the Submit for Certification option and the Go button (you must do both) initiates verification and validation processes that are performed by the ERA System.**

> ➤ The system verifies and validates that all required fields requiring data have been specified and that the data values entered are legitimate (for example, Date fields are present and are entered correctly in the MM/DD/YYYY format).

> ➤ If errors are found, the user is notified. The errors must be corrected before proceeding.

> ➤ The **status** of the Records Schedule **transitions to Submitted for Certification**.

> ➤ If the Records Schedule was previously submitted and returned for revision, either the Records Scheduler or Certifying Official would perform the **Submit for Certification** option on the **Returned for Revision Working Version**. In this case, the **status** of the Records Schedule **transitions to Submitted Revision for Certification**.

➢ A task is sent to the Certifying Official for the agency for which the Records Schedule was created.

6e.2 Certify a Records Schedule

The agency's Certifying Official, usually the agency Records Officer, is required to certify a schedule in ERA. Once the schedule is certified, it is officially submitted to NARA for appraisal and approval. **If the schedule is not certified, it will not be submitted to NARA.**

The Certifying Official must be the final approver in the internal agency vetting process because once the Certifying Official certifies the schedule it is officially submitted to NARA, and it is no longer editable by the agency until the schedule is returned for revision to the agency.

The user must be a Certifying Official to perform the following steps:

1. Upon logging into the workbench, select the link to the **Records Schedule** from the **Business Objects Task List**.

2. Select "**Certify**" from the **Select Next Action** dropdown.

3. Select the "**Go**" button.

4. Select the "**OK**" button in the resulting popup window.

❖ **Note: Selecting the Certify option and the Go button (you must do both) initiates the verification and validation processes that are performed by the ERA System.**

➢ The system verifies and validates that all fields requiring data have been specified and that the data values entered are legitimate (for example, Date fields are present and are entered correctly in the MM/DD/YYYY format).

➢ If errors are found, the user will be notified. The errors must be corrected before proceeding.

➢ The **status** of the Records Schedule **transitions to Proposed** and the system creates an **Appraiser Working Version** for the Records Appraiser.

➢ A task notification is sent to the Records Appraiser assigned to the agency submitting the Records Schedule.

6f. After Certifying a Records Schedule

6f.1 Records Schedule Status and Version

Please refer to the ERA Records Schedule Workflow diagram in Figure 6a.

After the Records Schedule is certified by the Certifying Official, the status changes to **Proposed** and the system creates an **Appraiser Working Version**. A task is sent to the Records Appraiser. The Records Appraiser may take one of three actions inside ERA:

➢ **Return for Revision** to the agency

➢ **Return Without Action** to the agency

➢ **Concur** and submit for internal NARA concurrence

6f.1a   Return for Revision

Revisions to the Records Schedule may be done before, during, or after the records appraisal is completed (remember that the appraisal itself is completed outside of ERA). If revisions are needed (usually in consultation with the agency), the Records Appraiser returns the Records Schedule for revision. A task is sent to the Records Scheduler.

❖ **Note: Instructions for modifying (edit, add, move, reorder, delete) an existing Records Schedule, Overview, and Item are found in Section 6d.**

You must work from the Returned for Revision Working Version to make any revisions. Repeat the steps in Section 6e to submit and certify the revised version.

Important Information: Versions

➢ *Make sure you use the correct version of the schedule.*
➢ *The ERA system captures versions of an individual Records Schedule at various points along the process.*
➢ *When you search for a schedule, all existing versions in the system will appear.*
➢ *If you intend to make revisions to a schedule, you must make sure you select the appropriate version to work from.*
  o *For example, if a schedule has been returned to the agency for revisions, you will see the following options from the search screen: **Proposed, Returned for Revision,** and **Returned for Revision Working Version**.*
    ▪ *You must work from the **Returned for Revision Working Version** to actually make any revisions*
➢ ***Records Schedule statuses are not in chronological order on the Advanced Search screen.***
➢ *The list of schedule statuses in the Advanced Search for business objects is not in chronological order of the approval process.*

The following table shows which roles can edit, view (read only), or not access (will not appear in search results) the various statuses of records schedules:

ERA Records Schedules Statuses	Roles	Edit	View	No Access
Draft	Records Scheduler	X		
	Certifying Official			X
	Records Appraiser		X	
Submitted for Certification	Records Scheduler		X	
	Certifying Official	X		
	Records Appraiser		X	
Proposed	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser		X	
Appraiser Working Version	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser	X		
Returned for Revision	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser		X	
Returned for Revision Working Version	Records Scheduler	X		
	Certifying Official	X		
	Records Appraiser		X	
Submitted Revision for Certification	Records Scheduler		X	
	Certifying Official	X		
	Records Appraiser		X	
Appraiser Reviewed	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser		X	
Appraisal Manager 1 Concurred	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser		X	
Appraisal Manager 2 Concurred	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser		X	
Approved	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser		X	
Approved Schedule Working Version	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser	X		
Modified Approved Version	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser		X	
Returned Without Action	Records Scheduler		X	
	Certifying Official		X	
	Records Appraiser		X	

Table 2 – Records Schedule Statuses and Action by Role

6f.1b   Returned Without Action

When the Records Schedule is returned without action, no further action can be taken by the agency.

6f.1c   Actions External to ERA System

As explained in Section 6b.1, several actions occur outside the ERA system. When ready, the appraiser initiates the records appraisal. This includes several steps that include information gathering (such as interviews, examination of records, and agency site visits), internal NARA stakeholder review, and creation of the appraisal memo. If required, a notice is also published in the Federal Register. Further revisions to the schedule may occur during this time.

6f.1d   Internal NARA Concurrence

After the appraisal and any revisions have been completed (and the Federal Register process is done, if needed), the Records Appraiser submits the Records Schedule for concurrence.

- ➢ The schedule moves via ERA through internal NARA concurrences and finally to the Archivist of the United States for final approval.
- ➢ Signatures are captured on the Signatory Information tab.
- ➢ The status of the Records Schedule transitions to **Approved**, and the Certifying official receives a notification from ERA.
- ➢ See Section 6g for instructions about viewing the Records Schedule after approval.

Figure 6j(1) – Example of Search Results showing an Approved Records Schedule

Figure 6j(2) – Example of Records Schedule reflecting Approved Status

Date	Action	By	Title	Organization
4/27/2011	Certify	Richard Marcus	Records Officer	Office of Information Services - Records management Staff
12/20/2011	Submit for Concurrence	Erin Cayce	Appraiser	National Archives and Records Administration - Records Management Services
1/12/2012	Concur	Margaret Hawkins	Appraiser	National Records Management Program - Records Management Services
1/12/2012	Concur	Laurence Brewer	for	National Archives and Records Administration - Records Management Services
1/19/2012	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Figure 6j(3) – Example of Signatory Information tab of an Approved Records Schedule

6g. View Records Schedules after Approval

6g.1 Records Schedules in ERA

When the Archivist of the United States approves a Records Schedule, it is viewable in ERA. To view an approved Records Schedule in ERA, you must perform a search using the Records Schedule Number. For more information about searching in ERA, see Appendix I.

> ❖ **Note: A change can be made to a previously approved Records Schedule by a Records Appraiser to include "pen and ink" changes. Changes made to approved Records Schedules are indicated by a Modified Approved Version status.**

6g.2 Records Control Schedule (RCS) Online Repository

Record Schedules can also be found on NARA's Records Control Schedule (RCS) web page at http://www.archives.gov/records-mgmt/rcs/. The RCS repository contains PDF versions of Records Schedules and Standard Form 115s (SF 115) - Requests for Records Disposition Authority. (Note: when searching on the RCS page, it is important to use the correct format for records schedule [or job] numbers. See the "Key for SF 115 Numbering" on the RCS web page.)

6g.3 Appraisal Dossiers

The appraisal dossier created by the appraiser is currently maintained in paper form and is not found in ERA. NARA does not currently make appraisal dossiers available to agencies except upon request. Agencies may request a copy of the dossier by contacting their appraiser. Please find a list of NARA appraisers at http://www.archives.gov/records-mgmt/appraisal/.

7. Transferring Records Using ERA

At a glance:

> ➤ The **Transfer Request** (TR) replaces the SF 258 as the means for documenting and conducting the physical and legal transfer of permanent records from agency custody to NARA custody. Much of the information captured on the SF 258 is now captured on the TR. The TR also captures additional information that was not formerly requested on the SF 258, in order to maximize intellectual and physical control over the records

7a. Transfer Request Tabs, Sections, and Fields

The **Transfer Request** consists of several tabs:

- General Information
- Transfer Details
- Contact Information
- Signatory Information
- Related Assets
- Attachments

Within these tabs, information is organized by sections. The sections contain fields for which data is either automatically populated by the system or manually populated by the Agency or NARA Transferring Official creating the TR.

NOTE: An asterisk (*) represents required information. The asterisks will only appear once the TR is saved.

7a.1 General Information Tab

The **General Information** tab provides information relating to the nature of the records subject to transfer as well as the Records Schedule Item or Legacy Records Schedule Item attached to the TR**.**

7a.1a. General Information Section

The **General Information** section of the General Information tab includes some fields that will pre-populate when the schedule item is attached to the **Transfer Request**.

Major Subdivision and **Minor Subdivision** will only populate if the information is included in the Records Schedule (RS) or Legacy Records Schedule (LS) that is attached to the TR**.** Major Subdivision and Minor

Subdivision may be added or changed by the Agency or NARA Transferring Official creating the TR while in Draft status.

❖ Note: The Major & Minor Subdivisions refer to the offices that **CREATED** the records, **NOT** the agency's records management office responsible for transferring the records.

Record Group* (RG) is a required field and is the NARA-assigned, provenance-based control number for records of a major government entity, usually a bureau or an independent agency.

For example, RG 60 consists of Records of the Department of Justice. Access to Record Groups is based on your agency. If your agency is responsible for transferring records for multiple Record Groups, then a dropdown box will display with the appropriate selection of Record Groups for your agency.

A **Manual Citation** is an agency's internal designation or number based on a specific disposition authority number. It will only populate if the information is included on the Records Schedule Item or Legacy Records Schedule Item that is attached to the TR**.** The data cannot be input manually at the TR level.

❖ Note: For Legacy Records Schedule Items the Manual Citation may appear in the Legacy Disposition Authority Number field rather than in the Manual Citation section.

Transfer Group Description* is a required field and is the description or title of the records being transferred. This should consist of a simple title (e.g., Criminal Case Files). An administrative history or historical synopsis **should not** be input into this field.

LTI is the **Legal Transfer Instrument**. This field populates with a hyperlink once the Transfer Request reaches Physical Custody Accepted (PCA) status and the system creates and attaches the LTI associated with the Transfer Request.

Legacy Disposition Authority Number is the originally approved disposition authority citation associated with a specific series. This is a system-populated field that combines the Legacy Records Schedule Number (the original NARA job number on the SF 115- e.g., N1 or NC #) and the Legacy Item Number (the original item number associated with the disposition instruction), e.g., N1-NU-86-04, 1a.

❖ Note: If a Manual Citation is associated with a Legacy Disposition Authority Number it may appear in this field (e.g. N1-NU-86-04/SSIC 3800.1)

Type of Legal Transfer* is a required field that identifies the transfer as either

▪ an Annual FRC Move (Federal Records Center)
▪ a Direct Offer (records are located in agency space)
▪ a Pre-Accession transfer (electronic records only)

Security Scan applies to electronic records transfers only. NARA will check the Security Scan field if the Transfer Staff believes that a scan of the contents of the records being ingested is appropriate. The scan is limited to a formatted set of security-classification markings on electronic documents. Security Scan can only scan certain formats such as ASCII text, Microsoft Word, and others. Currently it does not scan JPEGs, some PDFs, TIFFs, and others.

This field automatically populates as **No**.

7a.1b Transaction Type Section

The **Transaction Type** section provides information about the **Transaction Number Type** and its associated **Transaction Number**. Additional Transaction Types may be added by using the Add button.

The **Transaction Number Type** field allows you to select whether the transaction number is a

- Legacy Accession Number
- Records Center Transfer Number
- State Department Lot File Number
- Former LTI Number

The **Transaction Number** becomes a required field (*****) if a Transaction Number Type is selected. For instance, if Records Center Transfer Number is selected, enter the Federal Records Center transfer number (e.g., W011-90-0044 or State Department Lot File Number is selected, enter 51D47).

7a.1c Disposition Authority Section

The **Disposition Authority** section provides information about the disposition or disposal of the records.

The **Records Schedule Item Title** field displays the title of the Records Schedule Item. This field populates once the Records Schedule Item is attached to the Transfer Request.

Inclusive Dates From* is a required field and is the calendar date when the first record described on the Transfer Request was created. The format is MM/DD/YYYY.

Inclusive Dates To* is a required field and is the calendar date when the last record described on the Transfer Request was created. The format is MM/DD/YYYY.

7a.1d Access Restriction Section

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

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

- ❖ Note: Please, only choose Restricted-Fully, Restricted-Partly, or Unrestricted.
- ❖ Note: Please appropriately identify Controlled Unclassified Information (CUI) with the appropriate FOIA (b)(2) - (b)(9) restriction(s).

Restricted-Fully: *All* records in this transfer are restricted.	NATIONAL SECURITY CLASSIFIED - Records are security-classified (Confidential, Secret, Top Secret, SCI) - Records have been declassified in full for your agency, but other agency equities are

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

Table 3 – Access Restrictions

The **Specific Access Restriction** field allows you to select a specific access restriction—generally for Federal agency users the restrictions will fall under the FOIA. To make the selection:

➢ Click the ellipsis button (to the right of the Specific Access Restriction field) to open a selection box

➢ Choose from a list of available options. More than one restriction may be selected.

➢ Click on the arrow buttons to move the restriction(s) in the **Available** field to the **Selected** field, or vice versa.

The **Security Classification** field becomes active when a Specific Access Restriction**,** such as FOIA (b)(1) National Security, is selected that is related to a Security Classification. Security Classification refers to Confidential, Secret, and Top Secret, and Restricted Data/Formerly Restricted Data (RD/FRD) classifications.

The **Special Markings** field becomes active when you enter FOIA (b)(1) National Security as a Specific Access Restriction. Special Markings indicates a restriction or special handling requirements, such as NATO, Sensitive Compartmented Information (SCI), Special Access Program (SAP), and Other.

> To select a Special Marking**:**

➢ Click the ellipsis button (to the right of the Special Marking field) to open a selection box

➢ Choose from a list of available options.

> ❖ Note: This is not a required field and should only be populated if records contain any of the above-listed Special Markings.

