Electronic Records Archives

Agency User Manual

The U.S. National Archives and Records Administration
8601 Adelphi Road
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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 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*
- *Notify NARA with ERA Account Manager contact information*

1a. Appointing an ERA Account Manager

Before you can start using ERA, your agency 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:

- **ERA Account Manager:** Name and Contact Information.

The agency Records Officer should contact the NARA ERA Account Official with this information directly by phone at 304-726-7821, or by e-mail at: 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 Schedule**s 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 currently has the authority to sign paper SF115s and SF258s for the agency.

2b. Roles for Transferring Permanent Records to NARA

Transferring Agency Official
This role should be assigned to users who will create draft **Transfer Requests** and submit them to the **Agency Approving Official**.

Electronic Transfer Staff
This role should be assigned to users who will package and transmit electronic records to ERA via an electronic transfer method.

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 currently signs block 2A on the SF 258.

ERA ROLES	DEFINITIONS	CAPABILITIES
For Scheduling Records		
Records Scheduler	**Records Schedule**rs 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 Official**s 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 Agency Official	**Transferring Agency Official**s are the agency representatives that create the **Transfer Request** and submit it for approval by NARA.	I am able to create and sign off on a **Transfer Request** and submit it to the **Agency Approving Official** for sign off and NARA approval.
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/she is responsible for initiating the transfer processing of those electronic files once the transmission is complete.	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** approves **Transfer Requests** and **Legal Transfer Instruments** on behalf of the agency.	I am able to sign off and approve **Transfer Requests** and **Legal Transfer Instruments** on behalf of the agency.

Table 1: ERA User Roles

2c. Getting Users Trained

Once the **ERA Account Manager** has identified the appropriate ERA system role(s) for a user, he or she will need to ensure that the user completes the required ERA training for that role. Each user must complete training prior to submitting an **ERA User Request**. 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 these cases the **ERA Account Manager** should require such users to take the online training as a refresher before conducting work in the ERA system.

2d. Submitting ERA User Account Requests

- To submit a user account request, the **ERA Account Manager** should direct the user to the following address: http://www.archives.gov/forms/era/era-account-request.html and have the user fill out the online request form.
- Once submitted, the form will be forwarded via email to the **ERA Account Manager**.
- The **ERA Account Manager** should verify that the request is correct and complete, and then forward the request to the **NARA ERA Account Official** at: ERAaccounts@nara.gov.
- The account will be created, and the **ERA Help Desk** will contact the user with their username and password.

3. Managing ERA User Accounts: Responsibilities

At a glance:

- *The **ERA Account Manager** is responsible for managing the life cycle - from creation to deletion - of accounts in ERA for users at his or her agency. This includes:*
  - *Ensuring that their users are trained*
  - *Review that their users have a need to use the system at least quarterly*
  - *Approve user account modifications*
  - *Delete accounts that are no longer used or needed*
- *The Account Manager is responsible for maintaining files on their users related to ERA Accounts.*

3a. Modifying ERA Accounts

To modify an existing ERA account:

- The user and the **ERA Account Manager** should first discuss and agree on the changes that need to be made.
- Then the user should complete the online user request form by selecting ***Modify Existing User*** in Section 1 of the online form.
- Please note that a ***Modify Existing User*** request will entirely replace all information submitted in the original *Create User Account* request. Be sure to include all roles for which the user will need to perform work in ERA on the modified form.
- Once submitted, the modification request will be forwarded via email to the **ERA Account Manager**.
- The **ERA Account Manager** will verify that the request is correct and complete, and then forward the request to the **NARA ERA Account Manager** at: ERAaccounts@nara.gov.
- The account will be modified, and the **ERA Help Desk** will contact the user to let them know the modification is complete.

3b. Reauthorizing ERA Accounts

Quarterly, the **NARA ERA Account Official** will contact the **ERA Account Manager** and verify that the accounts assigned to the **ERA Account Manager** are still valid and have the minimum necessary privileges to do their job.

The **ERA Account Manager** is responsible for maintaining current knowledge of the staff members who need to use ERA and what roles they should have.

3c. Deleting ERA Accounts

To terminate an existing user account for your agency, please email the NARA **ERA Account Manager** at: ERAaccounts@nara.gov with the name of the user account to be deleted.

The account will be deleted, and the **ERA Help Desk** will contact the **ERA Account Manager** to confirm that the account deletion is complete.

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 Phone

The **ERA Help Desk** can be reached from 6 AM to 8 PM EST at 1-877-372-9594

By E-mail

The **ERA Help Desk** e-mail address is ERAHelp@nara.gov

5. ERA Business Objects & Related Elements

At a glance:

- *Generally, ERA Business Objects are the forms by which records are scheduled and transferred to NARA. Business Objects include:*
    - *Records Schedules (RS)*
    - *Records Schedule Items (RSI)*
    - *Transfer Request (TR)*
    - *Transfer Processing Results (TPR)*
    - *Legal Transfer Instrument (LTI)*
    - *Folders*
    - *Transfer Plan (TP)*
    - *Data Type Template (DTT)*
    - *Code List (CL)*
    - *Related Assets (Related Element)*
    - *Attachments (Related Element)*

5a. Records Schedules

A **Records Schedule (RS)** is a disposition agreement developed by a federal agency and accepted by NARA. A **Records Schedule** 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.

The **Records Schedule** may contain multiple **Records Schedule Items**. Each **Records Schedule Item (RSI)** addresses a definable set of records and the timetable for the retention, transfer, and/or destruction of the records.

There are two types of **Records Schedules** in ERA:

- **DAA=Disposition Authority Agency**: This prefix indicates a new, “born-in-ERA” records schedule created by an agency.
- **DAL=Disposition Authority Legacy**: This prefix indicates that the records schedule is legacy information, meaning that it is the ERA **Records Schedule** ID assigned to a previously approved records schedule, previously represented by N1 or NC.

Legacy Records Schedule (LS). NARA is entering previously approved **Legacy Records Schedules** so that disposition authorities are available for transferring records via ERA.

The **Legacy Records Schedule** may contain multiple **Legacy Records Schedule Items (LSI)**. Each **Legacy Records Schedule Item** addresses a definable set of records and the timetable for the retention, transfer, and/or destruction of the records.

Helpful Hint:

- *Records Schedule/Records Schedule Item is represented by a DAA number*
- *Legacy Records Schedule/Legacy Records Schedule Item represented by a DAL number.*

5b. Records Schedule Item (RSI)

The **Records Schedule Item (RSI)** is the specific item described on the **Records Schedule** that defines a record series and its disposition. An **RSI** is identified by its Disposition Authority Number.

5c. Transfer Request (TR)

The ERA **Transfer Request** form replaces the SF 258, paper form 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 **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 **TR** is also associated with two other Business Objects, the **Transfer Processing Results (TPR)** form and the **Legal Transfer Instrument (LTI)** form. The **TR** and its associated **TPR** and **LTI** 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 (TPR)** form is used by NARA to document problems found during the processing and verification of a records transfer. Agencies can view the TPR associated with their **TR** but not make any changes.

The **TPR** is automatically generated by the system after a **Transfer Request** is approved. One **TPR** is created for each **TR**.

5e. Legal Transfer Instrument (LTI)

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

There is one **Legal Transfer Instrument** created per **Transfer Request**.

The status **Legal Custody Accepted** indicates that the National Archives has taken legal custody of the records and the accessioning process is complete. Only the 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 together 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 (RS)** 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**. (Not applicable to textual transfers at this time).

5h. Data Type Template (DTT)

The **DTT** 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.

This 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 data base.

This 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** or **Legacy Records Schedule** associated with a **Transfer Request.**
- The **Transfer Processing Result** 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 **TR** has been submitted to NARA for approval (**Proposed/Ready for Approval** status).

For textual transfers **Attachments** can 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 **<u>should not</u>** be attached to any Business Object in ERA.

6. Navigating ERA

At a glance:

- *Below you will find a brief description of the most common functions used when navigating the ERA system interface. These include:*
    - *The "Back" button*
    - *The "OK" button*
    - *"Cancel" buttons*
    - *Viewing the PDF/Print Version: Internet Explorer 8*
    - *Viewing the PDF/Print Version: Saving*
    - *Uploading Attachments*
    - *Viewing Attachments*
    - *Deleting Attachments*
    - *Basic Search Function*
    - *Advanced Search Function*
    - *Wildcard Search Function*
    - *Show Related Function*

6a. The "Back" button

- **Do not** use the **Back** button on your browser navigation bar.
- Only use the navigation buttons provided in the system itself.
- Using the **Back** button can cause errors, data loss and may even kick you out of the system.

6b. The "OK" button (For Records Schedule)

- **OK does not save**.
- The **OK** button is available when creating or editing an item or overview.
- **OK** does not save your work. It only closes the item or overview you were working on.
- You must also select **Save** in order to keep 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.

6c. “Cancel” buttons (for Records Schedule Items or Overviews)

- 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.
  - 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.
  - The right-hand **Cancel** button only applies to the item or overview.
  - 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.

6d. Viewing the PDF/Print Version: *Internet Explorer 8*

- There is a security setting in Internet Explorer (IE) that disables file downloads, preventing you from viewing PDFs.
- The setting is called “**Automatic Prompting for file downloads**” and can be accessed in IE by going to:
  - Tools
  - Internet Options
  - Select the Security tab
  - Select **Custom level**
  - Scroll down to the **Downloads** section
  - Select the “**enable**” option

6e. Viewing the PDF/Print Version: *Saving*

- Content must be **saved** in order for it to appear in the PDF view.
- The system does not prompt you to save
- If you open the PDF view and entered content does not appear:
  - Save your work
  - Reopen the PDF

6f. Uploading Attachments

There is no message indicating completion of the upload.
When uploading attachments, you do not receive a message indicating completion of the upload.
You must close the “**Uploading**” pop-up and refresh the screen, at which point you will be able to see the attachment listed in a new box.

6g. Viewing Attachments

- Viewing attachments is not intuitive**.**
- With all applicable Business Objects, including Folders, the procedure is the same.
- Once a Business Object has been located, any **Attachments** may be added, viewed, modified or deleted from it. To do this:

    - Select the **Attachments** tab on the Business Object Display page.

- Beneath an option to ***Add*** an **Attachment**, any and all **Attachments** currently attached to the **Folder** or any other Business Object will be displayed. To view:

    - Click the Attachment Name.
    - Select **View/download Asset** to view the Asset
    - Select **View Ace** to view the Metadata

- Follow the prompts to ***Open*** OR ***Save*** the **Attachment**. ***Open*** will open the **Attachment** for viewing, while ***Save*** provides the user the option to save a copy of the Attachment to their local machine.

    - Select ***Open*** to view the Attachment and its metadata or contents.

- Because all files are zipped after virus checking, the Attachment is unzipped and the user is presented with two typical folders, (not ERA Folders). Selecting the **Attachment** by file name will transfer control of opening it to the operating system, and the **Attachment** will be displayed. (If the file-type is unknown, the user will be presented with a choice to select a tool to open it.)

- The **Attachment** will be opened with the appropriate tool and its contents will be displayed. After viewing close the **Attachment**, and close the download page.

- Alternatively, to view the **Metadata** of the **Attachment**, (which is the full **ACE** of the Downloaded Attachment):

    - Select the **Metadata.xml** file, and the **ACE** of the **Attachment** will be displayed.

- Close out any files and file folders to be returned to the List of Attachments page on the Attachments tab.
- Close the page and **Attachments** tab to be returned to the Business Object.

6h. Deleting Attachments

- With all applicable Business Objects, including **Folders**, the procedure is the same:
- Once the Business Object properties page is displayed:
  - Select the **Attachments** tab; it will be the last tab on the page.
  - Once the **List of Attachments** on the **Attachments** tab has been displayed, each **Attachment** will have a checkbox to the left of the **Attachment** name and description. This option only exists for authorized users.
- Check the box next to any **Attachment** name(s), and the ***Delete*** button will become operational. Although only one file at a time may be uploaded to any Business Object, many **Attachments** may be deleted simultaneously, by checking the box next to the name of each one.
- When all **Attachments** selected for deletion have been checked, initiate the ***Delete*** function by:
  - Clicking on the ***Delete*** button.
  - You will be prompted for confirmation prior to initiating the ***Delete*** process, and the **List of Attached Files** can be **Refreshed** immediately, or it will be re-displayed automatically upon completion of the **Attachment** deletion process.
  - The re-displayed **List of Attachments** will no longer contain the **Attachment** names and descriptions that the user has chosen to delete.
  - Any failure of the delete process will result in a notification to the user that, ***The system was unable to delete the Attachment***.
    - If this message is received, please **Repeat** the steps listed above to select and ***Delete*** **Attachments** from Business Objects until successful.

6i. Basic Search Function

- Choose the **Select Business Objects** radio button.
- Select the desired Business Object, such as **Records Schedule** check box.
- Enter the **Keyword(s)** (or leave blank) and select the **Search** button.
- Search results are returned.
- Select the **Records Schedule ID** of the desired **Records Schedule**.
- Select the **View** button on the floating menu.

6j. Advanced Search Function

- Select the **Advanced Search** tab.
- Select the desired Business Object, such as **Records Schedule** from the **Search for:** drop down menu.
- Enter any **Keyword(s)** and/or enter/select search parameters.
- Select the **Search** button.
- Search results are returned if a **Records Schedule** (s) includes the search criteria entered.
- Select the **Records Schedule ID** link of the desired **Records Schedule.**
- Select the **View** button on the floating menu.

6k. Wildcard Search Function

- Select the **Advanced Search** tab.
- Select the desired Business Object, such as **Records Schedule** from the **Search for:** drop down menu.
- Enter data into the **Keyword(s)** field and place an asterisk to represent the unknown data
- Select the **Search** button.
- Search results are returned if a **Records Schedule** includes the data entered.
- Select the **Records Schedule ID** link of the desired **Records Schedule.**
- Select the **View** button on the floating menu.

❖ **Note: Users can also perform a wildcard search across all Business Objects.**

6l. Show Related Function

- Perform a **Basic**, **Advanced** or **Wildcard** search (instructions above).
- Select the desired Business Object ID link, such as **Records Schedule ID** link of the desired **Records Schedule.**
- Select the **Show Related** option in the floating menu.
- The **Search Results** are reloaded with all related business objects and system objects.
- The **Show Related** functionality allows users to review other objects associated with the a Business Object, in this scenario a **Records Schedule**.

7. 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 maintained electronically, appraisal dossiers (including printed versions of schedules) are still maintained in paper. NARA is in the process of developing an automated workflow system for appraisal that should be operational in FY 2012.*

7a. Overview

7a.1 Scheduling Records in ERA: *Job Numbers*

- Job Numbers are assigned upon **Records Schedule** creation.
- Job Numbers include:
  - A prefix (DAA or DAL, defined below)
  - The Record Group
  - The Fiscal Year in which the schedule is created
  - And a sequential number
- Please Note:
  - Schedule numbers no longer reflect order of submission to NARA (as they have in the past), but instead order of creation by the agency.
  - 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 but deleted, that schedule number will not be reused and therefore there could be gaps in job numbers.

7a.2 Scheduling Records in ERA: *Job Number Prefixes*

Job Numbers created in ERA will begin with either DAA- or DAL-

- **DAA=Disposition Authority Agency**: This prefix indicates a new, "born-in-ERA" **Records Schedule** created by an agency.

- **DAL=Disposition Authority Legacy**: This prefix indicates that the **Records Schedule** is legacy information, meaning that it is the ERA **Records Schedule** ID assigned to a previously approved **Records Schedule,** e.g. N1, NC.

7a.3 Scheduling Records in ERA: *Item Numbers*

ERA assigns a simple four-digit number (0001, 0002, 0003, etc.) to each item or disposition instruction. It does not use hierarchical numbering schemes such as 2A, 7(a)1, 3.1.4, etc. You can still create outline structures with headings and overarching descriptions, but headings are not numbered. For example:

Audit Case Files

0001 Headquarters Case Files

Disposition Instruction: TEMPORARY. Cut off at end of calendar year in which case closed. Destroy 15 years after cutoff.

0002 Field Case Files

Disposition Instruction: TEMPORARY. Cut off at end of calendar year in which case closed. Destroy 10 years after cutoff.

7b. Helpful Hints for Scheduling

NARA staff has identified helpful hints and useful shortcuts for creating **Records Schedule**s and **Records Schedule** Items.

General Issues:

7b.1 *Versioning*

- **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.
    - For example, the system keeps the originally submitted schedule (the **Proposed** version) to document the version that was originally submitted to NARA.
- 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.
    - 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.

7b.2 *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.

7b.3 *Order of 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.

7b.4 *Create from Existing Function Limitations*

- New **Records Schedule**s can be created in ERA from "born-in-ERA" schedules that already have been created.
    - This is particularly useful if you want to revise and submit a schedule that has been withdrawn.
- 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.

Search Function Issues:

7b.5 ***Records Schedule** States*

- **Records Schedule States are not in chronological order on the Advanced Search screen.**
- The list of schedule states in the Advanced Search for business objects is not in chronological order of the approval process.

Specific Fields Issues:

7b.6 *Department-wide Schedules*

- **Department-wide Schedules option available to all.**
- NARA has added a new option under the **Records Schedule Applies to** field to allow for the creation of Department-wide schedules.
- Department-wide schedules should only be created at the Department level, however, the option is available to all **Records Schedule**rs because ERA does not have the granularity to narrow permissions to just department-level **Records Schedule**rs.
- Do not select "Department-wide" unless you are a Department-level **Records Schedule**r creating a schedule that applies to all components within your Department.

7b.7 *Revision Notes*

- **Records Schedulers should not use the Revision Notes fields.**
- The Revision Notes fields on the General Information tab and in each item are available to **Records Schedule**rs, but should only be used by NARA users to annotate modifications to the approved schedule (formerly known as pen-and-ink changes).

7c. ERA Scheduling and Appraisal Workflow

There are several aspects to ERA scheduling and appraisal workflow, some of which exist within ERA as some of which exist outside of ERA. These aspects are identified below.

7c.1 *Creating a **Records Schedule***

- A **Records Schedule** is generally created by an agency **Records Scheduler**.
    - This person may be the agency Records Officer or any user in the agency that 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.
- **Once the Records Scheduler completes the schedule, she or he must submit it for certification by the Certifying Official in order for it to be submitted to NARA**.

7c.2 *Internal Agency Vetting*

- There is no workflow in ERA for internal agency vetting because agencies have different internal review and approval processes.
- There are only two agency user roles associated with the **Records Schedule**:
    - **Records Scheduler** who drafts the schedule
    - **Certifying Official** who submits the schedule 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 no longer accessible by the agency until the schedule is approved, withdrawn, or returned to the agency for revision.
- **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).

Options of internal agency vetting:

- Agencies can print or save a PDF copy of the schedule to distribute for review.
- Agencies can assign reviewers the **Records Schedule**r 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.

7c.3 Submitting a Records Schedule to NARA

The agency's **Certifying Official**, usually the agency Records Officer, is tasked with certifying 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 has not been submitted to NARA.**

7c.4 *Appraisal Workflow*

- Currently, ERA is only for drafting, submitting, and final approval of **Records Schedule**s. The appraisal process occurs outside of the system.

- Correspondence between the appraiser and the agency, internal NARA stakeholder review, and the Federal Register process, and the final appraisal memo are not captured in ERA but in the appraisal dossier, which is still a paper record not currently part of ERA.

- NARA does not currently make appraisal dossiers available to agencies except upon request.

- The only part of the appraisal workflow that presently occurs in ERA is approval of the schedule. All signatory information (**Certifying Official** to Archivist) appears on the Signatory Tab.

7c.5 *Access to schedules after approval*

Once a schedule is approved it is accessible by the submitting agency. Agencies can access their schedules through ERA. If they want access to appraisal dossiers they must ask their appraiser.

7d. Records Schedule and Tab Fields

The ERA **Records Schedule** 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 all necessary information is provided. It also captures additional information that was not formerlly requested on the SF 115 in an effort to maximize intellectual and physical control over the records.

The ERA **Records Schedule** consists of several tabs: **General Information**, **Item Information**, **Executive Summary**, **Contact Information**, **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 Schedule**r.

7d.1 *General Information Tab*

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

Records Schedule Number: This field appears above the **General Information** section. This number is system-generated. The **Records Schedule ID** includes a prefix (DAA or DAL, see page 1), the Record Group, the Fiscal Year in which the schedule was created, and a sequential number.

Schedule Status: This field appears above the **General Information** section on this tab. It is a system-populated field that identifies the status of the overall schedule.

The **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 use 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 **Scheduling Group** is an alpha code used only by Department of Defense agencies for department-wide schedules. **Scheduling Groups** include NU, AU, AFU.
- 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 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 Schedule**rs 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 Schedule**rs within a Department to create schedules that apply to all component agencies within the Department.

- ***Please note: Only Records Schedulers at the Department level should use this option 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).
- 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 Record 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**s pertains or the larger program the records document.

Item Count: These 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 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.

General 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.**

7d.2 *Item Information* tab

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

The Hierarchy Tree: Once you save the **General Information** tab a new tab will appear 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.

Overviews: **Overview** is just a new word for an old concept. **Overviews** have always been an option when creating **Records Schedule**s, just not with that name. They are simply descriptive information used to group items under common descriptive headings. 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**. For example, a schedule with sub-items looks like the following:

1. Inspector General Audit Files. Records accumulated by the Office of the Inspector General (OIG) relating to audits.

a. Final reports. Final report as issued by the OIG.

b. Substantive background papers. Drafts submitted to audited offices for review, comments by audited offices, approvals and concurrences and related records.

In ERA, the hierarchy tree for this example is:

- Inspector General Audit Files
  - Final Reports
  - Substantive background papers

Overviews are identified in the hierarchy tree by the folder icon. Items are identified with a document icon. The descriptive information in the first example would be contained in separate fields related to the overview and items.

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 required field when creating an overview.

- **Overview Description**: A longer descriptive field associated with the overview title. It is an optional field.

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. The example below shows how overviews could be used. Disposition items are identified with numerals. Note that ERA does not use a hierarchical numbering scheme (e.g. 1a, 1b, etc.). Overviews are identified by the folder icon and items by the document icon.

- Office of the Inspector General
  - General Correspondence
  - Inspector General Audit Files
    - Final Reports
    - Substantive Background Papers
  - Case File Tracking System
    - Master Data Files
    - Monthly Reports

Item Information: Records Schedule Item information appears on the Item Information Tab when an item is selected. To edit this information, you must select the "Edit" button beside the item window.

The **Status** field identifies the status of an individual item. This field pre-populates in all states except for **Withdrawn** and **Inactive**, which must be changed manually. 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.

The **Disposition Authority Number** field contains a system-generated number including the ERA Schedule Number followed by the item number, a four-digit sequential number (e.g., 0001, 0002). ERA does not use a hierarchical numbering scheme for items.

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

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

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

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.

- 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 e-mail 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 for **Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?** 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.

- Select ***Yes*** or ***No***.

The **Manual Citation** is a set of repeatable fields that includes:
- **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 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 Federal Records Center 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 Federal Records Center 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.

NOTE: When a new item supersedes a previously approved item it is the responsibility of the Records Appraiser to see if the previously approved authority exists in ERA and if so to mark the superseded authority as inactive if appropriate.

Inactive Status Explanation is a NARA-only field for NARA staff to indicate why an item has been marked as Status: **Inactive**. This field only appears if an item has been marked as Inactive. There are three options available: **This item is inactive because it was superseded by** in which case the user must enter the new item (a search option is available to look up authorities in the system); **This item is inactive because it was rescinded**; and **Other**.

Withdrawn Status Explanation is a NARA-only field for NARA staff to indicate why an item has been marked as Status: **Withdrawn**. This field only appears if an item has been marked as **Withdrawn**. This correlates to procedures for the paper SF115 to annotate next to withdrawn or stricken items why the item has been withdrawn or stricken.

The **Final Disposition** field 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 SF115).

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

***Multiple 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 4 and 5 for every addition Disposition Instruction.
- Select the **OK** button.
- Select the **Save** button to save the **Records Schedule**.
- Select the **OK** button in the resulting popup window

- 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).

❖ **Please 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.**

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 at all possible.
- Any additional instructions about cutoff or maintenance of the records should either go in the **Cutoff Instruction** or in the **Item Description** fields 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 affiliated archives is rare.

First Year of Records Accumulation* is a required field for permanent records where 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.

NARA has added two new fields to the **Records Schedule** to 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 indicate what will be the date span of the initial accession.
  - The initial date span will usually correspond to the **First Year of Records Accumulation** to the year the records will first be cut off.
  - In some cases the initial date span may be unknown. In these cases the "Unknown" option should be selected and an explanation provided 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.
  - If records are cut off annually and not transferred in blocks the interval will be every 1 year.
  - If records are transferred in blocks the interval will correspond to the block.
  - If the records are transferred at the end of a Presidential administration the interval would be every 4 years.
  - In some cases the interval will be unknown. In these cases the **Unknown** option should be selected and an explanation provided in the associated text field.

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

Revision Notes is a NARA-only field is 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 should be used to note changes made, the appraiser's initials, and the date.

7d.3 *Executive Summary* tab

This tab is for NARA use only. It replaces form NA13133, which is used during the appraisal process. It contains the same fields currently available on NA13133.

The **Summary** field corresponds to the summary section on the NA13133 and should be used to enter a brief 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 the 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 whether 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.

7d.4 *Contact Information* tab

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.

Records Scheduler: This information auto-populates based on the user's profile. The information includes first and last name, title, phone number and e-mail 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 Schedule**r 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 **Last Name**, **Phone**, and **E-mail** for at least one contact person. The **First name** and **Title** fields are optional.
- Multiple contact persons can be added via the ***Add*** button.
- To delete a contact person, check the box before the person's name and click on the **Delete** button.

7d.5 *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.

7d.6 *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.

7e. Creating a Records Schedule: STEP-BY STEP INSTRUCTIONS

❖ Note: Selecting the **SAVE** button initiates verification and validation processes that are performed by the ERA System. If errors are found, the user will be notified. The errors must be corrected before proceeding. Verification and validation activities do not proceed if **Cancel** is selected.

7e.1 Creating a Records Schedule

Creating a New Blank Records Schedule:

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

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* ***Records Schedule General Information*** *screen.*
3. *Select the* ***Save*** *button.*
4. *Select the* ***OK*** *button in the resulting popup window.*

The **Item Information**, **Executive Summary**, **Contact Information**, **Related Assets**, and **Attachment** tabs will be created enabling the user to further develop the schedule.

Creating a Records Schedule from an Existing Schedule:

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 ID*** *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.*

7e.2 Creating Disposition Overviews and Items

Create a Disposition 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.*
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.*

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.*
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*

7e.3 Add Records Schedule Item(s) and Overview(s) to an Existing Overview

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.*

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*

Adding Multiple Transfer/Accessioning Instructions to a Records Schedule Item:

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 4 and 5 for every addition **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*

7e.4 Moving a Records Schedule Overview or Item

Users have the ability to change the hierarchy of the **Records Schedule Items** and **Disposition Overviews**.

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

Move an Overview

1. *Select the **Overview** to be moved.*
2. *Select the **Move** button.*
3. *Select the **Folder** (which represents either an **Overview** or the **Records Schedule**) for the new location of the **Overview**.*
4. *Select the **OK** button.*

Move a Records Schedule Item

1. *Select the **Item Information** tab.*
2. *Select the **Records Schedule 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 **Records Schedule Item**.*
5. *Select the **OK** button.*

Reordering Disposition Overviews and Items

Note: If the user selects the **Cancel** button, the **Item Information** screen will refresh and order will remain unchanged.

Reorder a Records Schedule Overview

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.*

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

Reorder Records Schedule Items

1. *Select the **Item Information** tab.*
2. *Select the **Records Schedule 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 **Records Schedule Item** is in the desired position.*
5. *Select the **OK** button.*

7e.5 Submit a Records Schedule for Certification

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** (Agency) 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** belonging to the record group found on the **Records Schedule**.

Certify a Records Schedule

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

1. *Upon logging in to 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/Appraiser Working Version**.

➢ A task is sent to the Records Appraiser belonging to the record group found on the **Records Schedule**.

7e.6 Deleting Records Schedules or Parts of Records Schedules

Delete a Records Schedule

The user must be a **Records Schedule**r to perform the following steps:

1. *Select **Search –Business Object.***
2. *Select the **Advanced Search** tab.*
3. *Select the **Records Schedule** option in the **Search For** dropdown.*
4. *Select and enter known distinct information pertaining to the **Records Schedule** and select the **Search** button.*
5. *Select the **Records Schedule ID** link in the Search Results List.*
6. *Select the **View** button on the floating menu.*
7. *Select the **Delete** button on the top right of the form.*
8. *Confirm desire to **Delete** the **Records Schedule** by selecting **Yes** in the resulting popup window.*
9. *Select the **OK** button in the resulting popup window.*

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

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

Delete a Records Schedule 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 which 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.*

❖ Note: Deleting the **Overview** will also delete all **Records Schedule Items** associated with the Overview. If you wish to retain **Records Schedule Items** from a deleted **Overview**, you must move them to the root **Records Schedule** prior to deleting the **Overview**.

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 **Disposition 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 which 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.

8. Transferring Records to 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.*

8a. Transfer Request Tabs, Sections, and Fields

The **Transfer Request** consists of several tabs: **General Information**, **Transfer Details**, **Contact Information**, **Signatory Information**, **Related Assets**, and **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.

8a.1 General Information Tab

The **General Information** tab provides information relating to the **Records Schedule Item** or **Legacy Records Schedule Item** attached to the **TR**.

8a.1a. General Information Section

The **General Information** section of the **General Information** tab consists of fields that will pre-populate when the **Records Schedule Item (**RSI) 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.**

- Note: The **Major & Minor Subdivisions** refer to the offices which ***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 for 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.

8a.1b. Manual Citation Section

The **Manual Citation** section consists of key information that uniquely identifies a specific transfer. Several fields are not necessarily related to the agency **Manual Citation**.

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** will appear in the **Legacy Disposition Authority Number** field and ***not*** the **Manual Citation** section.

Transfer Group Description* is a required field and 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 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 will 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 (Federal Records Center), a Direct Offer (Agency), or 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 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, etc. Currently it does not scan JPEGs, some PDFs, TIFFs, etc. This field automatically populates as ***No***.

8a.1c. 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, a Records Center Transfer Number, a State Department Lot File Number, or a 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.

8a.1d. Disposition Authority Section

The **Disposition Authority** section provides information about the disposition 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.

8a.1e. Access Restriction Section

The **Access Restriction*** is a required section and provides information about the access restrictions associated with the records that will be transferred under the **Transfer Request**.

Access Restriction Status field allows you to select whether the records being transferred are restricted or unrestricted.

Restricted—Fully: *All* records in this transfer are restricted.

Restricted—Partly: *Some* records in this transfer are restricted.

Restricted—Possibly: *Some* records in this transfer *may* be restricted.

Unrestricted: Records in this transfer are not restricted.

- ❖ Note: If you select any Restricted status you will be required to provide additional information in the **Specific Access Restriction** field.

The **Specific Access Restriction** field allows you to select a specific access restriction. 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** is selected that is related to a **Security Classification**. Security Classification refers to Confidential, Restricted Data/Formerly Restricted Data (RD/FRD), Secret, and Top Secret classifications.

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

The **Statutory Citation** field becomes active when you enter FOIA (b)(3) Statue 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.

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

The **Federal Register Volume** is the volume number of the Federal Register where 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 where 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.

8a.1f. General Information: *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.

- **Restricted – Fully**: *All* records in a transfer have a copyright, donor, trademark, or other use restriction.
- **Restricted – Partly**: *Some* of the records in a transfer have a copyright, donor, trademark, or other use restriction.
- **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**: Select if there are no copyright, donor, trademark, or other use restrictions on the records in a transfer.

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 FRC Annual 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."

8a.1g. 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 and information discrepancies this may be grounds for NARA rejection of the TR. Processes vary between archival units.

8b. Transfer Details Tab

The **Transfer Details** tab allows you to describe how the records will be transferred to NARA, 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.

8b.1 Transfer Details Section

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

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.

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**.

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 a FRC.

- *Select **Yes** to display the **Agency Name and Address** field.*
- *Select **No** to display the **Location** and **Current Custodial Unit** fields.*

If records are located at a 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, such as NWCT2P, Archives II Processing Section. This field can be edited by NARA staff after the **Transfer Request** has been submitted.*
  - ❖ Note: If NARA staff identifies and 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. If no action has been taken on your submitted to NARA **Ready for Approval TR in 30 days** of your submission please verify that this section is completed and contact your Destination Custodial Unit POC for assistance.

8b.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,** 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 where the ERA user can add comments about the transfer, such as the number of packages.

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** and the **List of Containers** areas.

Physical Means:

The **Physical Transfer of Non-Electronic Records** field allows you to indicate that the records are being sent to NARA are non-electronic in nature and will be transmitted via physical means. Select the **Physical Transfer of Non-Electronic Records** check box to display the **List of Containers** and **Special Media Type** areas. Textual Accessioning uses the **Physical Transfer of Non-Electronic Records** exclusively.

8b.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 the user profile during the creation of the **TR** or data derived from ARCIS.

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.

8b.4 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, Rejection of Additional Shipments, and Physical Custody Decision (and Legal Custody Decision as recorded on the LTI) for the records transfer.

8b.5 Related Assets

The **Related Assets** tab will show other Business Objects associated the **Transfer Request.** This field is populated by the system.

8b.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.

8c. 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**, 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. NARA's Records Management Services will be implementing a project to systematically enter legacy disposition authorities into ERA beginning in FY2012. In the meantime, NARA's Records Management Services 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 e-mail letting you know 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 5 authorities in one day, we cannot guarantee that the request will be fulfilled within 48 hours. If you need to request more than 5 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.*

8c.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** or **Legacy Records Schedule Item** must be linked to the **Transfer Request** before information can be entered in the **Transfer Request** fields.

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

*To search for and link an approved **Records Schedule Item (RSI)** or **Legacy Records Schedule Item (LSI)**:*

- *Enter search criteria using any of the fields provided*
  - *NOTE: The more fields that you enter information in, the more specific your search results will be.*
- *Click the **Search** button.*
  - *Note: If you click the **Search** button without entering any information in any of the fields, you will retrieve all of the approved **Records Schedule and Legacy Records Schedule Items** for all Agencies. This is **not** recommended as there are hundreds of thousands of approved **Records Schedule Items** and **Legacy Records Schedule Items** in the ERA system. Not only is this method inefficient, it could cause the system to crash as it attempts to locate and retrieve such a large amount of information.*
- *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** (For an undifferentiated RSI or LSI you must select the correct **Record Group** from the dropdown menu **BEFORE** saving the TR)
- **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 human readable **TR** number will automatically generate. Additional tabs and fields will also appear once the **TR** is saved to **Draft**.

For transfers conducted via Annual moves, FRCs will generate and populate **TR** information. Agencies will only have to populate the following sections:

- **Access Restriction**
- **Use Restriction**
- **Contact Information (Agency)**

8c.2 Create a Transfer Request: *Transfer Details* tab

Once the TR is saved to **Draft** status, the **Transfer Details** tab appears and the **Transfer Group Description** is system populated. 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**
    - **Description**

- **Electronic Records on Physical Media** the following fields will appear:
    - **Physical Media Type**
    - **List of Containers**
    - **Media Disposition**

- **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.*
- **List of Containers**

8c.3 Contact Information tab

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

8c.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. No user action is needed.

8c.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 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

8c.6 Save & Submit For Approval

- ***Save** TR*
- *Select **Submit** from the dropdown menu*
- *Click **Go***

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

8c.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, and Physical Custody Decision (and Legal Custody Decision as recorded on the LTI) for the records transfer.

8c.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 and accept the Terms of Agreement the **TR** 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.**

    - If **Rejected** the **TR** will return to Draft status.

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** in which case NARA staff notify the **Agency Approving Official** via the **Rejection Comment** field on the **TR**.

- Note: NARA staff conducts 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 may result in the Rejection of the **TR** by NARA. Processes differ between custodial units.

8d. 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**.

Several fields will populate when the **Create from Existing** feature is used. These fields are editable and include:

- **General Information**:
  - **Agency or Establishment**
    - Note: Once TR is save this field is no longer editable.
  - **Record Group**
    - Note: Once TR is save 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**
    - 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 8c.1 – 8c.6 of this manual.

8e. SAMO: Single Action, Multiple Objects

Another time saving 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 approve multiple TRs using **SAMO:**

- *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.

8f. 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 **TR**s are systematically created in ERA. The data in these **Transfer Requests** is derived from data in the FRC operating system, ARCIS.

It is each agency's responsibility to review each **TR** for accuracy and make 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. The FRCs will not receive notification of updates or corrections from ERA.

Draft **TR**s should be reviewed by the **Transferring Agency Official (TOA)** and submitted to the **Agency Approving Official**.

The **Agency Approving Official** reviews the **TR**s and submits to NARA for approval.

8.f1 TRs in Draft Status

8f.1a. Search the TRs 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 Agency Official** role should login to the system
- *Select* ***Search***
- *Select* ***Business Object: Transfer Request (TR)***
- *Select* ***Advanced Search***
- *In Keywords, type:* ***2012 Annual Move***
- *In Record Group, type the Record Group Number, using four digits: for instance: 0012*
- *Click* ***Search***

ERA should return the **Transfer Requests** generated for that Record Group for the 2012 Annual Move. You may limit your search by selecting a specific status or set of statuses, e.g. **Draft**.

The Search Results will display the FRC **Transfer Number** and the ERA **Transfer Request Number**, among other fields. To view a **TR**, click on the **TR** number and then click ***View.***

8f.1b. Review the TRs 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 the records have met their final retention 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.
    - To edit a field, click on the ellipsis and arrow buttons to select the correct access information.
    - You may add an **Access Restriction Note**. If you select ***Other,*** you are **required** to type a note.
    - ❖ For the **Privacy Act Notice Number** field, if ***Yes*** is selected, the **Agency System Number**, **Federal Register Volume** and **Federal Register Page Number** fields are required.
- **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**. This field is required.

➢ **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:**
  - **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.
  - **Current Physical Location of Records:** The agency location should always be ***No***.
  - **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.
  - **Transfer Method:** The **Electronic Records Transferred by Electronic Means** should always be **No**. Review the populated fields for accuracy.
  - **List of Containers:** Review the fields for accuracy and make the necessary edits. Please note that **<u>any</u>** changes will change the calculation for **Total Container Volume**.
  - **Transferring Agency Official:** These fields populate from the user profile **<u>except</u>** for the **Agency** field. This data populates from ARCIS. Please verify the data is correct.
  - **Agency Approving Official:** These fields populate from the user profile after the **Agency Approving Official** who submits the **TR** to NARA.
  - **NARA Contact:** Leave these fields blank. These are filled by NARA staff.
- **Contact Information:**
  - **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.
- **Related Assets:** No related assets will be listed until the **TR** has been approved by 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 dropdown menu*
- *Click **Go***

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

8f.1c. Propose the TRs in Draft status

Only an **Agency Approving Official** may **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 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:**

- *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 Request** has 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** and/or notify the appropriate FRC staff members to make changes associated with the **Disposition Authority**, that is not editable by the **Agency Approving Official**.

8g. Using the Packaging Tool for Electronic Records Transfers

The **Packaging Tool** allows an agency to create an electronic records transfer shipment. The tool wraps up the files that comprise the records to be transferred into one or many era packages similar to the process used by the Winzip tool. The **Packaging Tool** is available online from the ERA portal or there is also a downloadable version available online at the ERA site.

Before going through the process of attaching electronic records to a **Transfer Request** **you must contact** the NARA Electronic Records Archival Services staff for assistance. There are size limitations for the packaging of records and for ingest of the records that we would like to discuss before you begin this process.