RD/FRD Records:
➢ **Please identify records containing <u>RD/FRD</u> by selecting the appropriate**:

▪ Access Restriction Status: Restricted-Fully
▪ Specific Access Restriction(s): National Security FOIA (b)(1) and Statute FOIA (b)(3) (and any other applicable restriction) Security Classification: Restricted Data/Formerly Restricted Data (and any other applicable security classification).
▪ Special Marking: 42 USC 2162(a)(RD) 42 USC 2168(a)(1)(C)(FRD), Information Regarding Atomic Energy; Restricted and Formerly Restricted Date (A.E. Act of 1954)

Figure 7a – Example of Restriction Information

The **Statutory Citation** field becomes active when you enter FOIA (b)(3) Statute in the Special Access Restriction field. To select a statutory citation, click the ellipsis button (to the right of the Statutory Citation field) to open a selection box and choose from a list of available options.

> ❖ Note: If records contain RD/FRD material choose FOIA (b)(3) in addition to FOIA (b)(1).

The **Access Restriction Note** field allows you to enter notes about the access restriction.

> ❖ Note: If you select Other in the Specific Access Restriction field, you should add an Access Restriction Note detailing the applicable restriction.

The **Privacy Act Notice** field allows you to select whether or not there is a privacy act notice associated with the records being transferred. If you select **Yes**, you are required to complete the **Federal Register Volume**, **Agency System Number**, and **Federal Register Page Number** fields.

> ❖ Note: If records are subject to the Privacy Act, please also select the appropriate Access Restriction Status and Specific Access Restriction FOIA (b)(6).

The **Federal Register Volume** is the volume number of the Federal Register wherein the Privacy Act Notice pertaining to the records is published. **The Federal Register Volume** field becomes active when **Yes** is selected for the **Privacy Act Notice** field and allows you to enter the **Federal Register Volume** into the field.

The **Agency System Number** is the number associated within the data management system in which the records subject to the Privacy Act are maintained.

The **Agency System Number** field becomes active when **Yes** is selected for the **Privacy Act Notice** field and allows you to enter the **Agency System Number** into the field.

The **Federal Register Page Number** is the page number in the Federal Register wherein the Privacy Act Notice pertaining to the records is published. **The Federal Register Page Number** field becomes active when **Yes** is selected for the **Privacy Act Notice** field and allows you to enter the Federal Register page number into the field.

Figure 7b – Example of Federal Register and Privacy Act Information

7a.1e   Use Restriction Section

Use Restriction* refers to copyright, donor, trademark, or other restrictions on how the records may be used by researchers. Textual accessioning does **NOT** require information under this section. Choose Unrestricted.

❖ Use Restriction is **NOT** the same as Access Restriction. **DO NOT** place Access Restriction information in the Use Restriction section (or vice versa).

Restricted-Fully: *All* records in this transfer are restricted.	▪ *All* records in a transfer have a copyright, donor, trademark, or other use restriction.
Restricted-Partly: *Some* records in this transfer are restricted.	▪ *Some* of the records in a transfer have a copyright, donor, trademark, or other use
Restricted-Possibly:	▪ *Some* of the records in a transfer *may* have a copyright, donor, trademark, or other use restriction.
Undetermined:	▪ Select when it is *unknown* if the records in a transfer have a use restriction. ❖ This is the default for transfers in the FRC Annual Move.
Unrestricted: Records in this transfer are not restricted.	▪ Select if there are no copyright, donor, trademark, or other use restrictions on the records in a transfer.

Table 4 – Use Restrictions

The **Specific Use Restriction** field allows you to select from a list of use restrictions such as copyright, donor restrictions, Public Law 101-246, and other.

➢ If **Restricted - Fully** or **Restricted - Partly** is selected, then **Specific Use Restriction** must also be indicated.

➢ If **Restricted - Possibly** is selected, explain further in **Use Restriction Note**.

➢ If **Undetermined** is selected, explain it further in **Use Restriction Note**.

- ➤ If **Other** is selected, then explain the specific use restriction further in **Use Restriction Note**.
  - ❖ Note: Do **not** use this section to describe access restrictions applicable to the records; instead use the **Access Restriction** section.

The **Use Restriction Note** field allows you to enter notes related to the **Use Restriction** section.

For the Annual FRC Move the default message will be "Undetermined is the default value for TRs generated by NARA for agency review and approval **for the annual move.** Please select a more appropriate use restriction where appropriate."

7a.1f   Records Type Section

The **Records Type*** is a required section and is where the type of records being transferred is identified.

The **General Records Type** field allows you to select the type of records being transferred, such as photographs, textual records, maps and charts, or sound recordings. To select a **General Records Type:**

- ➤ Click the ellipsis button (to the right of the **General Records Type** field) to open a selection box
- ➤ Choose from a list of available options. More than one General Records Type may be chosen.
- ➤ Click on the arrow buttons to move the general records type(s) in the **Available** field to the **Selected** field, or vice versa.

  - ❖ Note: If NARA staff identifies information discrepancies, this may be grounds for NARA rejection of the TR. Processes vary between archival units.

7b. Transfer Details Tab

The **Transfer Details** tab allows you to describe how the records will be transferred to NARA, and to which NARA facility and office the records will be transferred, as well as the amount of records, the type of media, and the number and type of containers in which the records are packaged. The **Transfer Detail** tab consists of the **Transfer Details** section and the **Transfer Methods** section.

7b.1   Transfer Details Section

The **Transfer Details** section allows you to enter information about the disposition date and location of the records being offered for transfer.

The **Transfer Group Description** field automatically populates when the **General Information** tab is saved.

The **Cutoff** is the date that the records were closed or became inactive.

- ❖ Note: This is not a required field. Please leave empty.

The **Transfer Group Disposition Date*** is a required field and is the date on which the records became eligible for legal transfer to NARA as specified by the **Records Schedule Item**.

❖ Note: For direct offers you may simply choose the date the TR is created, as long as the records fall within the disposition instructions specified on the schedule item.

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

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

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

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

❖ Note: If records are located at an FRC, always select **No**.
❖ Note: If NARA staff indentifies incorrect information, this may be grounds for NARA rejection of the TR. Processes vary between archival units.

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

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

➢ In the **Destination Custodial Unit** field select the specific NARA custodial unit to which the records will go.

❖ Note: If NARA staff identifies any information discrepancies this may be grounds for NARA rejection of the TR. Processes vary between archival units.
❖ Note: If this field is left blank and the **TR** is submitted to NARA for approval, it will become an "Orphan" TR because it cannot be retrieved in the search process conducted by NARA custodial units to identify Proposed TRs.

Figure 7c – Example of Destination Physical Location of Records

7b.2 Transfer Method Section

The **Transfer Method** section allows you to indicate the means by which the records will be transferred to NARA. This section contains two areas: **Electronic Means** and **Physical Means**.

Electronic Means:

The **Electronic Records Transferred by Electronic Means** check box allows you to indicate if the electronic records are going to be transmitted to NARA via an electronic method. If you select this check box the **Electronic Push, Electronic Records Volume in MB, GB, or TB,** and **Description** fields will display.

➢ **Electronic Push** field is selected as a transfer method when an agency intends to submit unclassified electronic records to NARA through the https ingest process or through secure FTP.

➢ **Electronic Records Volume** is a blank box that must be filled in with the size of the electronic records package that the agency intends to ship to NARA through ERA.

➢ **Description** is an optional field in which the ERA user can add comments about the transfer, such as the number of packages.

❖ Note: Users should always discuss electronic records transfer options with NARA before creating a Transfer Request.

Physical Means:

The **Electronic Records on Physical Media** check box allows you to indicate that the records being transmitted to NARA are on physical media. Select the check box to display the **Physical Media Types, Electronic Records Volume in MB, GB, or TB** and the **List of Containers** areas.

Figure 7d – Example of Electronic Records on Physical Media

The **Physical Transfer of Non-Electronic Records** field allows you to indicate that the records that are being sent to NARA are non-electronic in nature and will be transmitted via physical means (e.g., FRC-S boxes). Select the **Physical Transfer of Non-Electronic Records** check box to display the **List of Containers** and **Special Media Type** areas. For textual accessions, use the **Physical Transfer of Non-Electronic Records** only.

Figure 7e – Example of Physical Transfer of Non-Electronic Records

7b.3 Contact Information

The **Contact Information** tab contains information relating to agency or NARA staff involved in the transfer of the records. Contact information includes **First Name, Last Name**, **Title**, **Phone**, **Email**, and **Agency**.

The **Transferring Agency Official** creates **Transfer Requests** and submits them to the **Agency Approving Official** for approval and submission to NARA. The **Transferring Agency Official's** contact information automatically populates from their user profile during the creation of the **TR**.

The **Agency Approving Official** has the authority to approve **Transfer Requests** on behalf of the agency. **Agency Approving Official** contact information is automatically populated from their user profile at the time of approval and submission to NARA.

NARA Contact is an agency's transfer/accessioning POC if that information is available. This is an optional field.

Other Contacts (Agency/NARA) would be anyone within the transferring agency and/or NARA who has knowledge of the records or special information pertinent to the transfer, for instance, an agency POC responsible for the transport of the records to NARA. This is an optional field.

> ❖ Note: For Annual FRC Move TRs this field will be populated with data to identify that the TR was generated for an Annual Move. Do not delete this information.

7b.4 Signatory Information

This **Signatory Information** tab records electronic signatures of users taking actions on the TR.

The **Signatory Information** tab will appear on the **TR** when the **Transferring Agency Official** submits the **TR** to the **Agency Approving Official**. This records the signature of the **Transferring Agency Official**.

The **Agency Approving Official** submits the **TR** to NARA for approval, accepting the Terms of Agreement and thereby transferring physical and legal custody of the records to NARA. The **Agency Approving Official**'s signature will appear on the **TR** and the **LTI** as a result of this action.

Once NARA receives the TR and conducts accessioning processes, a series of NARA staff signatures will appear on the TR recording:

- Approval (or Rejection)

- Rejection of Additional Shipments

- Physical Custody Decision (and Legal Custody Decision as recorded on the LTI) for the records transfer.

7b.5 Related Assets

The **Related Assets** tab will show other Business Objects associated with the **Transfer Request.** This field is populated by the system. Related Assets will not appear in the tab until after the TR is submitted to NARA and in the Proposed/Ready for Approval status.

7b.6 Attachments

The **Attachments** tab is used when agency or NARA staffs wish to attach additional electronic documents to the Transfer Request. Such documents may include an Excel box list, memorandum, letter, or other correspondence related to the records.

7c. Create a Transfer Request for Direct Offers

The Transfer Request replaces the SF 258 as the means for documenting and conducting the physical and legal transfer of permanent records from agency custody to NARA custody. Much of the information captured on the SF 258 is now captured on the TR. The TR also captures additional information that was not formerly requested on the SF 258 in order to maximize intellectual and physical control over the records.

The Transferring Agency Official creates the TR.

If your agency plans to transfer records associated with a Legacy Records Schedule (SF 115 schedule), follow these instructions:

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

To request entry of a legacy disposition authority:

➢ Send your request via email to legacy.schedule@nara.gov. Your request must be a complete disposition authority citation (NARA job number and item number). We will not accept manual citations.

➢ You will receive a confirmation email letting you know that your request has been received. The authority should be entered and available within 48 hours of receipt of the request. If you request more than five authorities in one day, we cannot guarantee that the request will be fulfilled within 48 hours. If you need to request more than five authorities, please go ahead and submit your request, and we will give you an estimate on how long it will take to enter them in the system.

➢ You will receive a message from legacy.schedule@nara.gov when the disposition authority is ready for use.

7c.1 Create a Transfer Request: Workbench & General Information tab

Transfer Requests are created from the main menu on the Workbench.

To create a new Transfer Request:

➢ Select **Create**
➢ Select **Transfer Request**

An approved Records Schedule Item (DAA**)** or Legacy Records Schedule Item (DAL) must be linked to the **Transfer Request** before information can be entered in the Transfer Request fields.

➢ If you do not know the ERA DAL number for the Legacy Records Schedule Item that you want to transfer records against, but you know the SF 115 number follow the instructions below.

▪ Conduct this search **before** creating the TR. Select **Search Business Object**
▪ Select the **Advanced Search tab**
▪ **Search fo**r: **Legacy Records Schedule Item (LSI)**

- In the **Legacy Disposition Authority Number** field enter the Legacy Schedule Number, e.g. N1-131-**08-002/**5. (SF 115 prefix-3 digit RG number-2 digit FY-3 digit sequence number/item number)
- Click the **Search** button
  - o This search will yield all of the items entered into ERA associated with the Legacy Records Schedule, both temporary and permanent.
  - o Identify the appropriate permanent item and record the DAL associated with it, such as Annual Reports, DAL-0131-2012-0001-0005.

❖ See below example.

Figure 7f – Example of Legacy Records Schedule Item Search

- ➢ If you do not know the LSI, you can search for the Legacy Records Schedule (LS), for example, N1-131-08-002. To do this:
  - Select the Advanced Search tab
  - Search for **Legacy Records Schedule (LS)**
  - In the **Legacy Schedule Number** field, enter N1-131-08-002
  - Click the **Search** button
    - o The search result will yield a single Legacy Schedule, DAL-0131-2012-0001.

o Click on the hyperlink, click view to see all of the associated items to identify the appropriate Legacy Schedule Item number for the records you want to transfer.

❖ See below example.

Figure 7g – Example of Legacy Records Schedule Search

❖ Now you are ready to create the Transfer Request, follow the below instructions.

➢ Select **Create Transfer Request**

In the General Information section of the General Information tab, click the Attach button to open the Attach Schedule screen**.**

- ➢ Search for and link an approved Records Schedule Item (RSI) or Legacy Records Schedule Item (LSI) by entering the DAA or DAL number into the **Disposition Authority Number** field, for example: DAA-0131-2013-0001-0001 or DAL-0131-2012-0001-0005.

- ➢ Click the **Search** button.

- ➢ Select the **Disposition Authority Number** of the approved **Records Schedule Item** or **Legacy Records Schedule Item** that you want to link to the **Transfer Request**.

Once the Records Schedule Item or Legacy Records Schedule Item is attached to the Transfer Request, several fields will automatically populate. These fields include:

- ➢ **Disposition Authority Number**

- ➢ **Agency or Establishment**

- ➢ **Record Group**
  - ❖ Note: Some agencies have multiple Record Groups within their hierarchy—a drop-down menu will appear so that the correct Record Group may be selected.

- ➢ **Major Subdivision** (if included on the RSI or LSI)

- ➢ **Minor Subdivision** (if included on the RSI or LSI)

- ➢ **Manual Citation** (if included on the RSI or LSI)

- ➢ **Records Schedule Item Title**

- ➢ **Security Scan**

Required fields that must be manually populated include:

- ➢ **Type of Legal Transfer**

- ➢ **Inclusive Dates**

- ➢ **Access Restriction**

- ➢ **Use Restriction**

- ➢ **General Records Type**

Once all required information is populated, click the Save button. Once the TR is saved, the following fields are locked and are no longer editable: Agency or Establishment and Record Group.

The TR will be saved in Draft status, and the TR number will automatically generate, for example: TR-0131-2012-0016 (TR-4digit Record Group-4 digit FY-4 digit sequence number). Additional tabs and fields will also appear once the TR is saved to Draft.

7c.2 Create a Transfer Request: Transfer Details tab

Once the TR is saved to Draft status, the Transfer Details tab appears. The Transfer Group Description automatically populates. However, several other fields are required and must be manually populated. These include:

- ➢ **Transfer Group Disposition Date**
- ➢ **Current Physical Location of Records**
- ➢ **Destination Physical Location of Records**
- ➢ **Transfer Method**

Upon **Transfer Method** selection additional fields will appear. If you choose:

- ➢ **Electronic Records Transferred by Electronic Means,** the following fields will appear:

  - • **Electronic Push**

  - • **Electronic Records Volume in MB, GB, and TB**

  - • **Description**

- ➢ **Electronic Records on Physical Media,** the following fields will appear:

  - • **Physical Media Type**

  - • **List of Containers**

  - • **Media Disposition**

  - • **Electronic Records Volume in MB, GB, and TB**

- ➢ **Physical Transfer of non-Electronic Records,** the following fields will appear:

  - • **Physical Media Type**

- ❖ Note: For textual records transfer only:

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

  - • If you are transferring 25 containers of microform, place **25** in the **Quantity** field and select **Microfilm** or **Microfiche** in the **Transfer Media Type** field.

- ❖ Note: For electronic records transfers only:

  - • Consult http://www.archives.gov/records-mgmt/initiatives/transfer-records-to-nara.html or email etransfers@nara.gov for more information on transferring permanent electronic records to NARA.

➢ **List of Containers**

7c.3 Contact Information tab

The **Transferring Agency Official**'s contact information automatically populates from the person's user profile during the creation of the TR; however the Agency field must be populated by the user.

7c.4 Related Assets tab

The **Related Assets** tab will show other Business Objects associated with the Transfer Request**.** This field is populated by the system at time of submission to NARA. No user action is needed.

7c.5 Attachments tab

➢ Attach documents pertinent to the records such as box lists, memoranda, letters, or correspondence related to the transfer.

   ❖ Note: For textual transfers, folder/box lists are required for all Direct Offers and must be attached to the TR at the time of submission to NARA. An Excel spreadsheet is the preferred format.

➢ Please include the TR number in the Attachment title (e.g., TR-0313-2011-0007_R&D Files_boxlist.xls)
➢ Uploading Attachments
   ➢ Attaching documents in ERA is just like attaching documents to an email.
   ➢ Click the Browse button
   ➢ Select the document from your machine
   ➢ Click the Upload button
   ➢ Close the "**Uploading**" pop-up
   ➢ Click the Refresh button, at which point you will be able to see the attachment listed in a new box.

7c.6 Save and Submit For Approval

➢ **Save** TR

➢ Select **Submit** from the dropdown menu

➢ Click **Go**

The TR is **Submitted for Approval** to the **Agency Approving Official**.

7c.7 Create a Transfer Request: Signatory Information Tab

This **Signatory Information** tab records electronic signatures of users taking actions on a particular business object.

The **Signatory Information** tab will appear on the TR when the Transferring Agency Official submits the TR to the Agency Approving Official. This records the signature of the Transferring Agency Official.

The **Agency Approving Official** submits the TR to NARA for approval, accepting the Terms of Agreement and thereby transferring physical and legal custody of the records to NARA. The Agency Approving Official's signature will appear on the TR and the LTI as a result of this action.

Once NARA receives the TR and conducts accessioning processes, a series of NARA staff signatures will appear on the TR recording:

- Approval (or Rejection)

- Rejection of Additional Shipments

- Physical Custody Accepted (or Rejected)

- Legal Custody Accepted (or Rejected) as recorded on the LTI)

7c.8 Create a Transfer Request: Submit to NARA

The Agency Approving Official will receive a task notification indicating that action needs to be taken on a particular TR. The Agency Approving Official will submit the TR, accepting the Terms of Agreement, to NARA by:

➢ Selecting **Submit**

➢ Checking the **Terms of Agreement** check box

➢ Clicking **Continue**

➢ Clicking **Go**

  ❖ Note: To Reject a TR, follow the above steps but select Reject rather than **Submit.**

   • If Rejected, the TR will return to Draft status.
   • The Agency Approving Official cannot make any changes to the TR while it is in Draft status—

     unless user also has the Transferring Official role, as well.

At this point, the Transfer Request has been submitted to NARA and will appear in search results as Proposed and Ready for Approval (See Appendix G for the Transfer Request Version Table).

No more action is required by the agency at this point, unless the TR is Rejected by NARA, in which case NARA staff notify the Agency Approving Official via the **Rejection Comment** field on the TR.

  ❖ Note: NARA staff members conduct a thorough review of each Transfer Request. Any discrepancies identified between data provided on the TR and record schedule item data, agency provided data, and/or ARCIS data (for annual Move TRs) may result in the Rejection of the TR by NARA. Processes differ between custodial units.

7d. Create a Transfer Request from an Existing Transfer Request: Create from Existing

To expedite the time required to create a Transfer Request, you can use the **Create from existing** feature. The new TR does not have to share the same Records Schedule Item or Legacy Records Schedule Item as the original TR. However, you will have to attach the appropriate Records Schedule Item or Legacy Records Schedule Item if it differs from the TR used to Create from existing.

➢ To Create from existing:

▪ Search for a TR from which to create
▪ Click the TR hyperlink, three choices will appear:

o View
o Related Assets
o Create from existing

➢ Select **Create from existing**

➢ See below example:

Figure 7h – Example of Create from Existing Transfer Request

You are now ready to update the TR to reflect information specific to the current set of records being offered to NARA for transfer. Several fields will populate when the Create from existing feature is used. These fields are editable and include:

> **General Information**:

- Agency or Establishment
  - o Note: Once TR is saved, this field is no longer editable.

- Record Group
  - o Note: Once TR is saved, this field is no longer editable.

- Transfer Group Description

- Legacy Disposition Authority Number

- Record Schedule Item Title

- Access Restriction and associated fields

- Privacy Act and associated fields

- Use Restriction and associated fields

- General Records Type

> **Transfer Details:**

- Transfer Group Description
  - o This field is not editable.

- Current Physical Location of Records

- Destination Physical Location of Records

> **Contact Information:**

- Transferring Agency Official contact information is populated from user profile, not from original TR.

Make necessary changes to populated data, and complete the TR according to instructions in section 7c.1 – 7c.6 of this manual.

7e. SAMO: Single Action, Multiple Objects

Another timesaving tool in ERA is the **Single Action, Multiple Objects** (**SAMO**) function. SAMO permits the user to submit or reject multiple Transfer Requests to NARA for approval.

> To submit multiple TRs using SAMO**:**

- Conduct a Business Object search for a **Keyword** search string of TRs, for example: TR-0131-2013-0001 OR TR-0131-2013-0002 OR TR-0131-2013-0003 TR-0131-2013-0004 OR TR-0131-2013-0005 OR TR-0131-2013-00030 OR TR-0131-2013-00046 OR TR-0060-2013-0001 OR TR-0060-2013-00010 OR TR-0060-2013-00053

- Click Search

- Filter the search results by status: **Submitted for Agency Approval**

- Select the TRs you wish to approve by either clicking on the check boxes next to each TR or by using the **Select All** feature next to the filter

- Click **Submit**

  ❖ Note: To Reject multiple TRs, follow the above steps but select Reject**.**

     - If Rejected**,** the multiple TRs will return to Draft status.

7f. Federal Records Center Annual Move

NARA provides Draft Transfer Requests (TRs) for records that are eligible for the next routine transfer (usually done annually) for records stored in Federal Records Centers (FRCs). These TRs are systematically created in ERA by NARA. The data in these Transfer Requests is derived from data in the FRC operating system, ARCIS.

Each agency is responsible for reviewing each TR for accuracy and making all appropriate updates. If the information on the Draft TR differs from the correct information, the agency must update the TR and provide the correct information to the FRC where the records are held, otherwise the FRCs will not receive notification of updates or corrections from ERA.

Draft TRs should be reviewed by the Transferring Official and submitted to the Agency Approving Official.

The Agency Approving Official reviews the TRs and submits them to NARA for approval.

7.f1 Transfer Requests (TRs) in Draft Status

7f.1a Search for Transfer Requests in Draft Status

There are a number of ways to locate the Transfer Requests created for your agency or record group in ERA. One approach, using the "2012 (or subsequent appropriate year) Annual Move" is the following:

- Staff with the Transferring Official role should login to the system
- Select **Search**
- Select **Business Object**
- Select **Advanced Search** tab
- In **Search for** field, select Transfer Request (TR)

➢ In **Keywords**, type: "**2012 Annual Move**" (or the appropriate FY for which you are looking)

➢ In **Status** field, select **Draft**

➢ In the **Record Group Number** field, type the four-digit Record Group Number: for example: 0077

➢ Click **Search**

❖ See below example.

Figure 7i – Example of Searching for an Annual Move Transfer Request

The Search Results will yield the Transfer Requests generated for that Record Group for the 2012 Annual Move (or for the FY that you entered).

To view a TR, click on the TR number and then click **View.**

7f.1b Review Transfer Requests in Draft Status

When reviewing all the data in the TR, please keep in mind that some fields are editable and others are not**.** While all fields require review for accuracy, pay particular attention to the following fields in your review. As always, it is prudent to save after each tab is reviewed.

➢ **General Information Tab:**

- **Disposition Authority:** Review for accuracy to ensure that the records comply with their disposition instructions and are eligible for the permanent move. This field is required.
- **General Information:** Review the populated fields for accuracy, and make necessary edits. You may enter data about the Major Subdivision and Minor Subdivision **if** the correct information is known.
    - ❖ Note: Major Subdivision and Minor Subdivision refer to the offices under which the records were **CREATED**, **NOT** the office responsible for transferring the records to NARA.
- **Manual Citation:** Review for accuracy.
- **Type of Legal Transfer: Annual FRC Move** must be selected.
- **Transaction Type:** Review for accuracy. The data regarding the Records Center Transfer Number (known as the FRC accession number) is populated in the Transaction Number Type and Transaction Number fields.
- **Access Restriction:** Review this section **very** carefully. The data in these fields is derived from ARCIS, but may be incomplete or require updating.

    - o To edit a field, click on the ellipsis and arrow buttons to select the correct access information.
    - o You may add an **Access Restriction Note**. If you select **Other,** you are **required** to type a note.
    - o If records are subject to the **Privacy Act,** you must complete the **Privacy Act Notice Number** field by selecting **Yes**. Also complete the **Agency System Number**, **Federal Register Volume,** and **Federal Register Page Number** fields. You must also add the FOIA (b)(6) restriction.

- **Use Restriction:** Review this section **very** carefully. There is no data in ARCIS regarding use restrictions. The default for the field will be Undetermined, and there will be a default Use Restriction Note message.

    - ❖ If you select anything other than Unrestricted, provide a Use Restriction Note.
    - ❖ Note: Use Restriction is NOT the same as Access Restriction. DO NOT place Access Restriction information in the Use Restriction section (or vice versa).

- ➢ **Records Type:** Review for accuracy and make the necessary edits. To edit a field, click on the ellipsis and arrow buttons to select the correct General Records Type. Only one selection will be derived from ARCIS data, but if additional records types are known, they should be added.

- ➢ **Transfer Details Tab:**
    - o **Transfer Details:** Review the populated fields for accuracy and make the necessary edits. The Transfer Group Disposition Date should display the January 1st of the calendar year for which the records are eligible for transfer (e.g., 1/1/2012).
    - o **Current Physical Location of Records:** The agency location should always be **No**.
    - o **Destination Physical Location of Records:** Do not change the information in this field without consulting with NARA FRC Staff. NARA will edit this data if needed.
    - o **Transfer Method:** The **Electronic Records Transferred by Electronic Means** should always be **No**. Review the populated fields for accuracy.
    - o **List of Containers:** Review the fields for accuracy and make the necessary edits. Please note that **any** changes will change the calculation for Total Container Volume.

- o **Transferring Agency Official:** These fields populate from the user profile **except** for the Agency field. This data populates from ARCIS. Please verify that the data is correct.
- o **Agency Approving Official:** These fields populate from the user profile after the Agency Approving Official submits the TR to NARA.
- o **NARA Contact:** Leave these fields blank.

➢ **Contact Information:**
- o **Other Contacts:** These fields will pre-populate with information about the specific Annual Move and the ERA Help Desk. Please do not alter that information. You may add any additional contacts.

➢ **Signatory Information:** These fields will pre-populate from user profiles when action is taken.

➢ **Related Assets:** No related assets will be listed until the TR has been submitted to NARA.

➢ **Attachments:** You may add attachments. After you upload an attachment, click the Refresh button to see it displayed.

Once the review is complete, and the edits and changes are made:

➢ Save TR

➢ Select **Submit** from the drop-down menu

➢ Click **Go**

The TR is Submitted for Approval to the Agency Approving Official.

7f.1c Submit/Propose Transfer Requests to NARA

Only an Agency Approving Official may Submit/Propose a TR for approval by NARA. Please note that an Agency Approving Official may also have the Transferring Agency Official role. An Agency Approving Official may also reject a TR, which will then return to Draft status.

To Submit/Propose a TR for NARA approval, the Agency Approving Official must accept the Terms of Agreement for transfer to NARA and must have the legal authority to do so.

The Agency Approving Official will receive a task notification indicating that action needs to be taken on a particular TR. The Agency Approving Official will submit to NARA and accept the Terms of Agreement by taking the following steps:

➢ Select **Submit**

➢ Check the **Terms of Agreement** check box

➢ Click **Continue**

➢ Click **Go**

An Agency Approving Official may also use the Single Action, Multiple Objects (SAMO) function. SAMO permits the user to submit multiple Transfer Requests to NARA for approval or to reject them.

To approve multiple TRs using SAMO:

➢ Create a Business Object search for a **Keyword** search string of TRs, for example: TR-0131-2013-0001 OR TR-0131-2013-0002 OR TR-0131-2013-0003 TR-0131-2013-0004 OR TR-0131-2013-0005 OR TR-0131-2013-00030 OR TR-0131-2013-00046 OR TR-0060-2013-0001 OR TR-0060-2013-00010 OR TR-0060-2013-00053

➢ Click Search

➢ Filter the search results by status: **Submitted for Agency Approval**

➢ Select the TRs you wish to approve by either clicking on the check boxes next to each TR or by using the **Select All** feature next to the filter

➢ Click **Submit**

The Transfer Requests have been submitted to NARA and will appear in search results as Proposed and Ready for Approval. No more action is required by the agency at this point, unless the TR is Rejected by NARA, in which case NARA staff will notify the Agency Approving Official via the **Rejection Comment** field on the TR.