8g.1 Using the Packaging Tool: *Getting Started*

The **Electronic Transfer Staff** will begin the process of packaging electronic files and sending them to ERA by using the packaging tool.

- Point your mouse at the ***Tools*** option and select **Packaging Tool**.

8g.2 Using the Packaging Tool: Java Application

- *You may see a Java application open.*
- *A message will come up asking you about a potential security concern.*
- *Select the* ***No*** *button in order to open the Java application.*

8g.3 Using the Packaging Tool: *Shipment Properties Tab*

The **Electronic Transfer Staff** clicks on the **Shipment Properties** tab. In this section you will complete the details regarding the shipment being sent to NARA. There are three sections to this form. The sections are: **Contact Area**, **Preferences** and **Associated Transfer Request**.

- *Fill in the* ***Contact Information*** *area.*
- *The name field and email fields are marked with a red asterisk, meaning that they are mandatory to fill in.*
    - Note: Once this information is entered it will stay in the system and appear every time you log in.

8g.4 Using the Packaging Tool: Selecting Container Size

The **Electronic Transfer Staff** will select a container size based upon the volume of records that they have to transfer. They will need to consider the number of files and the total size of the shipment (MBs, GBs, TBs). Select DVD-ROM or CD-ROM Transmission when the records will be sent on physical media. The container size limits represent the capacity of the physical media and will determine how many .era files (packages) are generated from the documentary materials in the shipment. The larger the file, the longer it takes for the documentary materials to transfer into the shipment.

- *In the **Preferences** area, select the appropriate container size limit. There are three options from which to choose.*
- *The **Packaging Tool** will wrap up into a single package based upon the container size that you choose. The choices are either 650 MB, 1 GB, or 4 GB.*
- *There is a limit of 25,000 files per package.*

8g.5 Using the Packaging Tool: *Finding Your TR*

The **Electronic Transfer Staff** needs to identify the **Transfer Request** that matches the records to be transferred. In connected mode, enter the **Transfer Request ID** and click the **Search** button to search for a **Transfer Request** in ERA. Once you associate the **Transfer Request ID** to the **Packaging Tool**, the remaining fields in the **Associated Transfer Request** section are populated with information from the **Transfer Request**. In the stand-alone mode of the **Packaging Tool**, there is no ability to search for a **Transfer Request**. You must manually populate all the fields in the **Associated Transfer Request** section.

- *Fill in the exact number for the TR that you are using to ship the electronic records to NARA, e.g., TR-0313-2011-0042*
- *Click on the search button on the left hand side of the page.*

8g.6 Using the Packaging Tool: *Selecting Your TR*

- *Highlight and select the TR*
- *Click on the **Associate** button*
    - *This will populate the other fields in the **Associated Transfer Request** area*

8g.7 Using the Packaging Tool: Finding Records to be Transferred

The **Electronic Transfer Staff** will now begin the process of building the container in which the files are to be transferred.

- *Click on the **Data Files** tab*
- *On the left side of your screen, you will see the file system structure of your computer.*
    - *Find the directory where you have saved the files that you want to transfer*

8g.8 Using the Packaging Tool: *Creating a Shipment*

- *On the right side of your screen, you will see the system structure of ERA. Here is where you add files and or folders to the shipment that you are making to send to NARA.*
    - *Drag and drop the files into the Shipment Structure.*

8g.9 Using the Packaging Tool: *Checking Details of Shipment*

The **Electronic Transfer Staff** needs to examine the details of the shipment. This is to make sure that all the files that are part of the transfer will be included. This is a last opportunity to check.

- *Check the shipment file count and shipment size information in the upper right hand corner.*

8g.10 Using the Packaging Tool: Creating A Container for Your Records

- *Select the* ***Build*** *option*
- *Select* ***Generate Container***

8g.11 Using the Packaging Tool: *Records Directory*

A window will open to your computer:

- *Select the directory where you will save your packaged records.*
- *Click the* ***Ok*** *button.*
    - *The package will be created in the selected directory.*
    - *Go to the directory where you placed the package.*
    - *You will find your packaged records*
    - *Your package will have a name that begins with* ***era_data****, then your TR number, followed by the creation date and time.*
    - *For example: era_data_TR-0029-2008-0001_20110729110900_0*

The **Electronic Transfer Staff** has successfully created an ERA package of the files that comprise the records that they want to ship to NARA. They can write that ERA package onto a DVD or other portable media and send it to NARA.

8h. Using the Ingest Tool

The **Ingest Tool** allows an agency to upload an electronic records transfer shipment into ERA. The **Electronic Transfer Staff** can use this **Ingest Tool** to directly send the ERA package of records to NARA through the ERA system.

8h.1 Using the Ingest Tool: Location

- *Go to the ERA Ingest site at https://ingest.era.nara.gov/eraportal/era.portal*

8h.2 Using the Ingest Tool: *Uploading Data*

- *Select the **Tools Tab***
- *Select the **Https Upload** option.*

8h.3 Using the Ingest Tool: *Find the TR*

The **Electronic Transfer Staff** needs to find the **Transfer Request** that is associated with this data. Then they will identify the data on their computer and upload the data into the ERA system.

The **Transfer Request** Search page comes up.

- *Enter the **TR** number*
  - *You can also search by your agency name.*
  - *Click on the **Search** button on the right hand side of the page.*
  - *Highlight and select the **TR**.*
    - *This will bring you to the Transfer Processing Working Storage File Upload page. The **TR** number will appear in the **Transfer Request ID** field.*
- *Select the Browse button.*
  - This will bring you to a **File Upload** page which shows your computer directories.
  - *Select the directory where the packaged data that you created in step **8o** is located.*
  - *Select **Open** to return to the **Transfer Processing Working Storage File Upload** page.*
    - This action populates the **File** field with the packaged records.
  - *Select the **Submit** button.*
    - Note: The uploading of this set of records will take a bit of time. The larger the package the longer it takes.

      You will receive a message in green lettering below the page title informing you of the successful shipment.

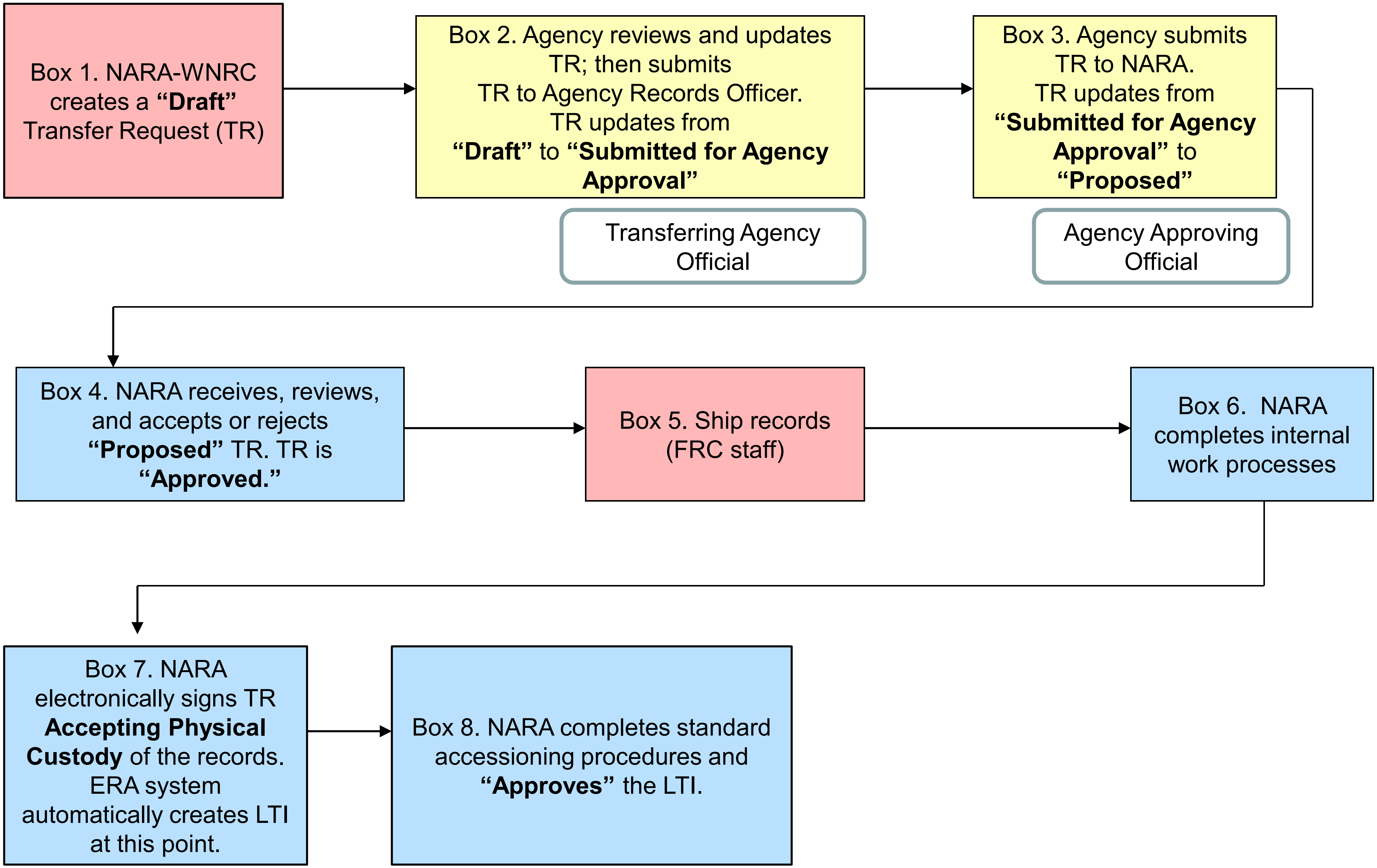
8h.4 Using the Ingest Tool: *Transfer Processing*

The **Electronic Transfer Staff** will now start the process of having the ERA system evaluate the data for security words and other aspects.

- *Select the **Tools** tab.*
- *Select the **Initiate Transfer Processing** option.*
- *The **Initiate Transfer Processing** -- **Transfer Request Search** page appears.*
  - *Enter the **TR** number.*
    - You can also search by your agency name.
    - *Click on the **Search** button on the right hand side of the page.*
    - *Highlight and select the **TR**.*
      - This will bring you to the Initiate **Transfer Processing** page.
      - The **TR** number will show up in the **Transfer Request ID** field.
      - *Click on the **List File(s)** button.*
        - You will see the **TR** numbers for the packaged records on the left side of the screen.
        - On the right side of the screen are two buttons giving you the option to delete files or process files.
        - *When you select the process files button you will see three buttons on the right side:*
          - *Check Status*
          - *List Files*
          - *Cancel.*
- *Click on the **Check Status** button.*
  - When the records have completed the initial transfer process you will see a message in green lettering indicating a successful process.

Appendix A

FRC TRANSFER IN ERA – SEQUENCE VIEW



Red = actions taken by FRC staff

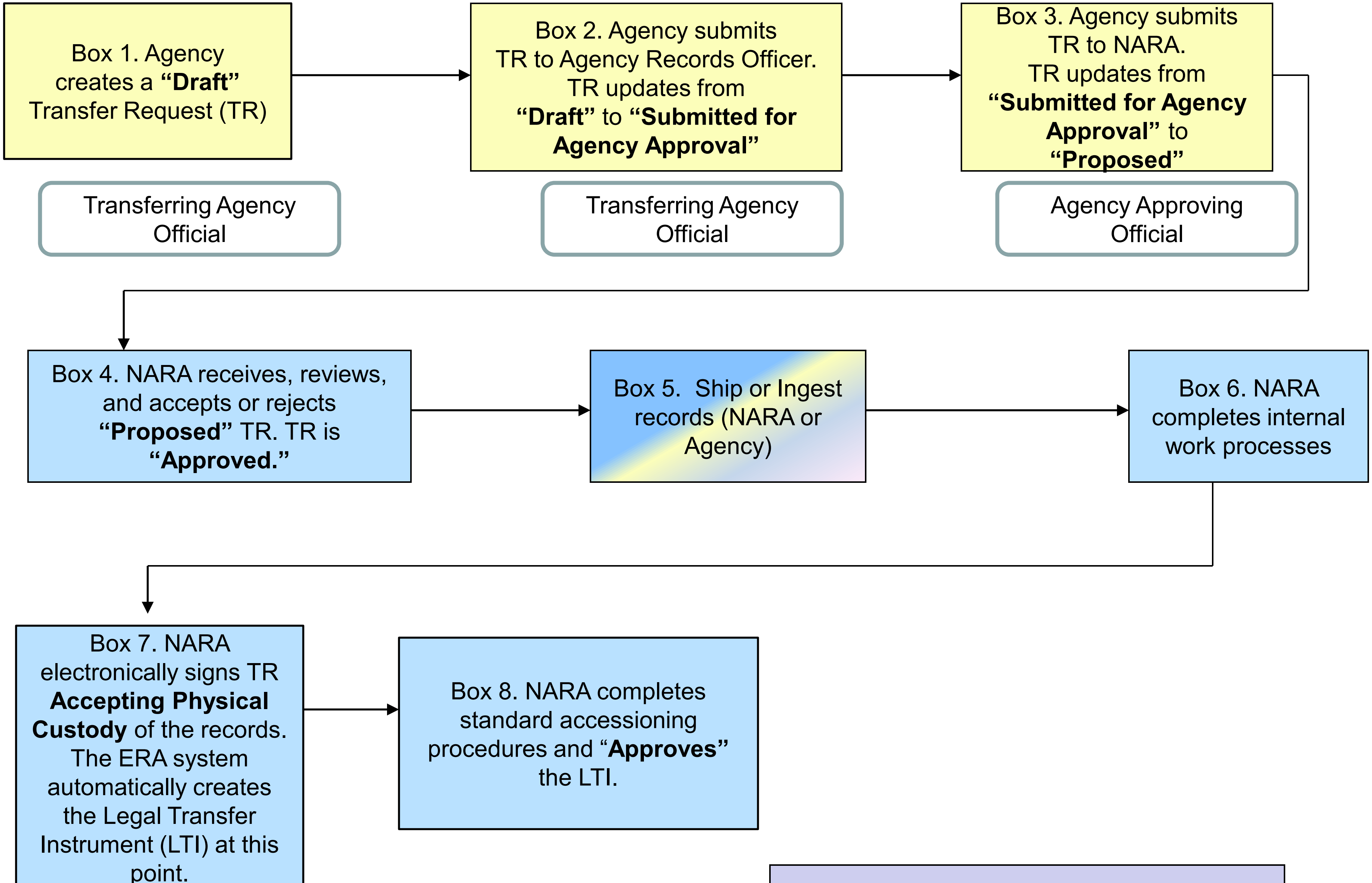
Blue = actions taken by archival accessioning staff

Yellow= actions taken by agencies

Note: 1 TR created for each FRC transfer

Appendix B

DIRECT OFFER IN ERA – SEQUENCE VIEW



Note: 1 TR created for each records series

Blue = actions taken by archival accessioning staff

Yellow= actions taken by agencies

Transferring Permanent Records to NARA Using ERA:

Job Aid

Cross-walking the ERA Transfer Request to the SF 258

Textual Records

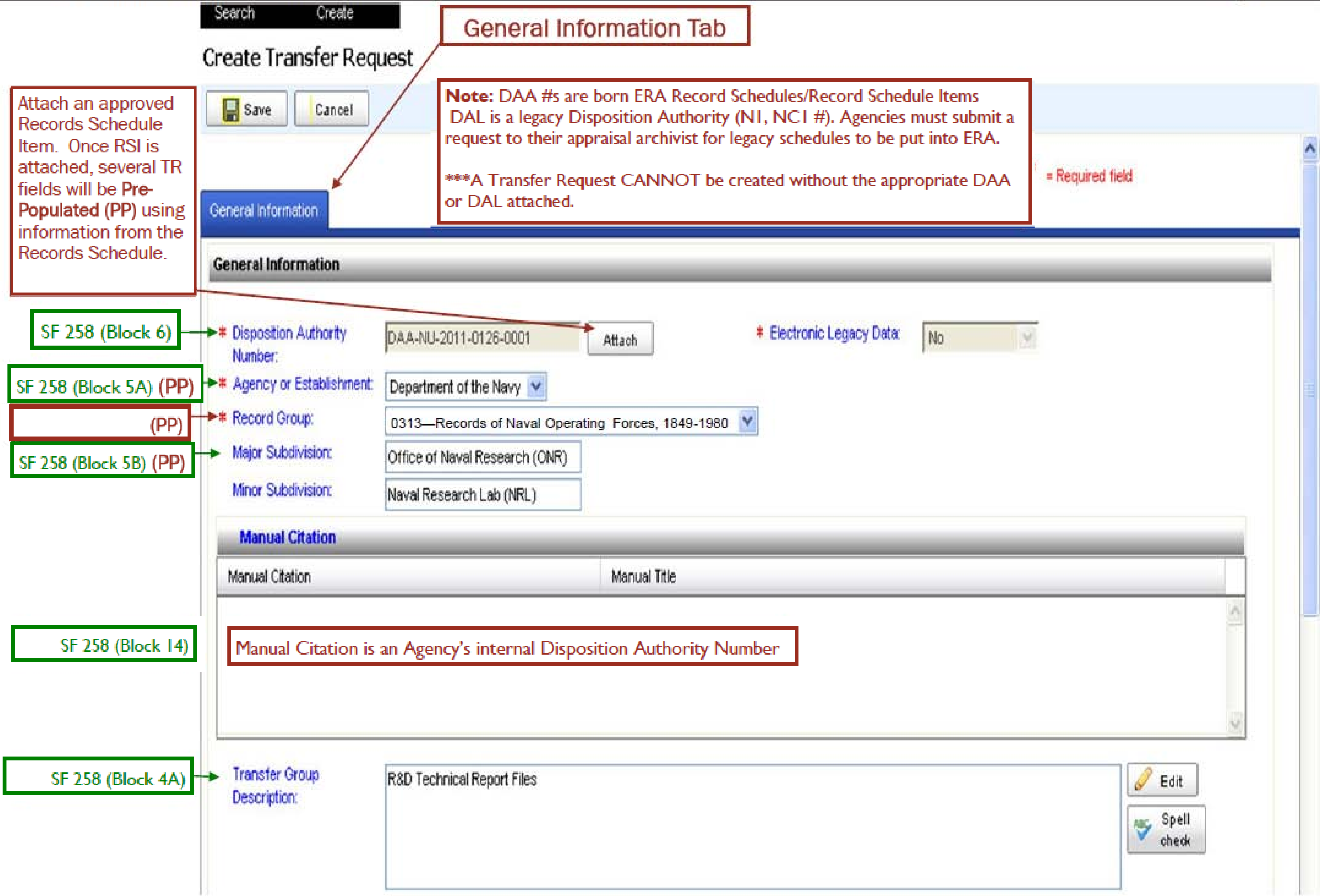
ERA
Electronic Records Archives

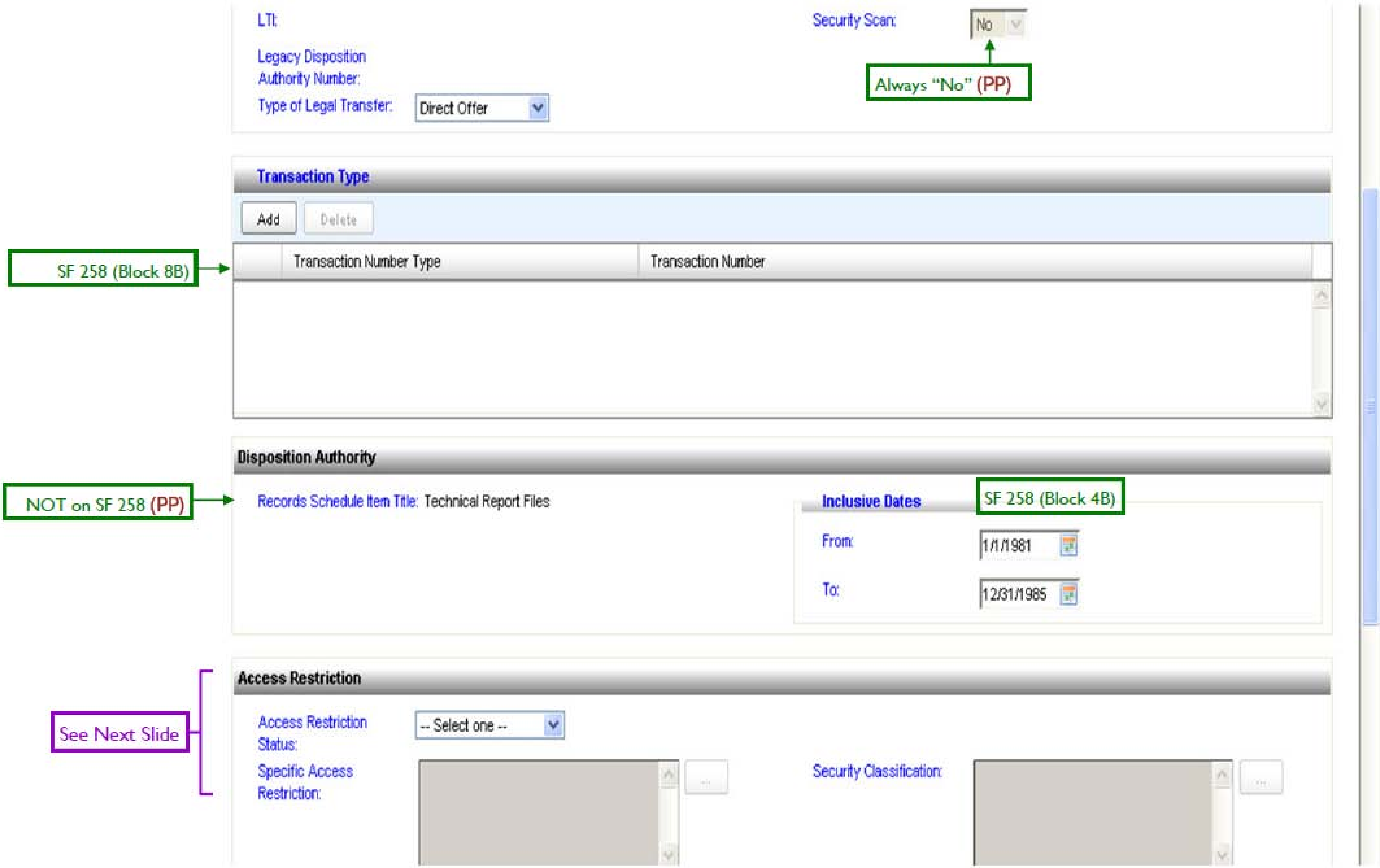
NATIONAL ARCHIVES

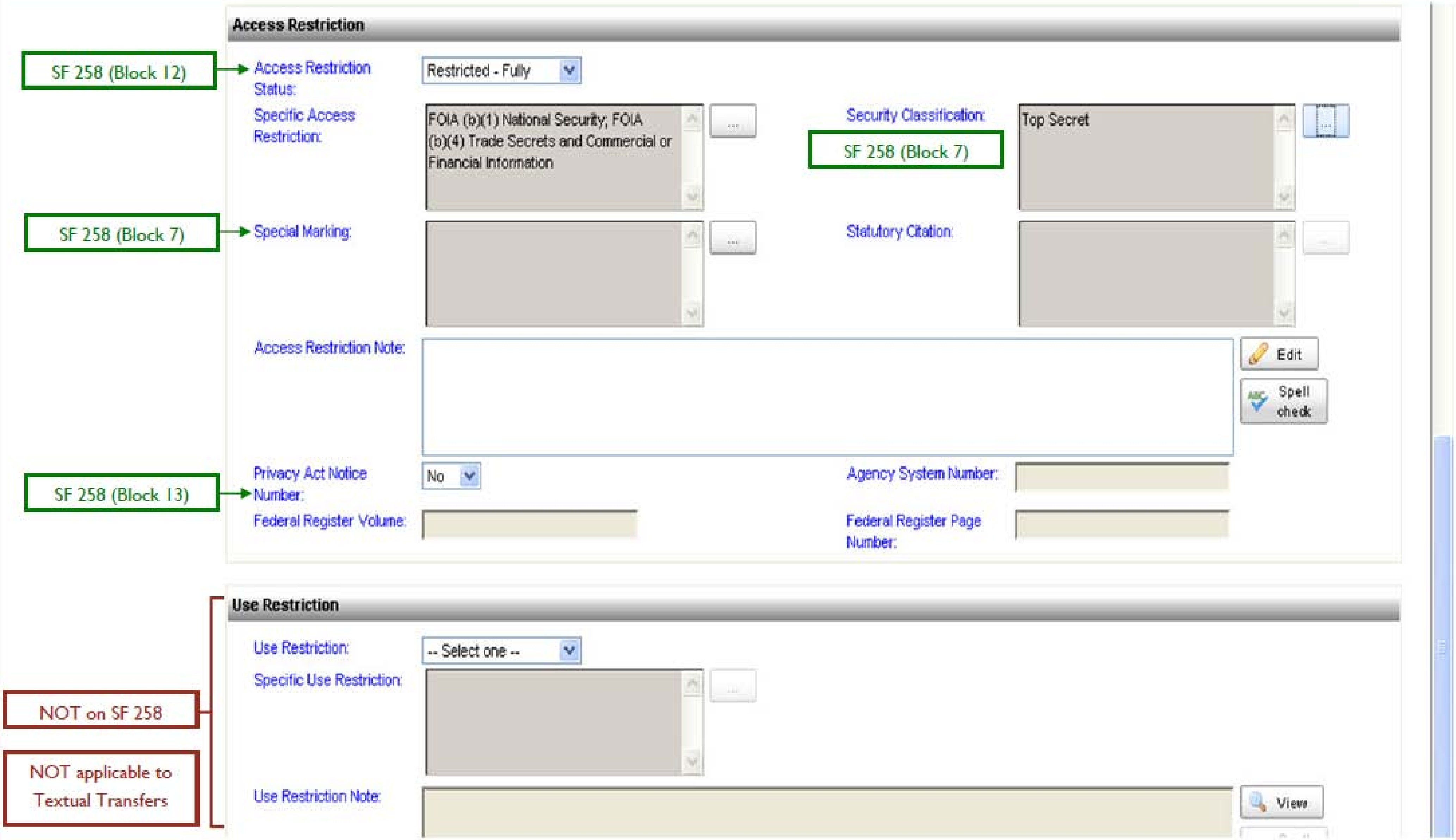
The U.S. National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-60001

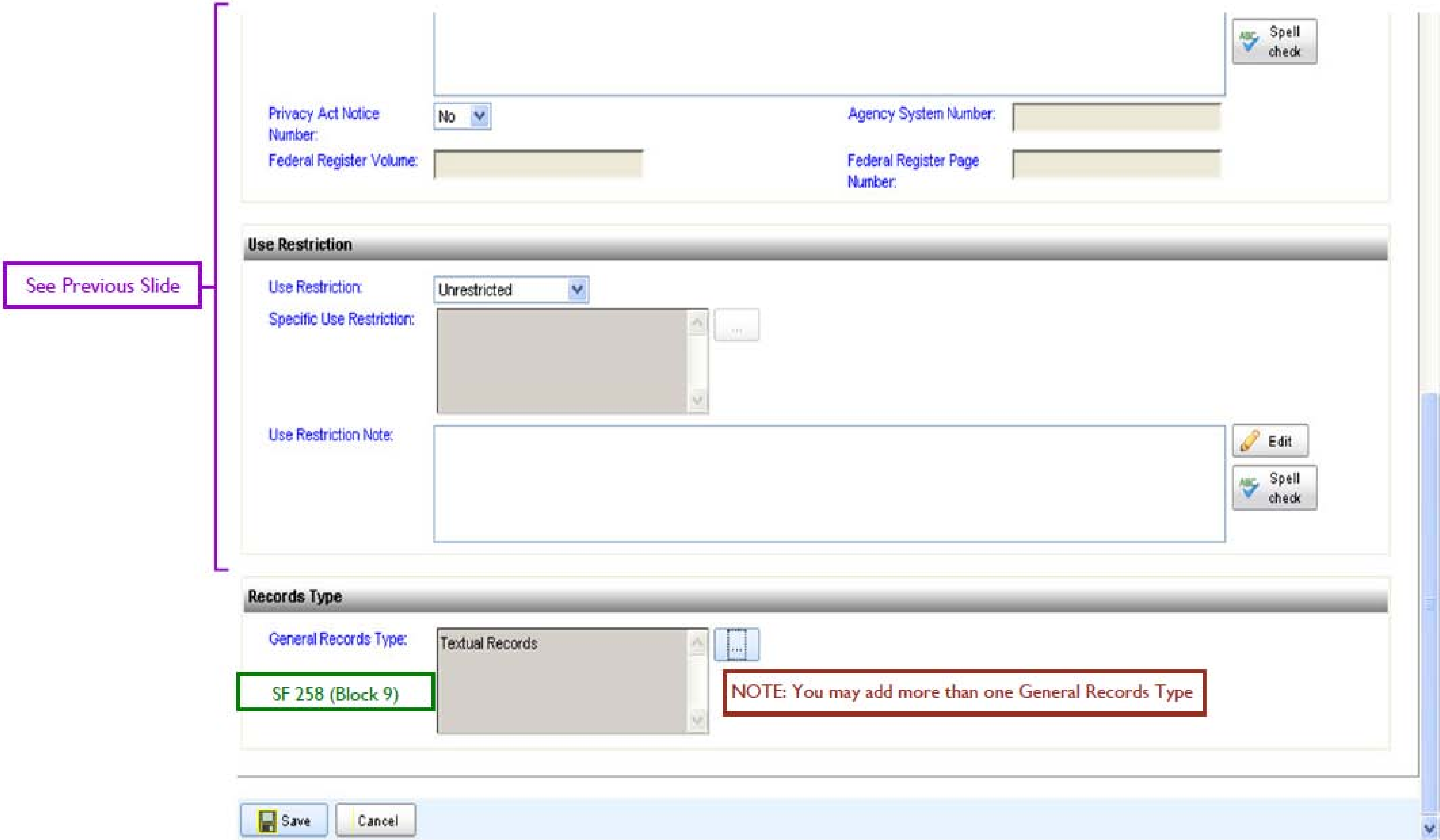
If the format of any material in this brochure interferes with your ability to access the information, due to an issue with accessibility caused by a disability as defined in the Rehabilitation Act, please tell us about the problem. To enable us to respond in a manner most helpful to you, please indicate the nature of your accessibility problem, the preferred format in which to receive the material, the Web address (URL) of the material with which you are having difficulty, and your contact information. NARA.RecordsMgtTraining@nara.gov

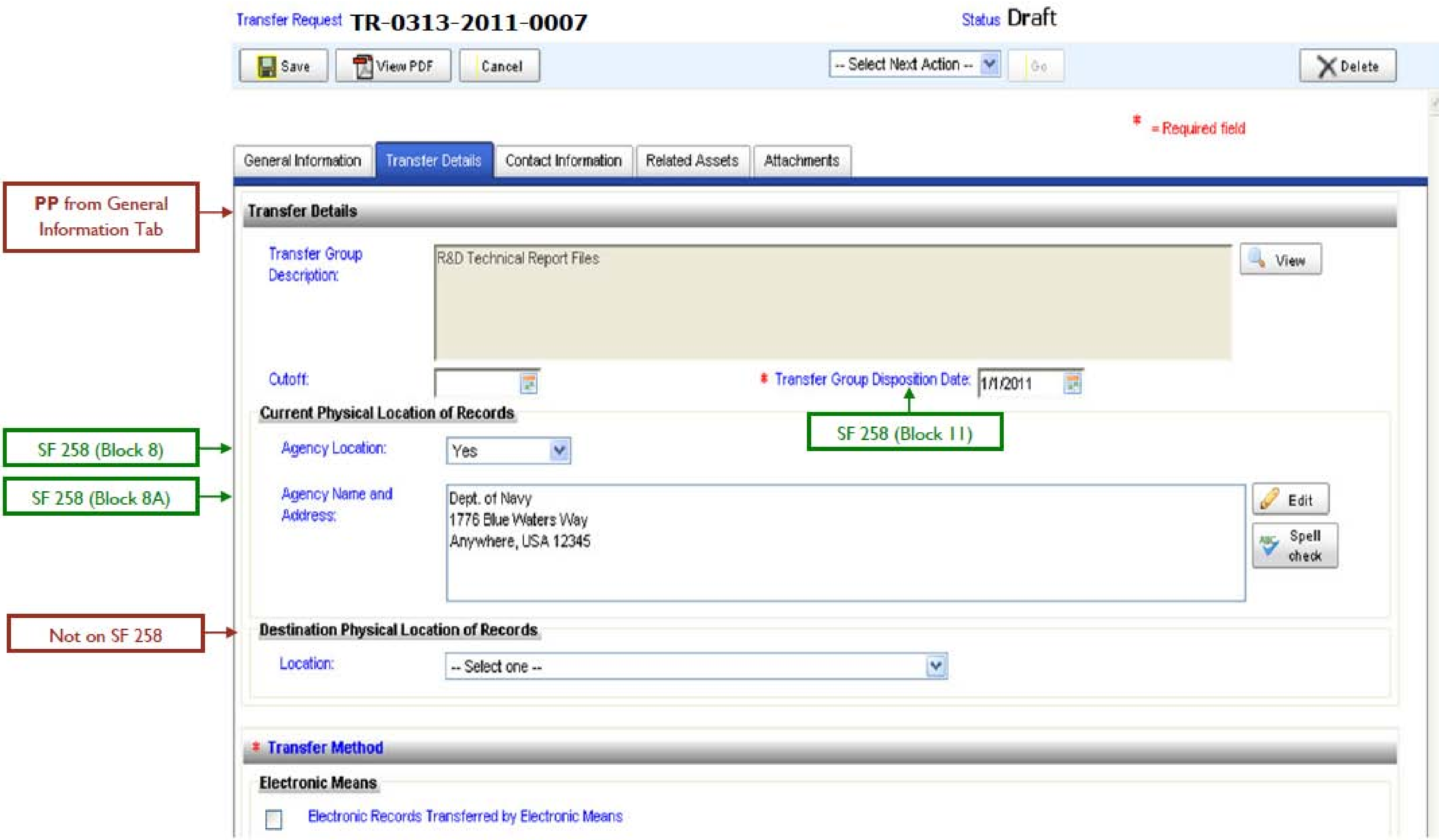
SF-258 fields mapped to ERA Transfer Request (TR) fields

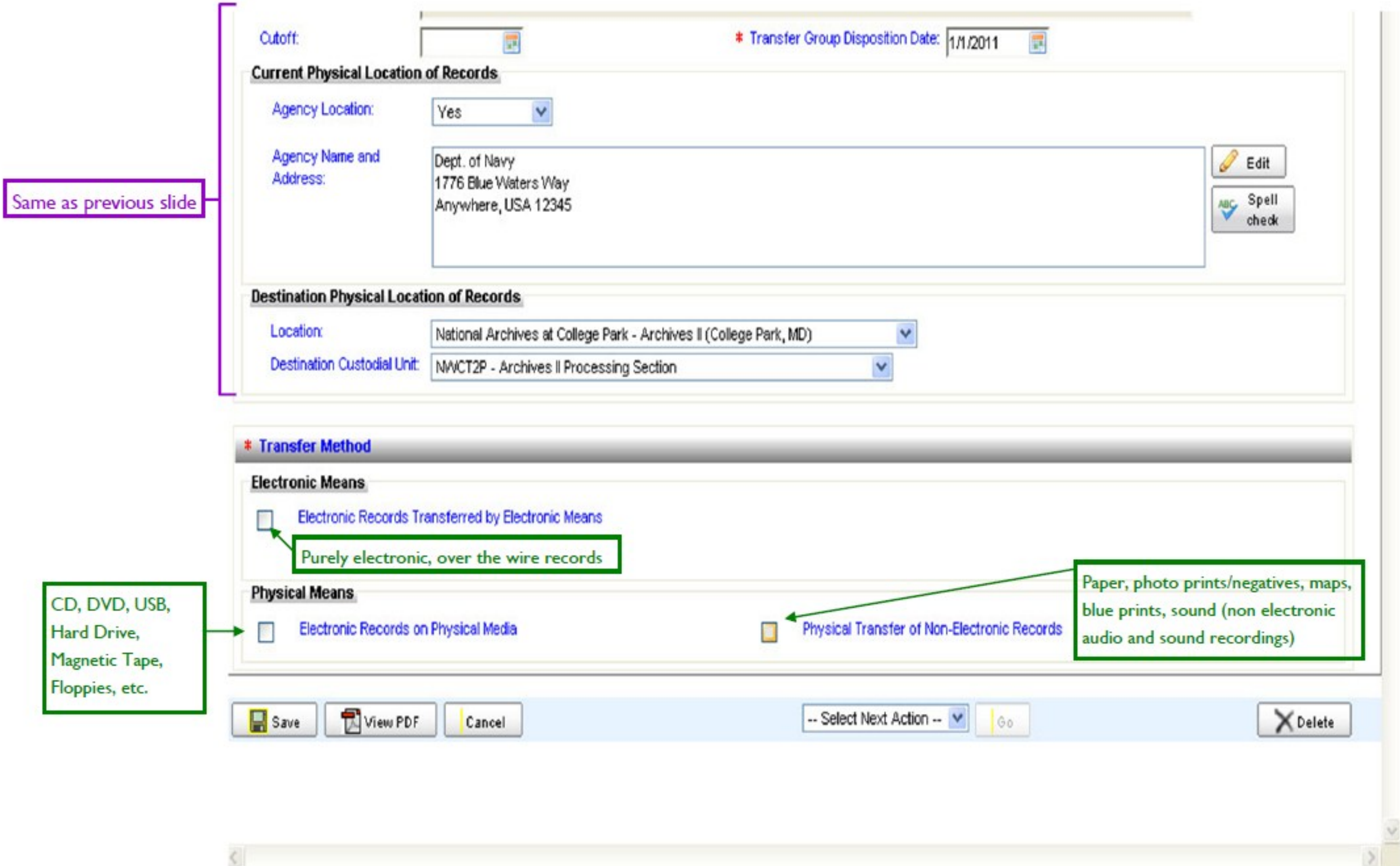

Search
Create
General Information Tab
Create Transfer Request
Save
Cancel
Attach an approved Records Schedule Item. Once RSI is attached, several TR fields will be Pre-Populated (PP) using information from the Records Schedule.
Note: DAA #s are born ERA Record Schedules/Record Schedule Items DAL is a 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
Spell check

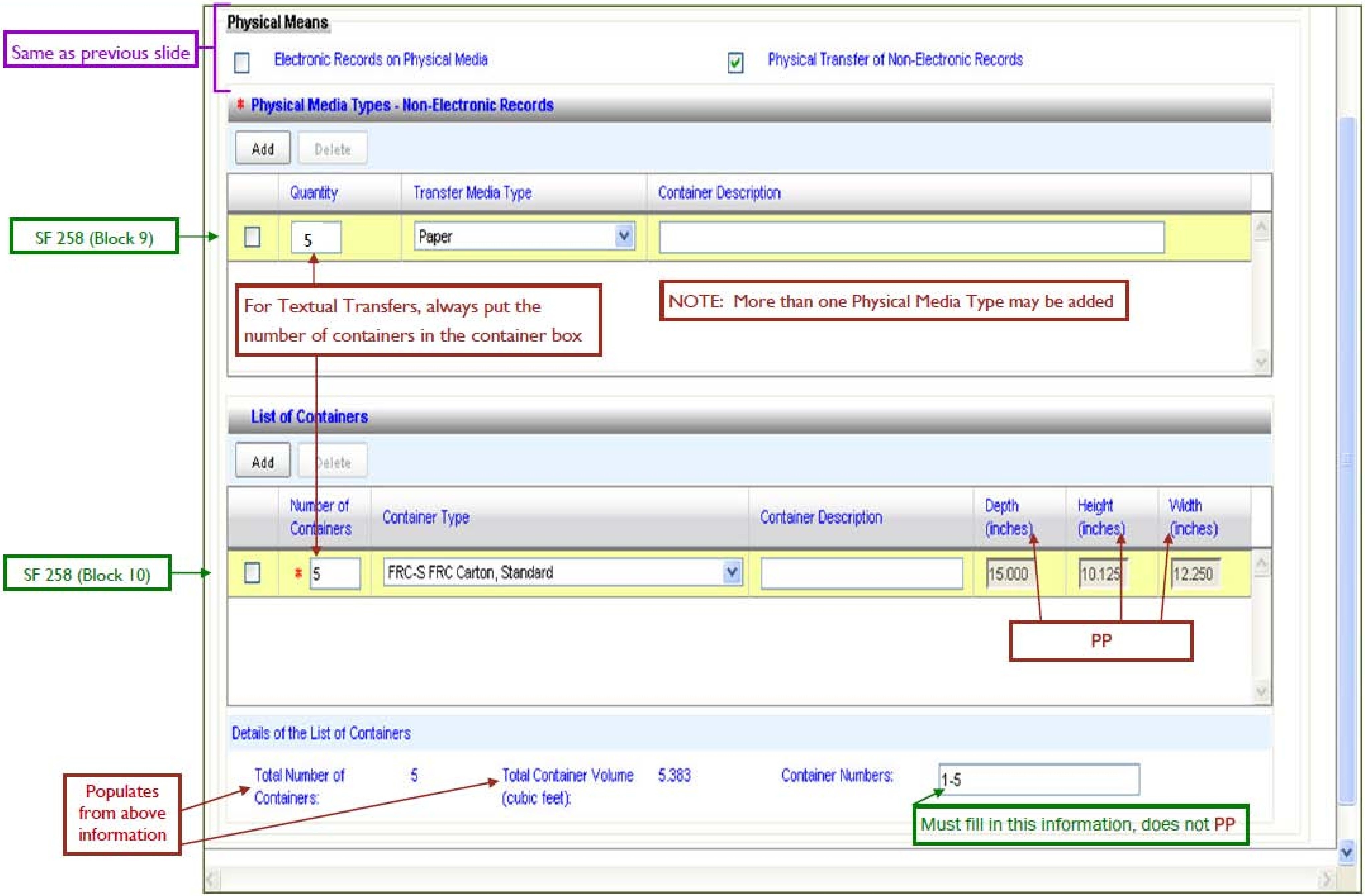

LTI:
Legacy Disposition Authority Number:
Type of Legal Transfer:
Direct Offer
Security Scan:
No
Always "No" (PP)
Transaction Type
Add
Delete
SF 258 (Block 8B)
Transaction Number Type
Transaction Number
Disposition Authority
NOT on SF 258 (PP)
Records Schedule Item Title: Technical Report Files
Inclusive 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:

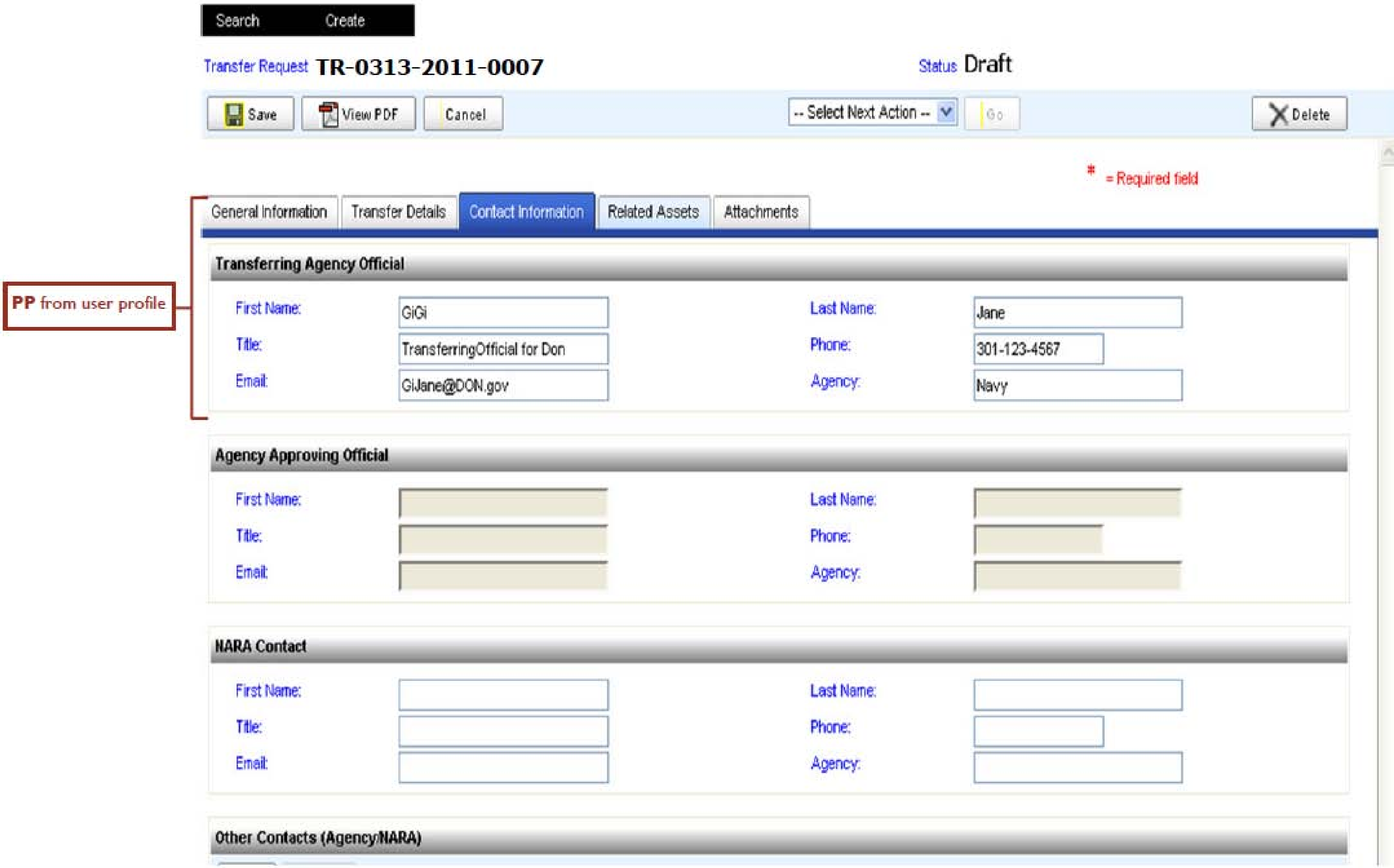

Access Restriction
SF 258 (Block 12)
Access Restriction Status:
Restricted - Fully
Specific Access Restriction:
FOIA (b)(1) National Security; FOIA (b)(4) Trade Secrets and Commercial or Financial Information
Security Classification:
Top Secret
SF 258 (Block 7)
SF 258 (Block 7)
Special Marking:
Statutory 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

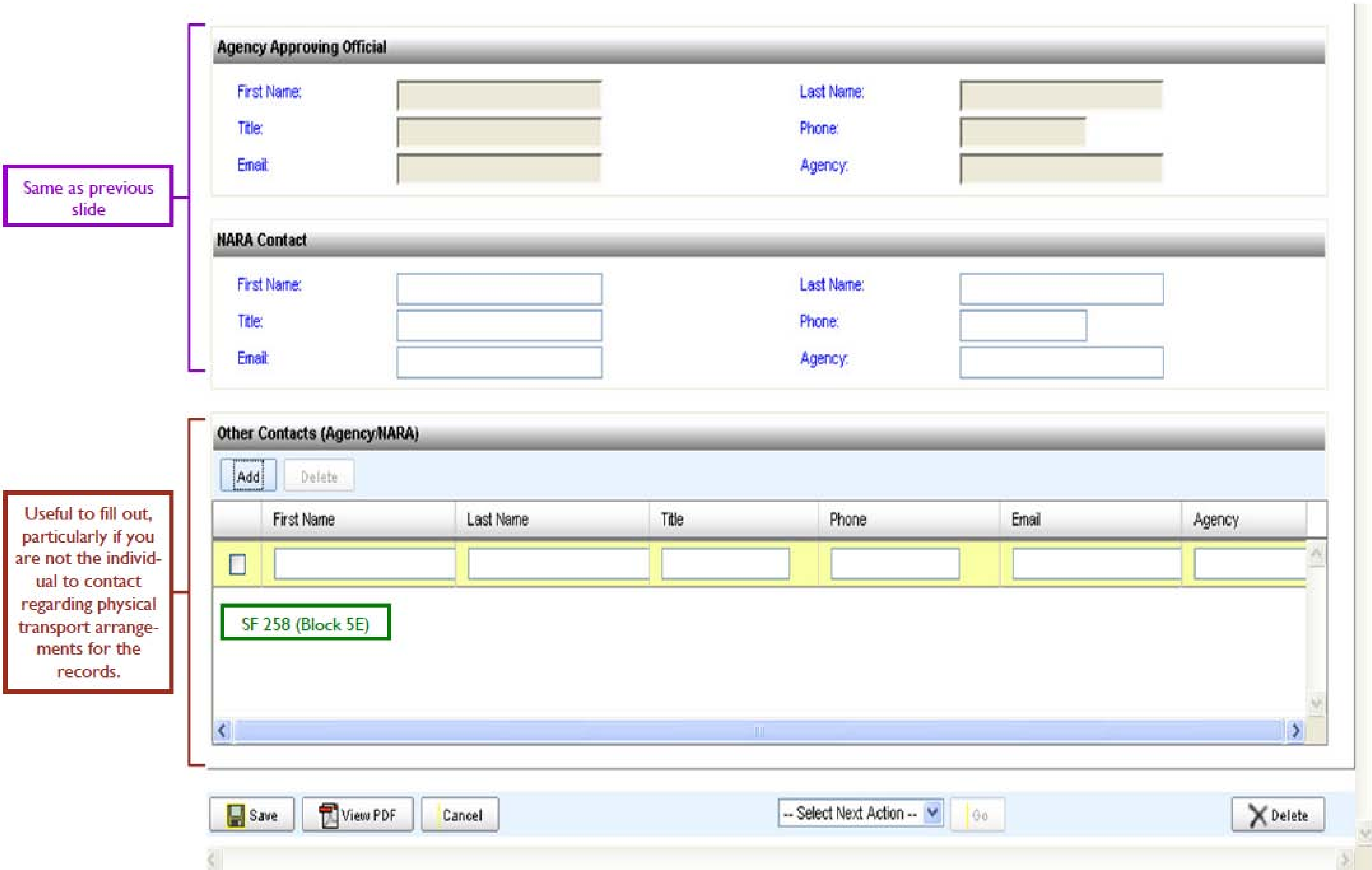

Spell check
Privacy Act Notice Number:
No
Agency System Number:
Federal Register Volume:
Federal Register Page Number:
See Previous Slide
Use Restriction
Use Restriction:
Unrestricted
Specific Use Restriction:
Use Restriction Note:
Edit
Spell check
Records Type
General Records Type:
Textual Records
SF 258 (Block 9)
NOTE: You may add more than one General Records Type
Save
Cancel

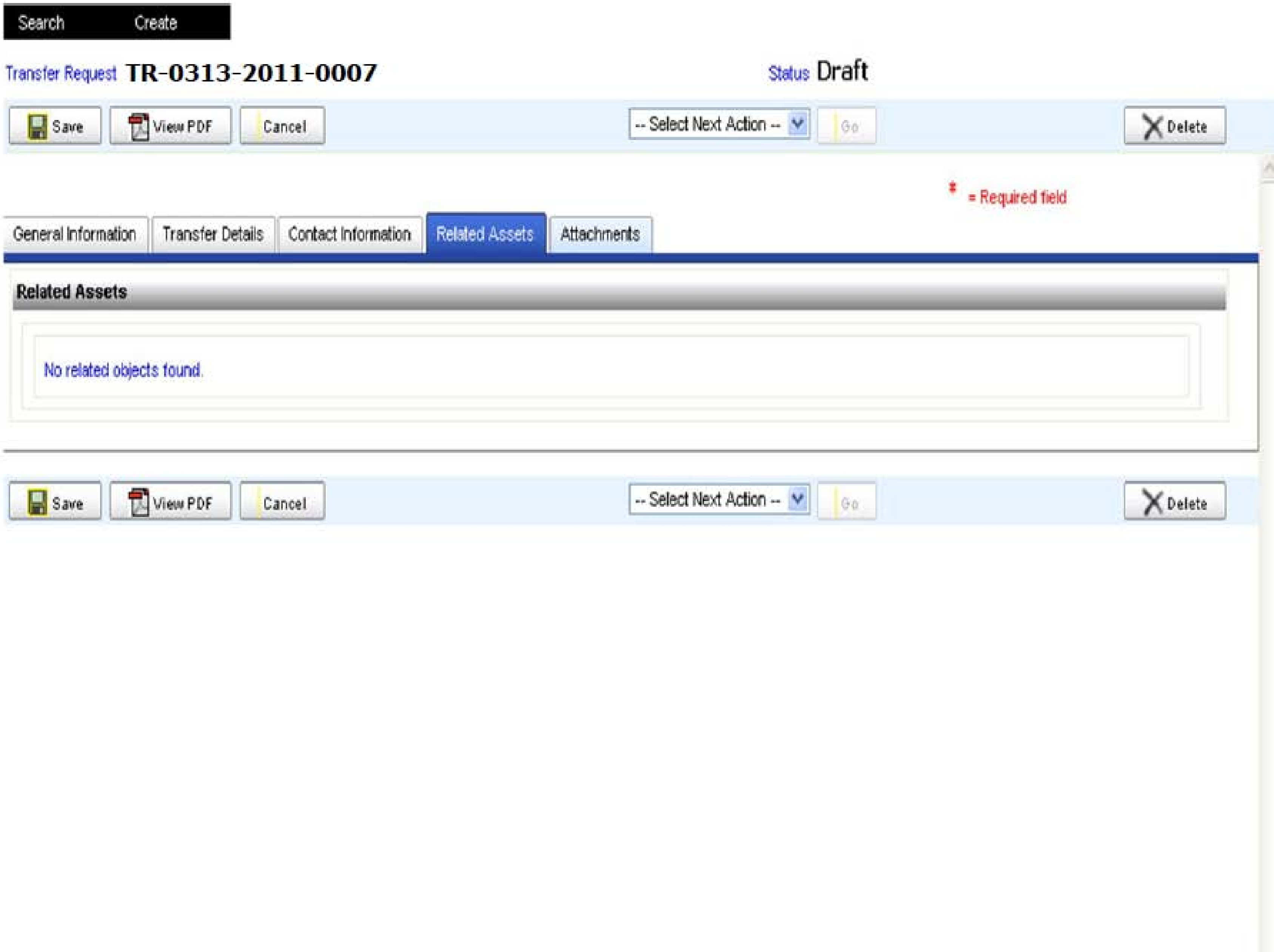

Transfer Request TR-0313-2011-0007
Status Draft
Save
View PDF
Cancel
-- Select Next Action --
Go
Delete
* = Required field
General Information
Transfer Details
Contact Information
Related Assets
Attachments
PP from General Information Tab
Transfer Details
Transfer Group Description:
R&D Technical Report Files
View
Cutoff:
* Transfer Group Disposition Date:
1/1/2011
SF 258 (Block 11)
Current Physical Location of Records
SF 258 (Block 8)
Agency Location:
Yes
SF 258 (Block 8A)
Agency Name and Address:
Dept. of Navy
1776 Blue Waters Way
Anywhere, USA 12345
Edit
Spell check
Not on SF 258
Destination Physical Location of Records
Location:
-- Select one --
* Transfer Method
Electronic Means
Electronic Records Transferred by Electronic Means

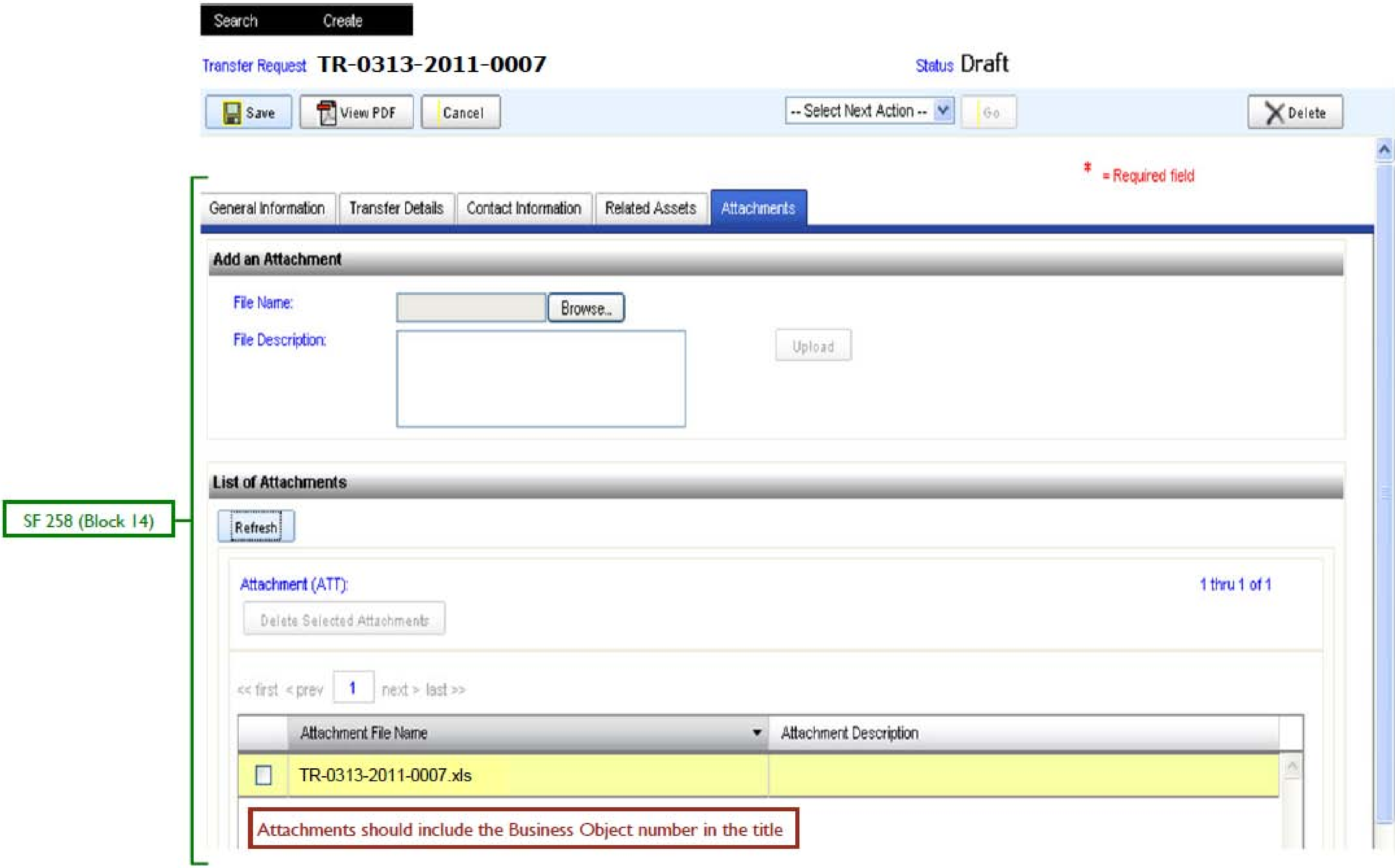

Same as previous slide
Cutoff:
* Transfer Group Disposition Date: 1/1/2011
Current Physical Location of Records
Agency Location: Yes
Agency Name and Address:
Dept. of Navy
1776 Blue Waters Way
Anywhere, USA 12345
Edit
Spell check
Destination Physical Location of Records
Location: National Archives at 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
Physical Means
CD, DVD, USB, Hard Drive, Magnetic Tape, Floppies, etc.
Electronic Records on Physical Media
Physical Transfer of Non-Electronic Records
Paper, photo prints/negatives, maps, blue prints, sound (non electronic audio and sound recordings)
Save
View PDF
Cancel
-- Select Next Action --
Go
Delete

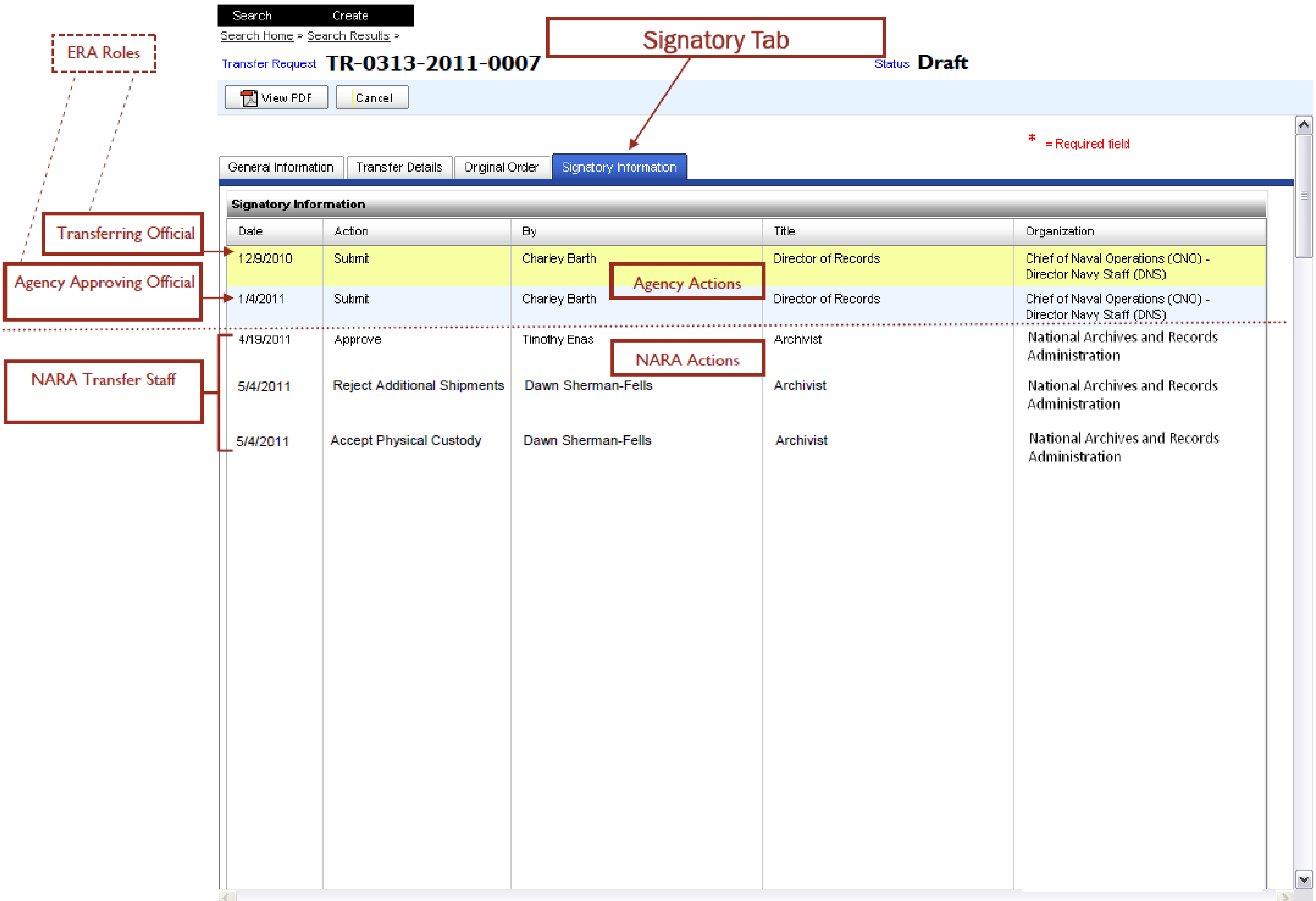

Same as previous slide
Physical Means
Electronic Records on Physical Media
Physical Transfer of Non-Electronic Records
* Physical Media Types - Non-Electronic Records
Add
Delete
Quantity
Transfer Media Type
Container Description
SF 258 (Block 9)
5
Paper
For Textual Transfers, always put the number of 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)
SF 258 (Block 10)
* 5
FRC-S FRC Carton, Standard
15.000
10.125
12.250
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
PP from user profile
Transferring Agency Official
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)


Same as previous slide
Agency Approving Official
First Name:
Last Name:
Title:
Phone:
Email:
Agency:
NARA Contact
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.
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 --
Go
Delete


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
Related Assets
No related objects found.
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 --
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
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
SF 258 (Block 14)


ERA Roles
Transferring Official
Agency Approving Official
NARA Transfer Staff
Signatory Tab
Agency Actions
NARA Actions
Search
Create
Search Home > Search Results >
Transfer Request TR-0313-2011-0007
Status Draft
View PDF
Cancel
* = Required field
General Information
Transfer Details
Original Order
Signatory Information
Signatory Information
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

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.

2A. AGENCY APPROVAL	3A. NARA APPROVAL
Signature *Navy Records Officer* Date *6/5/11*	Signature *NARA Official* Date *7/1/11*
2' Navy Records Officer Department of the Navy 1776 Blue Waters Way Anywhere, USA 12345	3' NARA Official 8601 Adelphi Road—Room 0001 College Park, MD 20740

Agency Approving Official

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 — Contact Information

Name CiCi Jane

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 — Current Physical Location of Records

X Agency (Complete 8A only)

___ Federal Records Center (Complete 8 B only)

8A. ADDRESS

Department of the Navy

1776 Blue Waters Way

Anywhere, USA 12345

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

8B. FRC ACCESSION NUMBER N/A — Transaction Type/Transaction Number

CONTAINER NUMBER(S) 5

FRC LOCATION N/A — Location

SF 258 EXAMPLE—NOT VALID DOCUMENT

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION	RG 313
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES Signature NARA Official Date 8/1/11	17. NATIONAL ARCHIVES ACCESSION NO.

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

Appendix D

Job Aid

Transferring Permanent Records to NARA Using ERA:

Cross-walking the ERA Transfer Request to the SF 258

Electronic Records

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

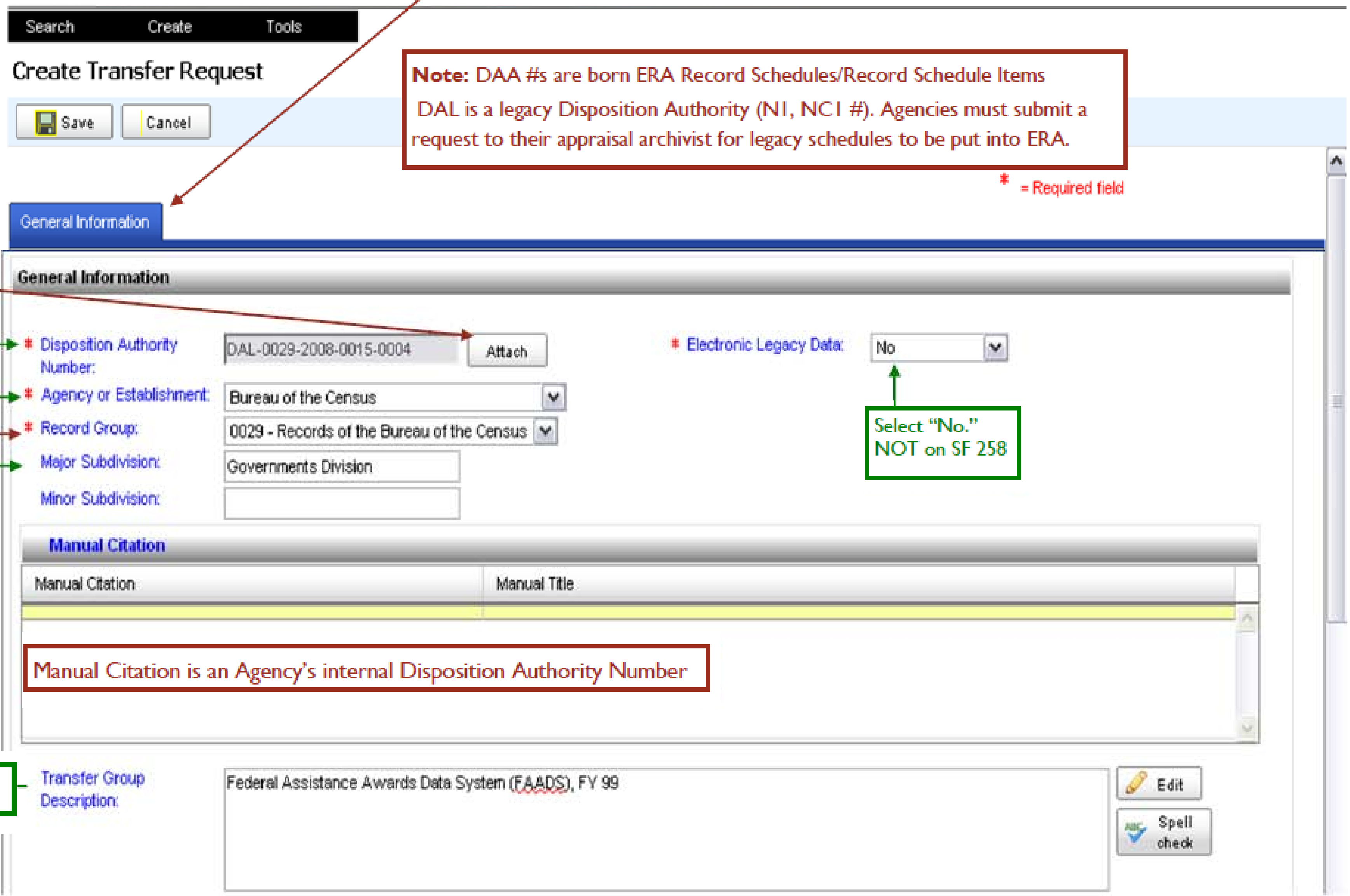
SF-258 fields mapped to ERA Transfer Request (TR) fields

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.



SF 258 (Block 6)

SF 258 (Block 5A) (PP)

(PP)

SF 258 (Block 5B) (PP)

Select "No." NOT on SF 258

SF 258 (Block 14)

Manual Citation is an Agency's internal Disposition Authority Number

SF 258 (Block 4A and 4B)

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

Always "No" (PP)

Legacy Disposition Authority Number: NC1-029-82-004 / 50

* Type of Legal Transfer: Direct Offer

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

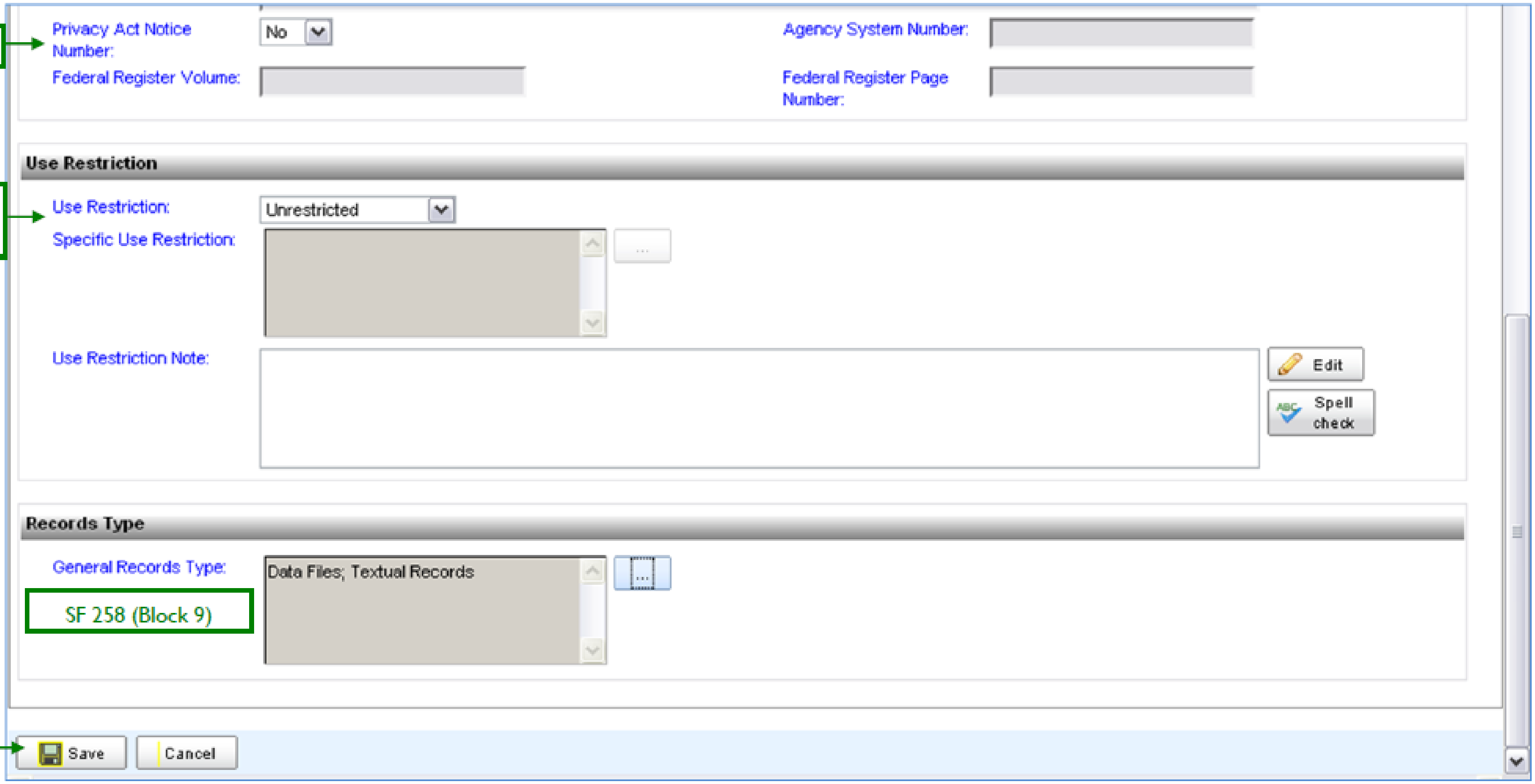
Specific Access Restriction:

Security Classification:

SF 258 (Block 7)

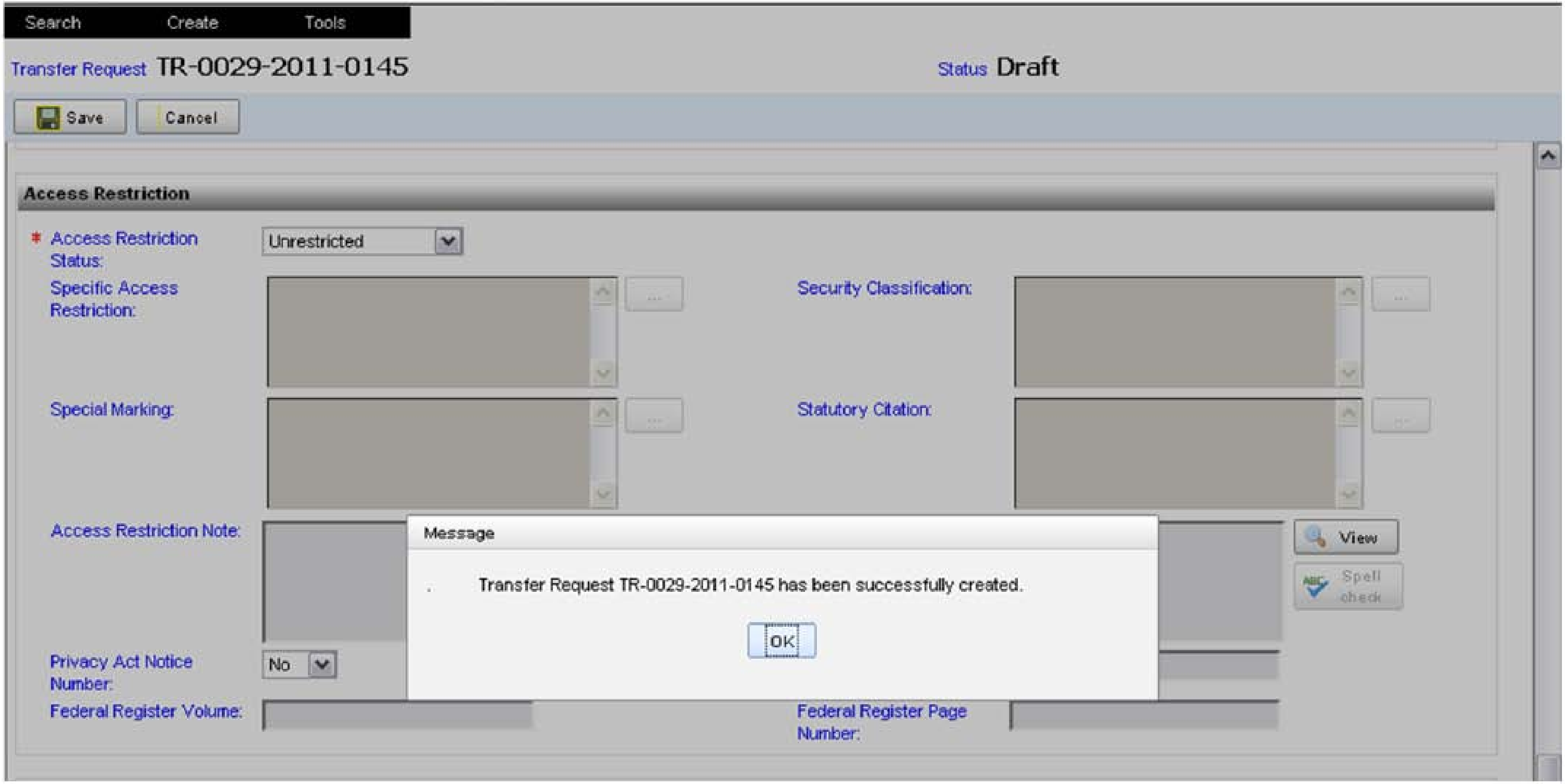
SF 258 (Block 13)