7g. Next Steps

NARA staff members will conduct a thorough review of each Transfer Request submitted to their custodial unit. Any discrepancies identified between data provided on the TR and record schedule item data, agency-provided data, or ARCIS data (for Annual Move TRs) may result in the rejection of the TR by NARA.

For Annual Move Transfer Requests, the workflow is governed by the Inter-Agency Agreement. Once the records are received by NARA, several other accessioning processes occur before physical and legal custody is accepted in ERA. If you have questions about a particular Transfer Request, please contact annual.move@nara.gov or your accessioning archivist.

For direct offers, if no approval/rejection action has been taken on a TR within 45 days of submission, contact your accessioning archivist. After Approval of a TR, NARA will work with agencies on the physical transfer of the records. Once the records are received by NARA, several other accessioning processes occur before physical and legal custody is accepted in ERA. If you have questions about a particular Transfer Request, please contact your accessioning archivist.

See the following table for a summary of roles and actions for ERA Transfer Request Statuses.

ERA Transfer Request Statuses	Roles		Can Take Action	View (Read Only)	Cannot Access
Draft	Agency	Transferring Agency Official	X		
		Agency Approving Official			X
	NARA	Transfer Staff			X
		Records Processor			X
		Transferring Official	X		
		NARA Receiving Manager			X
		NARA Accessioning Manager			X
Submitted for Agency Approval	Agency	Transferring Agency Official		X	
		Agency Approving Official	X		
	NARA	Transfer Staff			X
		Records Processor			X
		Transferring Official		X	
		NARA Receiving Manager			X
		NARA Accessioning Manager			X
Proposed	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff		X	
		Records Processor			X
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager			X
Ready for Approval	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff	X		
		Records Processor			X
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager			X
Approved	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff		X	
		Records Processor		X	
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager		X	
Ready for No More Shipments	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff		X	
		Records Processor	X		
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager		X	
No More Shipments	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff		X	
		Records Processor		X	

Status	Org	Role			
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager		X	
Ready for Physical Custody Decision	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff	X		
		Records Processor		X	
		Transferring Official		X	
		NARA Receiving Manager	X		
		NARA Accessioning Manager		X	
Physical Custody Accepted	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff		X	
		Records Processor		X	
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager		X	
Physical Custody Rejected	Agency	Transferring Agency Official			X
		Agency Approving Official			X
	NARA	Transfer Staff		X	
		Records Processor		X	
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager		X	
Legal Transfer Instrument: Ready for Legal Custody Decision	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff			X
		Records Processor		X	
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager	X		
Legal Transfer Instrument: Legal Custody Accepted	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff		X	
		Records Processor		X	
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager		X	
Legal Transfer Instrument: Legal Custody Rejected	Agency	Transferring Agency Official		X	
		Agency Approving Official		X	
	NARA	Transfer Staff		X	
		Records Processor		X	
		Transferring Official		X	
		NARA Receiving Manager		X	
		NARA Accessioning Manager		X	

Table 5 –Transfer Request Statuses and Action by Role

Appendix Section

Appendix A
FRC TRANSFER IN ERA – SEQUENCE VIEW

Box 1. NARA creates a **"Draft"** Transfer Request (TR)

Box 2. Agency reviews and updates TR; then submits TR to Agency Records Officer. TR updates from **"Draft"** to **"Submitted for Agency Approval"**

Transferring Agency Official

Box 3. Agency submits TR to NARA. TR updates from **"Submitted for Agency Approval"** to **"Proposed"**

Agency Approving Official

Box 4. NARA receives, reviews, and accepts or rejects **"Proposed"** TR. TR is **"Approved."**

Box 5. Ship records (FRC staff)

Box 6. NARA completes internal work processes

Box 7. NARA electronically signs TR **Accepting Physical Custody** of the records. ERA system automatically creates LTI at this point.

Box 8. NARA completes standard accessioning procedures and **"Approves"** the LTI.

Red = actions taken by FRC staff

Blue = actions taken by archival accessioning staff

Yellow= actions taken by agencies

Note: 1 TR created for each FRC transfer

DIRECT OFFER IN ERA – SEQUENCE VIEW

Box 1. Agency creates a **"Draft"** Transfer Request (TR)

Transferring Agency Official

Box 2. Agency submits TR to Agency Records Officer. TR updates from **"Draft"** to **"Submitted for Agency Approval"**

Transferring Agency Official

Box 3. Agency submits TR to NARA. TR updates from **"Submitted for Agency Approval"** to **"Proposed"**

Agency Approving Official

Box 4. NARA receives, reviews, and accepts or rejects **"Proposed"** TR. TR is **"Approved."**

Box 5. Ship or Ingest records (NARA or Agency)

Box 6. NARA completes internal work processes

Box 7. NARA electronically signs TR **Accepting Physical Custody** of the records. The ERA system automatically creates the Legal Transfer Instrument (LTI) at this point.

Box 8. NARA completes standard accessioning procedures and "**Approves**" the LTI.

Blue = actions taken by archival accessioning staff

Yellow= actions taken by agencies

Note: 1 TR created for each records series

Transferring Permanent Records to NARA Using ERA:

Cross-walking the ERA Transfer Request to the SF 258

Textual Records

Job Aid

The U.S. National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-60001

SF-258 fields mapped to ERA Transfer Request (TR) fields

Search   Create

Create Transfer Request

General Information Tab

[💾 Save] [Cancel]

Attach an approved Records Schedule Item. Once RSI is attached, several TR fields will be **Pre-Populated (PP)** using information from the Records Schedule.

Note: DAA #s are born ERA Record Schedules/Record Schedule Items DAL is a legacy Disposition Authority (N1, NC1 #). Agencies must submit a request to their appraisal archivist for legacy schedules to be put into ERA.

***A Transfer Request CANNOT be created without the appropriate DAA or DAL attached.

* = Required field

General Information

General Information

SF 258 (Block 6) → * Disposition Authority Number: `DAA-NU-2011-0126-0001` [Attach]   * Electronic Legacy Data: `No`

SF 258 (Block 5A) (PP) → * Agency or Establishment: `Department of the Navy`

(PP) → * Record Group: `0313—Records of Naval Operating Forces, 1849-1980`

SF 258 (Block 5B) (PP) → Major Subdivision: `Office of Naval Research (ONR)`

Minor Subdivision: `Naval Research Lab (NRL)`

Manual Citation

Manual Citation	Manual Title

SF 258 (Block 14) — Manual Citation is an Agency's internal Disposition Authority Number

SF 258 (Block 4A) → Transfer Group Description: `R&D Technical Report Files`   [✏️ Edit] [ABC Spell check]

National Archives and Records Administration

LTI:

Security Scan: No

Always "No" (PP)

Legacy Disposition
Authority Number:

Type of Legal Transfer: Direct Offer

Transaction Type

[Add] [Delete]

SF 258 (Block 8B) →

Transaction Number Type	Transaction Number

Disposition Authority

NOT on SF 258 (PP) →

Records Schedule Item Title: Technical Report Files

Inclusive Dates   **SF 258 (Block 4B)**

From: 1/1/1981

To: 12/31/1985

Access Restriction

See Next Slide

Access Restriction
Status: -- Select one --

Specific Access
Restriction:

Security Classification:

Access Restriction

SF 258 (Block 12) →

Access Restriction Status: `Restricted - Fully ▾`

Specific Access Restriction: `FOIA (b)(1) National Security; FOIA (b)(4) Trade Secrets and Commercial or Financial Information`   `...`

Security Classification: `Top Secret`   `[ ]`

SF 258 (Block 7)

SF 258 (Block 7) →

Special Marking: `         `   `...`

Statutory Citation: `         `   `...`

Access Restriction Note: `                    `   🖉 Edit   🔤 Spell check

SF 258 (Block 13) →

Privacy Act Notice Number: `No ▾`

Agency System Number: `         `

Federal Register Volume: `         `

Federal Register Page Number: `         `

Use Restriction

Use Restriction: `-- Select one -- ▾`

Specific Use Restriction: `         `   `...`

NOT on SF 258

NOT applicable to Textual Transfers

Use Restriction Note: `         `   🔍 View

National Archives and Records Administration
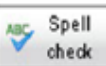
See Previous Slide

Privacy Act Notice Number: No

Federal Register Volume:

Agency System Number:

Federal Register Page Number:

Spell check

Use Restriction

Use Restriction: Unrestricted

Specific Use Restriction:

Use Restriction Note:

Edit

Spell check

Records Type

General Records Type: Textual Records

SF 258 (Block 9)

NOTE: You may add more than one General Records Type

Save   Cancel

Transfer Request **TR-0313-2011-0007**

Status **Draft**

| 💾 Save | 🖨 View PDF | Cancel |

-- Select Next Action -- ▼ | Go

✕ Delete

* = Required field

| General Information | Transfer Details | Contact Information | Related Assets | Attachments |

Transfer Details

PP from General Information Tab →

Transfer Group Description:

R&D Technical Report Files

🔍 View

Cutoff: ▦

* Transfer Group Disposition Date: 1/1/2011 ▦

Current Physical Location of Records

SF 258 (Block 8) → Agency Location: Yes ▼

SF 258 (Block 11)

SF 258 (Block 8A) → Agency Name and Address:

Dept. of Navy
1776 Blue Waters Way
Anywhere, USA 12345

✏ Edit

🔤 Spell check

Destination Physical Location of Records

Not on SF 258 → Location: -- Select one -- ▼

* Transfer Method

Electronic Means

☐ Electronic Records Transferred by Electronic Means

National Archives and Records Administration

Same as previous slide

Cutoff: [_____] 📅   * Transfer Group Disposition Date: [1/1/2011] 📅

Current Physical Location of Records

Agency Location: [Yes ▾]

Agency Name and Address:
```
Dept. of Navy
1776 Blue Waters Way
Anywhere, USA 12345
```
✏️ Edit

🔤 Spell check

Destination Physical Location of Records

Location: [National Archives at College Park - Archives II (College Park, MD) ▾]

Destination Custodial Unit: [NWCT2P - Archives II Processing Section ▾]

* Transfer Method

Electronic Means

☐ Electronic Records Transferred by Electronic Means

Purely electronic, over the wire records

Paper, photo prints/negatives, maps, blue prints, sound (non electronic audio and sound recordings)

Physical Means

CD, DVD, USB, Hard Drive, Magnetic Tape, Floppies, etc.

☐ Electronic Records on Physical Media   ☐ Physical Transfer of Non-Electronic Records

💾 Save   📄 View PDF   Cancel   -- Select Next Action -- ▾ Go   ✖ Delete

Physical Means

Same as previous slide

☐ Electronic Records on Physical Media   ☑ Physical Transfer of Non-Electronic Records

* Physical Media Types - Non-Electronic Records

[Add] [Delete]

	Quantity	Transfer Media Type	Container Description
☐	5	Paper ▾	

SF 258 (Block 9)

For Textual Transfers, always put the number of containers in the container box

NOTE: More than one Physical Media Type may be added

List of Containers

[Add] [Delete]

	Number of Containers	Container Type	Container Description	Depth (inches)	Height (inches)	Width (inches)
☐	* 5	FRC-S FRC Carton, Standard ▾		15.000	10.125	12.250

SF 258 (Block 10)

PP

Details of the List of Containers

Total Number of Containers:	5	Total Container Volume (cubic feet):	5.383	Container Numbers:	1-5

Populates from above information

Must fill in this information, does not PP

Search   Create

Transfer Request **TR-0313-2011-0007**   Status: **Draft**

| 🖫 Save | 🖶 View PDF | Cancel | -- Select Next Action -- ▾ | Go | ✕ Delete |

* = Required field

| General Information | Transfer Details | Contact Information | Related Assets | Attachments |

Transferring Agency Official

PP from user profile

First Name:	GiGi	Last Name:	Jane
Title:	TransferringOfficial for Don	Phone:	301-123-4567
Email:	GiJane@DON.gov	Agency:	Navy

Agency Approving Official

First Name:		Last Name:	
Title:		Phone:	
Email:		Agency:	

NARA Contact

First Name:		Last Name:	
Title:		Phone:	
Email:		Agency:	

Other Contacts (Agency/NARA)

Agency Approving Official

First Name:

Last Name:

Title:

Phone:

Email:

Agency:

Same as previous slide

NARA Contact

First Name:

Last Name:

Title:

Phone:

Email:

Agency:

Other Contacts (Agency/NARA)

Add   Delete

	First Name	Last Name	Title	Phone	Email	Agency
☐						

Useful to fill out, particularly if you are not the individual to contact regarding physical transport arrangements for the records.

SF 258 (Block 5E)

Save   View PDF   Cancel   -- Select Next Action -- ⌄ Go   ✕ Delete

Search   Create

Transfer Request **TR-0313-2011-0007**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]   [X Delete]

* = Required field

General Information | Transfer Details | Contact Information | **Related Assets** | Attachments

Related Assets

No related objects found.

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]   [X Delete]

National Archives and Records Administration

Search   Create

Transfer Request **TR-0313-2011-0007**   Status **Draft**

| 🖫 Save | 📄 View PDF | Cancel | -- Select Next Action -- ▾   Go | ✕ Delete |

* = Required field

| General Information | Transfer Details | Contact Information | Related Assets | **Attachments** |

Add an Attachment

File Name: [   ] Browse...

File Description: [   ]   Upload

List of Attachments

SF 258 (Block 14)

Refresh

Attachment (ATT):   1 thru 1 of 1

Delete Selected Attachments

<< first < prev   [1]   next > last >>

☐	Attachment File Name ▾	Attachment Description
☐	TR-0313-2011-0007.xls	

Attachments should include the Business Object number in the title

National Archives and Records Administration

Search   Create

Search Home > Search Results >

Transfer Request **TR-0313-2011-0007**   Status **Draft**

Signatory Tab

ERA Roles

View PDF   Cancel

＊ = Required field

| General Information | Transfer Details | Original Order | Signatory Information |

Signatory Information

Transferring Official

Agency Approving Official

Date	Action	By	Title	Organization
12/9/2010	Submit	Charley Barth	Director of Records	Chief of Naval Operations (CNO) - Director Navy Staff (DNS)
1/4/2011	Submit	Charley Barth	Director of Records	Chief of Naval Operations (CNO) - Director Navy Staff (DNS)
4/19/2011	Approve	Timothy Enas	Archivist	National Archives and Records Administration
5/4/2011	Reject Additional Shipments	Dawn Sherman-Fells	Archivist	National Archives and Records Administration
5/4/2011	Accept Physical Custody	Dawn Sherman-Fells	Archivist	National Archives and Records Administration

Agency Actions

NARA Actions

NARA Transfer Staff

National Archives and Records Administration

ERA Transfer Request (TR) fields mapped to SF-258

SF 258 EXAMPLE—NOT VALID DOCUMENT

AUTHORIZED FOR LOCAL REPRODUCTION

AGREEMENT TO TRANSFER RECORDS TO
THE NATIONAL ARCHIVES OF THE UNITED STATES

1. INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached _____ pages are depos-in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the

use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationary, non-archival printed or processes material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of non-archival materials contained in this deposit.