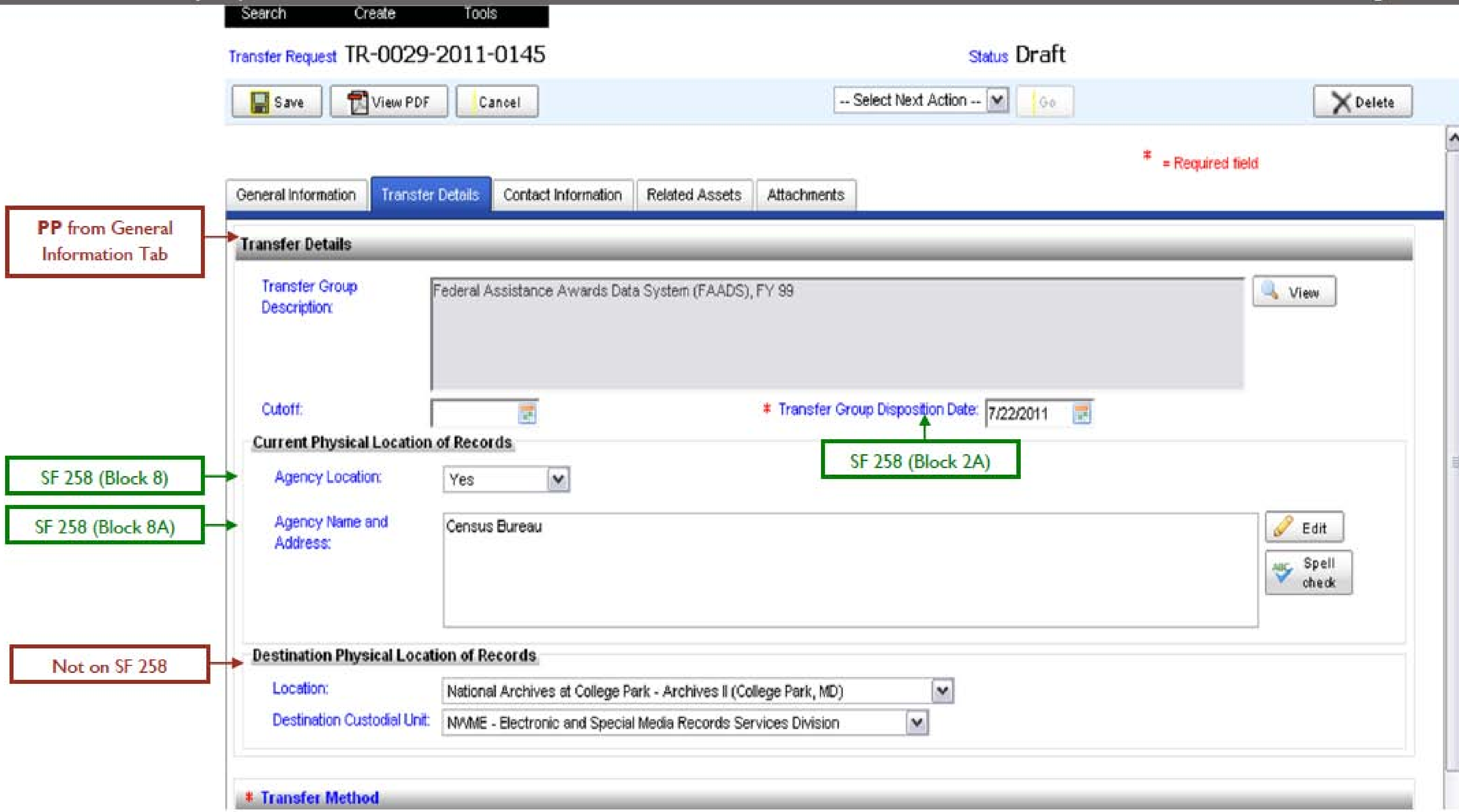
NOT on SF 258

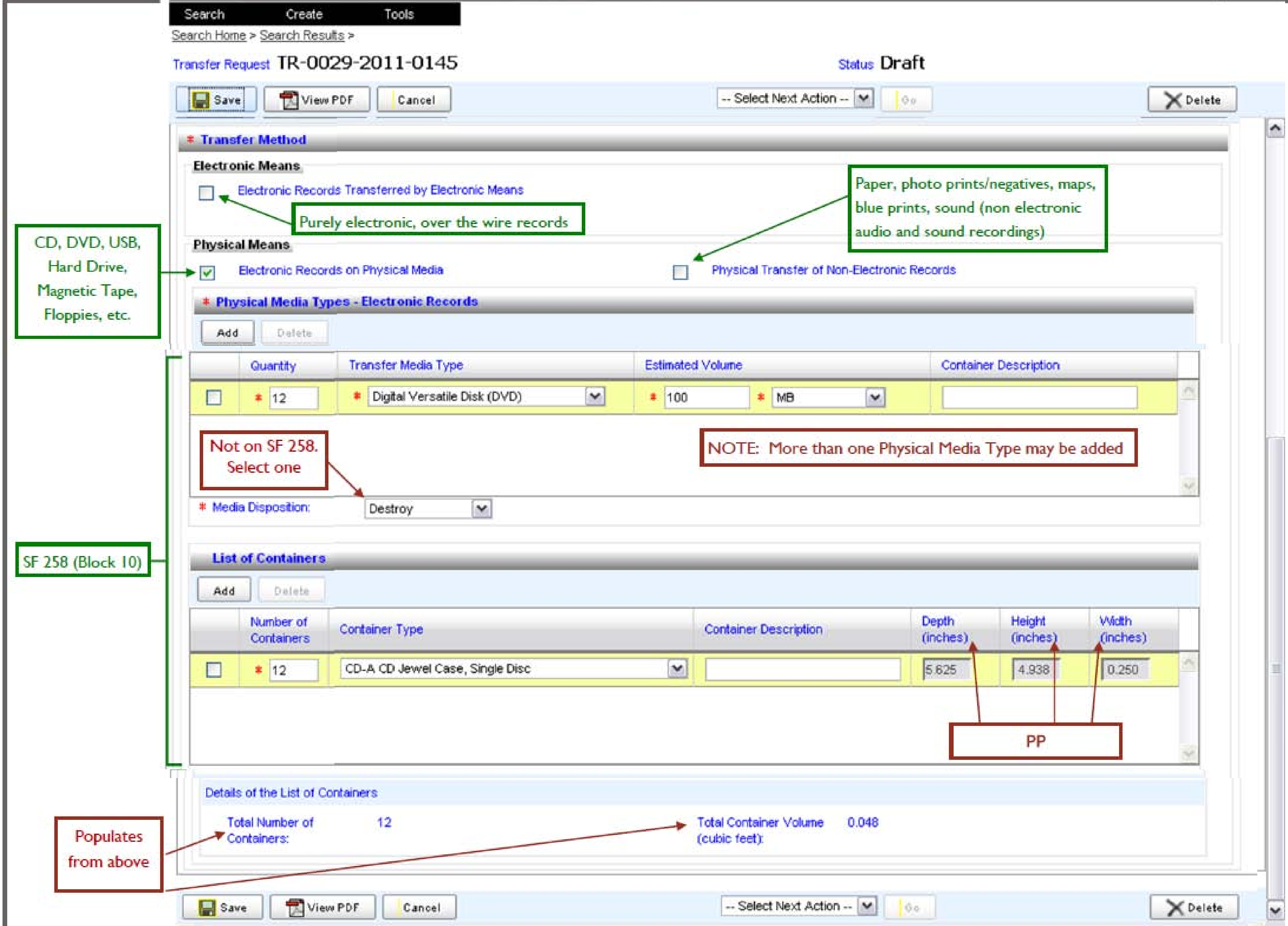


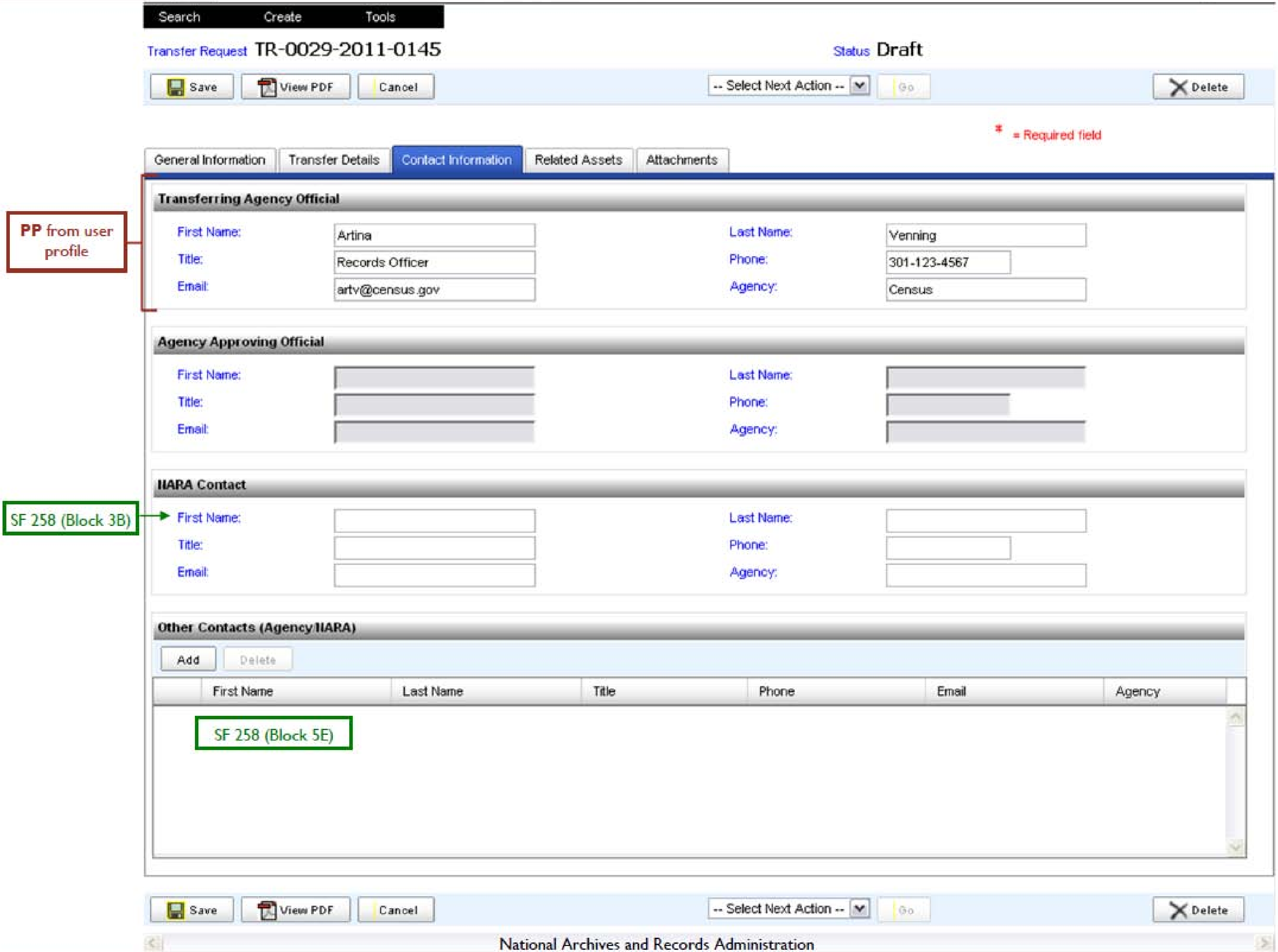
Click "Save"

See next slide for results


Search
Create
Tools
Transfer Request TR-0029-2011-0145
Status Draft
Save
Cancel
Access Restriction
* Access Restriction Status:
Unrestricted
Specific Access Restriction:
Security Classification:
Special Marking:
Statutory Citation:
Access Restriction Note:
View
Spell check
Privacy Act Notice Number:
No
Federal Register Volume:
Federal Register Page Number:
Message
Transfer Request TR-0029-2011-0145 has been successfully created.
OK


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
Not on SF 258
Destination Physical Location of Records
Location:
National Archives at College Park - Archives II (College Park, MD)
Destination Custodial Unit:
NWME - Electronic and Special Media Records Services Division
* Transfer Method


Search
Create
Tools
Search Home > Search Results >
Transfer Request TR-0029-2011-0145
Status Draft
Save
View PDF
Cancel
-- Select Next Action --
Go
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)
CD, DVD, USB, Hard Drive, Magnetic Tape, Floppies, etc.
Physical Means
Electronic Records on Physical Media
Physical Transfer of Non-Electronic Records
* Physical Media Types - Electronic Records
Add
Delete
Quantity
Transfer Media Type
Estimated Volume
Container Description
12
Digital Versatile Disk (DVD)
100
MB
Not on SF 258. Select one
NOTE: More than one Physical Media Type may be added
* Media Disposition:
Destroy
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
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 --
Go
Delete


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 user profile
Transferring Agency Official
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 --
Go
Delete

Search Create Tools

Transfer Request TR-0029-2011-0145

Status Draft

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

* = Required field

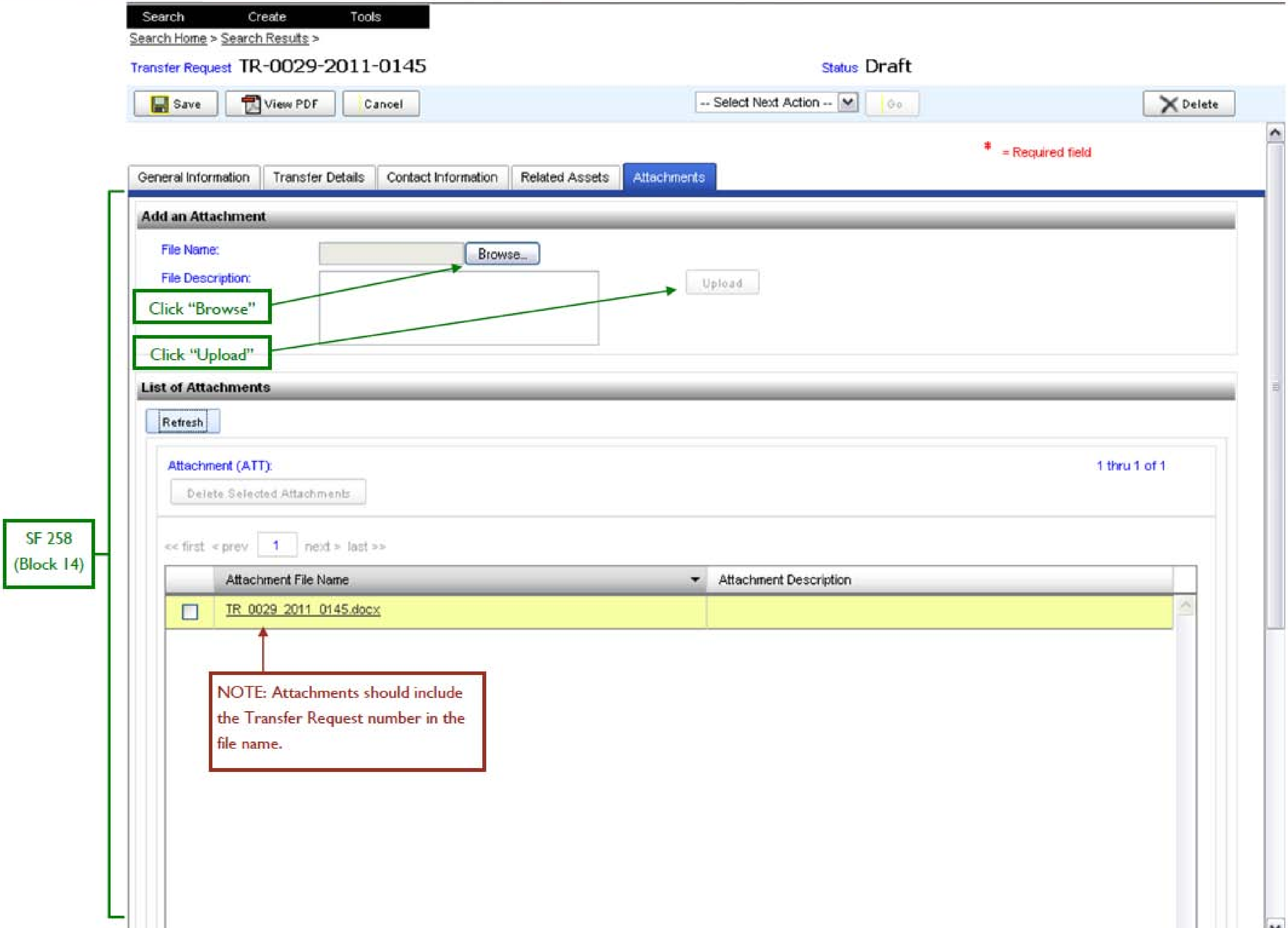
General Information | Transfer Details | Contact Information | Related Assets | Attachments

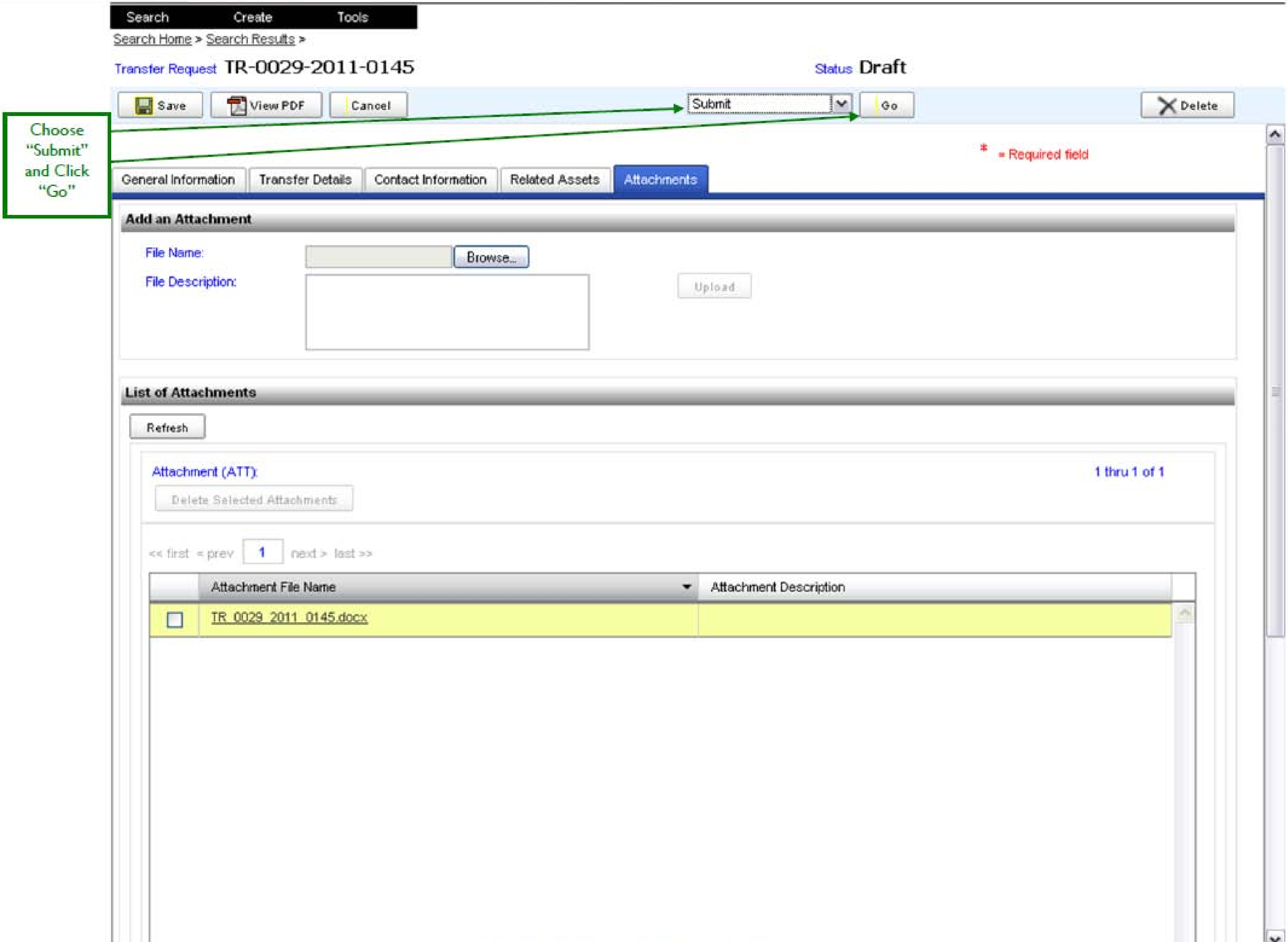
Not on SF 258

Related Assets

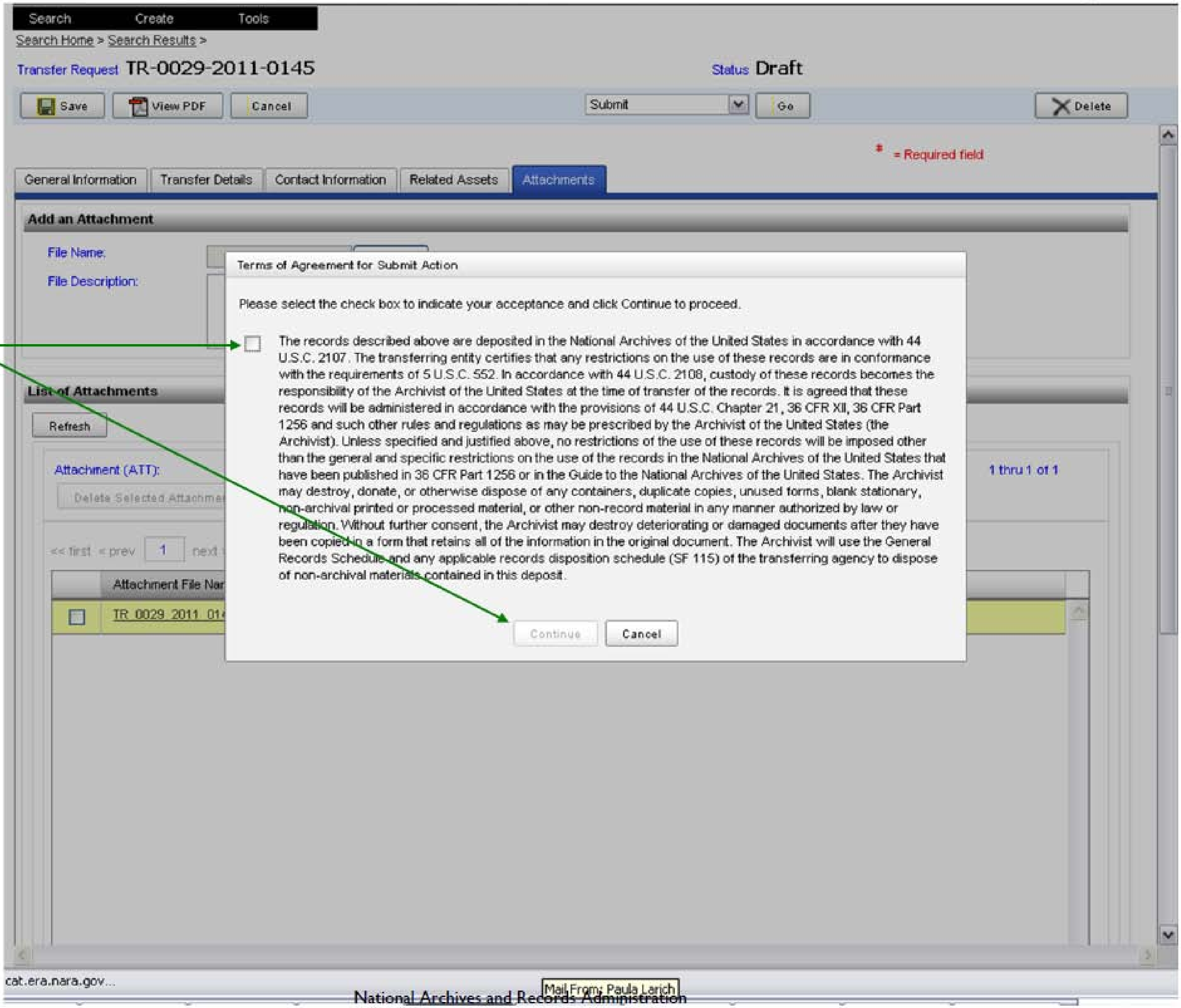
No related objects found.

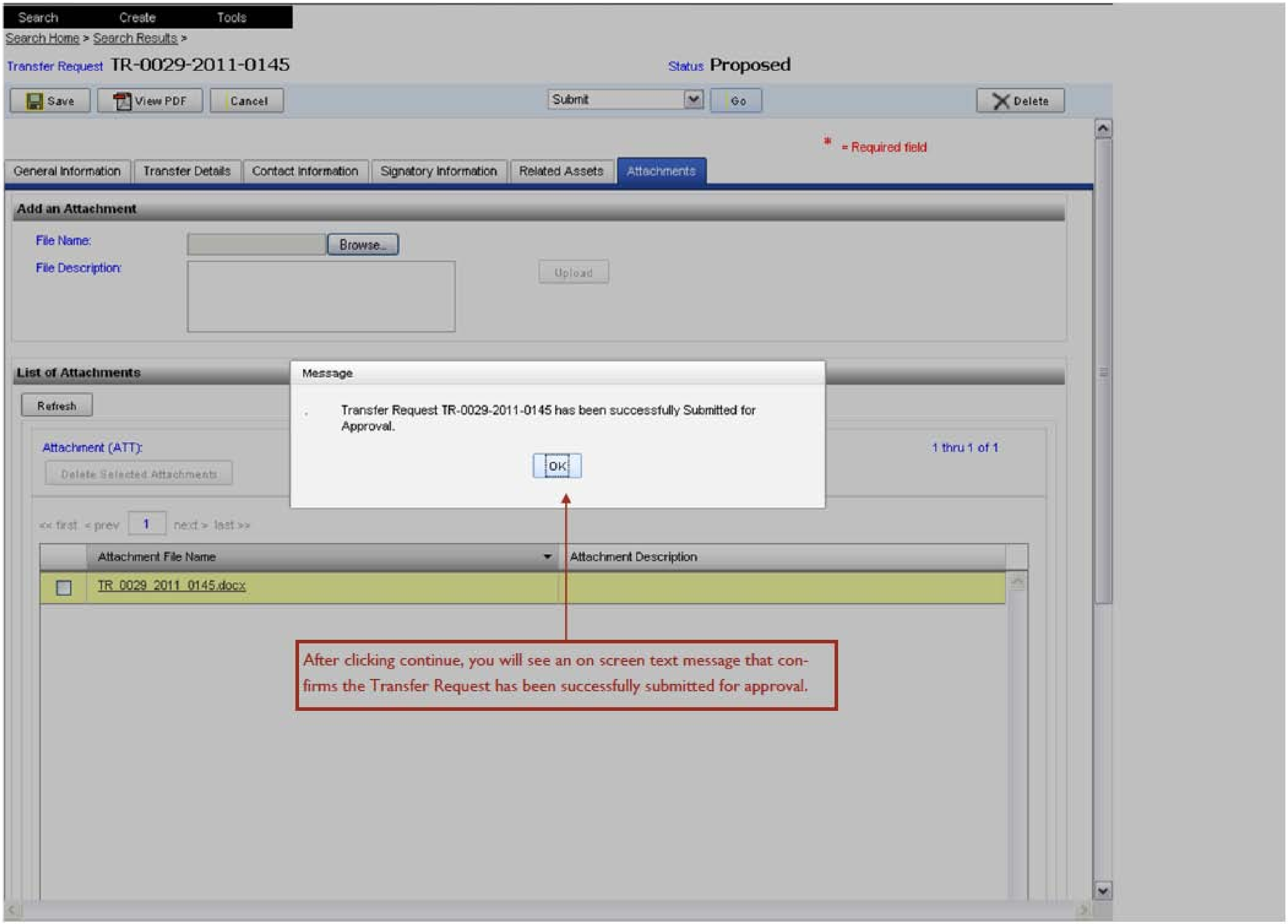
Save View PDF Cancel -- Select Next Action -- Go Delete

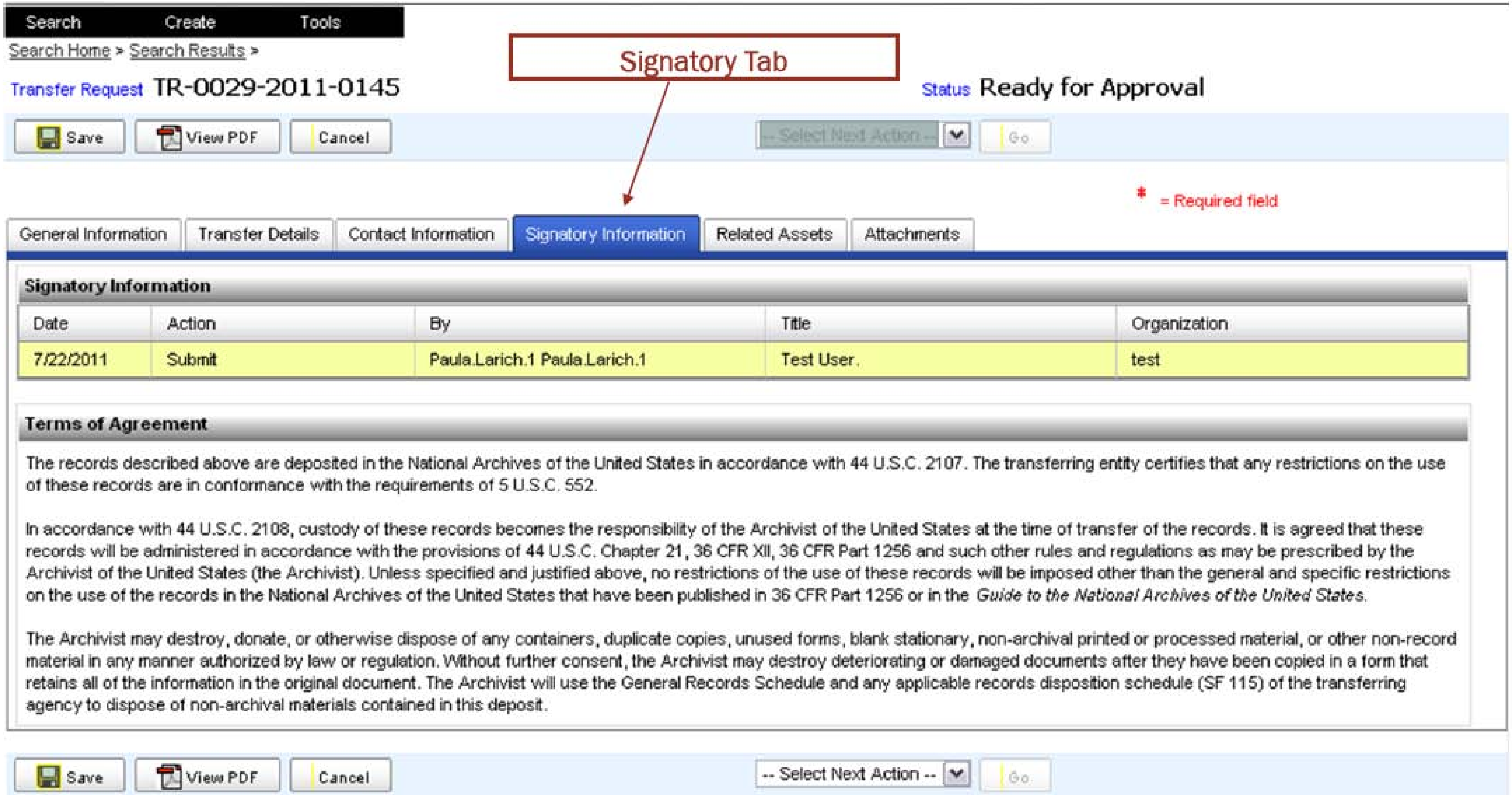

Search
Create
Tools
Search Home > Search Results >
Transfer Request TR-0029-2011-0145
Status Draft
Save
View PDF
Cancel
-- Select Next Action --
Go
Delete
* = Required field
General Information
Transfer Details
Contact Information
Related Assets
Attachments
Add an Attachment
File Name:
Browse...
File Description:
Upload
Click "Browse"
Click "Upload"
List of Attachments
Refresh
Attachment (ATT):
1 thru 1 of 1
Delete Selected Attachments
<< 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.
SF 258 (Block 14)


Choose "Submit" and Click "Go"
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:
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

Click checkbox and "Continue"




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):
Delete Selected Attachments
1 thru 1 of 1
<< 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.



Search Create Tools

Search Home > Search Results >

Signatory Tab

Transfer Request TR-0029-2011-0145

Status Ready for Approval

Save View PDF Cancel -- Select Next Action -- 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 -- 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 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 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	3A. NARA APPROVAL
Signature *Navy Records Officer* Date *6/5/11*	Signature *NARA Official* Date *7/1/11*
2' Navy Records Officer Department of the Navy 1776 Blue Waters Way Anywhere, USA 12345	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 — Contact Information
Name CiCi Jane
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 — Current Physical Location of Records
X Agency (Complete 8A only)
__ Federal Records Center (Complete 8 B only)

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

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

10. VOLUME: — List of Containers/Detail of the List of Containers
Cu. Mtr. (Cu. Ft. 5) CONTAINERS: 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 — Use Attachments Feature
☐ Agency Manual Excerpt
☐ Additional Description
☐ Privacy Act Notice
☐ Other (specify):
☐ Listing of Records Transferred
☐ NA from 14097 or Equivalent
☐ Microform Inspection Report
☐ SF(s) 135

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

SF 258 EXAMPLE—NOT VALID DOCUMENT

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION	RG 313
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES Signature NARA Official Date 8/1/11	17. NATIONAL ARCHIVES ACCESSION NO.

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.

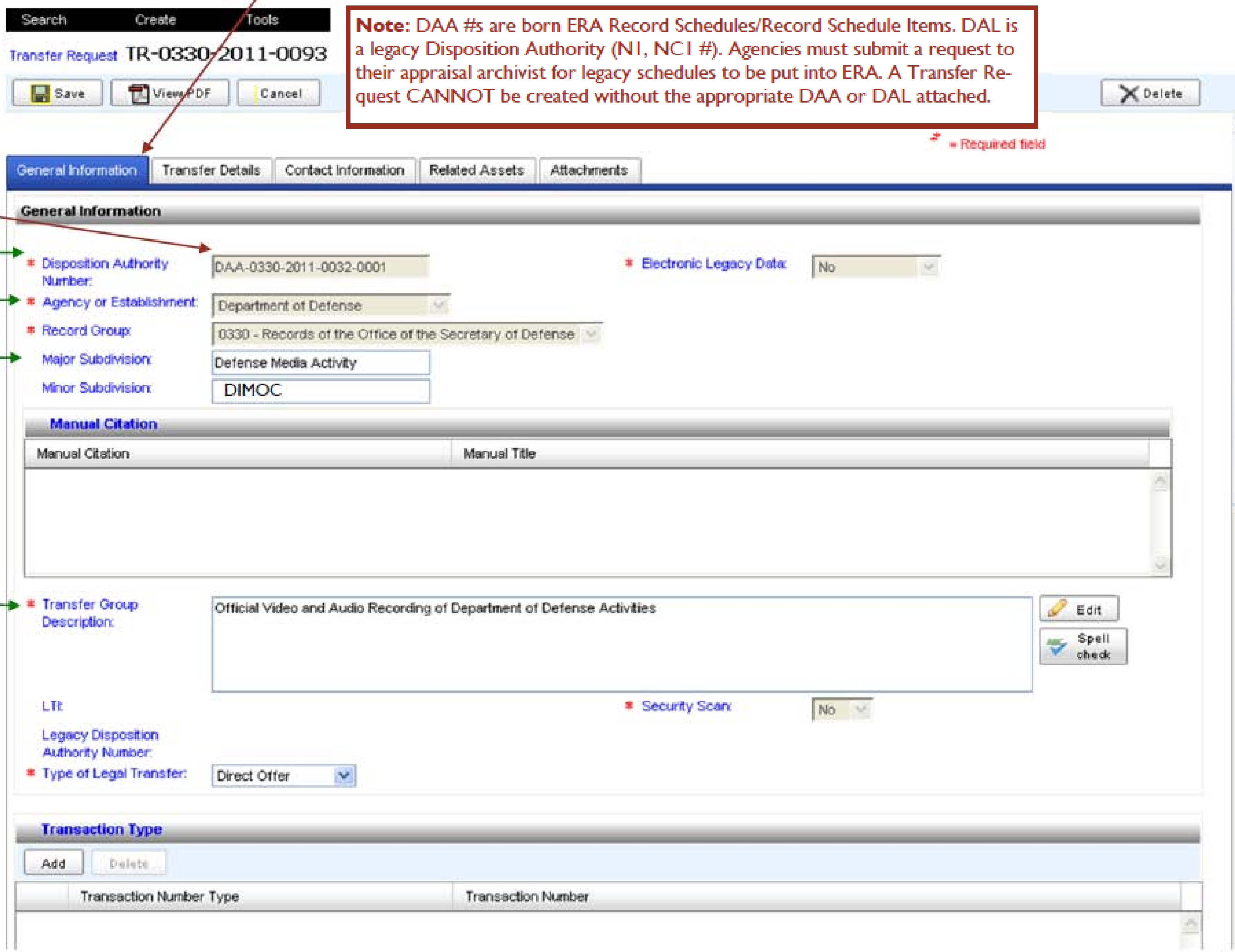
Note: DAA #s are born ERA Record Schedules/Record Schedule Items. DAL is a legacy Disposition Authority (N1, NC1 #). Agencies must submit a request to their appraisal archivist for legacy schedules to be put into ERA. A Transfer Request CANNOT be created without the appropriate DAA or DAL attached.

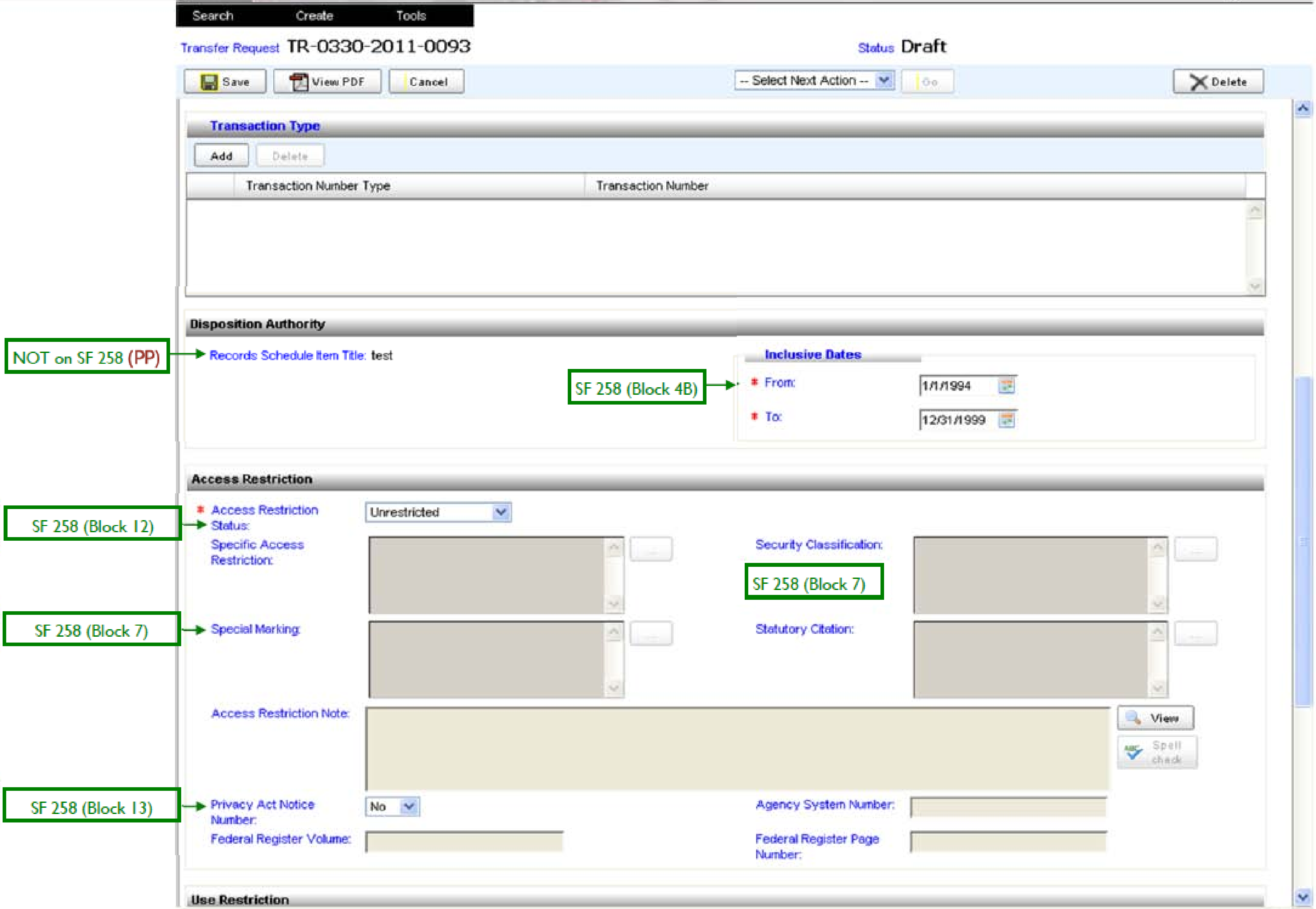
SF 258 (Block 6) **(PP)**

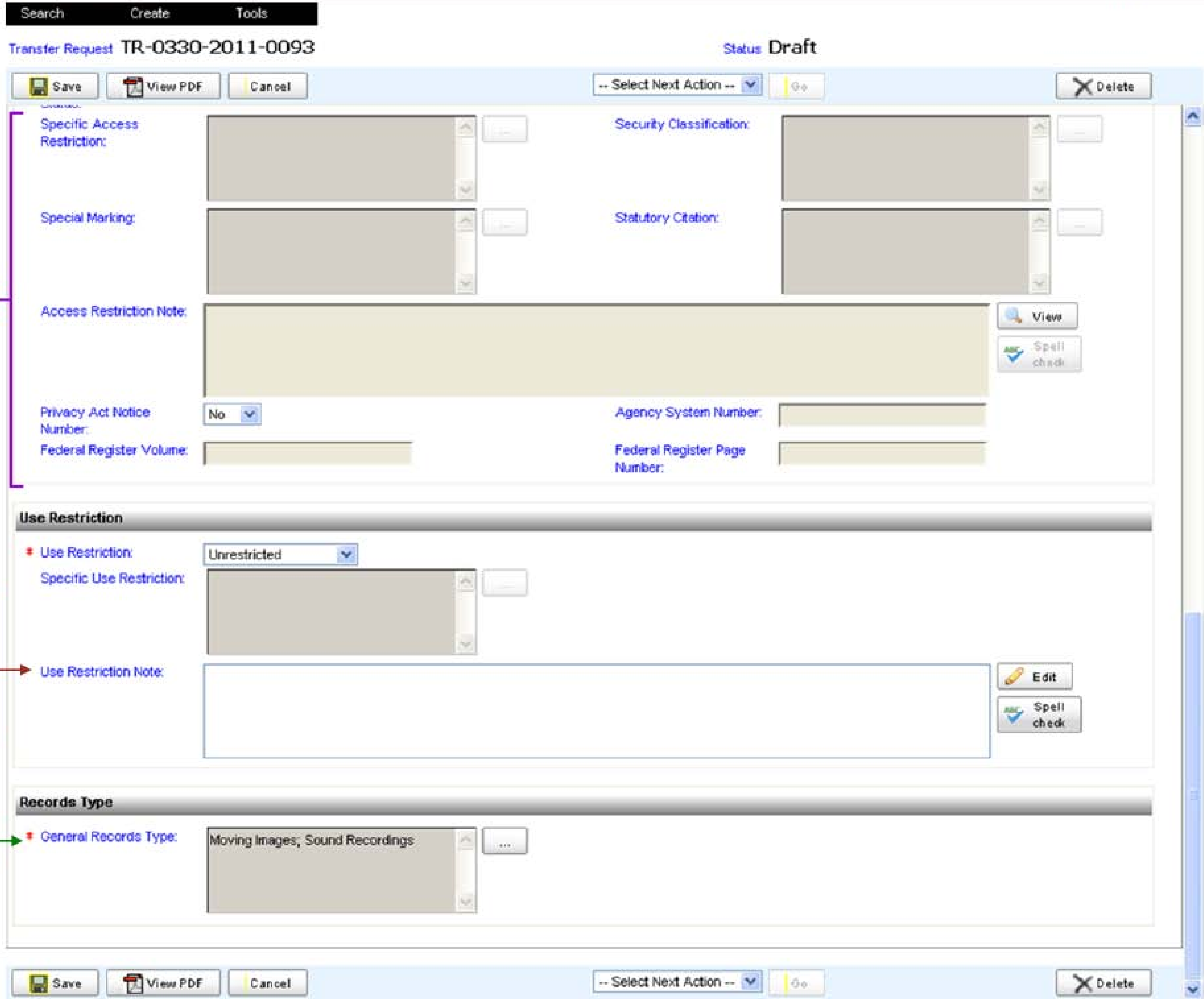
SF 258 (Block 5A) **(PP)**

SF 258 (Block 5B/D)

SF 258 (Block 4A)



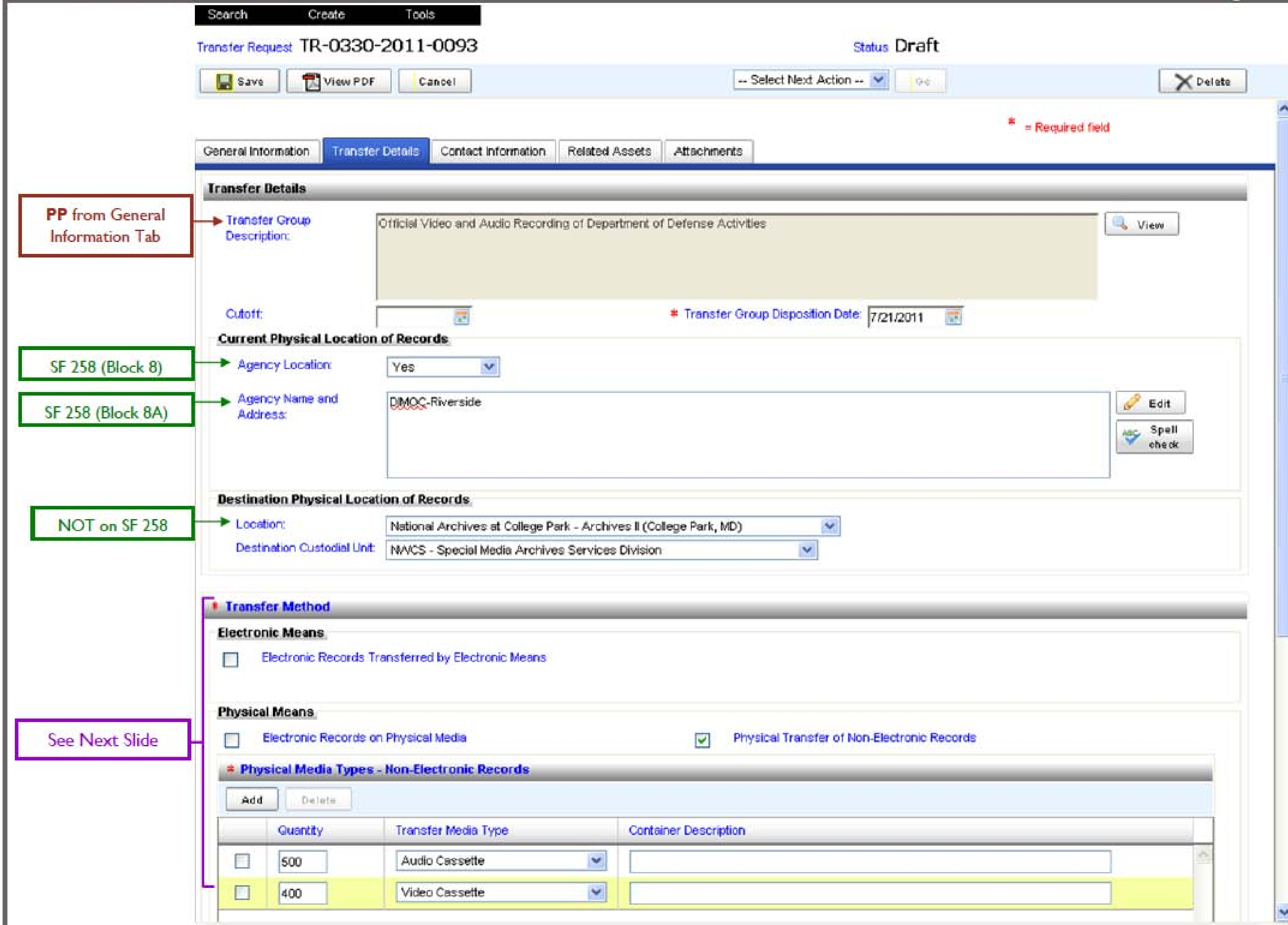

Search
Create
Tools
Transfer Request TR-0330-2011-0093
Status Draft
Save
View PDF
Cancel
-- Select Next Action --
Go
Delete
Transaction Type
Add
Delete
Transaction Number Type
Transaction Number
Disposition Authority
NOT on SF 258 (PP)
Records Schedule Item Title: test
Inclusive Dates
SF 258 (Block 4B)
* 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
Spell check
SF 258 (Block 13)
Privacy Act Notice Number: No
Agency System Number:
Federal Register Volume:
Federal Register Page Number:
Use Restriction

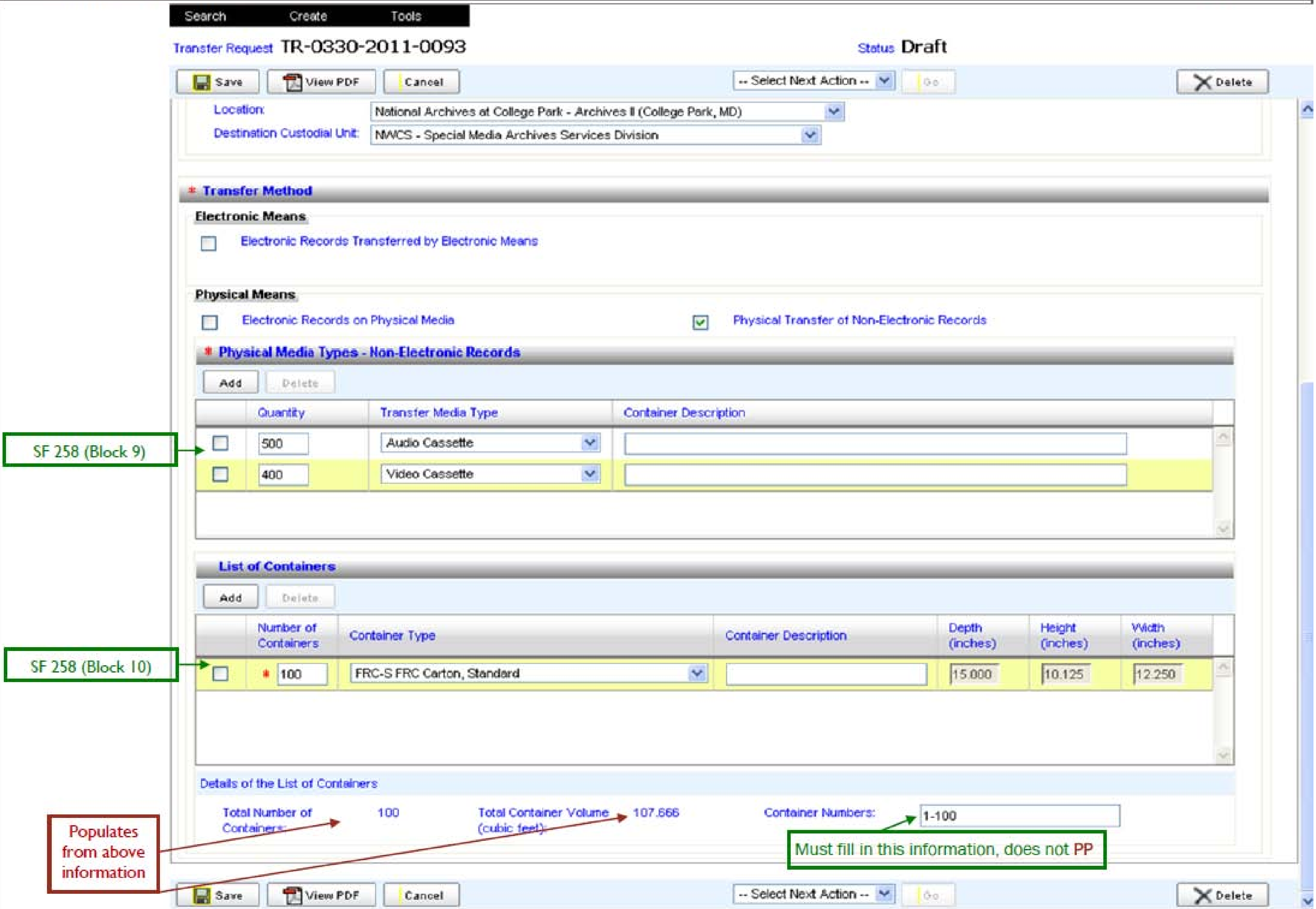


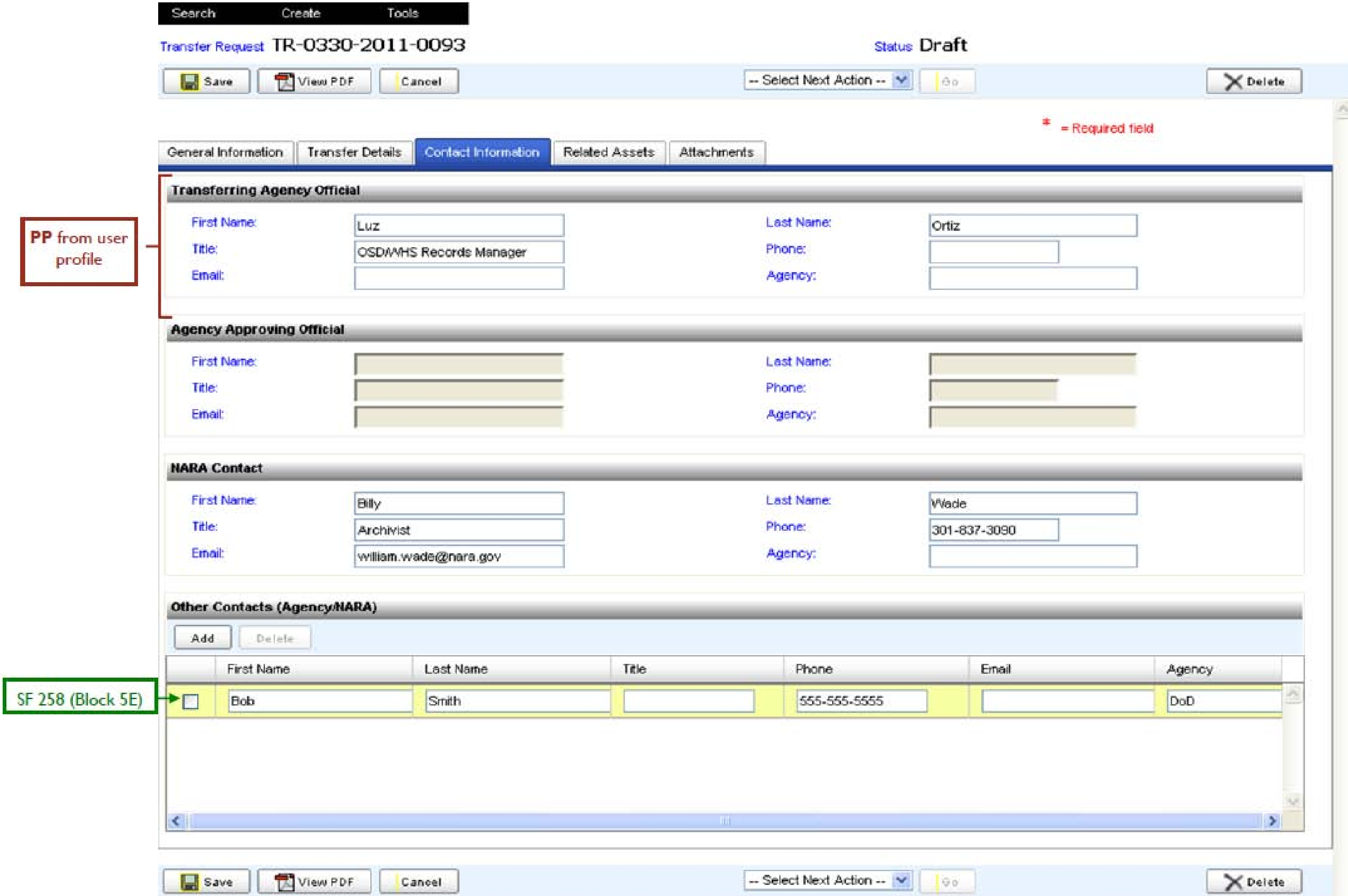
See previous slide

Not on SF 258. Field used if some or all of the records may be subject to copyright or other intellectual property restrictions.

SF 258 (Block 9)


Search
Create
Tools
Transfer Request TR-0330-2011-0093
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:
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
SF 258 (Block 8A)
Agency Name and Address:
DMOC-Riverside
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: NWCS - Special Media Archives Services Division
* 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
400
Video Cassette


Search
Create
Tools
Transfer Request TR-0330-2011-0093
Status Draft
Save
View PDF
Cancel
-- Select Next Action --
Go
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
Delete


Search
Create
Tools
Transfer Request TR-0330-2011-0093
Status Draft
Save
View PDF
Cancel
-- Select Next Action --
Go
Delete
* = Required field
General Information
Transfer Details
Contact Information
Related Assets
Attachments
PP from user profile
Transferring Agency Official
First Name: Luz
Last Name: Ortiz
Title: OSD/WHS Records Manager
Phone:
Email:
Agency:
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
SF 258 (Block 5E)
Bob
Smith
555-555-5555
DoD
Save
View PDF
Cancel
-- Select Next Action --
Go
Delete

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

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.

Agency Approving Official

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

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

9. PHYSICAL FORMS

General Records Type

___ Paper Documents
___ Paper Publications
___ Microfilm/Microfiche
___ Electronic Records
___ Photographs
_ _ Posters
___ Maps and Charts
___ Arch/Eng Drawings
_X_ Motion/Sound/Video
___ Other *(specify)*: ______________

List of Containers/Detail of the List of Containers

5D. UNIT THAT CREATED RECORDS
Defense Imagery Management Operations Cetner (DIMOC)

10. VOLUME: CONTAINERS:
Cu. Mtr.: Cu.Ft.: 107 Number: 100 Type: FRC-S

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS
Name: Bob Smith
Telephone Number: 555-555-5555

Contact Information

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

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

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.)

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

14. ATTACHMENTS
___ Agency Manual Except
___ Additional Description
___ Privacy Act Notice
___ Other *(specify)*: ______________
___ Listing of Records Transferred
___ NA Form 14097 or Equivalent
___ Microform Inspection Report
___ SF(s) 135

Use Attachments Feature

8B. FRC ACCESSION NUMBER CONTAINER NUMBERS FRC LOCATION

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

Job Aid

Stills | Digital Records

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

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.

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

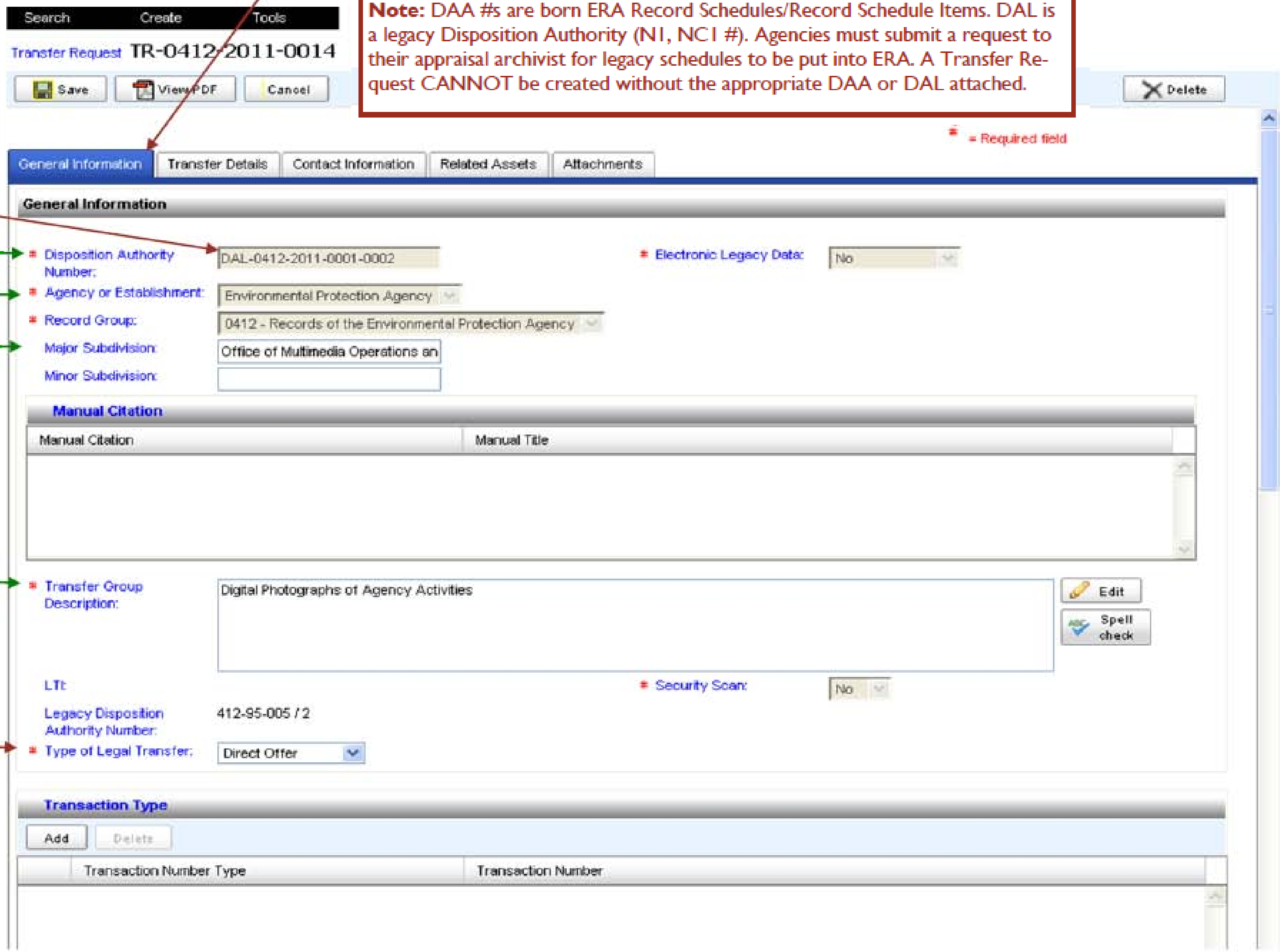
SF 258 (Block 6) **(PP)**

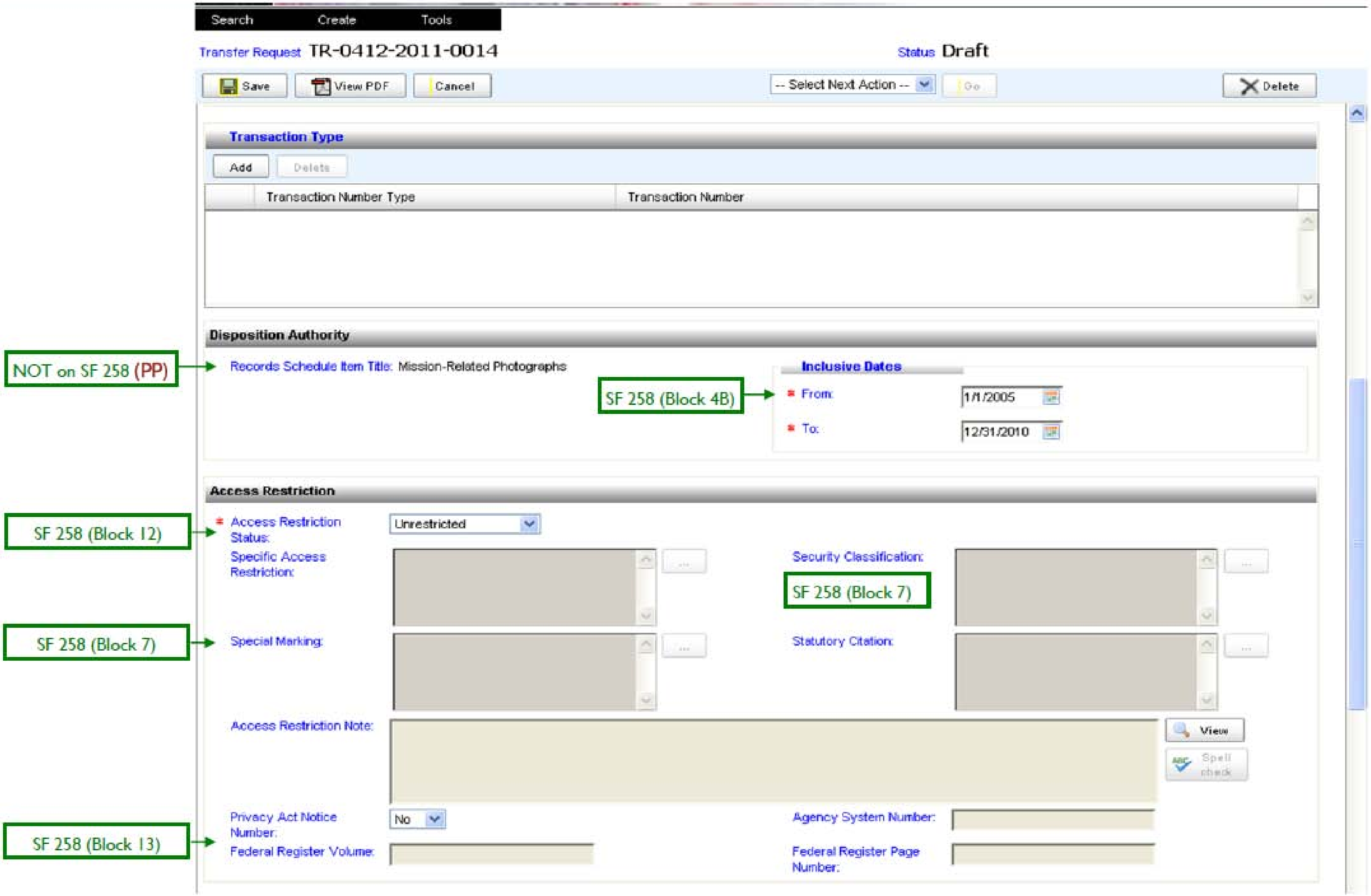
SF 258 (Block 5A) **(PP)**

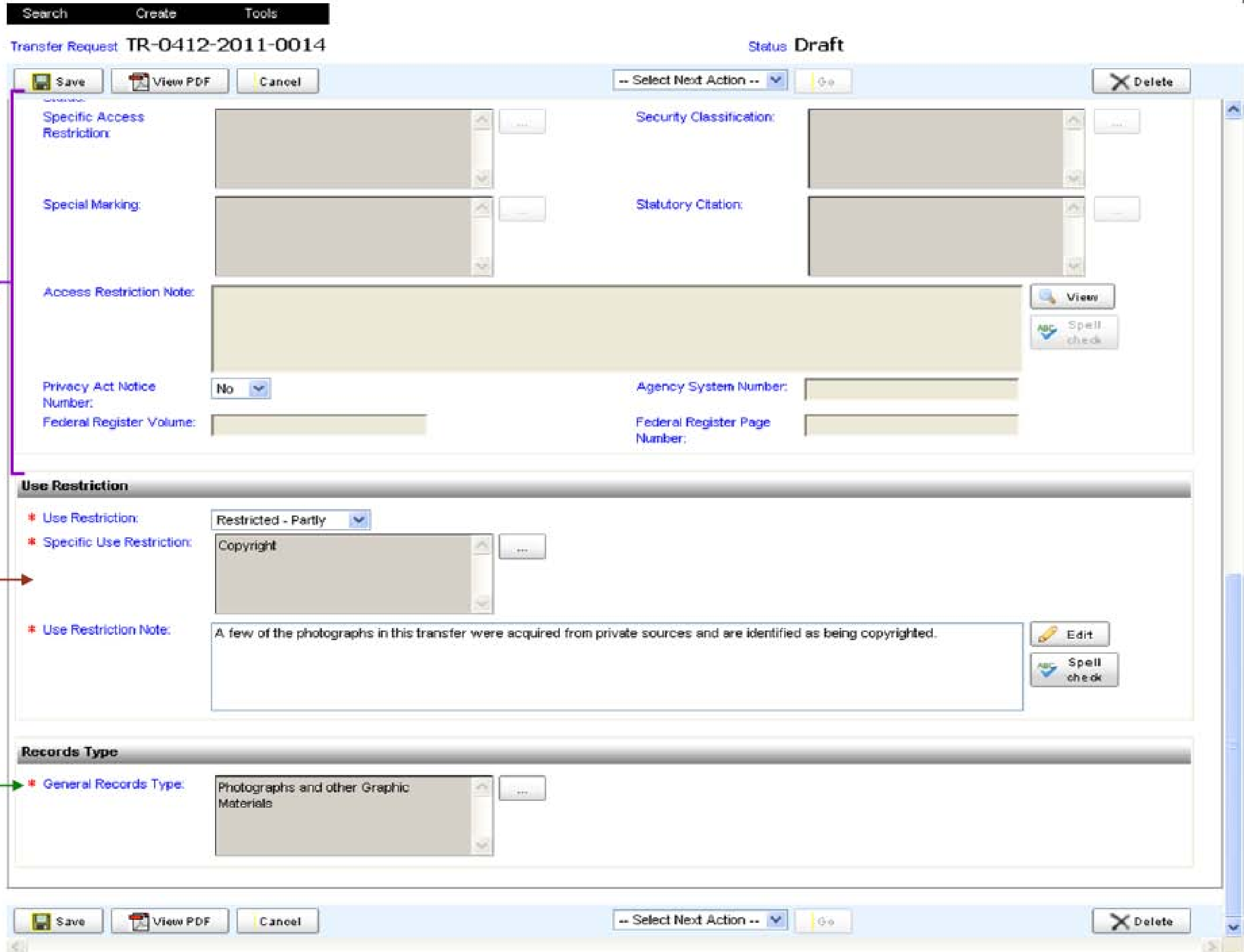
SF 258 (Block 5B/D)

SF 258 (Block 4A)

Select "Direct Offer" from the drop down menu if the records are being transferred directly from the agency and not a Federal Records Center.




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
Spell check
SF 258 (Block 13)
Privacy Act Notice Number: No
Agency System Number:
Federal Register Volume:
Federal Register Page Number:



See previous slide

Not on SF 258. Field used if some or all of the records may be subject to copyright or other intellectual property restrictions.

SF 258 (Block 9)

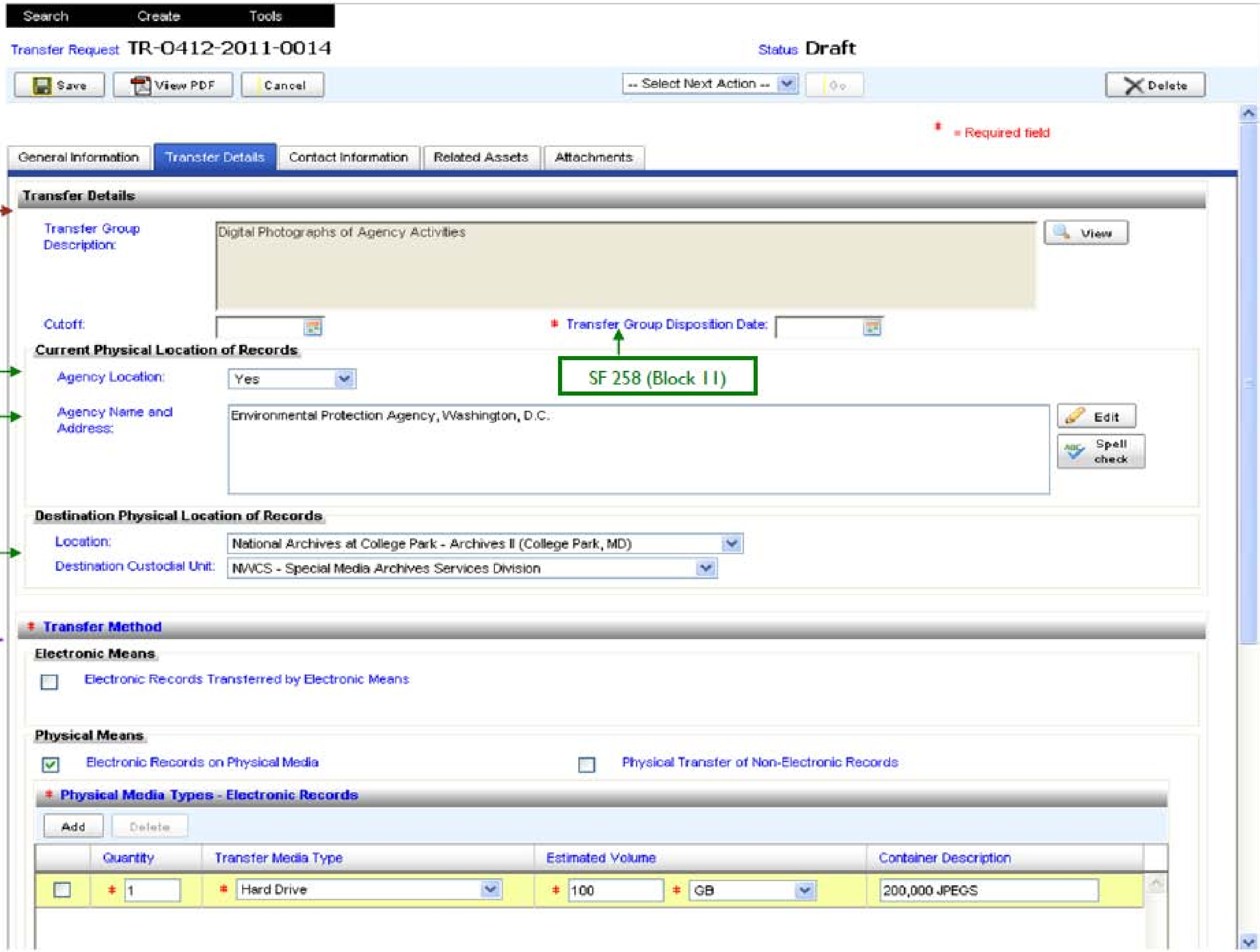
PP from General Information Tab

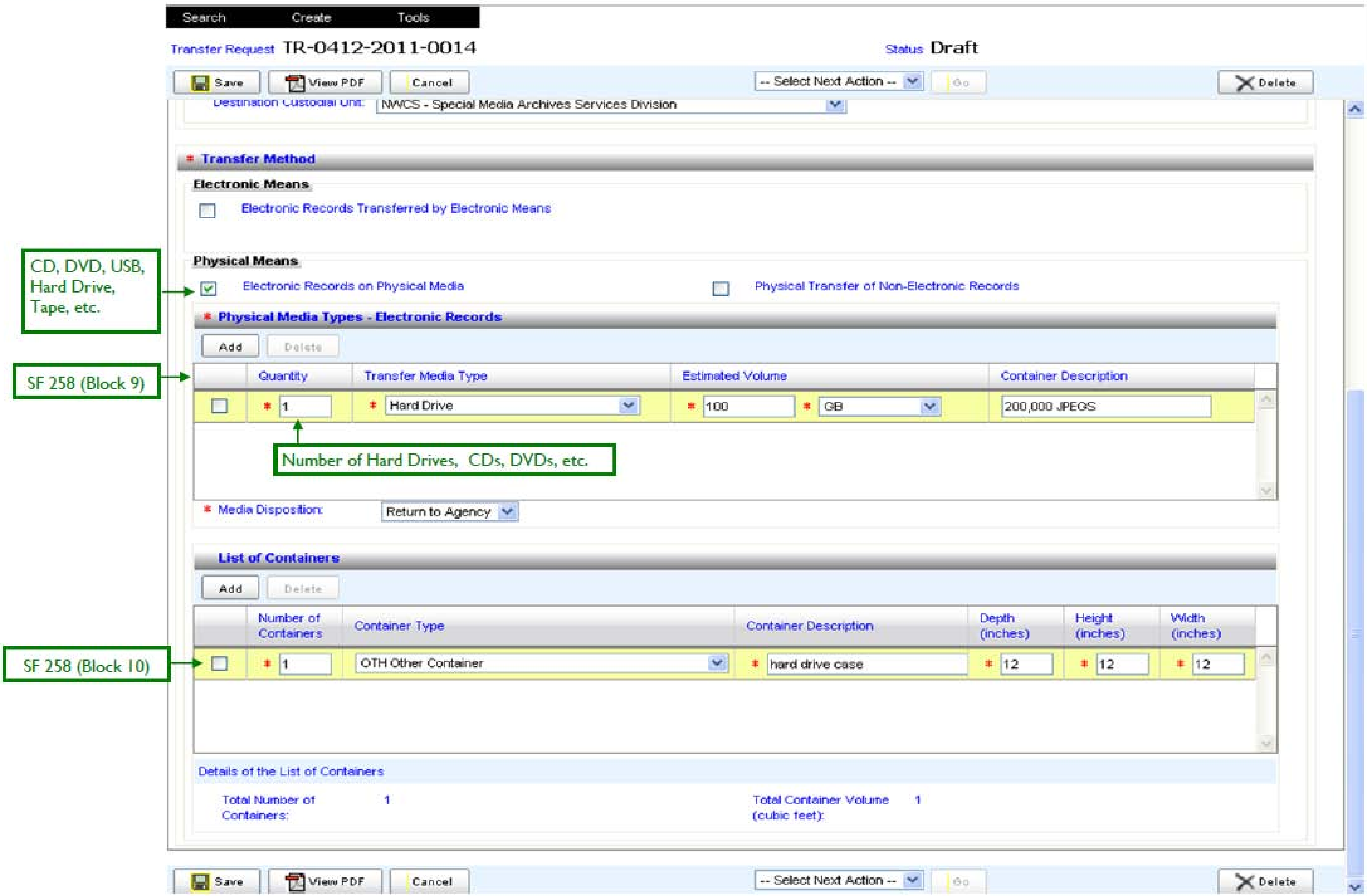
SF 258 (Block 8)

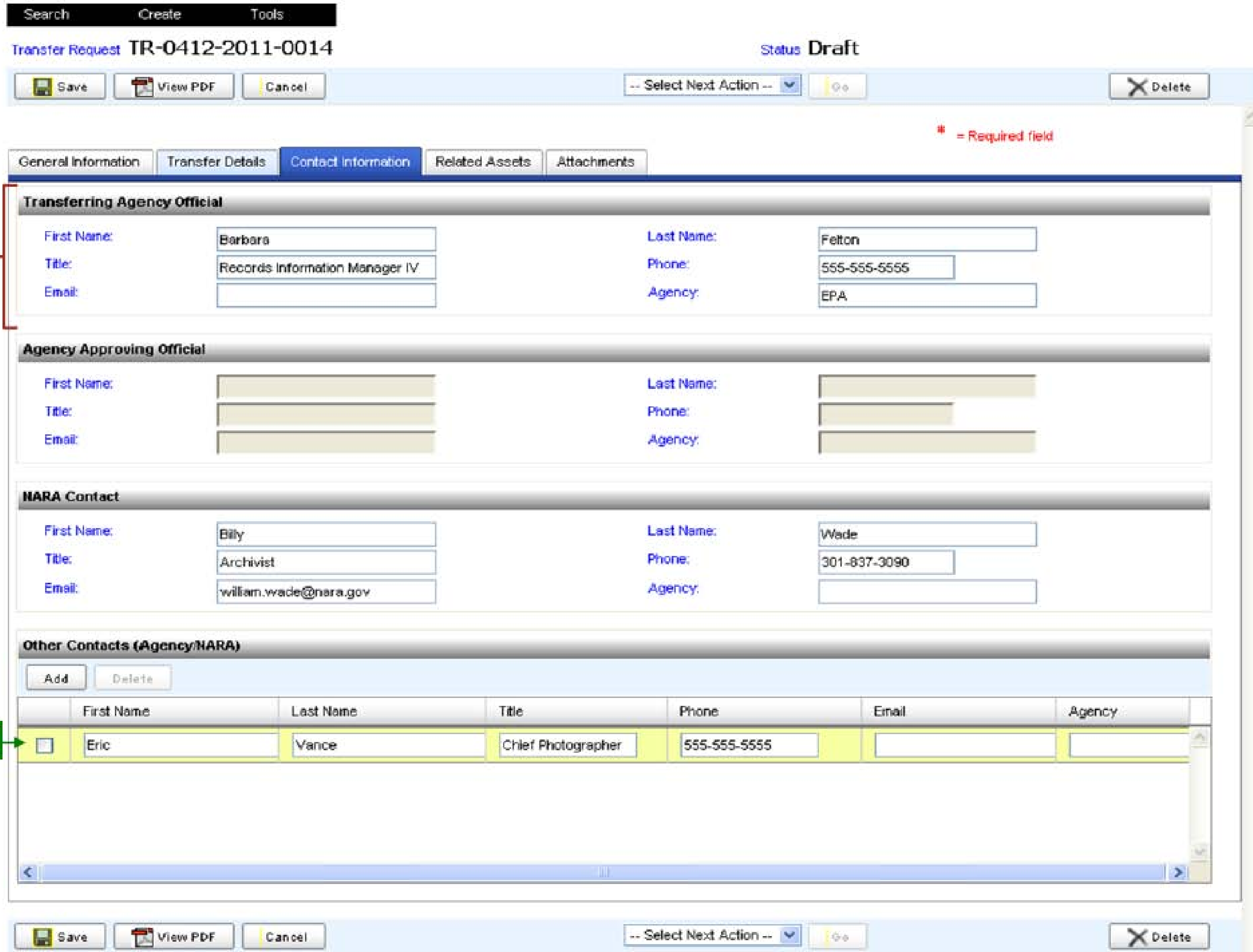
SF 258 (Block 8A)

NOT on SF 258

See Next Slide




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
Electronic Records on Physical Media
Physical Transfer of Non-Electronic Records
CD, DVD, USB, Hard Drive, Tape, etc.
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
Number of Containers
Container Type
Container Description
Depth (inches)
Height (inches)
Width (inches)
SF 258 (Block 10)
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

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

	First Name	Last Name	Title	Phone	Email	Agency
☐	Eric	Vance	Chief Photographer	555-555-5555		

Save | View PDF | Cancel | -- Select Next Action -- | Go | Delete

PP from user profile

SF 258 (Block 5E)

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

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.