Agency Approving Official ⟶

2A. AGENCY APPROVAL

Signature *Navy Records Officer*　　Date 6/5/11

2" 　Navy Records Officer
Department of the Navy
1776 Blue Waters Way
Anywhere, USA 12345

3A. NARA APPROVAL

Signature *NARA Official*　　Date 7/1/11

3" 　NARA Official
8601 Adelphi Road—Room 0001
College Park, MD 20740

SF 258 EXAMPLE—NOT VALID DOCUMENT

RECORDS INFORMATION

4A. RECORDS SERIES TITLE R and D Technical Report Files   [Transfer Group Description]

4B. DATE SPAN OF SERIES 1/1/1981 to 12/31/1985   [Inclusive Dates]   *(Attach any additional description.)*

5A. AGENCY OR ESTABLISHMENT   [Creating Agency/Establishment]
Department of the Navy

5B. AGENCY MAJOR SUBDIVISION   [Major Subdivision]
Office of Naval Research (ONR)

5C. AGENCY MINOR SUBDIVISION   [Minor Subdivision]
Naval Research Lab (NRL)

5D. UNIT THAT CREATED RECORD

5E. AGENCY PERSON WITH WHOM TO CENTER ABOUT THE RECORDS
Name GiGi Jane   [Contact Information]
Telephone Number (301) 123-4567

6. DISPOSITION AUTHORITY: [Former N1/NC1 Number]
DAA-NU-2011-0126-0001

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☐ NO ☐ YES
LEVEL: ☐ Confidential ☐ Secret ☒ Top Secret
SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO
☐ Other _____ [Access Restriction Information]
INFORMATION STATUS: ☐ Segregated ☐ Declassified

8. CURRENT LOCATION OF RECORDS
☒ Agency (Complete 8A only)   [Current Physical Location of Records]
☐ Federal Records Center (Complete 8 B only)

8A. ADDRESS
Department of the Navy
1776 Blue Waters Way
Anywhere, USA 12345

8B. FRC ACCESSION NUMBER   **CONTAINER NUMBER(S)**   **FRC LOCATION**
N/A   5   N/A
[Transaction Type/Transaction Number]   [Location]

9. PHYSICAL FORMS   [General Records Type]
☒ Paper Documents ☐ Posters
☐ Paper Publications ☐ Maps and Charts
☐ Microfilm/Microfiche ☐ Arch / Eng Drawings
☐ Electronic Records ☐ Motion / sound / Video
☐ Photographs ☐ Other *(specify):* _____

10. VOLUME: [List of Containers/Detail of the List of Containers] **CONTAINERS:**
Cu. Mtr. _____ (Cu. Ft. 5) Number 5 Type FRC-S

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES [Transfer Disposition Date] 1/1/2011

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? FOIA(b)(4)
[Access Restriction Information]
☐ YES ☒ NO   *(If no, attach limits on use and justification.)*

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?
[Access Restriction Information]
☐ YES ☒ NO
(If yes, cite Agency system Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

14. ATTACHMENTS
☐ Agency Manual Excerpt ☐ Listing of Records Transferred
☐ Additional Description ☐ NA from 14097 or Equivalent
☐ Privacy Act Notice ☐ Microform Inspection Report
☐ Other *(specify):* _____ ☐ SF(s) 135
[Use Attachments Feature]

National Archives and Records Administration

SF 258 EXAMPLE—NOT VALID DOCUMENT

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION	RG 3 13

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES	17. NATIONAL ARCHIVES ACCESSION NO.
Signature *NARA Official* Date 8/1/11	

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

SF 258 (9/95)
Prescribed by NARA 36 CFR 1226

LTI: Legal Custody Accepted captured on the Legal Transfer
Instrument (LTI) Signatory Tab, not on the Transfer Request

Transferring Permanent Records to NARA Using ERA:

Cross-walking the ERA Transfer Request to the SF 258

Electronic Records

Job Aid

The U.S. National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6000I

SF-258 fields mapped to ERA Transfer Request (TR) fields

General Information Tab

Search   Create   Tools

Create Transfer Request

[💾 Save] [Cancel]

Note: DAA #s are born ERA Record Schedules/Record Schedule Items

DAL is a legacy Disposition Authority (N1, NCI #). Agencies must submit a request to their appraisal archivist for legacy schedules to be put into ERA.

Attach an approved Records Schedule Item. Once RSI is attached, several TR fields will be **Pre-Populated (PP)** using information from the Records Schedule.

＊ = Required field

General Information

General Information

SF 258 (Block 6) → **＊** Disposition Authority Number: `DAL-0029-2008-0015-0004` [Attach]

＊ Electronic Legacy Data: `No ▼`

Select "No." NOT on SF 258

SF 258 (Block 5A) (PP) → **＊** Agency or Establishment: `Bureau of the Census ▼`

(PP) → **＊** Record Group: `0029 - Records of the Bureau of the Census ▼`

SF 258 (Block 5B) (PP) → Major Subdivision: `Governments Division`

Minor Subdivision: `_____`

Manual Citation

Manual Citation	Manual Title

SF 258 (Block 14)

Manual Citation is an Agency's internal Disposition Authority Number

SF 258 (Block 4A and 4B) — Transfer Group Description: `Federal Assistance Awards Data System (FAADS), FY 99`

[✏ Edit]

[ABC Spell check]

Search   Create   Tools

Search Home > Search Results >

Transfer Request **TR-0029-2011-0145**   Status **Draft**

[💾 Save]   [📄 View PDF]   [| Cancel]   [Submit ▼] [Go]   [✕ Delete]

LTI: * Security Scan: [No ▼]

Legacy Disposition   NC1-029-82-004 / 50
Authority Number:
* Type of Legal Transfer: [Direct Offer ▼]   **Always "No" (PP)**

Not used for Electronic Records →

Transaction Type

[Add]   [Delete]

Transaction Number Type	Transaction Number

Disposition Authority

NOT on SF 258 (PP) →

Records Schedule Item Title: Federal Assistance Award Data Systems (FAADS)

Inclusive Dates   **SF 258 (Block 4B)**

* From: [10/1/1998 📅]

* To: [9/30/1999 📅]

SF 258 (Block 7 and 12) →

Access Restriction

* Access Restriction Status: [Unrestricted ▼]

Specific Access Restriction: [   ] [...]   Security Classification: [   ] [...]

SF 258 (Block 7)

National Archives and Records Administration

SF 258 (Block 13) →

Privacy Act Notice Number: No

Federal Register Volume:

Agency System Number:

Federal Register Page Number:

Use Restriction

NOT on SF 258 →

Use Restriction: Unrestricted

Specific Use Restriction:

Use Restriction Note:

[Edit]

[Spell check]

Records Type

General Records Type: Data Files; Textual Records

SF 258 (Block 9)

Click "Save"

See next slide for results

[Save] [Cancel]

Search   Create   Tools

Transfer Request **TR-0029-2011-0145**   Status **Draft**

[💾 Save]   [Cancel]

Access Restriction

* Access Restriction
   Status: Unrestricted [▾]

Specific Access   [   ] [...]   Security Classification: [   ] [...]
Restriction:

Special Marking: [   ] [...]   Statutory Citation: [   ] [...]

Access Restriction Note: [🔍 View]

                    Message   [ABC Spell check]

                    .   Transfer Request TR-0029-2011-0145 has been successfully created.

                                              [OK]

Privacy Act Notice   No [▾]
Number:

Federal Register Volume: [   ]   Federal Register Page   [   ]
                                                             Number:

Search   Create   Tools

Transfer Request **TR-0029-2011-0145**   Status **Draft**

[💾 Save] [📄 View PDF] [Cancel]   -- Select Next Action -- ▾ [Go]   [✕ Delete]

* = Required field

| General Information | **Transfer Details** | Contact Information | Related Assets | Attachments |

PP from General Information Tab

Transfer Details

Transfer Group Description: Federal Assistance Awards Data System (FAADS), FY 99   [🔍 View]

Cutoff: [   ] 📅   * Transfer Group Disposition Date: [7/22/2011] 📅

SF 258 (Block 2A)

Current Physical Location of Records

SF 258 (Block 8)   Agency Location: [Yes ▾]

SF 258 (Block 8A)   Agency Name and Address: Census Bureau   [✏️ Edit]   [🔤 Spell check]

Destination Physical Location of Records

Not on SF 258   Location: [National Archives at College Park - Archives II (College Park, MD) ▾]

Destination Custodial Unit: [NWME - Electronic and Special Media Records Services Division ▾]

* **Transfer Method**

National Archives and Records Administration

Search   Create   Tools

Search Home > Search Results >

Transfer Request **TR-0029-2011-0145**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]   [X Delete]

* Transfer Method

Electronic Means

[ ] Electronic Records Transferred by Electronic Means

> Purely electronic, over the wire records

> Paper, photo prints/negatives, maps, blue prints, sound (non electronic audio and sound recordings)

Physical Means

[✓] Electronic Records on Physical Media   [ ] Physical Transfer of Non-Electronic Records

> CD, DVD, USB, Hard Drive, Magnetic Tape, Floppies, etc.

* Physical Media Types - Electronic Records

[Add] [Delete]

	Quantity	Transfer Media Type	Estimated Volume		Container Description
[ ]	* 12	* Digital Versatile Disk (DVD) [v]	* 100	* MB [v]	

> Not on SF 258. Select one

> NOTE: More than one Physical Media Type may be added

* Media Disposition: Destroy [v]

> SF 258 (Block 10)

List of Containers

[Add] [Delete]

	Number of Containers	Container Type	Container Description	Depth (inches)	Height (inches)	Width (inches)
[ ]	* 12	CD-A CD Jewel Case, Single Disc [v]		5.625	4.938	0.250

> PP

Details of the List of Containers

Total Number of Containers: 12   Total Container Volume (cubic feet):   0.048

> Populates from above

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]   [X Delete]

Search   Create   Tools

Transfer Request **TR-0029-2011-0145**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]   [X Delete]

* = Required field

| General Information | Transfer Details | **Contact Information** | Related Assets | Attachments |

Transferring Agency Official

PP from user profile

First Name: Artina   Last Name: Venning
Title: Records Officer   Phone: 301-123-4567
Email: artv@census.gov   Agency: Census

Agency Approving Official

First Name: Last Name:
Title: Phone:
Email: Agency:

NARA Contact

SF 258 (Block 3B) →

First Name: Last Name:
Title: Phone:
Email: Agency:

Other Contacts (Agency/NARA)

[Add] [Delete]

	First Name	Last Name	Title	Phone	Email	Agency

SF 258 (Block 5E)

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]   [X Delete]

National Archives and Records Administration

Search   Create   Tools

Transfer Request **TR-0029-2011-0145**   Status **Draft**

[🖫 Save] [📄 View PDF] [| Cancel]   -- Select Next Action -- [v] [Go]   [✕ Delete]

* = Required field

| General Information | Transfer Details | Contact Information | **Related Assets** | Attachments |

Not on SF 258

Related Assets

> No related objects found.

[🖫 Save] [📄 View PDF] [| Cancel]   -- Select Next Action -- [v] [Go]   [✕ Delete]

Search   Create   Tools

Search Home > Search Results >

Transfer Request **TR-0029-2011-0145**   Status **Draft**

[💾 Save]   [📄 View PDF]   [Cancel]   -- Select Next Action -- [▼] [Go]   [✕ Delete]

* = Required field

| General Information | Transfer Details | Contact Information | Related Assets | **Attachments** |

Add an Attachment

File Name: [   ] [Browse...]

File Description: [   ]   [Upload]

Click "Browse"

Click "Upload"

List of Attachments

[Refresh]

Attachment (ATT):   1 thru 1 of 1

[Delete Selected Attachments]

SF 258 (Block 14)

<< first < prev [1] next > last >>

☐	Attachment File Name ▼	Attachment Description
☐	TR_0029_2011_0145.docx	

NOTE: Attachments should include the Transfer Request number in the file name.

National Archives and Records Administration

Search   Create   Tools

Search Home > Search Results >

Transfer Request **TR-0029-2011-0145**   Status **Draft**

[Save] [View PDF] [Cancel]   [Submit ▾] [Go]   [✕ Delete]

Choose "Submit" and Click "Go"

* = Required field

| General Information | Transfer Details | Contact Information | Related Assets | **Attachments** |

Add an Attachment

File Name: [_____] [Browse...]

File Description: [_____]   [Upload]

List of Attachments

[Refresh]

Attachment (ATT):   1 thru 1 of 1

[Delete Selected Attachments]

<< first < prev [1] next > last >>

	Attachment File Name	Attachment Description
☐	TR_0029_2011_0145.docx	

National Archives and Records Administration

Search   Create   Tools

Search Home > Search Results >

Transfer Request TR-0029-2011-0145   Status **Draft**

[Save]   [View PDF]   [Cancel]   [Submit ▼] [Go]   [✕ Delete]

* = Required field

General Information | Transfer Details | Contact Information | Related Assets | **Attachments**

Add an Attachment

File Name:

File Description:

Terms of Agreement for Submit Action

Please select the check box to indicate your acceptance and click Continue to proceed.

☐ The records described above are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring entity certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552. In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified above, no restrictions of the use of these records will be imposed other than the general and specific restrictions on the use of the records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the Guide to the National Archives of the United States. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationary, non-archival printed or processed material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of non-archival materials contained in this deposit.

[Continue] [Cancel]

Click checkbox and "Continue"

List of Attachments

[Refresh]

Attachment (ATT):   1 thru 1 of 1

[Delete Selected Attachmer...]

<< first < prev   [1]   next >

☐ Attachment File Nar...
☐ TR_0029_2011_014...

cat.era.nara.gov...

Mail From: Paula Larich
National Archives and Records Administration

Search   Create   Tools

Search Home > Search Results >

Transfer Request **TR-0029-2011-0145**   Status **Proposed**

[Save]   [View PDF]   [Cancel]   Submit ▾ [Go]   [✕ Delete]

* = Required field

| General Information | Transfer Details | Contact Information | Signatory Information | Related Assets | **Attachments** |

Add an Attachment

File Name: [_____] [Browse...]

File Description: [_____]   [Upload]

List of Attachments

[Refresh]

Attachment (ATT):   1 thru 1 of 1

[Delete Selected Attachments]

<< first < prev   1   next > last >>

☐	Attachment File Name ▾	Attachment Description
☐	TR_0029_2011_0145.docx	

Message

.   Transfer Request TR-0029-2011-0145 has been successfully Submitted for Approval.