Agency Approving Official

2A. AGENCY APPROVAL	3A. NARA APPROVAL
Signature EPA RECORDS OFFICER Date ______	Signature NARA OFFICIAL Date ______
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

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)

8A. ADDRESS:
Environmental Protection Agency, Washington, DC

Current Physical Location of Records

9. PHYSICAL FORMS
___ Paper Documents
___ Paper Publications
___ Microfilm/Microfiche
_X_ Electronic Records
_X_ Photographs
___ Posters
___ Maps and Charts
___ Arch/Eng Drawings
___ Motion/Sound/Video
___ Other *(specify)*: ____________

General Records Type

List of Containers/Detail of the List of Containers

10. VOLUME:
Cu. Mtr.: Cu.Ft.:

CONTAINERS:
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?
___ 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
___ Additional Description
___ Privacy Act Notice
___ Other *(specify)*: ____________
___ Listing of Records Transferred
___ NA Form 14097 or Equivalent
___ Microform Inspection Report
___ SF(s) 135

Use Attachments Feature

8B. FRC ACCESSION NUMBER CONTAINER NUMBERS FRC LOCATION

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: ERA Technical Requirements and Log on Steps

ERA Technical Requirements

ERA does not require specific software. Federal agencies access ERA over the Internet. Workstations need:

- Access to the Internet
- Firefox V3.6 or Internet Explorer V7 web browsers. Other versions of Firefox and Internet Explorer affect functionality and alter text on the screen. Firefox V4, Internet Explorer V9, Apple's Safari and Google's Chrome web browsers have not been tested in ERA.
- To fully support the ERA website, you may have to adjust some settings within your browser and the ERA URLs may need to be added to the exceptions list (allowed sites). Please see the directions below for making the requisite changes. If you are restricted in making these changes to your workstation, you should contact your local IT service desk for support or to make the changes for you.

  - Mozilla Firefox:
  - Open Firefox
  - Click on 'Tools' --} then select 'Options'
  - Click the 'Security' tab
  - Click 'Exceptions'
  - Type the URL **(https://*.era.nara.gov)** then click 'Allow' and close that option window
  - Click the 'Content' tab
  - Verify that the following boxes are checked: (close that option window when done)
    - Enable JAVA script
    - Load Images automatically
  - Click the 'Advanced' tab
  - Click the 'Encryption' sub-tab
  - Verify that the following 'Protocols' boxes are checked:
    - SSL 3.0
    - TLS 1.0
  - Close the open options windows and restart your browser

- Microsoft Internet Explorer 7:
- Open Internet Explorer 7
- Click on 'Internet Options'
- Click the 'Security' tab, then click on the 'Sites' button
- Type the URL **(https://*.era.nara.gov)** then click 'Add' and close that option window
- Click the 'Advanced' tab and verify that the following boxes are checked:
    - Java (Sun) -- Use JRE 1.6.0_xx (xx indicates your version number)
    - Multimedia - Show pictures
    - Security - Use SSL 3.0
    - Security - Use TLS 1.0
- Close the open options windows and restart your browser

- Java Runtime Environment (JRE) 6 update 2 or later (Version 1.6.0_2 or later). This is for the Packaging Tool. You can check your installed version (http://www.java.com/en/download/installed.jsp?detect=jre&try=1)

- Optional ERA-supplied Packaging Tool. The Packaging Tool bundles multiple files/records together to form a single transfer shipment that will later be processed by ERA. The Packaging Tool can either be accessed from the ERA portal or be installed as a standalone application on your workstation. Both the ERA-connected and the standalone application, which is delivered via CD or download, needs the Java version described above.

ERA Log on Steps

First of all, make sure you have an ERA user account. See Getting Started with ERA for information on acquiring an ERA user account. ERA needs to be able to recognize your IP address. You also need to be able to access ERA over the Internet using either Firefox V3.6 or Internet Explorer V7 web browsers.

- Access to ERA over the Internet
- In order to log on to ERA, your agency's IP address range will need to be provided to the ERA Helpdesk. This information can be collected in two different ways:
    - The preferred method is to have your agency's IT department provide the ERA Helpdesk with its public facing IP range that will be used when accessing ERA.
    - If your IT department cannot provide the information, contact the ERA Helpdesk and have the following web site on your computer screen when you call: http://www.whatsmyip.org/.

- Firefox V3.6 or Internet Explorer V7 web browsers.

- To fully support the ERA website, you may have to adjust some settings within your browser and the ERA URLs may need to be added to the exceptions list (allowed sites). See the directions below for making the requisite changes. If you are restricted in making these changes to your workstation, please contact your local IT service desk for support or to make the changes for you.

❖ Mozilla Firefox:

- Open Firefox
- Click on 'Tools' --} then select 'Options'
- Click the 'Security' tab
- Click 'Exceptions'
- Type the URL **(https://*.era.nara.gov)** then click 'Allow' and close that option window
- Click the 'Content' tab
- Verify that the following boxes are checked: (close that option window when done)
    - Enable JAVA script
    - Load Images automatically
- Click the 'Advanced' tab
- Click the 'Encryption' sub-tab
- Verify that the following 'Protocols' boxes are checked:
    - SSL 3.0
    - TLS 1.0
- Close the open options windows and restart your browser

❖ Microsoft Internet Explorer 7

- Open Internet Explorer 7
- Click on 'Internet Options'
- Click the 'Security' tab, then click on the 'Sites' button
- Type the URL **(https://*.era.nara.gov)** then click 'Add' and close that option window
- Click the 'Advanced' tab and verify that the following boxes are checked:
    - Java (Sun) -- Use JRE 1.6.0_xx (xx indicates your version number)
    - Multimedia - Show pictures
    - Security - Use SSL 3.0
    - Security - Use TLS 1.0
- Close the open options windows and restart your browser
- Log on to the ERA Portal (or the ERA Ingest Server in uploading electronic records).

Navigating and Searching in ERA

Job Aid

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

If the format of any material in this brochure interferes with your ability to access the information, due to an issue with accessibility caused by a disability as defined in the Rehabilitation Act, please tell us about the problem. To enable us to respond in a manner most helpful to you, please indicate the nature of your accessibility problem, the preferred format in which to receive the material, the Web address (URL) of the material with which you are having difficulty, and your contact information. NARA.RecordsMgtTraining@nara.gov

Navigating in ERA

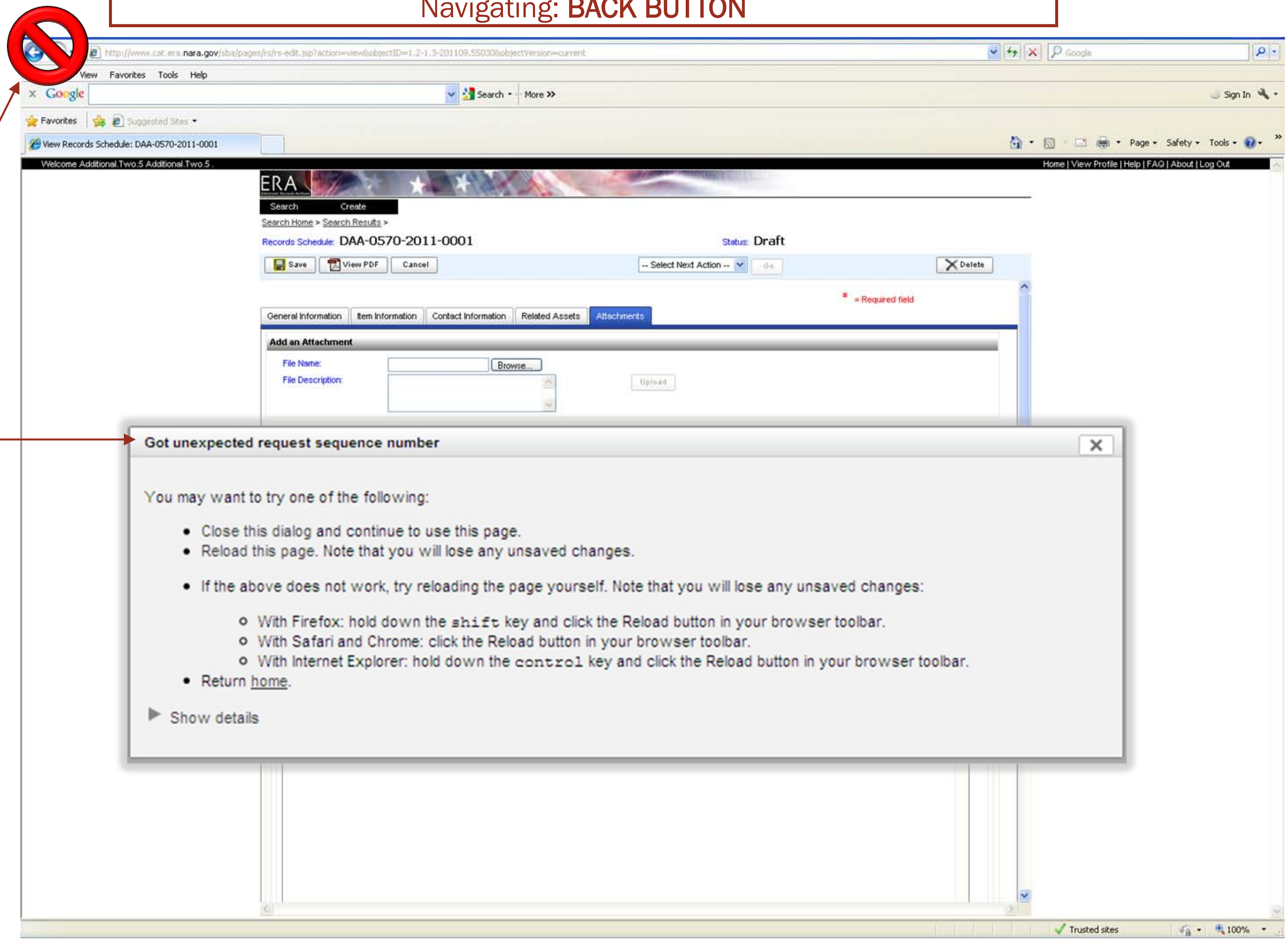
- Back button
- OK button
- Cancel button(s)
- Viewing PDF/print version in explorer 8
- Viewing pdf/print version: saving
- Uploading attachments
- Viewing attachments
- Deleting attachments

BACK Button

Navigating: **BACK BUTTON**

Never use the web browser “back button” to navigate in ERA.

Use only the navigation features provided by ERA.

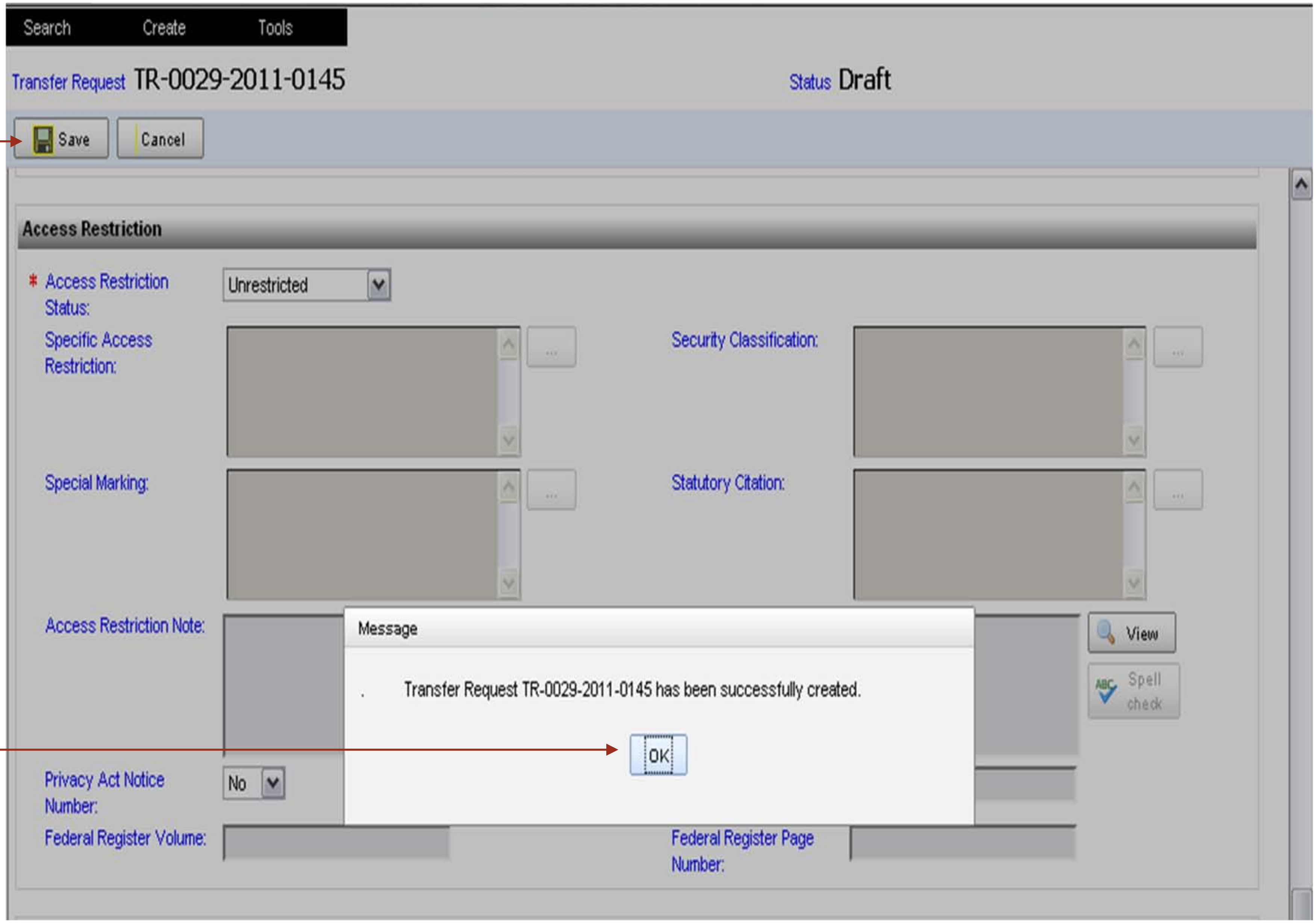


Using the back button may cause you to get this error message or lose data.

OK Button

Navigating: OK BUTTON

- You must always click "Save" to keep your work.
- ERA will not prompt you to save.
- If you exit without saving, your work will be lost.
- Click "Save" after creating each item or overview.



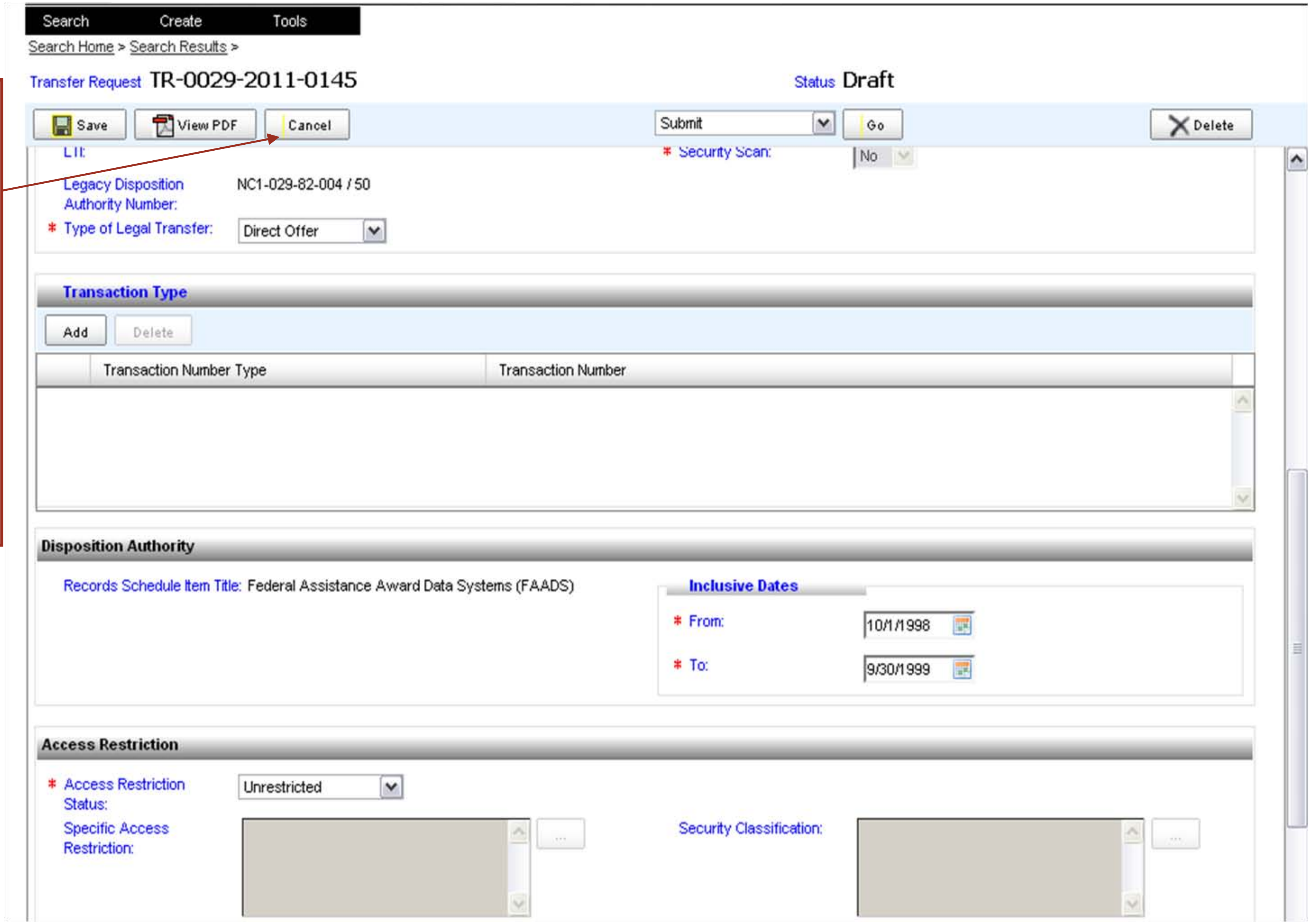
- The "OK" button does not save - it only closes the item or overview.
- The "OK" button is available when creating or editing an item or overview.

CANCEL Buttons

Navigating: CANCEL BUTTONS

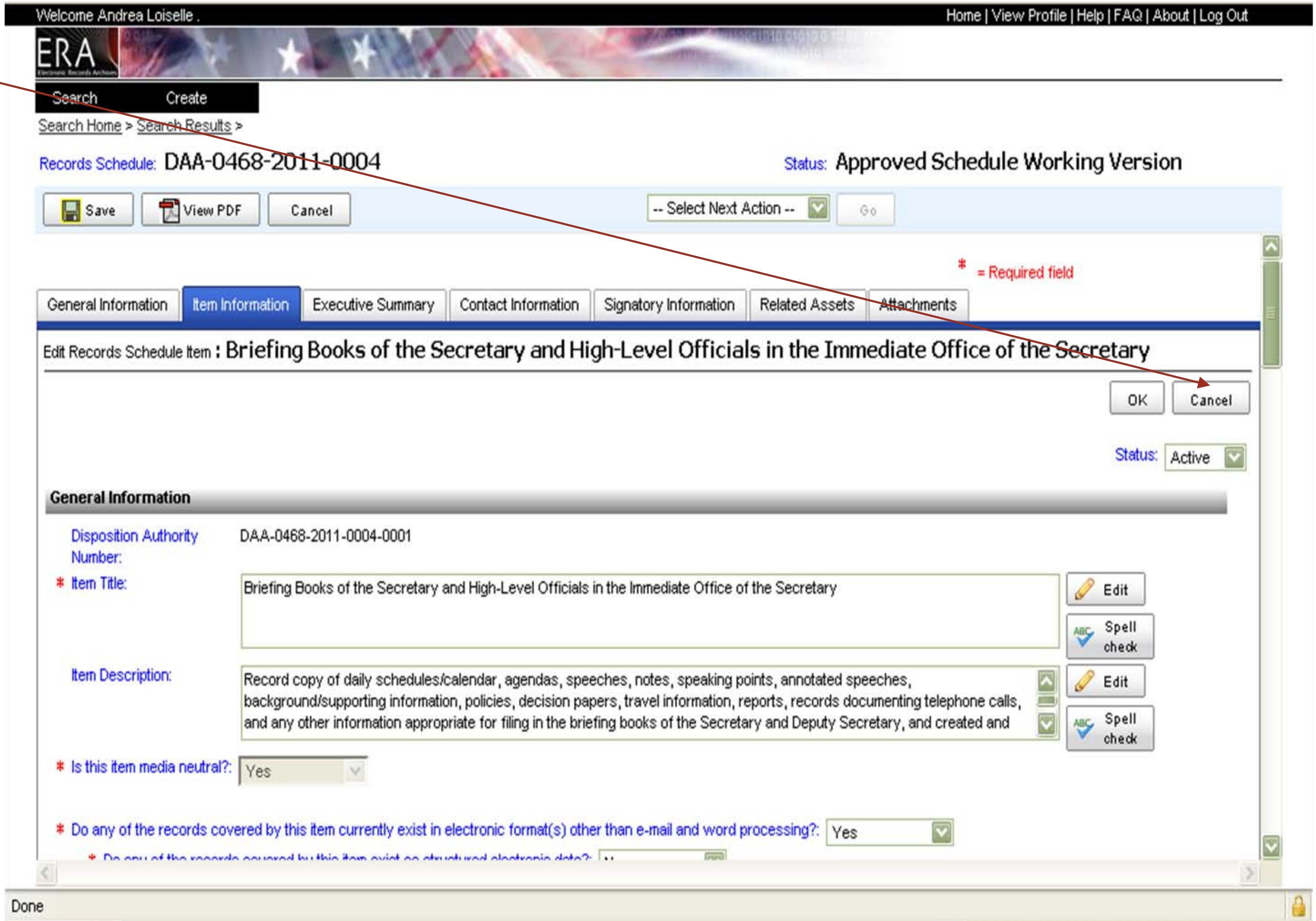
ERA has two cancel buttons:

- Cancel button on left side (top & bottom) applies to the schedule as a whole. Select this button to cancel any changes to the schedule not previously saved.
- Cancel button on the right side appears when you create or edit an item or overview. (See next slide)



Navigating: CANCEL BUTTONS

- Cancel button on the right side appears when the user creates or edits an item or overview.
- Select this button to cancel any changes to the specific item or overview not previously saved.



Viewing PDF/PRINT Version in Explorer 8

Navigating: VIEWING PDF/PRINT VERSION IN EXPLORER 8

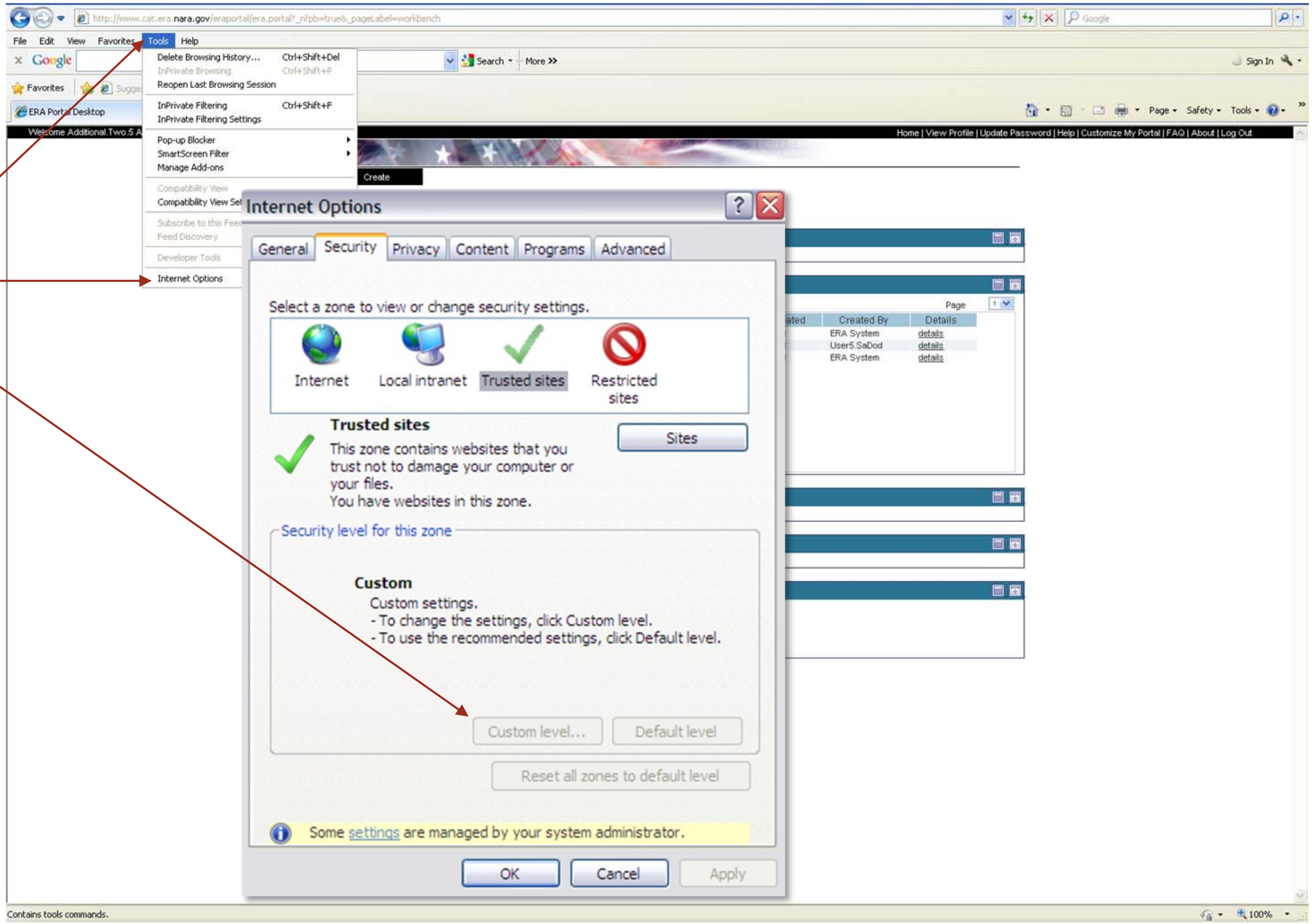
If you cannot view PDFs, an IE security setting named "Automatic prompting for file downloads" might be the reason.

1. Open IE, then click Tools, Internet Options, then the Security Tab.

2. Select Custom level, then Downloads.

3. Select the "Enable Automatic prompting for file downloads" option.

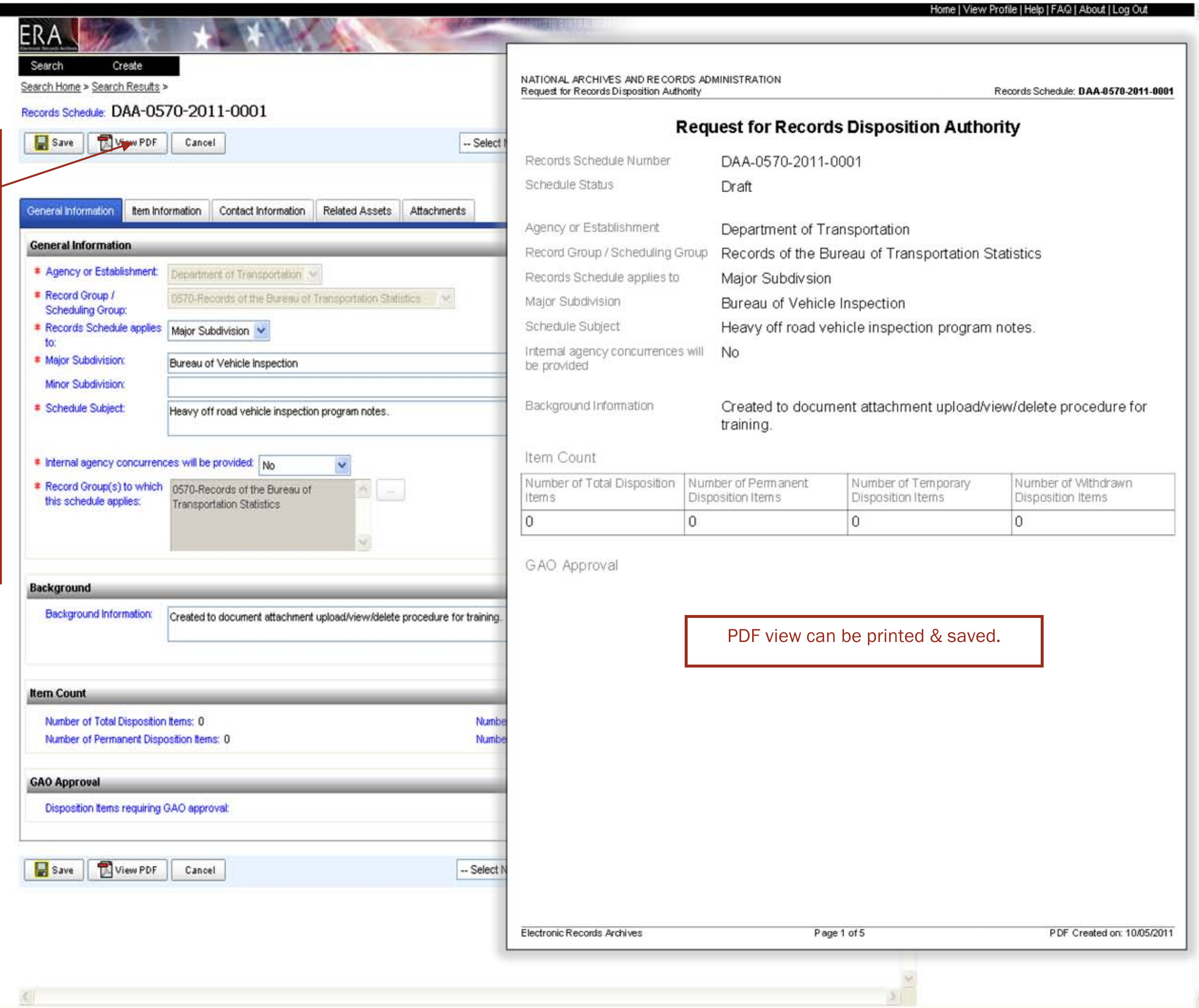
Note: You might need Administrator rights to check and update this option.



Viewing PDF/PRINT Version: SAVING

Navigating: VIEWING PDF/PRINT VERSION: SAVING

- To print or save a PDF of a Business Object, click View PDF.
- **Note:** New content added to a Business Object must be saved before it appears in PDF view.
- If new content does not appear in PDF view, Save and re-open the PDF
- ERA does not prompt you to save.

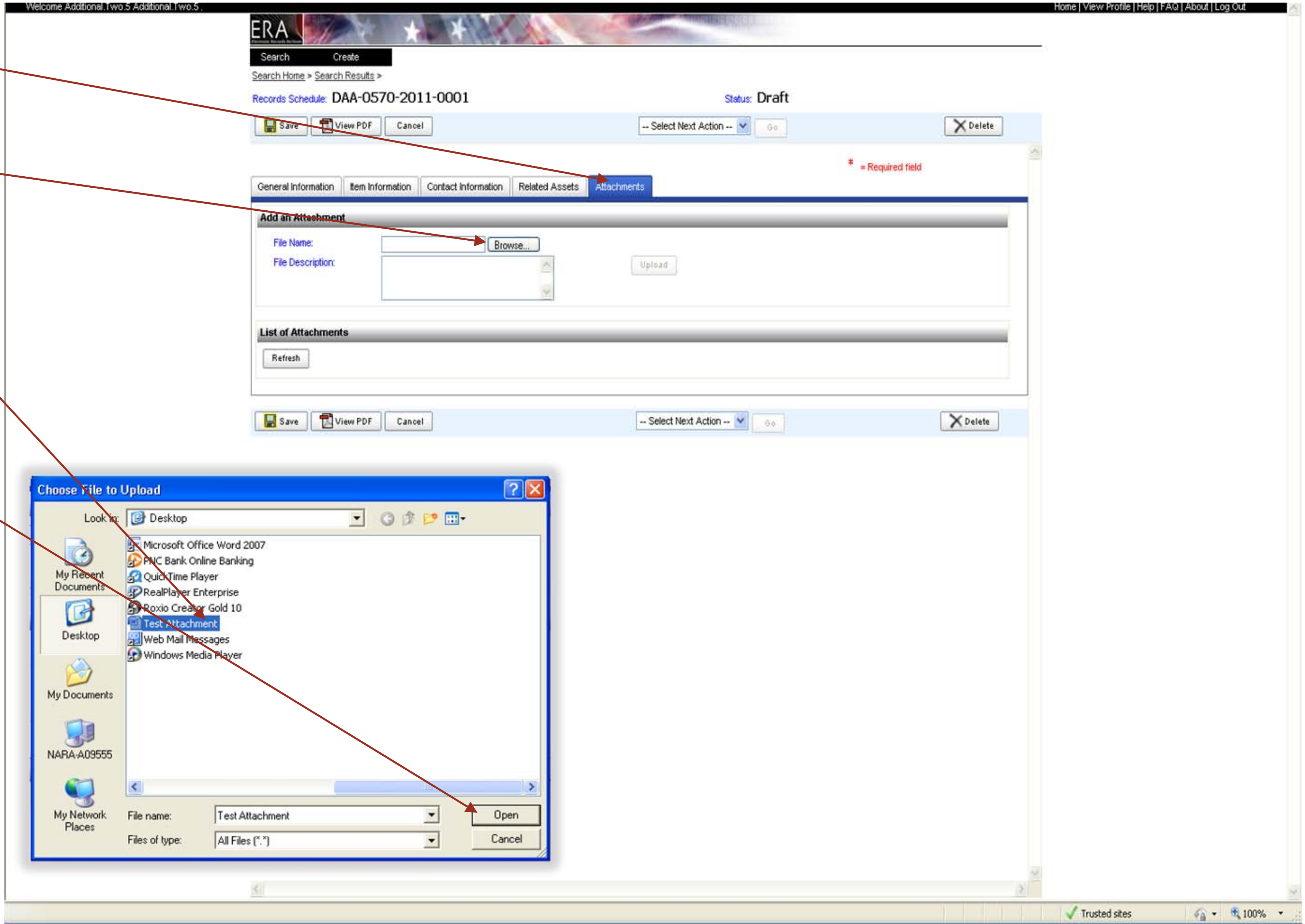


PDF view can be printed & saved.

Uploading Attachments

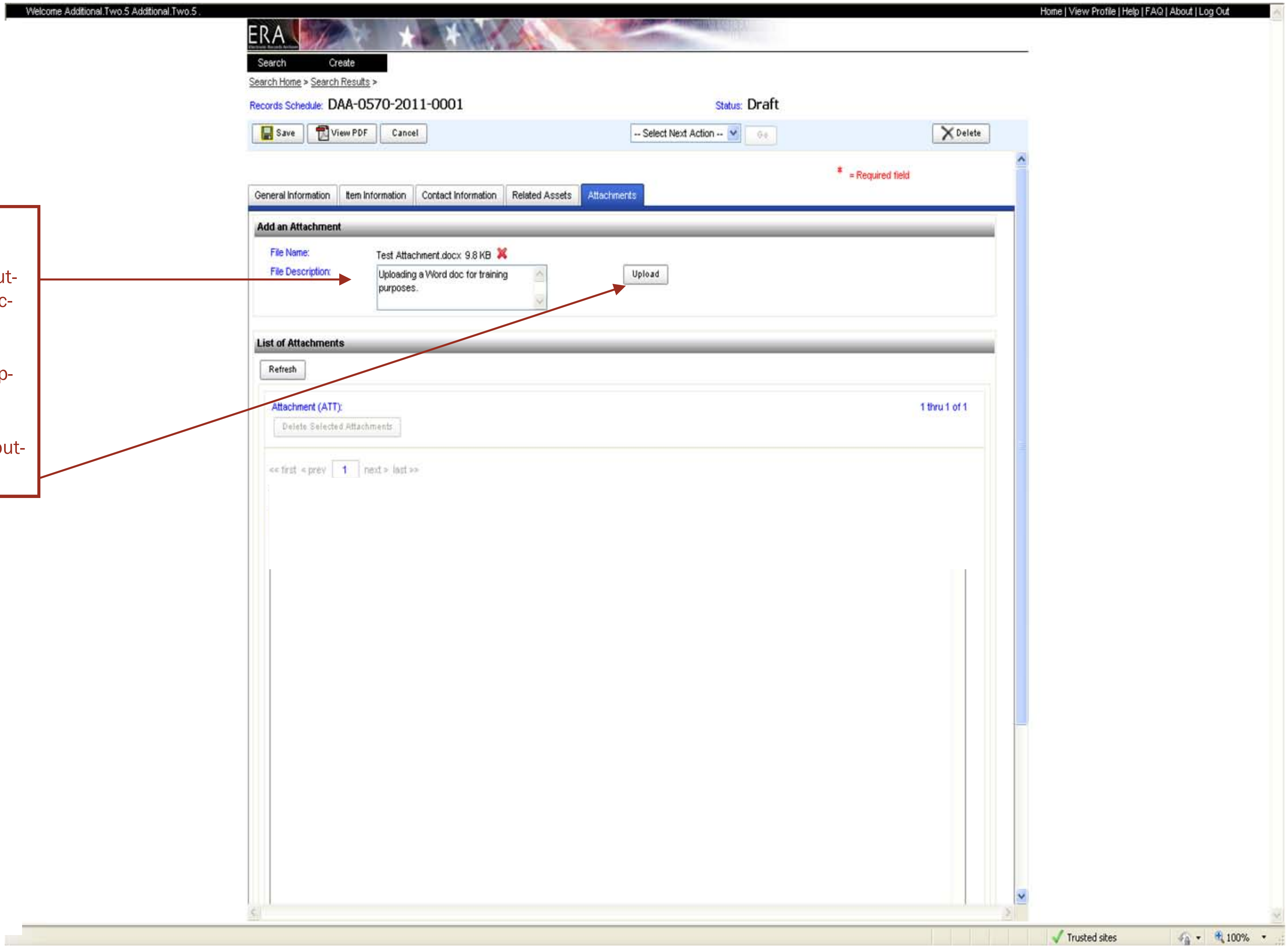
Navigating: UPLOADING ATTACHMENTS

- Select a Business Object, then select the Attachments tab.
- Click Browse to open the Upload dialogue box.
- Select a file to upload, then click Open.



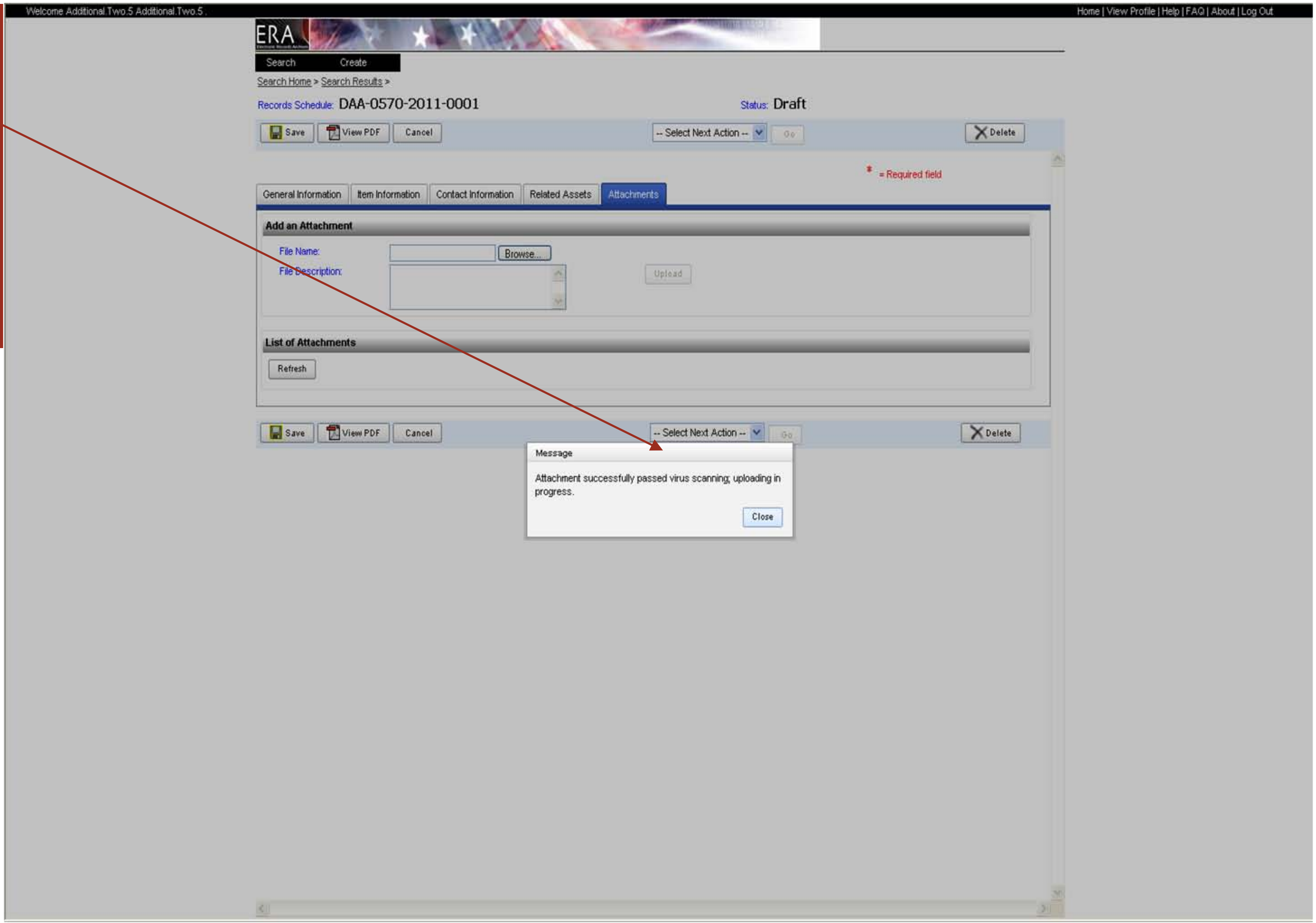
Navigating: UPLOADING ATTACHMENTS

- Attachment file name will appear and the Upload button will become active.
- Enter a file description (optional).
- Click the Upload button.



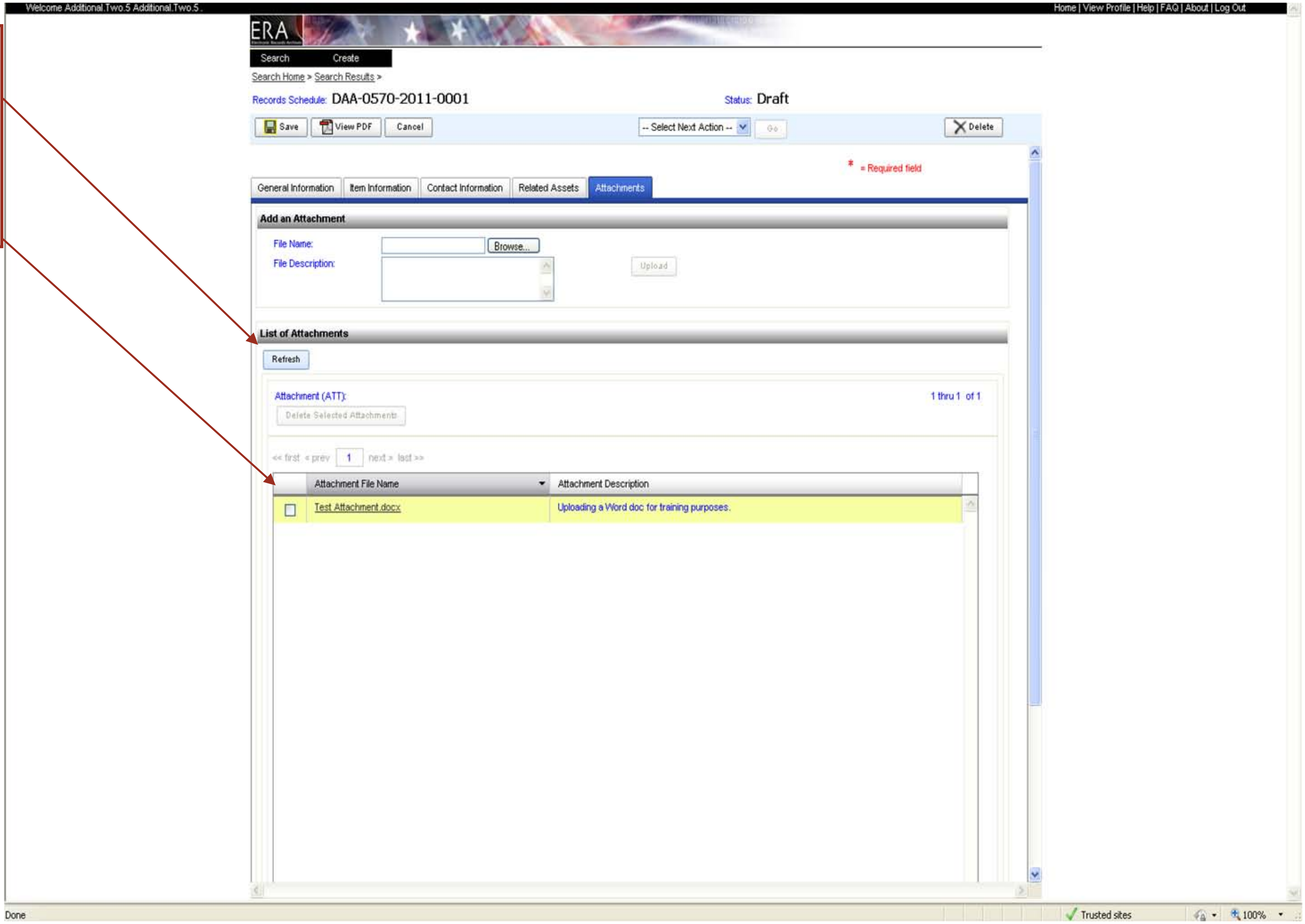
Navigating: UPLOADING ATTACHMENTS

- After clicking Upload, the message, “Attachment successfully passed virus scanning, uploading in progress” will appear.
- You will not get a message indicating the upload process was successful.



Navigating: UPLOADING ATTACHMENTS

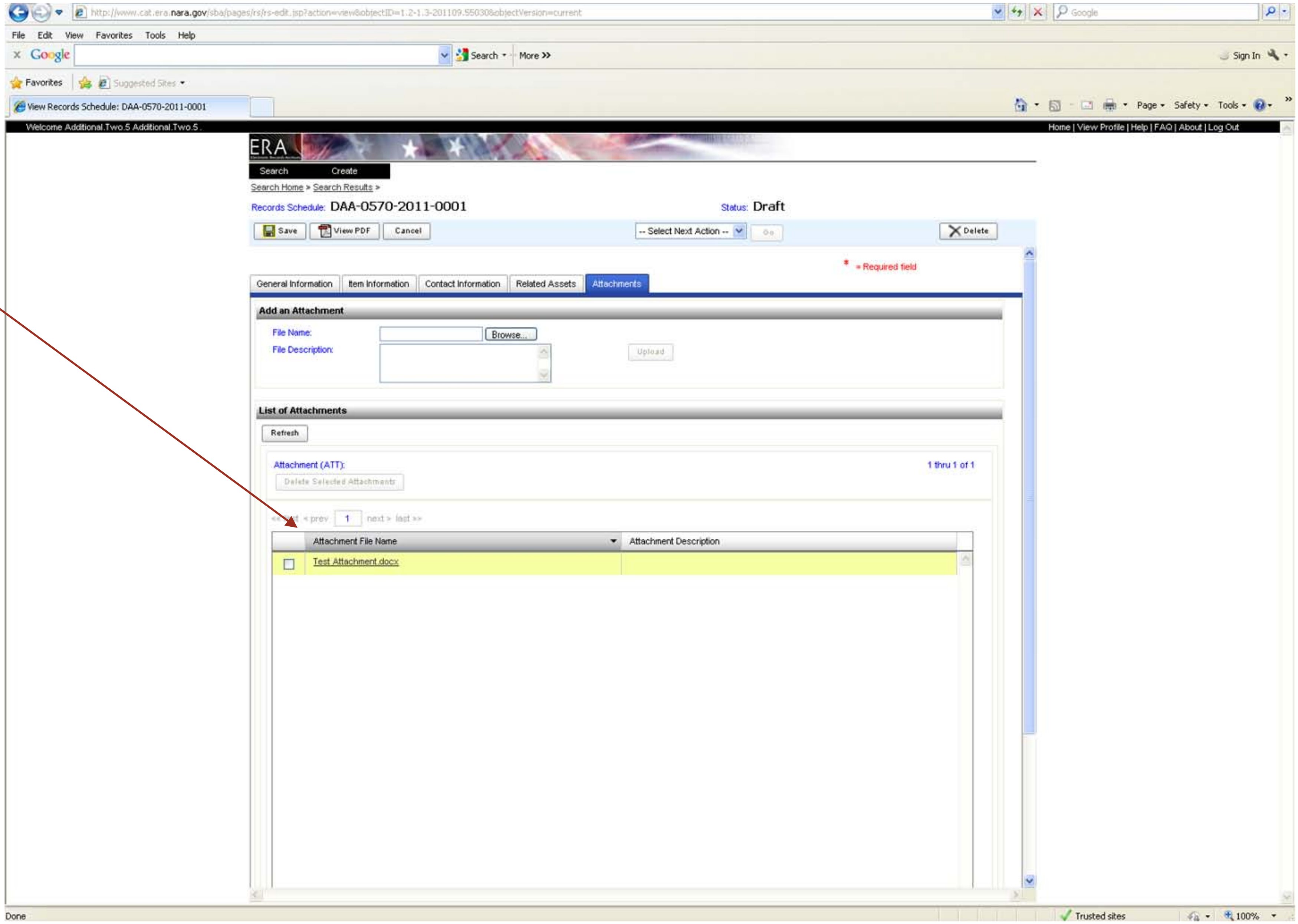
- To confirm a successful upload, click the Refresh button.
- Attachment and description appears.



Viewing Attachments

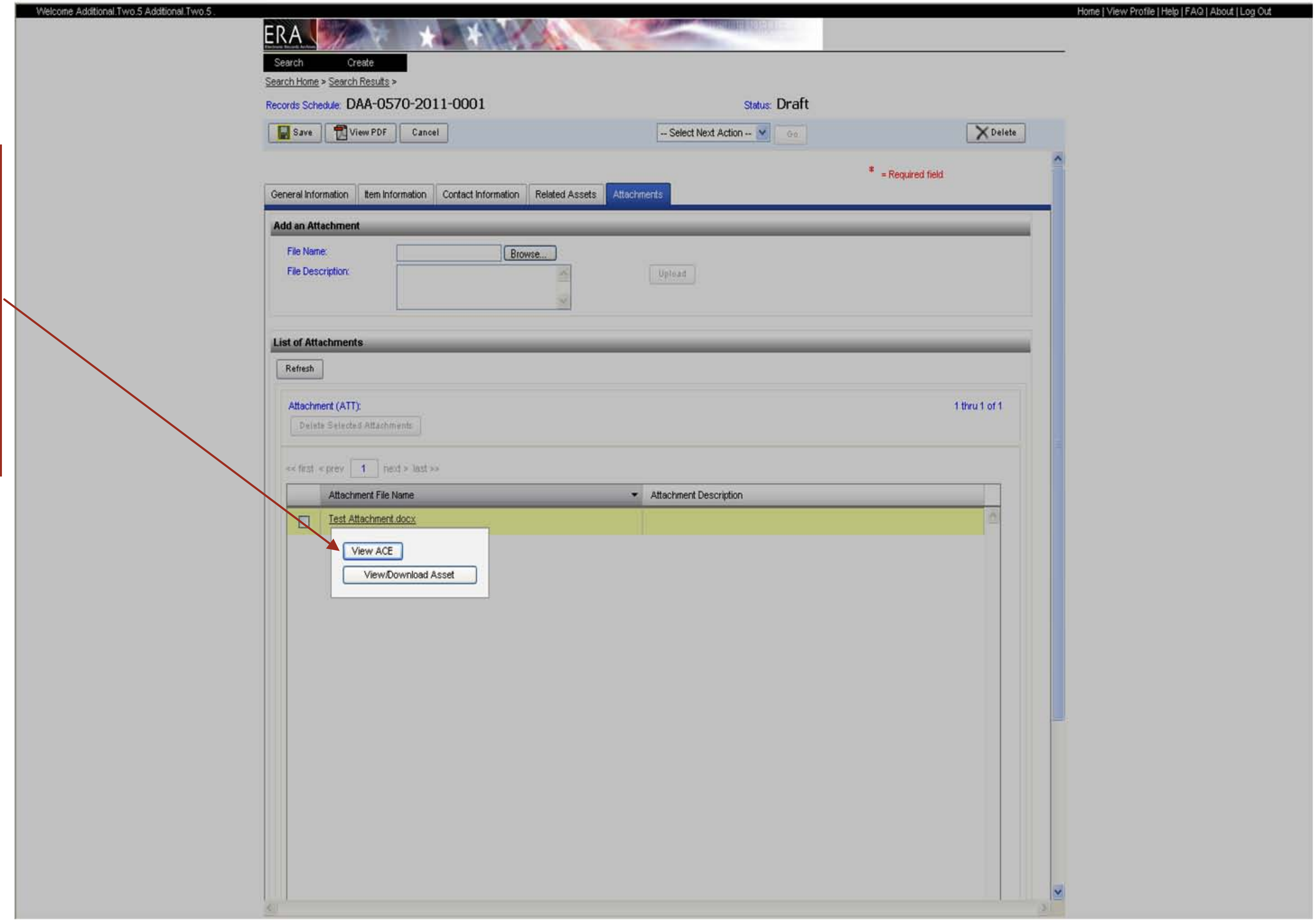
Navigating: VIEWING ATTACHMENTS

- The process for viewing attachments is the same for all types of Business Objects.
- Select the Attachments tab on the Business Object to view.
- All associated attachments will be displayed.



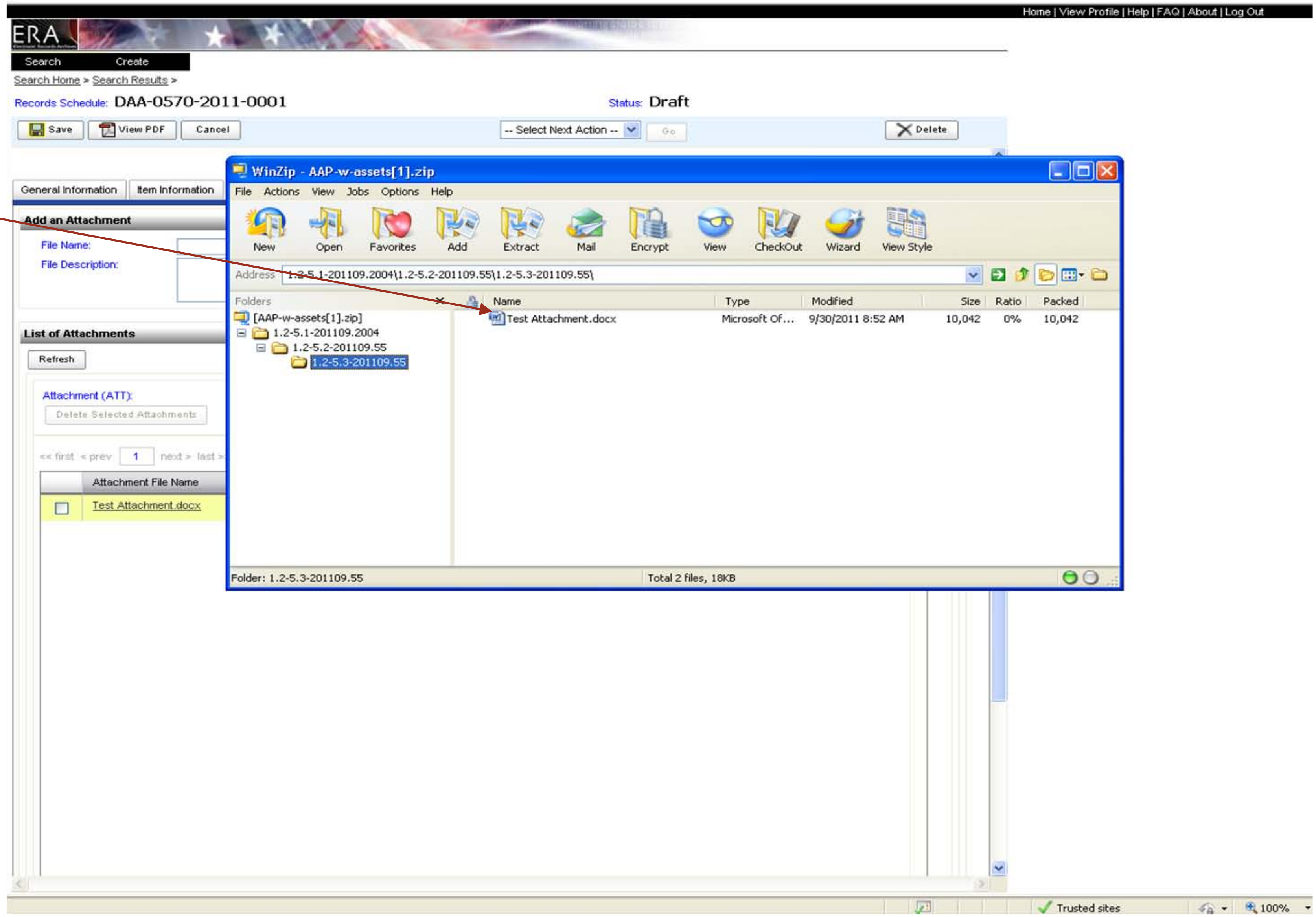
Navigating: **VIEWING ATTACHMENTS**

- Select the attachment by clicking on the file name.
- The View ACE and View/Download Asset buttons will appear.
- Click View/Download Asset.



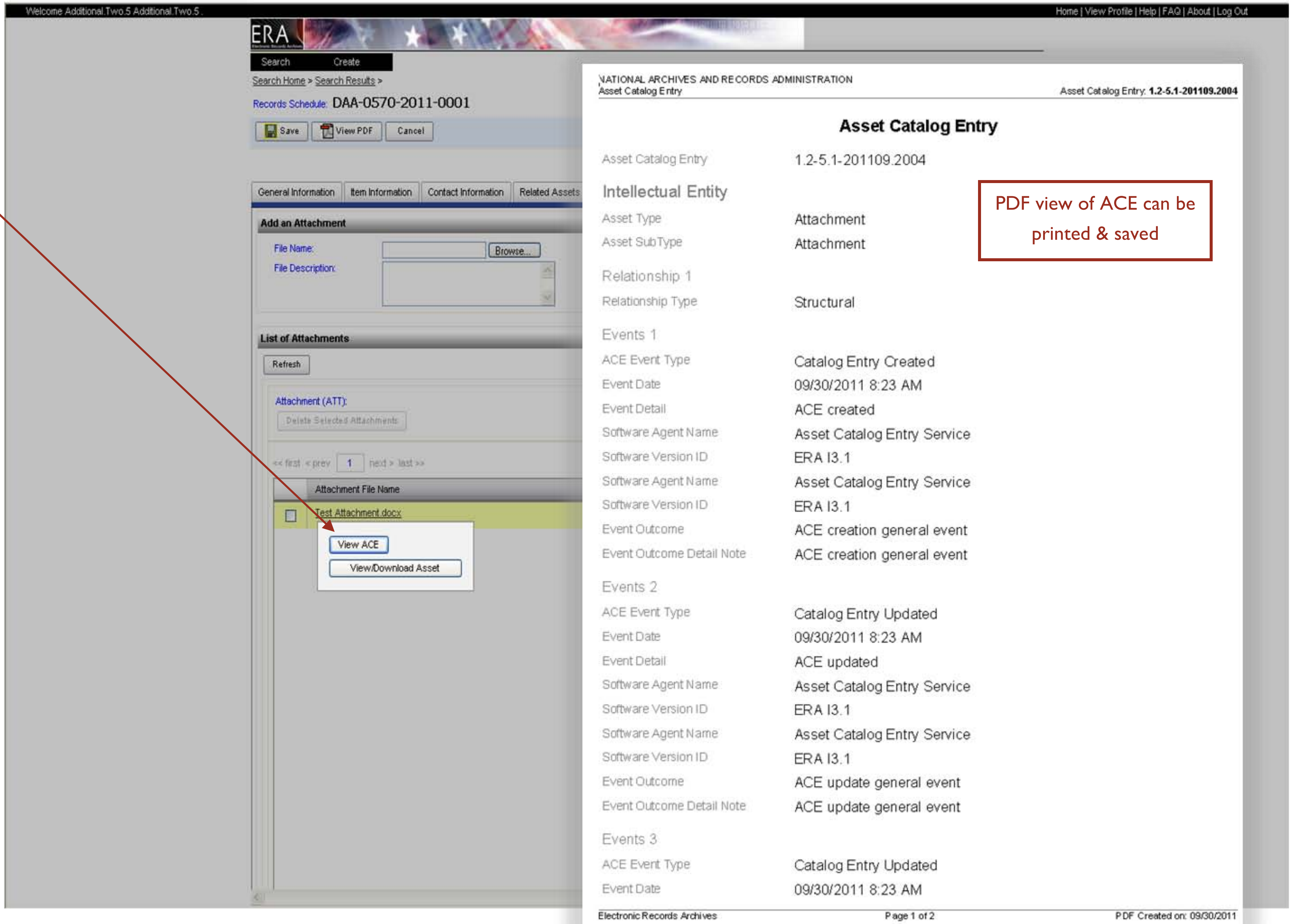
Navigating: **VIEWING ATTACHMENTS**

- Follow prompts to open and view or save the attach-ment .



Navigating: **VIEWING ATTACHMENTS**

- To view details about a business object's history, users can view the Asset Catalog Entry (ACE).
- To view, click the View ACE button.
- ACE PDF will appear

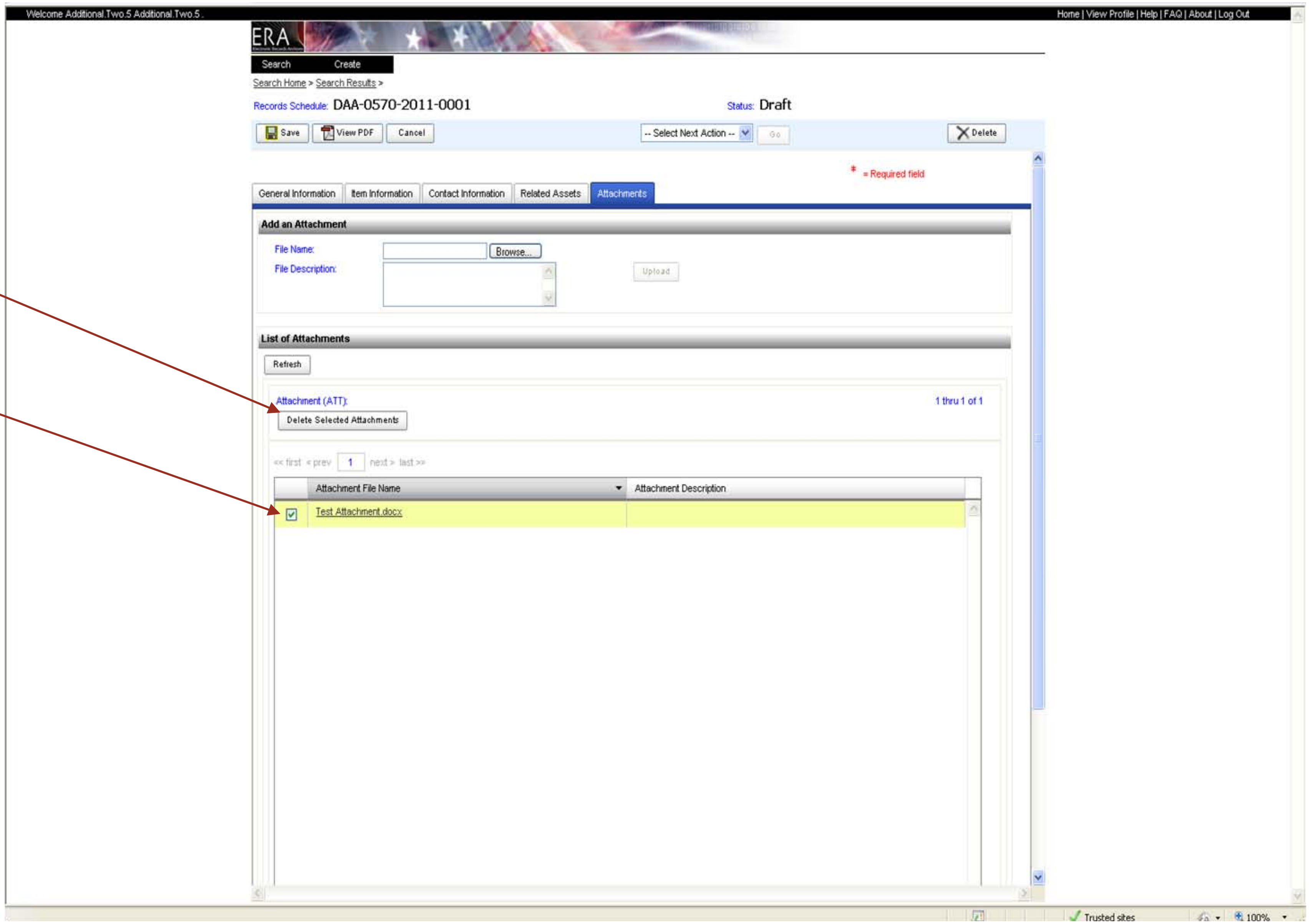


PDF view of ACE can be printed & saved

Deleting Attachments

Navigating: **DELETING ATTACHMENTS**

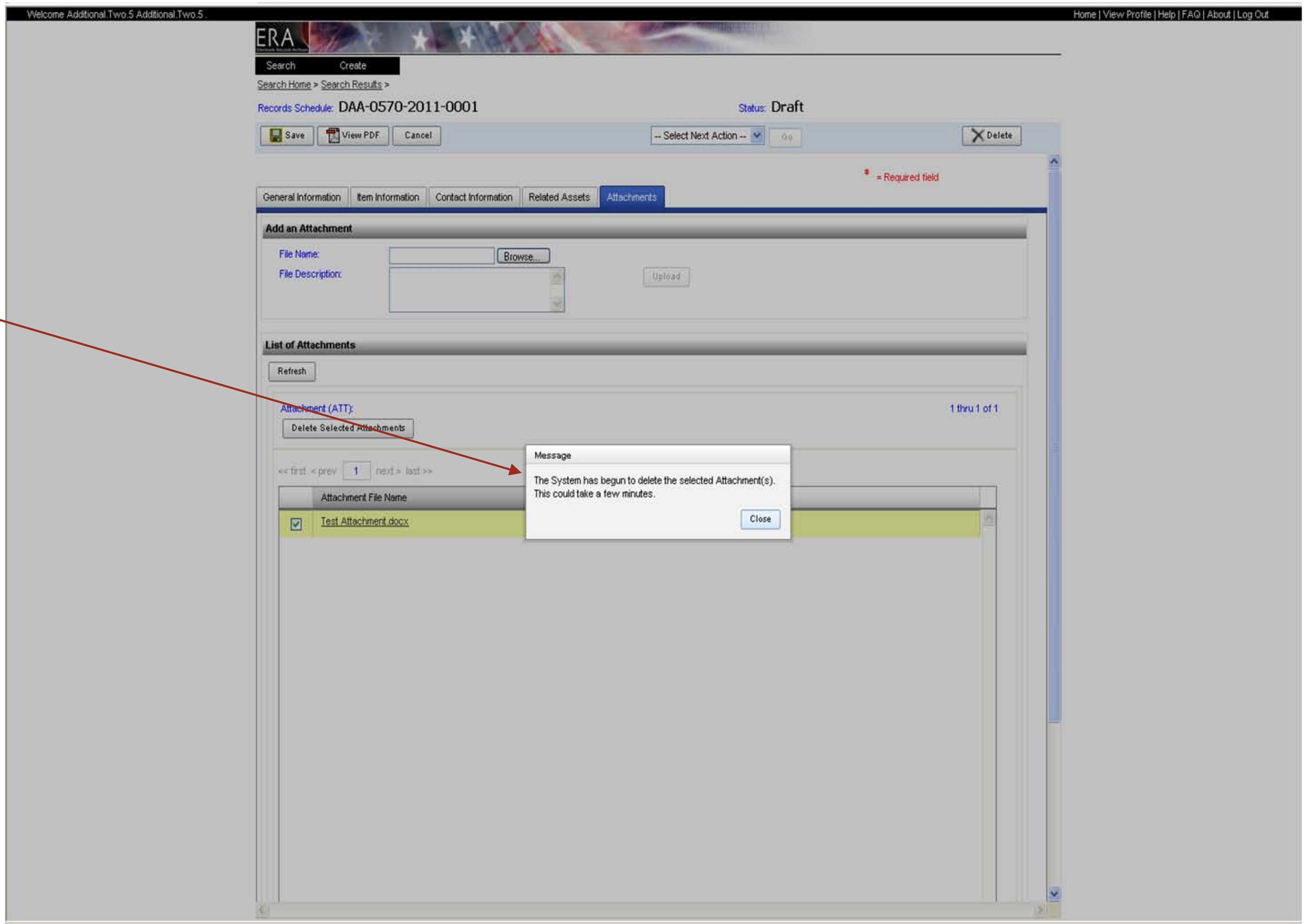
1. Select the Attachments tab to view attachments associated with the Business Object.
2. Select the attachment to be deleted by checking the box next to the file name.
3. The Delete Selected Attachments button will become active.
4. Click the Delete Selected Attachments button.



- Only authorized users will see checkboxes.
- More than one attachment can be selected for deleting at one time.

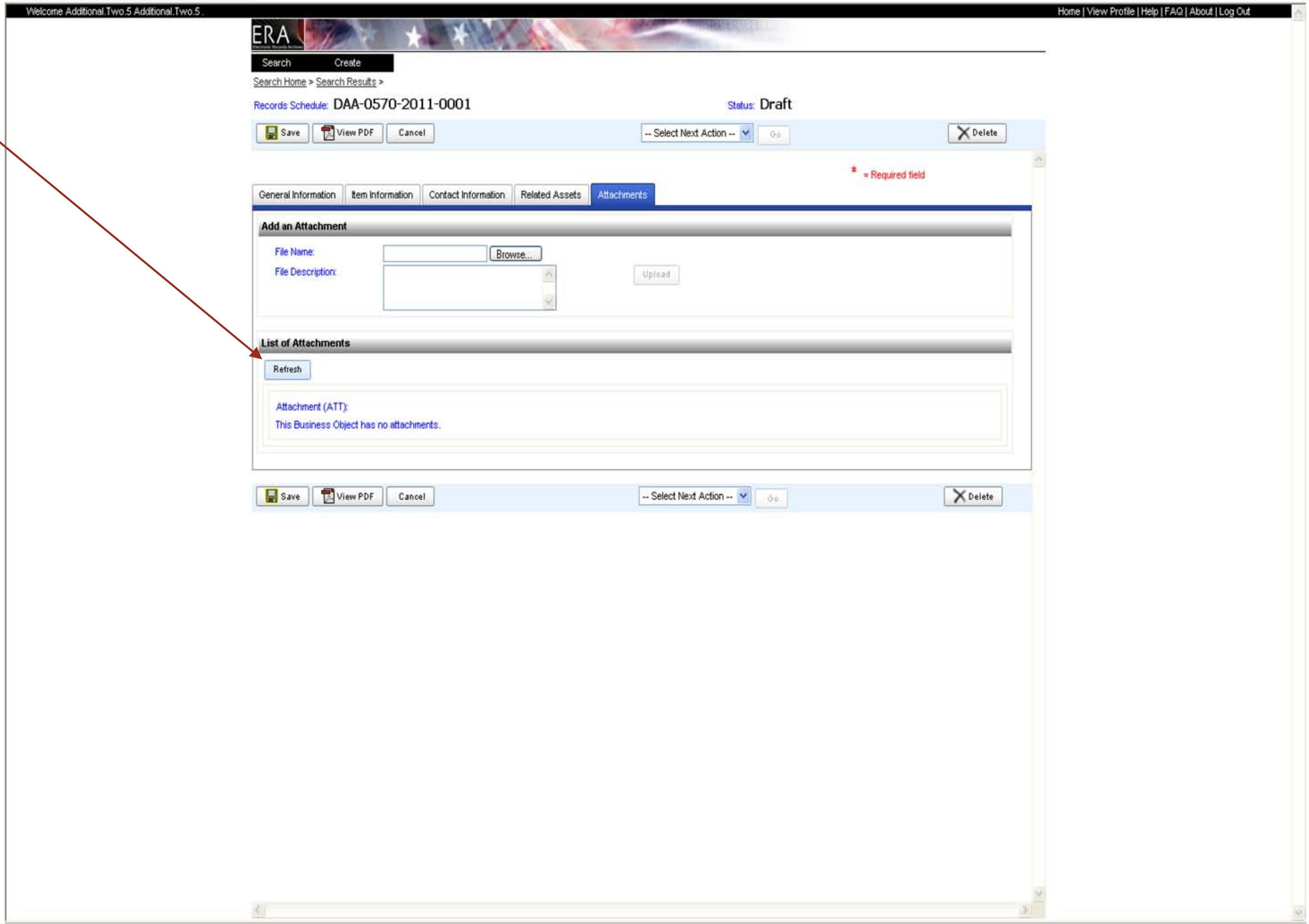
Navigating: DELETING ATTACHMENTS

- After the Delete Selected Attachments button is clicked the user will see: "The system has begun to delete the selected attachment(s)…."
- Any failure of the delete process will result in a notification to the user.
- If this notification is received, repeat the process.



Navigating: DELETING ATTACHMENTS

- Click the Refresh button and the attachment(s) will no longer be seen in the List of Attachments.



Searching in ERA

- What type of search to use?
- FAQs
- Basic Search
- Advanced Search
- Wildcard Search
- Show Related Function
- Basic and Advanced Search Properties

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
- 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, such as:

- Finding a specific type of business object, such as a schedule item or a transfer request.
- Finding a particular business object in a specific status only, such as approved.
- Advanced search is the best used 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
- When 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.

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.

Frequently Asked Questions (FAQs) cont.,

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.

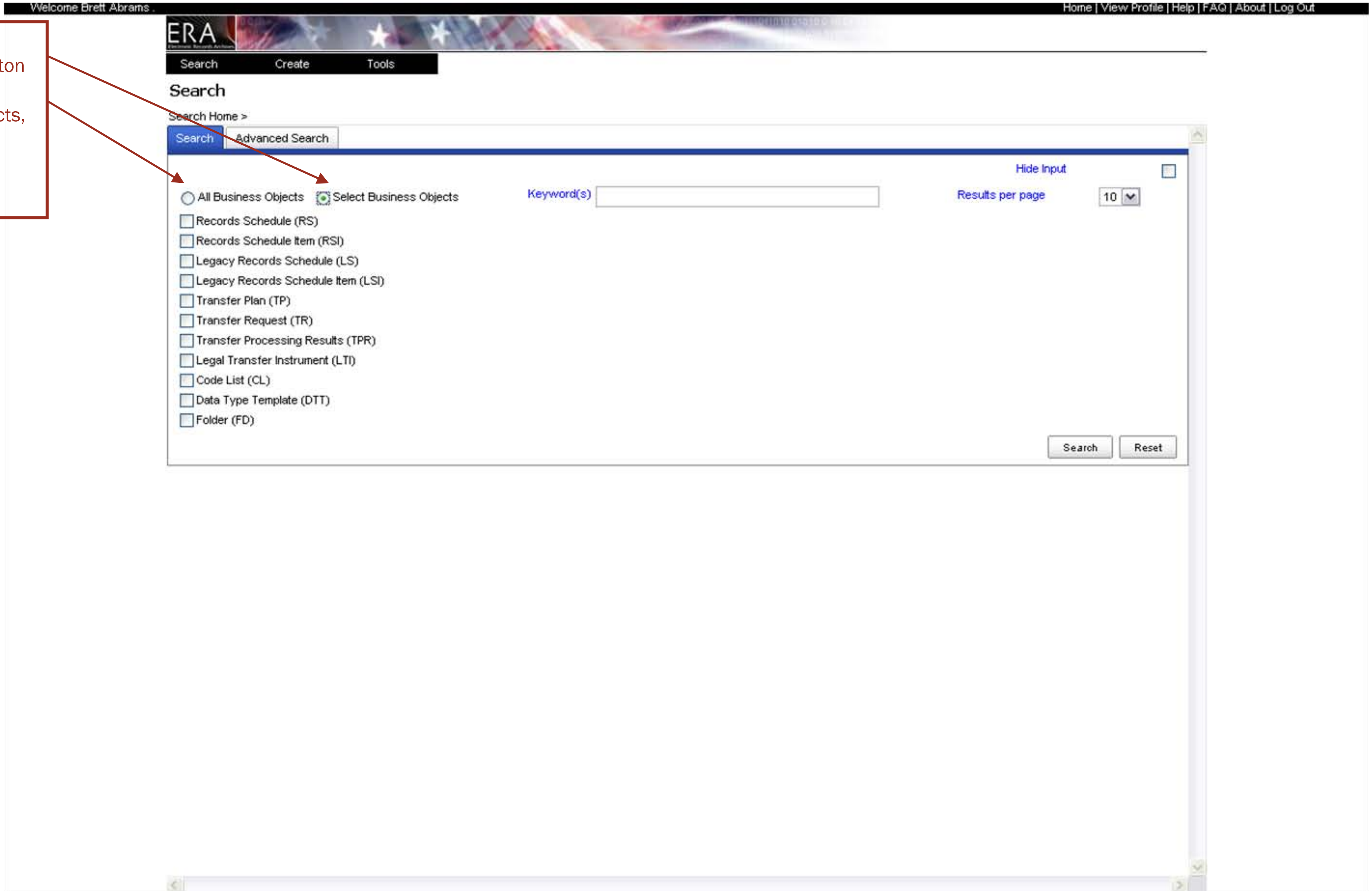
Does my role determine what business objects I can see?