[OK]

After clicking continue, you will see an on screen text message that confirms the Transfer Request has been successfully submitted for approval.

National Archives and Records Administration

Search   Create   Tools

Search Home > Search Results >

Transfer Request TR-0029-2011-0145   **Status** Ready for Approval

Signatory Tab

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]

* = Required field

| General Information | Transfer Details | Contact Information | **Signatory Information** | Related Assets | Attachments |

Signatory Information

Date	Action	By	Title	Organization
7/22/2011	Submit	Paula.Larich.1 Paula.Larich.1	Test User.	test

Terms of Agreement

The records described above are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring entity certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified above, no restrictions of the use of these records will be imposed other than the general and specific restrictions on the use of the records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States.*

The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationary, non-archival printed or processed material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of non-archival materials contained in this deposit.

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]

ERA Transfer Request (TR) fields mapped to SF-258

SF 258 EXAMPLE—NOT VALID DOCUMENT

AUTHORIZED FOR LOCAL REPRODUCTION

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES

1. INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached _____ pages are depos-

in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the

use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationary, non-archival printed or processes material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of non-archival materials contained in this deposit.

Agency Approving Official →

2A. AGENCY APPROVAL

Signature _Navy Records Officer_ Date _6/5/11_

2′
Navy Records Officer
Department of the Navy
1776 Blue Waters Way
Anywhere, USA 12345

3A. NARA APPROVAL

Signature _NARA Official_ Date _7/1/11_

3′
NARA Official
8601 Adelphi Road—Room 0001
College Park, MD 20740

National Archives and Records Administration

SF 258 EXAMPLE—NOT VALID DOCUMENT

RECORDS INFORMATION

4A. RECORDS SERIES TITLE R and D Technical Report Files *[Transfer Group Description]*

4B. DATE SPAN OF SERIES 1/1/1981 to 12/31/1985 *[Inclusive Dates]* (Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT *[Creating Agency/Establishment]*
Department of the Navy

5B. AGENCY MAJOR SUBDIVISION *[Major Subdivision]*
Office of Naval Research (ONR)

5C. AGENCY MINOR SUBDIVISION *[Minor Subdivision]*
Naval Research Lab (NRL)

5D. UNIT THAT CREATED RECORD

5E. AGENCY PERSON WITH WHOM TO CENTER ABOUT THE RECORDS
Name: GiGi Jane *[Contact Information]*
Telephone Number (301) 123-4567

6. DISPOSITION AUTHORITY: *[Former N1/NC1 Number]*
DAA-NU-2011-0126-0001

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? [ ] NO [ ] YES
LEVEL: [ ] Confidential [ ] Secret [X] Top Secret
SPECIAL MARKINGS: [ ] RD/FRD [ ] SCI [ ] NATO
[ ] Other *[Access Restriction Information]*
INFORMATION STATUS: [ ] Segregated [ ] Declassified

8. CURRENT LOCATION OF RECORDS
X Agency (Complete 8A only) *[Current Physical Location of Records]*
___ Federal Records Center (Complete 8 B only)

8A. ADDRESS
Department of the Navy
1776 Blue Waters Way
Anywhere, USA 12345

8B. FRC ACCESSION NUMBER
N/A
[Transaction Type/Transaction Number]

CONTAINER NUMBER(S)
5

FRC LOCATION
N/A
[Location]

9. PHYSICAL FORMS *[General Records Type]*
[X] Paper Documents [ ] Posters
[ ] Paper Publications [ ] Maps and Charts
[ ] Microfilm/Microfiche [ ] Arch / Eng Drawings
[ ] Electronic Records [ ] Motion / sound / Video
[ ] Photographs [ ] Other (specify): _____

10. VOLUME: *[List of Containers/Detail of the List of Containers]* **CONTAINERS:**
Cu. Mtr. ____ (Cu. Ft. 5) Number 5 Type FRC-S

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES *[Transfer Disposition Date]* 1/1/2011

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? FOIA (b)(4)
[Access Restriction Information]
[ ] YES [X] NO (If no, attach limits on use and justification.)

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?
[Access Restriction Information]
[ ] YES [X] NO
(If yes, cite Agency system Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

14. ATTACHMENTS
[ ] Agency Manual Excerpt [ ] Listing of Records Transferred
[ ] Additional Description [ ] NA from 14097 or Equivalent
[ ] Privacy Act Notice [ ] Microform Inspection Report
[ ] Other (specify): _____ [ ] SF(s) 135
[Use Attachments Feature]

National Archives and Records Administration

SF 258 EXAMPLE—NOT VALID DOCUMENT

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION	RG
	3 13

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES	17. NATIONAL ARCHIVES ACCESSION NO.
Signature _NARA Official_ Date _8/1/11_	

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

SF 258 (9/95)
Prescribed by NARA 36 CFR 1226

LTI: Legal Custody Accepted captured on the Legal Transfer
Instrument (LTI) Signatory Tab, not on the Transfer Request

Transferring Permanent Records to NARA Using ERA:

Cross-walking the ERA Transfer Request to the SF 258

Motion | Analog Records

Job Aid

ERA
Electronic Records Archives

National Archives

The U.S. National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-60001

SF-258 fields mapped to ERA Transfer Request (TR) fields

General Information Tab

Attach an approved Records Schedule Item. Once RSI is attached, several TR fields will be **Pre-Populated (PP)** using information from the Records Schedule.

Note: DAA #s are born ERA Record Schedules/Record Schedule Items. DAL is a legacy Disposition Authority (N1, NC1 #). Agencies must submit a request to their appraisal archivist for legacy schedules to be put into ERA. A Transfer Request CANNOT be created without the appropriate DAA or DAL attached.

Search   Create   Tools

Transfer Request **TR-0330-2011-0093**

[Save]   [View PDF]   [Cancel]   [X Delete]

✻ = Required field

| General Information | Transfer Details | Contact Information | Related Assets | Attachments |

General Information

SF 258 (Block 6) (PP)

✻ Disposition Authority Number: DAA-0330-2011-0032-0001

✻ Electronic Legacy Data: No

SF 258 (Block 5A) (PP)

✻ Agency or Establishment: Department of Defense

✻ Record Group: 0330 - Records of the Office of the Secretary of Defense

SF 258 (Block 5B/D)

Major Subdivision: Defense Media Activity

Minor Subdivision: DIMOC

Manual Citation

Manual Citation	Manual Title

SF 258 (Block 4A)

✻ Transfer Group Description: Official Video and Audio Recording of Department of Defense Activities   [Edit] [Spell check]

LTI:

✻ Security Scan: No

Legacy Disposition Authority Number:

✻ Type of Legal Transfer: Direct Offer

Transaction Type

[Add]   [Delete]

Transaction Number Type	Transaction Number

Search   Create   Tools

Transfer Request **TR-0330-2011-0093**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- ⌄ [Go]   [✕ Delete]

Transaction Type

[Add] [Delete]

	Transaction Number Type	Transaction Number

Disposition Authority

NOT on SF 258 (PP) → Records Schedule Item Title: test

SF 258 (Block 4B) →

Inclusive Dates

* From: 1/1/1994

* To: 12/31/1999

Access Restriction

SF 258 (Block 12) → * Access Restriction Status: Unrestricted ⌄

Specific Access Restriction:

Security Classification:

SF 258 (Block 7)

SF 258 (Block 7) → Special Marking:

Statutory Citation:

Access Restriction Note: [🔍 View] [ABC Spell check]

SF 258 (Block 13) → Privacy Act Notice Number: No ⌄   Agency System Number:

Federal Register Volume: Federal Register Page Number:

Use Restriction

Search   Create   Tools

Transfer Request **TR-0330-2011-0093**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- ▼ [Go]   [X Delete]

Specific Access Restriction: **Security Classification:**

Special Marking: **Statutory Citation:**

Access Restriction Note: [🔍 View] [ABC Spell check]

Privacy Act Notice Number: No ▼   **Agency System Number:**

Federal Register Volume: **Federal Register Page Number:**

See previous slide

Use Restriction

* **Use Restriction:** Unrestricted ▼

Specific Use Restriction:

Use Restriction Note: [✏ Edit] [ABC Spell check]

Not on SF 258. Field used if some or all of the records may be subject to copyright or other intellectual property restrictions.

Records Type

* **General Records Type:** Moving Images; Sound Recordings

SF 258 (Block 9)

[Save] [View PDF] [Cancel]   -- Select Next Action -- ▼ [Go]   [X Delete]

National Archives and Records Administration

Search   Create   Tools

Transfer Request **TR-0330-2011-0093**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]   [X Delete]

* = Required field

| General Information | **Transfer Details** | Contact Information | Related Assets | Attachments |

Transfer Details

PP from General Information Tab →

Transfer Group Description:
Official Video and Audio Recording of Department of Defense Activities   [🔍 View]

Cutoff: [   ] [📅]   * Transfer Group Disposition Date: [7/21/2011] [📅]

Current Physical Location of Records

SF 258 (Block 8) → Agency Location: [Yes v]

SF 258 (Block 8A) → Agency Name and Address:
DIMOC-Riverside   [✏ Edit]
                                   [ABC Spell check]

Destination Physical Location of Records

NOT on SF 258 → Location: [National Archives at College Park - Archives II (College Park, MD) v]

Destination Custodial Unit: [NWCS - Special Media Archives Services Division v]

* Transfer Method

Electronic Means

[ ] Electronic Records Transferred by Electronic Means

Physical Means

See Next Slide →

[ ] Electronic Records on Physical Media   [✓] Physical Transfer of Non-Electronic Records

* Physical Media Types - Non-Electronic Records

[Add] [Delete]

	Quantity	Transfer Media Type	Container Description
[ ]	500	Audio Cassette [v]	
[ ]	400	Video Cassette [v]	

National Archives and Records Administration

Search   Create   Tools

Transfer Request **TR-0330-2011-0093**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- ▼ [Go]   [X Delete]

Location: National Archives at College Park - Archives II (College Park, MD) ▼

Destination Custodial Unit: NWCS - Special Media Archives Services Division ▼

* Transfer Method

Electronic Means

☐ Electronic Records Transferred by Electronic Means

Physical Means

☐ Electronic Records on Physical Media   ☑ Physical Transfer of Non-Electronic Records

* Physical Media Types - Non-Electronic Records

[Add] [Delete]

	Quantity	Transfer Media Type	Container Description
☐	500	Audio Cassette ▼	
☐	400	Video Cassette ▼	

SF 258 (Block 9) →

List of Containers

[Add] [Delete]

	Number of Containers	Container Type	Container Description	Depth (inches)	Height (inches)	Width (inches)
☐	* 100	FRC-S FRC Carton, Standard ▼		15.000	10.125	12.250

SF 258 (Block 10) →

Details of the List of Containers

Total Number of Containers: 100   Total Container Volume (cubic feet): 107.666   Container Numbers: 1-100

Populates from above information

Must fill in this information, does not PP

[Save] [View PDF] [Cancel]   -- Select Next Action -- ▼ [Go]   [X Delete]

National Archives and Records Administration

Search   Create   Tools

Transfer Request **TR-0330-2011-0093**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- [Go]   [X Delete]

* = Required field

General Information | **Transfer Details** | **Contact Information** | **Related Assets** | **Attachments**

Transferring Agency Official

First Name: Luz   Last Name: Ortiz
Title: OSD/WHS Records Manager   Phone:
Email: Agency:

PP from user profile

Agency Approving Official

First Name: Last Name:
Title: Phone:
Email: Agency:

NARA Contact

First Name: Billy   Last Name: Wade
Title: Archivist   Phone: 301-837-3090
Email: william.wade@nara.gov   Agency:

Other Contacts (Agency/NARA)

[Add] [Delete]

	First Name	Last Name	Title	Phone	Email	Agency
☐	Bob	Smith		555-555-5555		DoD

SF 258 (Block 5E)

[Save] [View PDF] [Cancel]   -- Select Next Action -- [Go]   [X Delete]

National Archives and Records Administration

ERA Transfer Request (TR) fields mapped to SF-258

National Archives and Records Administration

SF 258 EXAMPLE—NOT VALID DOCUMENT

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES	1. INTERIM CONTROL NO. *(NARA Use Only)*

TERMS OF   AGREEMENT

The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256, and such other rules and regulations as may be prescribed by the Archivist of the United States (The Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific

restrictions on the use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.

2A. AGENCY APPROVAL	3A. NARA APPROVAL
Signature _DoD RECORDS OFFICER_____ Date _____	Signature _NARA OFFICIAL_____ Date _____
2B. NAME, TITLE, MAILING ADDRESS DoD Records Officer	3B. NAME, TITLE, MAILING ADDRESS NARA OFFICIAL Special Media Archives Services Division (NWCS) NARA, 8601 Adelphi Road College Park, MD 20740-6001

Agency Approving Official ➤ *(points to 2A. Signature)*

National Archives and Records Administration

SF 258 EXAMPLE—NOT VALID DOCUMENT

4A. RECORDS SERIES TITLE : Official Video and Audio Recordings of Department of Defense Activities

Transfer Group Description

4B. DATE SPAN OF SERIES: - 1994-1999. *Attach any additional description)*

Inclusive Dates

5A. AGENCY OR ESTABLISHMENT Department of Defense

Creating Agency/Establishment

5B. AGENCY MAJOR SUBDIVISION
Defense Media Activity (DMA)

5C. AGENCY MINOR SUBDIVISION

5D. UNIT THAT CREATED RECORDS
Defense Imagery Management Operations Cetner (DIMOC)

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS
Name: Bob Smith
Telephone Number: 555-555-5555

Contact Information

6. DISPOSITION AUTHORITY:
DAA-0330-2011-0032-0001

Disposition Authority Number

Access Restriction Information

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? __X__ NO _____ YES
LEVEL: _____ Confidential _____ Secret _____ Top Secret
SPECIAL MARKINGS: _____ RD/FRD _____ SCI _____ NATO
_____ Other
INFORMATION STATUS: _____ Segregated _____ Declassified

Current Physical Location of Records

8. CURRENT LOCATION OF RECORDS (see 8A)
__x__ Agency (Complete 8A only)
_____ Federal Records Center (Complete 8B only)

8A. ADDRESS:
Environmental Protection Agency, Washington, DC

8B. FRC ACCESSION NUMBER   CONTAINER NUMBERS   FRC LOCATION

9. PHYSICAL FORMS
___ Paper Documents   __ Posters
___ Paper Publications   ___ Maps and Charts
___ Microfilm/Microfiche   ___ Arch/Eng Drawings
___ Electronic Records   _X_ Motion/Sound/Video
___ Photographs   ___ Other *(specify):* _____

General Records Type

List of Containers/Detail of the List of Containers

10. VOLUME: CONTAINERS:
Cu. Mtr.:   Cu.Ft.: 107   Number: 100   Type: FRC-S

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES immediately

Transfer Disposition Date

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

__X__ YES   ___ NO   *(If no, attach limits on use and justification)*

Access Restriction Information

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

___ YES   _X_ NO

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

14. ATTACHMENTS
___ Agency Manual Except   ___ Listing of Records Transferred
___ Additional Description   ___ NA Form 14097 or Equivalent
___ Privacy Act Notice   ___ Microform Inspection Report
___ Other *(specify):*   ___ SF(s) 135
_____

Use Attachments Feature

SF 258 EXAMPLE—NOT VALID DOCUMENT

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION	**RG 330**
16. RECORDS ACCEPTED INTO TE NATIONAL ARCHIVES OF THE UNITED STATES Signature _____ Date _____	17. NATIONAL ARCHIVES ACCESSION NO.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

SF 258 (9/95)
Prescribed by NARA 36 CFR 1228

LTI: Legal Custody Accepted captured on the Legal Transfer Instrument (LTI) Signatory Tab, not on the Transfer Request.

Transferring Permanent Records to NARA Using ERA:

Cross-walking the ERA Transfer Request to the SF 258

Stills | Digital Records

Job Aid

The U.S. National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-60001

SF-258 fields mapped to ERA Transfer Request (TR) fields

General Information Tab

Attach an approved Records Schedule Item. Once RSI is attached, several TR fields will be **Pre-Populated (PP)** using information from the Records Schedule.

Note: DAA #s are born ERA Record Schedules/Record Schedule Items. DAL is a legacy Disposition Authority (N1, NCI #). Agencies must submit a request to their appraisal archivist for legacy schedules to be put into ERA. A Transfer Request CANNOT be created without the appropriate DAA or DAL attached.

Search	Create	Tools

Transfer Request **TR-0412-2011-0014**

[Save] [View PDF] [Cancel]   [X Delete]

＊ = Required field

General Information	Transfer Details	Contact Information	Related Assets	Attachments

General Information

SF 258 (Block 6) (PP)
＊ Disposition Authority Number: DAL-0412-2011-0001-0002

＊ Electronic Legacy Data: No

SF 258 (Block 5A) (PP)
＊ Agency or Establishment: Environmental Protection Agency

＊ Record Group: 0412 - Records of the Environmental Protection Agency

SF 258 (Block 5B/D)
Major Subdivision: Office of Multimedia Operations an

Minor Subdivision:

Manual Citation

Manual Citation	Manual Title

SF 258 (Block 4A)
＊ Transfer Group Description: Digital Photographs of Agency Activities   [Edit] [Spell check]

LTt:

＊ Security Scan: No

Legacy Disposition Authority Number: 412-95-005 / 2

Select "Direct Offer" from the drop down menu if the records are being transferred directly from the agency and not a Federal Records Center.

＊ Type of Legal Transfer: Direct Offer

Transaction Type

[Add] [Delete]

Transaction Number Type	Transaction Number

Search   Create   Tools

Transfer Request **TR-0412-2011-0014**

Status **Draft**

[💾 Save] [📄 View PDF] [Cancel]   -- Select Next Action -- ▾ [Go]   [✕ Delete]

Transaction Type

[Add] [Delete]

Transaction Number Type	Transaction Number

Disposition Authority

NOT on SF 258 (PP) → Records Schedule Item Title: Mission-Related Photographs

Inclusive Dates

SF 258 (Block 4B) → * From: 1/1/2005

* To: 12/31/2010

Access Restriction

SF 258 (Block 12) → * Access Restriction Status: Unrestricted ▾

Specific Access Restriction: Security Classification:

SF 258 (Block 7)

SF 258 (Block 7) → Special Marking: Statutory Citation:

Access Restriction Note: [🔍 View]   [ABC Spell check]

Privacy Act Notice Number: No ▾   Agency System Number:

SF 258 (Block 13) → Federal Register Volume: Federal Register Page Number:

National Archives and Records Administration

Search   Create   Tools

Transfer Request **TR-0412-2011-0014**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]   [X Delete]

Specific Access Restriction: Security Classification:

Special Marking: Statutory Citation:

Access Restriction Note: [View]
                                                                                      [Spell check]

Privacy Act Notice Number: No [v]   Agency System Number:

Federal Register Volume: Federal Register Page Number:

See previous slide

Use Restriction

* Use Restriction: Restricted - Partly [v]

* Specific Use Restriction: Copyright

* Use Restriction Note: A few of the photographs in this transfer were acquired from private sources and are identified as being copyrighted.   [Edit]
                                                                                                                                                                    [Spell check]

Not on SF 258. Field used if some or all of the records may be subject to copyright or other intellectual property restrictions.

Records Type

* General Records Type: Photographs and other Graphic Materials

SF 258 (Block 9)

[Save] [View PDF] [Cancel]   -- Select Next Action -- [v] [Go]   [X Delete]

Search   Create   Tools

Transfer Request **TR-O412-2011-0014**   Status **Draft**

[💾 Save] [🖨 View PDF] [Cancel]   -- Select Next Action -- ▾ [Go]   [✕ Delete]

* = Required field

| General Information | **Transfer Details** | Contact Information | Related Assets | Attachments |

Transfer Details

PP from General Information Tab →

Transfer Group Description: Digital Photographs of Agency Activities   [🔍 View]

Cutoff: [   ] 📅   ***** Transfer Group Disposition Date: [   ] 📅

Current Physical Location of Records

SF 258 (Block 8) →   Agency Location: [Yes ▾]   SF 258 (Block 11)

SF 258 (Block 8A) →   Agency Name and Address: Environmental Protection Agency, Washington, D.C.   [✏ Edit]   [ABC Spell check]

Destination Physical Location of Records

NOT on SF 258 →   Location: [National Archives at College Park - Archives II (College Park, MD) ▾]

Destination Custodial Unit: [NWCS - Special Media Archives Services Division ▾]

* Transfer Method

Electronic Means

☐ Electronic Records Transferred by Electronic Means

Physical Means

☑ Electronic Records on Physical Media   ☐ Physical Transfer of Non-Electronic Records

See Next Slide

* Physical Media Types - Electronic Records

[Add] [Delete]

	Quantity	Transfer Media Type	Estimated Volume		Container Description
☐	***** 1	***** Hard Drive ▾	***** 100	***** GB ▾	200,000 JPEGS

National Archives and Records Administration

Search   Create   Tools

Transfer Request **TR-0412-2011-0014**   Status **Draft**

[Save] [View PDF] [Cancel]   -- Select Next Action -- ▾ [Go]   [✕ Delete]

Destination Custodial Unit: NWCS - Special Media Archives Services Division ▾

---

* Transfer Method

Electronic Means

☐ Electronic Records Transferred by Electronic Means

Physical Means

CD, DVD, USB, Hard Drive, Tape, etc. → ☑ Electronic Records on Physical Media   ☐ Physical Transfer of Non-Electronic Records

* Physical Media Types - Electronic Records

[Add] [Delete]

SF 258 (Block 9) →

	Quantity	Transfer Media Type	Estimated Volume		Container Description
☐	* 1	* Hard Drive ▾	* 100	* GB ▾	200,000 JPEGS

Number of Hard Drives, CDs, DVDs, etc.

* Media Disposition: Return to Agency ▾

List of Containers

[Add] [Delete]

SF 258 (Block 10) →

	Number of Containers	Container Type	Container Description	Depth (inches)	Height (inches)	Width (inches)
☐	* 1	OTH Other Container ▾	* hard drive case	* 12	* 12	* 12

Details of the List of Containers

Total Number of Containers: 1

Total Container Volume (cubic feet):   1

[Save] [View PDF] [Cancel]   -- Select Next Action -- ▾ [Go]   [✕ Delete]

Search	Create	Tools

Transfer Request **TR-0412-2011-0014**   Status **Draft**

| 💾 Save | 📄 View PDF | Cancel | -- Select Next Action -- ▾ | Go | ✕ Delete |

* = Required field

| General Information | Transfer Details | **Contact Information** | Related Assets | Attachments |

Transferring Agency Official

PP from user profile

First Name:	Barbara	Last Name:	Felton
Title:	Records Information Manager IV	Phone:	555-555-5555
Email:		Agency:	EPA

Agency Approving Official

First Name:		Last Name:	
Title:		Phone:	
Email:		Agency:	

NARA Contact

First Name:	Billy	Last Name:	Wade
Title:	Archivist	Phone:	301-837-3090
Email:	william.wade@nara.gov	Agency:	

Other Contacts (Agency/NARA)

| Add | Delete |

SF 258 (Block 5E)

	First Name	Last Name	Title	Phone	Email	Agency
☐	Eric	Vance	Chief Photographer	555-555-5555		

| 💾 Save | 📄 View PDF | Cancel | -- Select Next Action -- ▾ | Go | ✕ Delete |

ERA Transfer Request (TR) fields mapped to SF-258

National Archives and Records Administration

SF 258 EXAMPLE—NOT VALID DOCUMENT

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES	1. INTERIM CONTROL NO. *(NARA Use Only)*

TERMS OF   AGREEMENT

The records described below and on the attached ____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256, and such other rules and regulations as may be prescribed by the Archivist of the United States (The Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific

restrictions on the use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.

2A. AGENCY APPROVAL

Signature _EPA RECORDS OFFICER_____   Date _____

3A. NARA APPROVAL

Signature _NARA OFFICIAL_____   Date _____

Agency Approving Official →

2B. NAME, TITLE, MAILING ADDRESS
EPA Records Officer
Environmental Protection Agency
1200 Pennsylvania Ave NW (MC 2822T)
Washington, DC 20460

3B. NAME, TITLE, MAILING ADDRESS
NARA OFFICIAL
Special Media Archives Services Division (NWCS)
NARA, 8601 Adelphi Road
College Park, MD 20740-6001

National Archives and Records Administration

SF 258 EXAMPLE—NOT VALID DOCUMENT

4A. RECORDS SERIES TITLE : Digital Photographs of Agency Activities

Transfer Group Description

4B. DATE SPAN OF SERIES: - 2005-2010. *Attach any additional description)*

Inclusive Dates

5A. AGENCY OR ESTABLISHMENT. Environmental Protection Agency

Creating Agency/Establishment

5B. AGENCY MAJOR SUBDIVISION
Office of Multimedia Operations and Services

Major Subdivision

5C. AGENCY MINOR SUBDIVISION

Minor Subdivision

5D. UNIT THAT CREATED RECORDS
Office of Multimedia Operations and Services

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS
Name: Eric Vance
Telephone Number: 555-555-5555

Contact Information

6. DISPOSITION AUTHORITY:
N1-412-95-005, item 2

Legacy Disposition Authority Number

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? __X__NO _____YES
LEVEL: _____Confidential _____Secret _____Top Secret
SPECIAL MARKINGS: ____ RD/FRD _____ SCI _____ NATO
____ Other
INFORMATION STATUS: _____ Segregated _____ Declassified

Access Restriction Information

8. CURRENT LOCATION OF RECORDS (see 8A)
__x__ Agency (Complete 8A only)
_____ Federal Records Center (Complete 8B only)

Current Physical Location of Records

8A. ADDRESS:
Environmental Protection Agency, Washington, DC

8B. FRC ACCESSION NUMBER   CONTAINER NUMBERS   FRC LOCATION

9. PHYSICAL FORMS
___ Paper Documents   _ _ Posters
___ Paper Publications   ___ Maps and Charts
___ Microfilm/Microfiche   ___ Arch/Eng Drawings
_X_ Electronic Records   ___ Motion/Sound/Video
_X_ Photographs   ___ Other *(specify):* _____

General Records Type

List of Containers/Detail of the List of Containers

10. VOLUME: CONTAINERS:
Cu. Mtr.:   Cu.Ft.:   Number: 1   Type: hard drive case

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES. immediately.

Transfer Disposistion Date

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?
_X_ YES   ___ NO   *(If no, attach limits on use and justification)*

Access Restriction Information

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)
___ YES   _X_ NO

14. ATTACHMENTS
___ Agency Manual Except   ___ Listing of Records Transferred
__ Additional Description   ___ NA Form 14097 or Equivalent
___ Privacy Act Notice   ___ Microform Inspection Report
___ Other *(specify):*   ___ SF(s) 135
_____

Use Attachments Feature

National Archives and Records Administration

SF 258 EXAMPLE—NOT VALID DOCUMENT

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION	**RG 412**
16. RECORDS ACCEPTED INTO TE NATIONAL ARCHIVES OF THE UNITED STATES Signature _____ Date _____	17. NATIONAL ARCHIVES ACCESSION NO.

LTI: Legal Custody Accepted captured on the Legal Transfer Instrument (LTI) Signatory Tab, not on the Transfer Request.

Appendix G: Transfer Request Version Table

Working Statuses	Persistent Versions
Draft (Agency Action)	[Persistent version not saved]
Submitted for Agency Approval (Agency Action)	[Persistent version not saved]
Ready for Approval (NARA Action)	Proposed
Ready for No More Shipments (NARA Action)	Approved
Ready for Physical Custody Decision (NARA Action)	No More Shipments
[Working status does not exist]	Physical Custody Accepted (or Rejected)

Draft

A Transfer Request in "Draft" status has been created and saved by either WNRC staff (for annual move jobs) or agency records management staff (for direct offers) and awaits review and submission to the Records Officer. No persistent version of the Transfer Request is created at this time.

Submitted for Agency Approval

A Transfer Request in "Submitted for Agency Approval" status has been submitted to an agency Records Officer or his/her designee for approval and awaits submission to NARA. No persistent version of the Transfer Request is created at this time.

Ready for Approval/Proposed

A Transfer Request in "Ready for Approval" status has been submitted to NARA by an agency and awaits approval or rejection by NARA transfer staff. The "Proposed" version is saved as a record of how the Transfer Request appeared when it was submitted to NARA. If the Transfer Request is rejected it will return to Draft status, but the "Proposed" version will remain in the system, even after the Transfer Request has been resubmitted.

Ready for No More Shipments/Approved

A Transfer Request in "Ready for No More Shipments" status has been approved by NARA staff and awaits physical transfer of the records. The "Approved" version is saved as a record of how the Transfer Request appeared when it was approved by NARA. Once the records are received, NARA staff will "reject additional shipments" to indicate that all records have arrived.

Ready for Physical Custody Decision/No More Shipments

A Transfer Request in "Ready for Physical Custody Decision" status has been updated to show that all records were received at NARA and awaits NARA staff decision of whether or not to accept physical custody. The "No More Shipments" version is saved as a record of how the Transfer Request appeared when NARA staff received the records. Physical custody cannot be accepted or rejected until the Transfer Processing Results form (TPR) has been completed.

Physical Custody Accepted or Rejected

"Physical Custody Accepted" and "Physical Custody Rejected" are terminal states for the Transfer Request and have no working equivalent. These versions are saved as a record of how the TR appeared when NARA staff accepted or rejected physical custody.

Appendix H: Searching in ERA

What Type of Search to Use?

Basic Search
Use this search to perform a simple search when you are not sure what business object you want to see, or when you want to see all business objects related to a particular word or agency (using the All Business Objects search option).

Advanced Search
NARA recommends using Advanced Search when you want to perform a narrow search. One type of narrow search includes finding a specific type of business object, such as a schedule item or a transfer request. Another narrow search would be to find a particular business object in a specific status only, such as approved. Advanced search is the best version to use when you know the specific number of the DAL or the TR.

Wildcard Search
Use this type of search when you have only a portion of the information you need to find a specific business object, or all business objects that share a certain word or phrase.

Show Related Search
Use this search when you want to see the range of business objects that are linked to a single business object, such as all the business objects that are linked to a schedule item.

Frequently Asked Questions (FAQs)

How do I find the schedule if I have only the Legacy Schedule Number?

Pull down the Search Tab and select Business Object. Click on the Advance Search Tab. Pull down the menu for Business Objects and select Legacy Records Schedule (LS). Put the legacy schedule number in the Legacy Schedule field and push the search button. The new schedule number will be returned in the results section.

The Legacy Schedule Number must be in the ERA format for the search to work (unless a wildcard is used). The proper format is: Prefix (NC1 or N1)-3 digit RG-2 digit FY-3 digit sequence number.   Examples: N1-088-09-004, NC1-207-70-003

How do I find a Transfer Request?

Pull down the Search Tab and select Business Object. Click on the Advance Search Tab. Pull down the menu for Business Objects and select Transfer Request (TR). There are several fields where you can input information to find the Transfer Request. If you know the Transfer Request number then put the number in the Transfer Request ID field. If you know the Schedule Number, put that in the Disposition Authority Number field. You can also use the Agency pull down menu and select your agency or record group to find the Transfer Request.

How do I find a Legal Transfer Instrument?
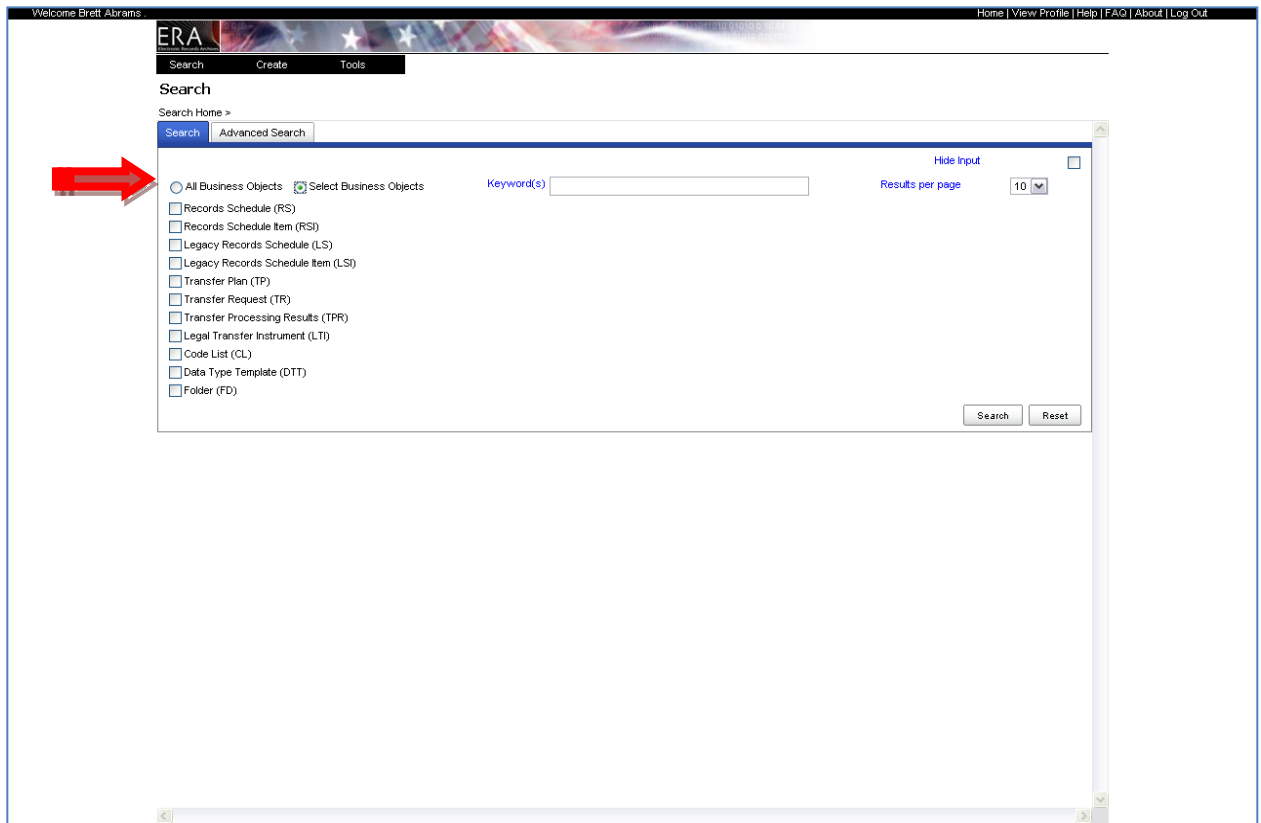
Pull down the Search Tab and select Business Object. Click on the Advance Search Tab. Pull down the menu for Business Objects and select Legal Transfer Instrument (LTI). There are several fields where you can input information to find the Legal Transfer Instrument. If you know the Accession Number, put the number in the Accession Number field. If you know the Record Group, then put that in the Record Group field. You can also use the Agency pull down menu and select your agency or record group to find the Legal Transfer Instrument.

Does my role determine what business objects I can see?

There are specific permissions set with each user/role that will affect searching capability. Therefore, the user may or may not see certain Business Objects and/or particular states of a Business Object.

Appendix H

Basic Search

- ❖ For Basic Search, choose a radio button for:
  - All Business Objects, or
  - Select Business Objects.

Basic Search, cont.

❖ To do a Select Business Objects search:

- Check a box for a business object such as Records Schedule.

- Enter keyword(s) or a phrase to identify a particular schedule, such as "FLIGHT" to narrow the search.

- After a business object has been selected and keyword(s) entered, click the Search button to display search results...

Basic Search, cont.

- Select the schedule you wish to view, then click the View button to open the schedule.
- Note: The Show Related function will be explained in subsequent pages.

Basic Search, cont.

- When the View button is clicked, the selected schedule opens.

Basic Search, cont.

❖ A second Basic Search option is to Search for All Business Objects.

- When the All Business Objects radio button is selected, the search returns all business objects with a particular keyword.
- Note: This illustration shows search results available only to NARA personnel. Agency personnel using "All Business Objects" search will see results for their agency only.

Appendix H

Advanced Search

- To use advanced search, first click the Advanced Search tab, then use the pull down to select a business object.

Appendix H

Advanced Search, cont.

- Advanced Search offers a variety of fields to use when searching.
- Users may enter keyword(s) or a transaction number in the keyword field, or search by Record Group using the Agency pull down menu.
- Users may also limit returns to a particular status by selecting an option in the Status field.

Appendix H

Advanced Search Example #1

- Using the Agency name and Approved status returned these results.
- Note: Agencies are restricted to viewing their own records.

Appendix H

Advanced Search Example #2

- Using a Legacy Schedule Number to find the current Records Schedule Number.

Appendix H

Advanced Search Example #3

- Advanced search using Transaction Number as a keyword to find a specific Transfer Request.

Appendix H

Wildcard Search Example #1

- Example #1: Find a Records Schedule using the asterisk * wildcard in Advanced Search for keyword general ord * and Department of the Navy
- Wildcards such as * ? can aid searching.
- The * fills in the rest of a search term if you do not know the exact words. If you know a Records Schedule begins with Deck, enter Deck*
- Basic Search and Advanced Search tabs each provide different wildcard search parameters.

Appendix H

Wildcard Search Example #2

- Example #2: Find a Legacy Records Schedule when only a portion of a Legacy Schedule number is known using ? or * as a wild card to aid a search: N1-NU-96?.

Appendix H

Wildcard Search Example #3

- Example #3: Find Legal Transfer Instruments in 2009 by using ? Or * wildcards.
- Use LTI-0405-2009* or
- LTI-0405-2009-* or
- LTI-0405-2009?

Appendix H

Search for a Transfer Request by Transfer Request Number

- Select the Business Object Transfer Request (TR) in the Search For pulldown menu.
- Search for a Transfer Request by putting the number in the Transfer Request ID field

Appendix H

Search for a Transfer Request using the * wild card in the Transfer Request ID Field

- Select the Business Object Transfer Request (TR) in the Search For pulldown menu.
- Search for a Transfer Request using the asterisk wild card in the Transfer Request ID field.

Appendix H

Search for a Legacy Schedule Using the Legacy Schedule Number

- Select the business object Legacy Records Schedule (LS) in the Search For pulldown menu.
- Put the schedule number in the field labeled Legacy Schedule Number.

Appendix H

Basic and Advanced Search Properties

Basic Search Properties

Rule	Sample	Sample Results	Notes
Single search word	Physical	Ready for Physical Custody Decision Physical Custody Accepted Physical Custody Rejected	Any result that contains the search word will be returned.
AND and OR operators	Physical AND Accepted	Physical Custody Accepted	
	Cat OR dog	Cat and dog behavior Dog training	
Parentheses operators can override default precedence	cat OR dog AND horse	Dog saves horse Cat training	AND has higher precedence (so all results with dog must contain horse)
	(cat OR dog) AND horse	Dog saves horse Cat sits on horse	
Multiple terms are combined as an AND	cat dog	dog bites cat	Cat dog is the same as cat AND dog
Phrases are surrounded by double-quotes	"cat and dog"	Cat and dog training	
Terms are excluded through a leading minus	cat -dog	Cat training	
Wildcard * matches zero or more non-space characters	he*	he, her, help, hello, helicopter	will match any word starting with he
Wildcard ? matches exactly one non-space character	he?	he, hem, hen	will only match three-letter words starting with he

Advanced Search Properties

Rule	Sample	Sample Results	Notes
Single search word	Cat	Cat	Exact search results are returned
Boolean operators are not supported	cat AND dog	N/A	Not supported
* matches zero or more non-space characters	he*	he, her, help, hello, helicopter	will match any word starting with he
? matches exactly one non-space character	he?	he, hem, hen	will only match three-letter words starting with he
Partial matching **not** supported	Hello	hello	"Hello world" will not be displayed
Wildcards **do not** span word boundaries	He*	he, hello	Hello world will not be displayed
	He* Wor*	Hello world	
	He* *	Hello world Hello today world	

Appendix I

ERA Search with Download

ERA Search with Download (Sw/D) can be used as a workflow management tool. Search with Download is executed based upon Advanced Search criteria for a specific business object. Once a search criterion is executed and results yield, users have two options for exporting and viewing the search results in an Excel spreadsheet. Users may choose from a *Full Results* download or a *Brief Results* download.

The *Full Results* download provides field level information that appears in each tab of a business object. It also provides each event associated with a business object. For instance, a *Full Results* download provides every action taken on a *Transfer Request* including submissions, rejections, and approvals.

The *Brief Results* download provides field level information that appears in each tab of a business object, but does not provide each event associated with a business object.

Below are a few search strategies that can be used to manage workflow.

When the results appear choose the most appropriate download based on your business needs—*Full Results* or *Brief Results*.

How many transfers does my agency have for the Annual FRC Move?	▪ **Advanced Search** ▪ **Select Business Object: Transfer Request** ▪ **Keyword(s): "2013 Annual Move" (substitute the appropriate FY you are looking for)** ▪ **Status: Draft** ▪ **Click Search**
How many of my agency Annual Move transfers did NARA Approve?	▪ **Advanced Search** ▪ **Select Business Object: Transfer Request** ▪ **Keyword(s): "2013 Annual Move" (substitute the appropriate FY you are looking for)** ▪ **Status: Approved** ▪ **Click Search**
How many of my agency Annual Move transfers did NARA Accept Physical Custody?	▪ **Advanced Search** ▪ **Select Business Object: Transfer Request** ▪ **Keyword(s): "2013 Annual Move" (substitute the appropriate FY you are looking for)** ▪ **Status: Physical Custody Accepted** ▪ **Click Search**
How many of my agency Annual Move transfers did NARA Accept Legal Custody?	▪ **Advanced Search** ▪ **Select Business Object: Legal Transfer Instrument** ▪ **Keyword(s): "2013 Annual Move" (substitute the appropriate FY you are looking for)** ▪ **Status: Legal Custody Accepted** ▪ **Click Search**

Appendix I

Once the spreadsheet is generated you can sort the results to suit your business needs. For instance, you can sort to identify:

- Unclassified transfers
- Classified transfers
- Record Groups (if your agency has multiple Record Groups)
- FRC location
- Archive location where records will be sent
- Cubic footage of records transferred

❖ Note: If you search on "Annual Move" and Draft status results will yield any FY Annual Move Transfer Request that your agency did not submit to NARA.

NARA Destination Custodial Units

National Archives at College Park – Archives II (College Park, MD)	• NWCS-C - Cartographic and Architectural Records, Special Media Archives, Services Division • NWCS-M – Motion Picture, Sound, and Video Records, Special Media Archives Services Division • NWCS-S – Still Picture Records, Special media Archives Services Division • NWCT2P – Archives II Textual Processing Section • NWME – Electronic and Special Media Records Services Division
National Archives Building – Archives I (Washington, DC)	• NWCT1P – Archives I Textual Processing Section
NRA Northeast Region	• NRAAB – Archival Operations, Boston • NRAAN – Archival Operations, New York
NRB Mid-Atlantic Region	• NRBA _ Archival Operations, Philadelphia
NRC Southeast Region	• NRCA – Archival Operations, Morrow
NRD Great Lakes Region	• NRDA – Archival Operations, Chicago
NRE Central Plains Region	• NREA – Archival Operations, Kansas City
NRF Southwest Region	• NRFA – Archival Operations, Fort Worth
NRI Pacific Alaska Region	• NRIAS – Archival Operations, Seattle • NRIAA – Archival Operations, Anchorage
NRG Rocky Mountain Region	• NRGA – Archival Operations, Denver
NRH Pacific Region	• NRHAR – Archival Operations, Riverside • NRHAS – Archival Operations, San Bruno
NRP National Personnel Records Center	• NROPAO – Archival Operations and Facility Planning Branch, Archival Programs Division