- There are specific permissions set with each user/role that will affect searching capabiity. Therefore, the user may or may not see certain Business Objects and/or particular states of a Business Object.

Basic Search

Searching: **BASIC SEARCH**

For Basic Search, choose a radio button for:
- All Business Objects, or
- Select Business Objects.

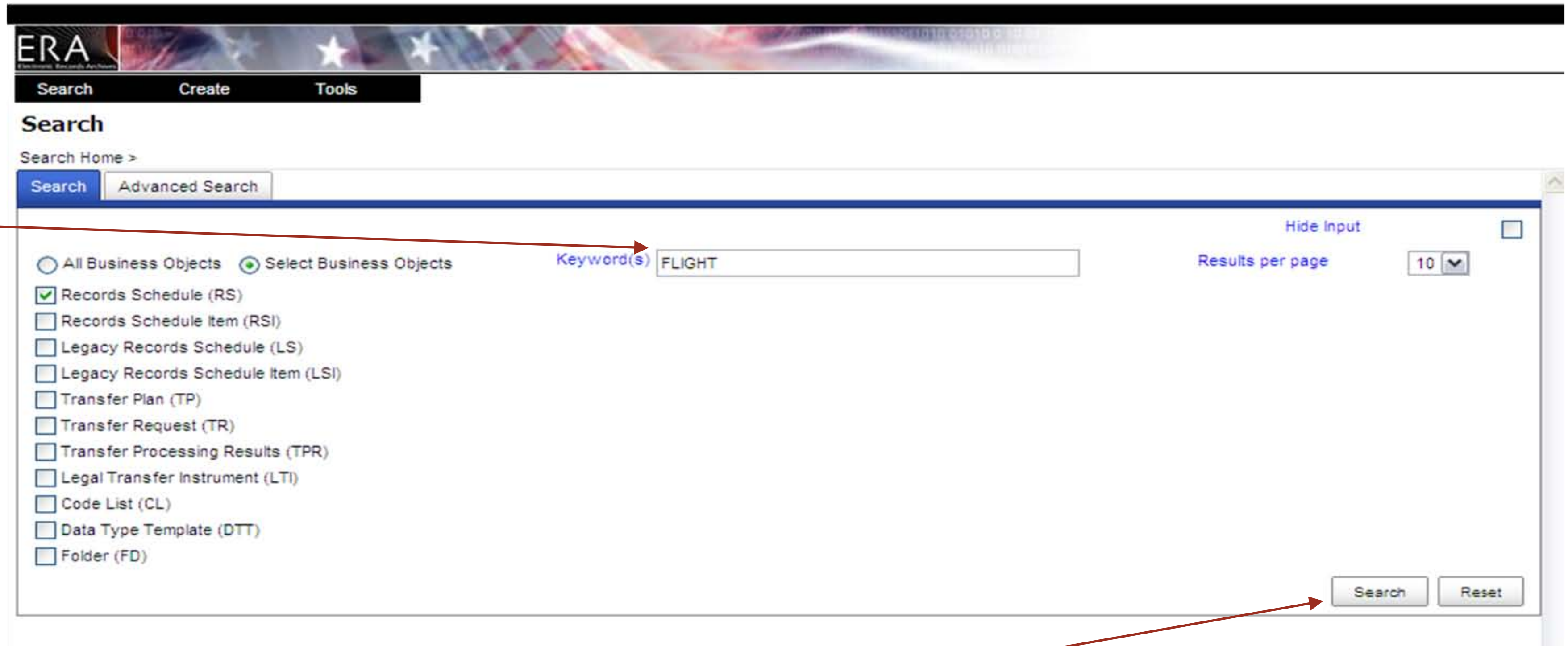


Searching: BASIC SEARCH

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.

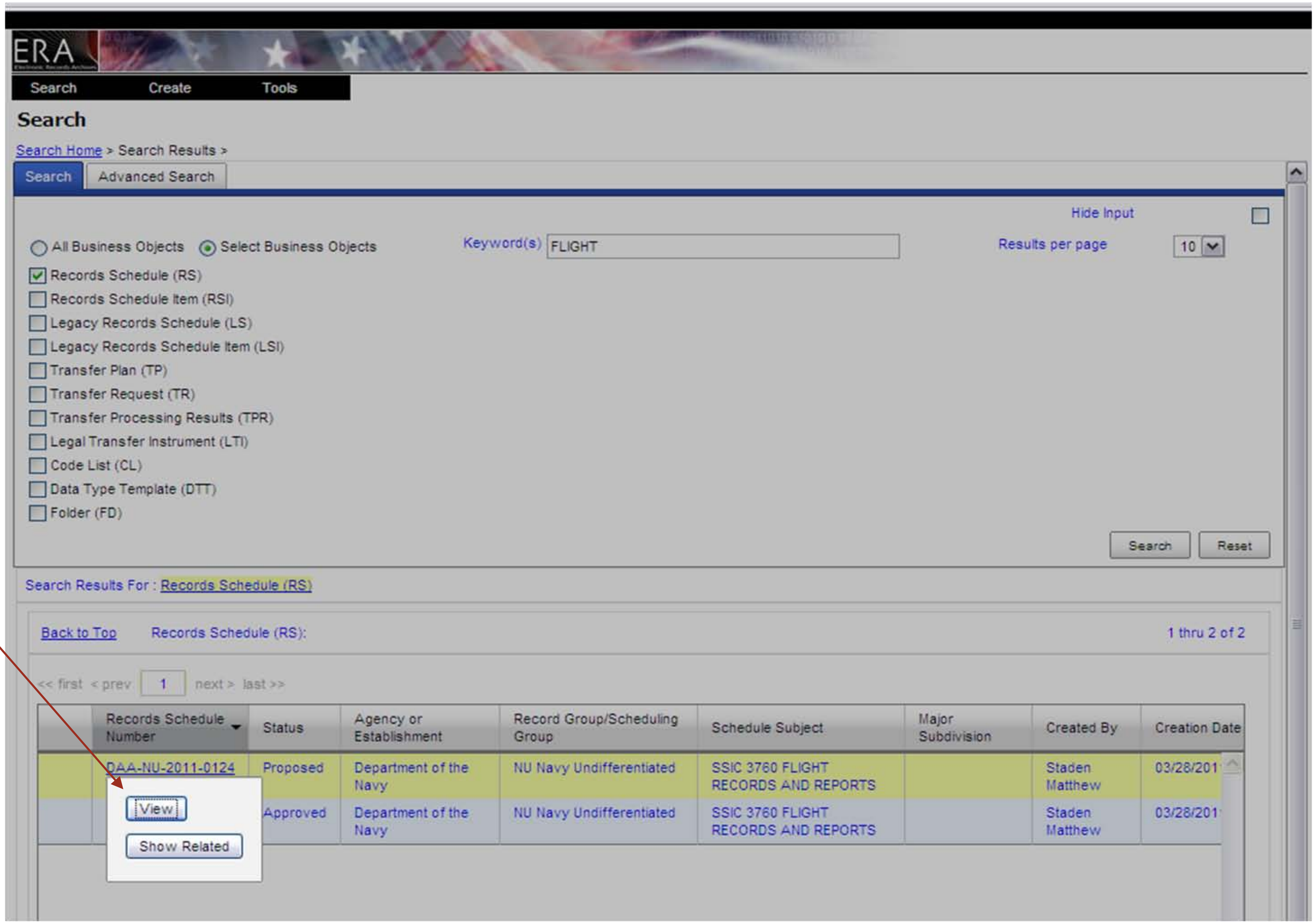


After a business object has been selected and keyword(s) entered, click the Search button to display search results...

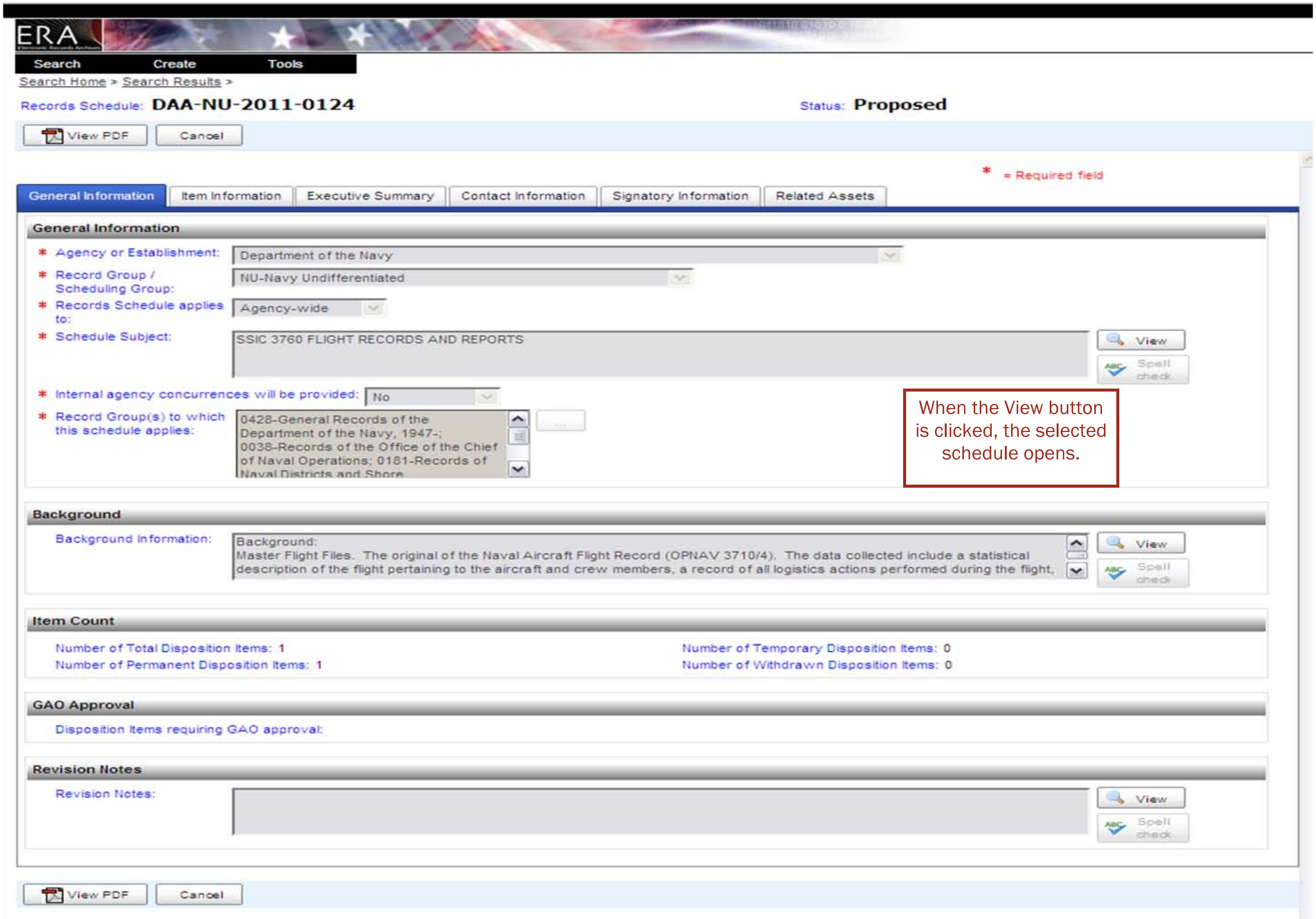
Searching: **BASIC SEARCH**

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 slides.



Searching: **BASIC SEARCH**



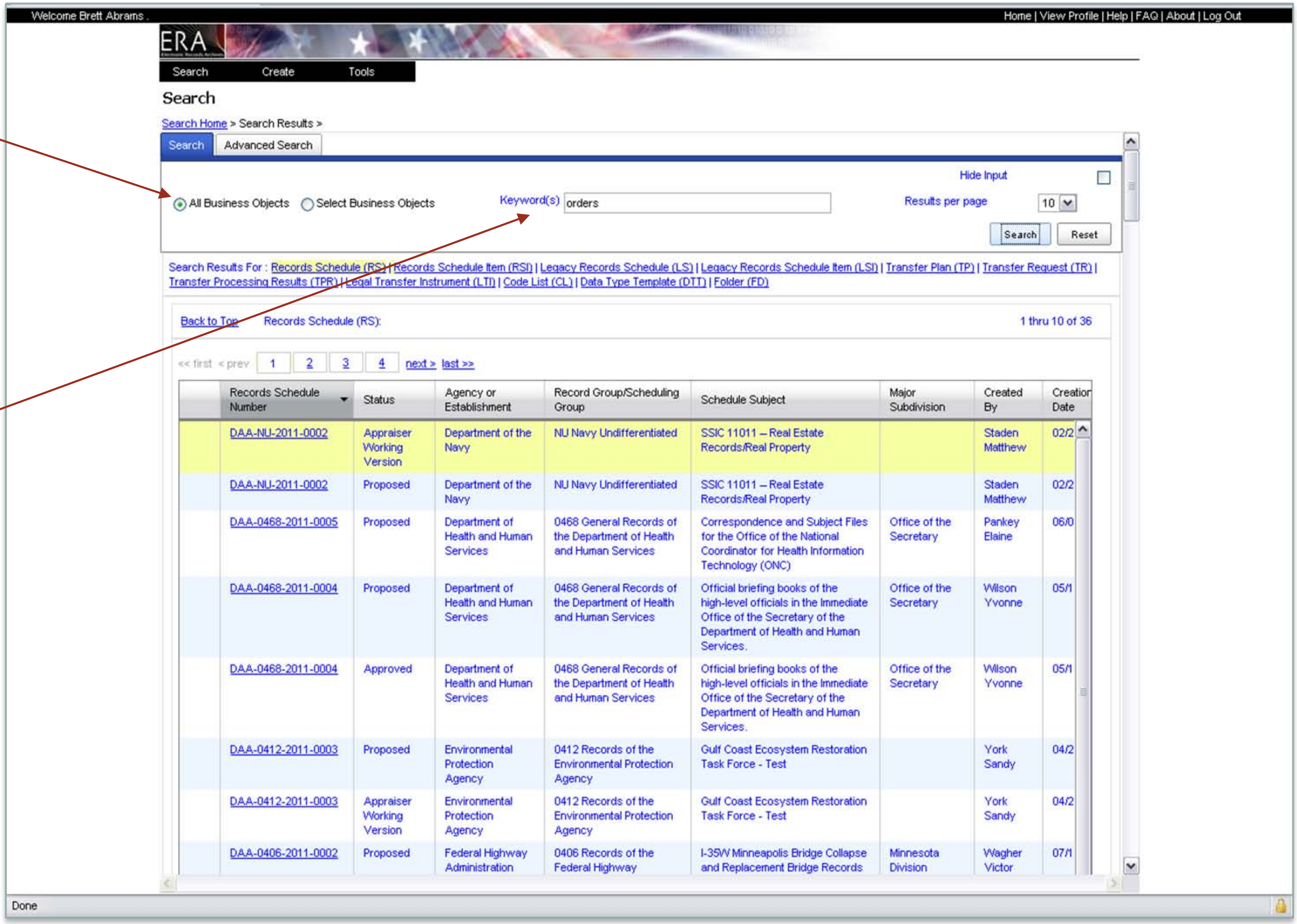
When the View button is clicked, the selected schedule opens.

Searching: **BASIC SEARCH**

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.

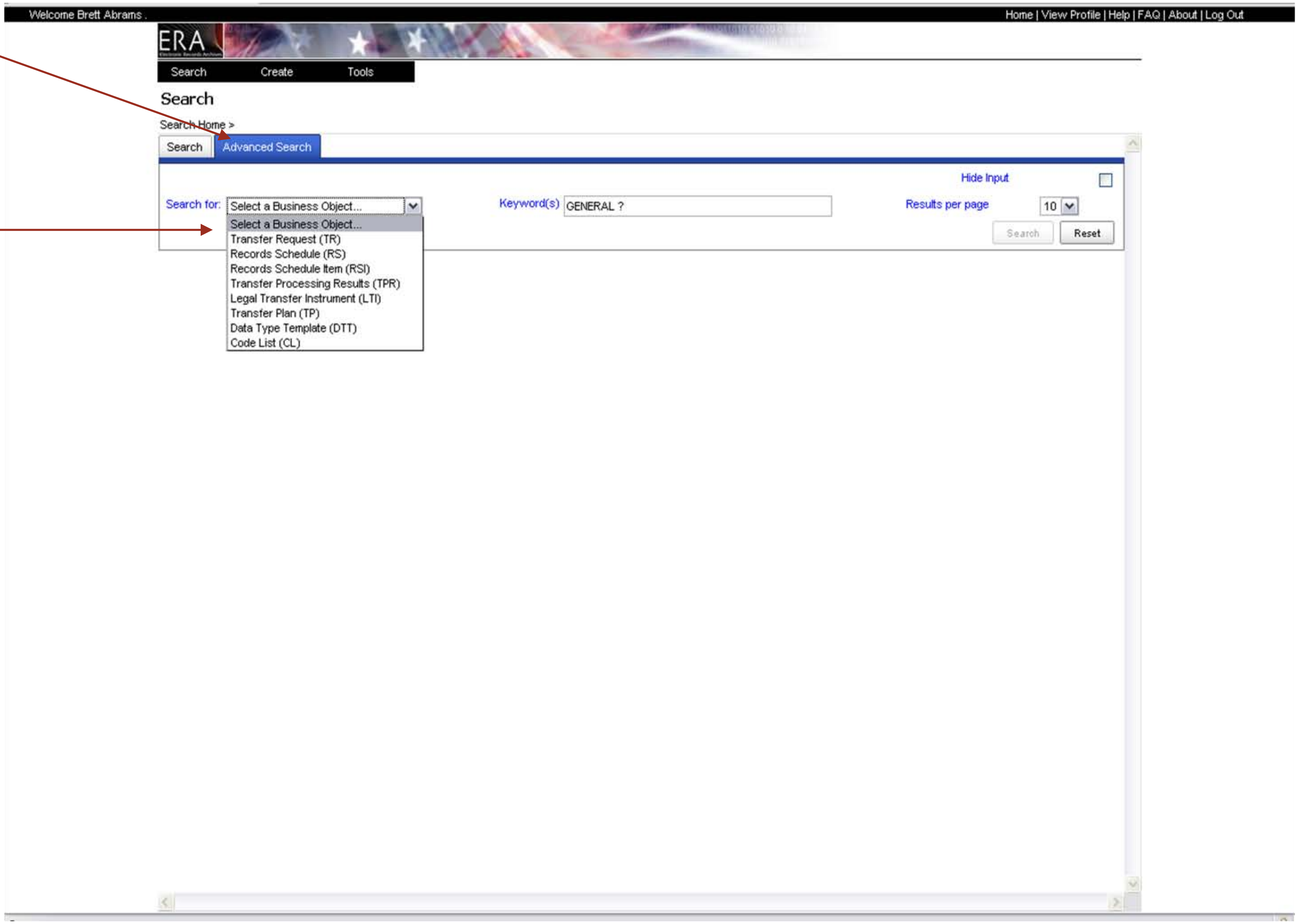


Advanced Search

Searching: ADVANCED SEARCH

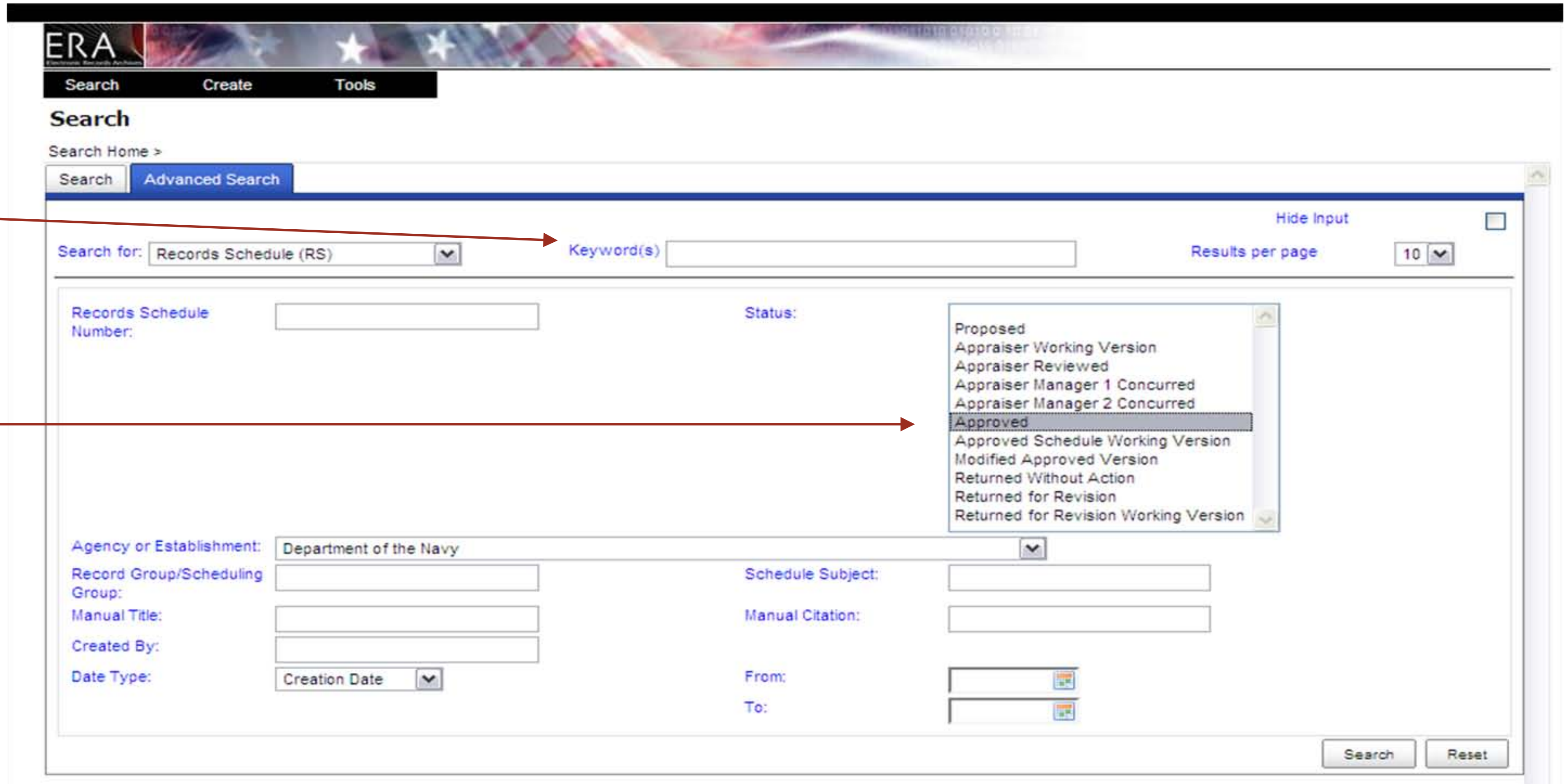
To use Advanced Search,

- First click the Advanced Search tab,
- Then use the pull down to select a business object.

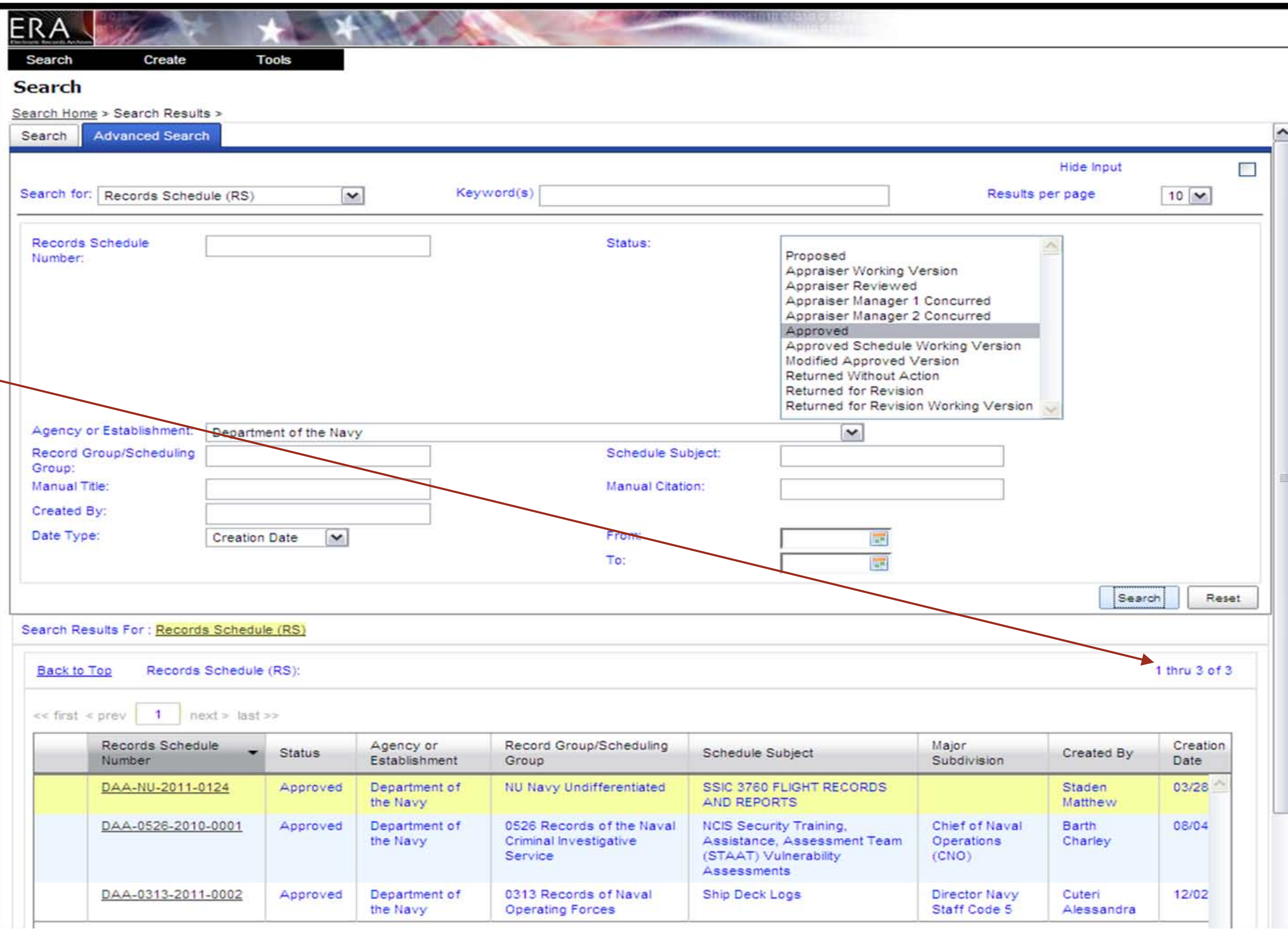


Searching: ADVANCED SEARCH

- 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.



Searching: ADVANCED SEARCH



Example #1:

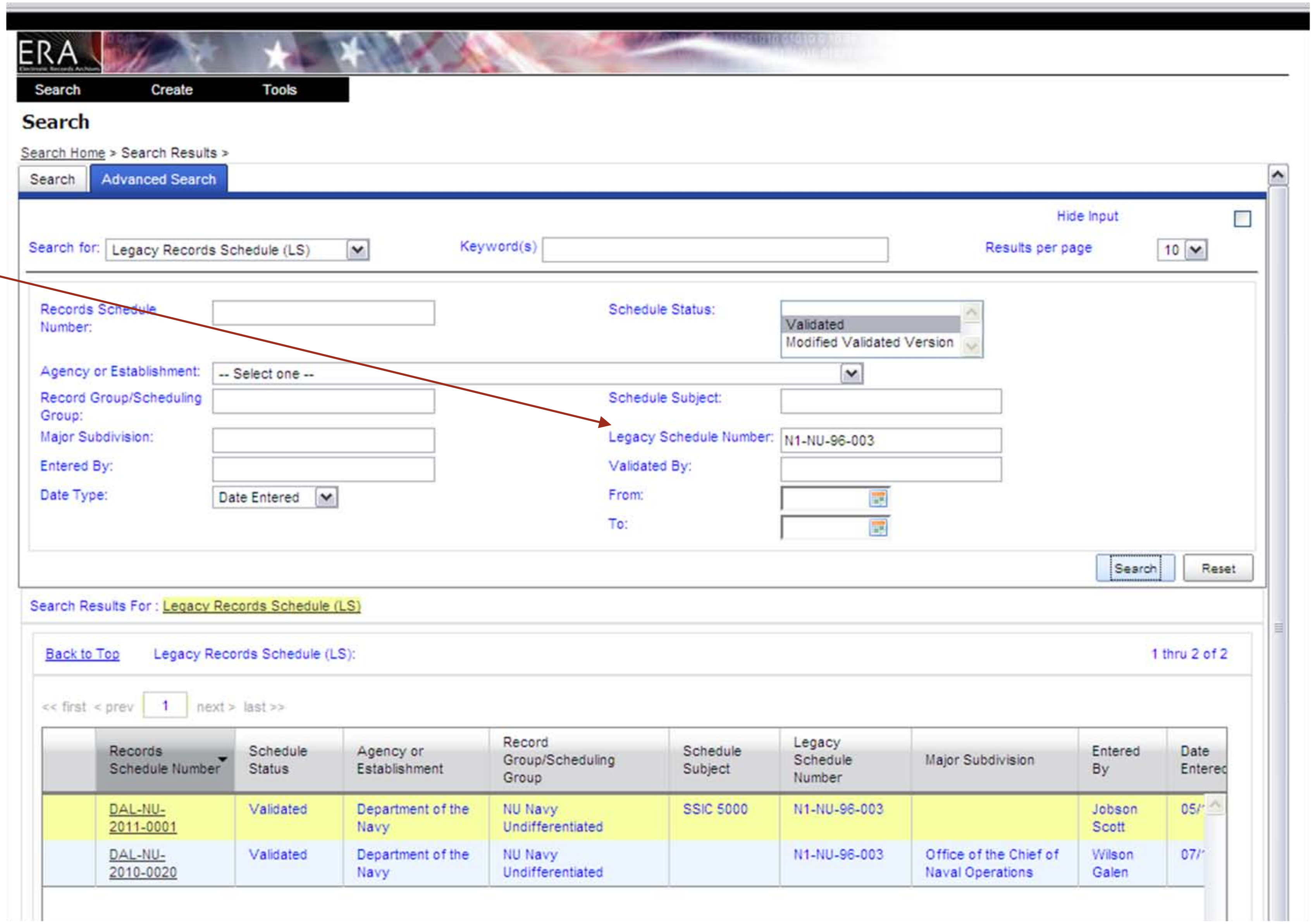
Using the Agency name and Approved status returned three results.

Note: Agencies are restricted to viewing their own records.

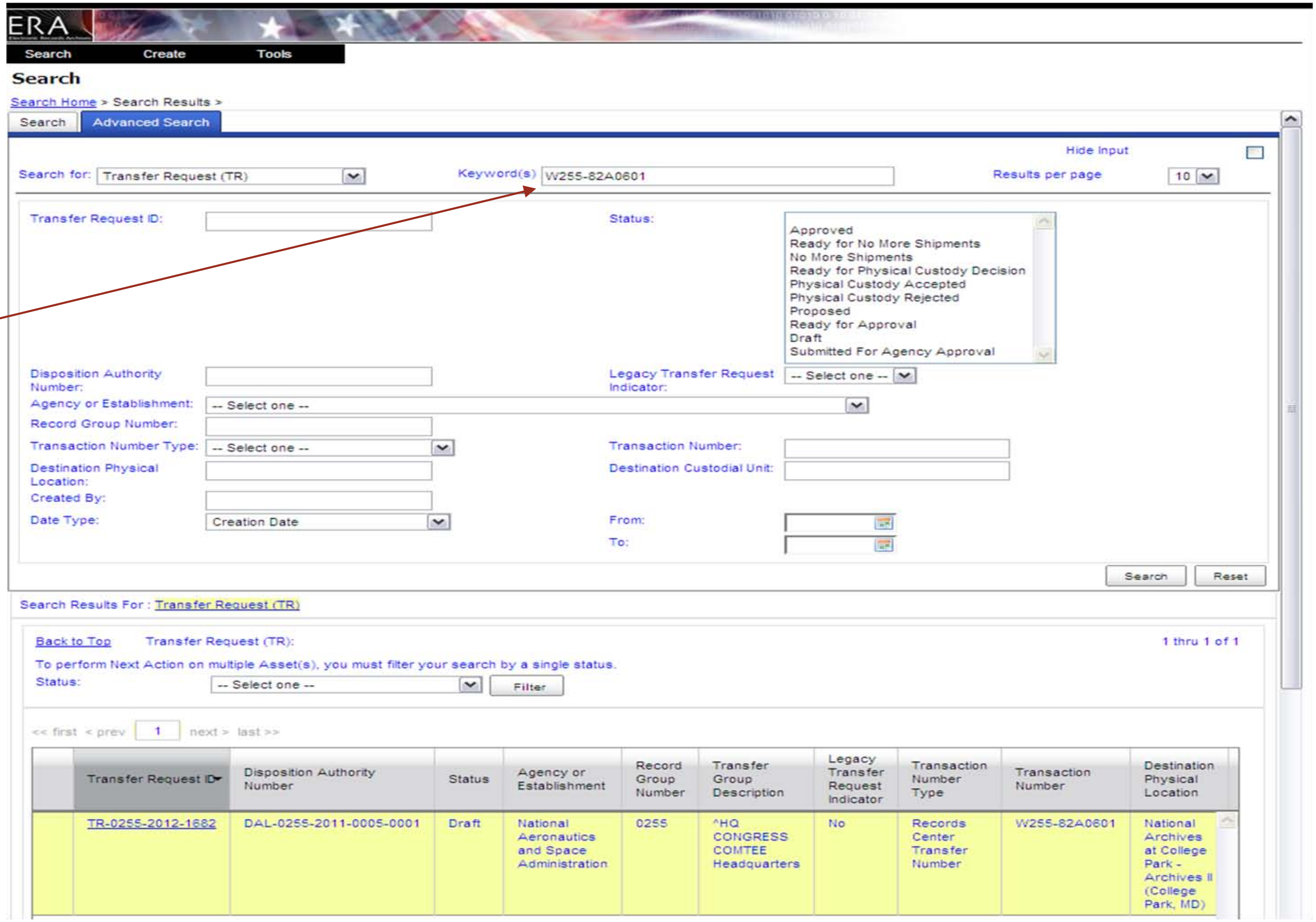
Searching: **ADVANCED SEARCH**

Example #2:

Using a Legacy Schedule Number to find the current Records Schedule Number.



Searching: ADVANCED SEARCH



Example #3:

Advanced search using Transaction Number as a keyword to find a specific Transfer Request.

Wildcard Search

Searching: **WILDCARD SEARCH**

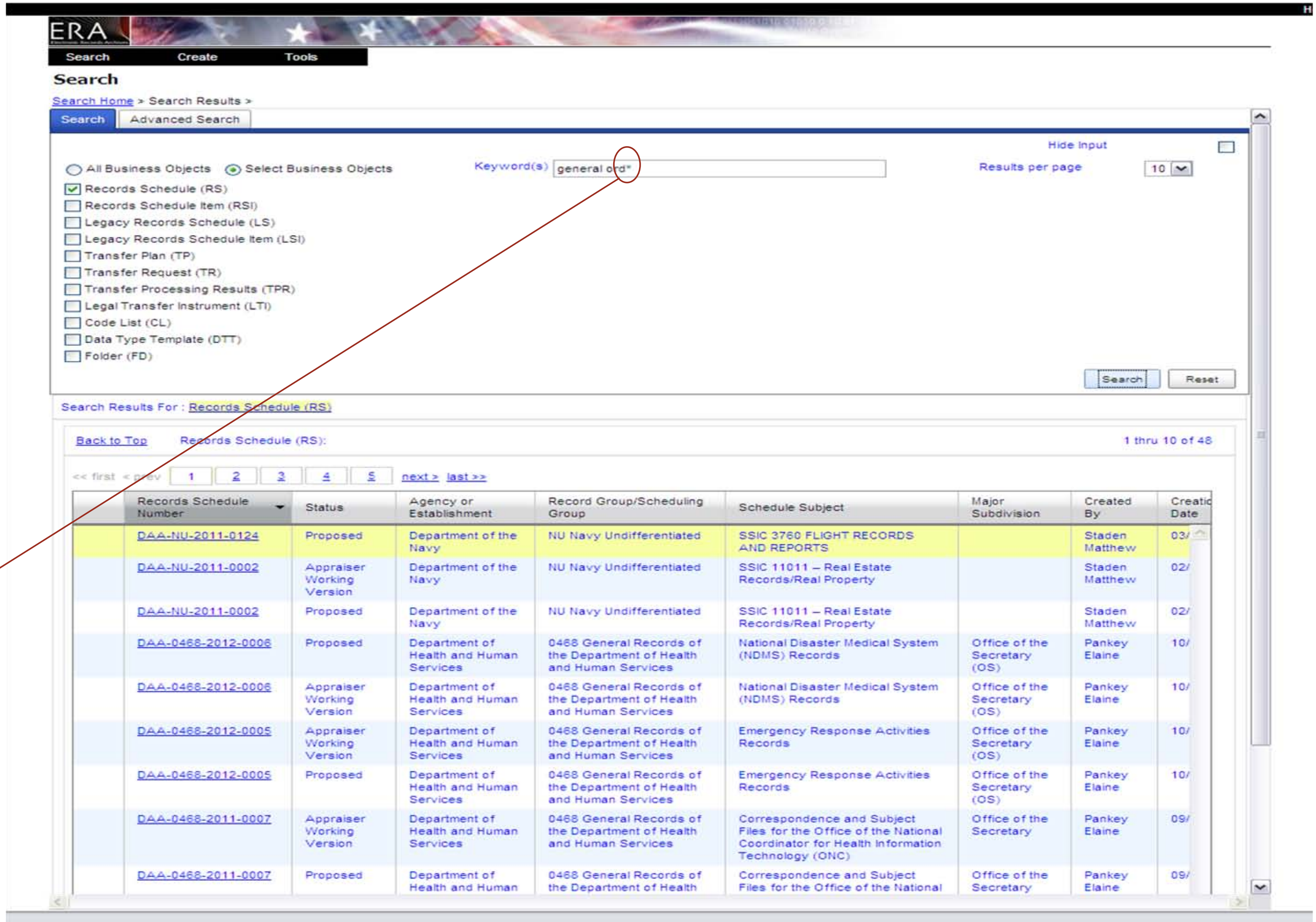
Wildcards such as * ? can aid searching.

- 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.

Example #1:

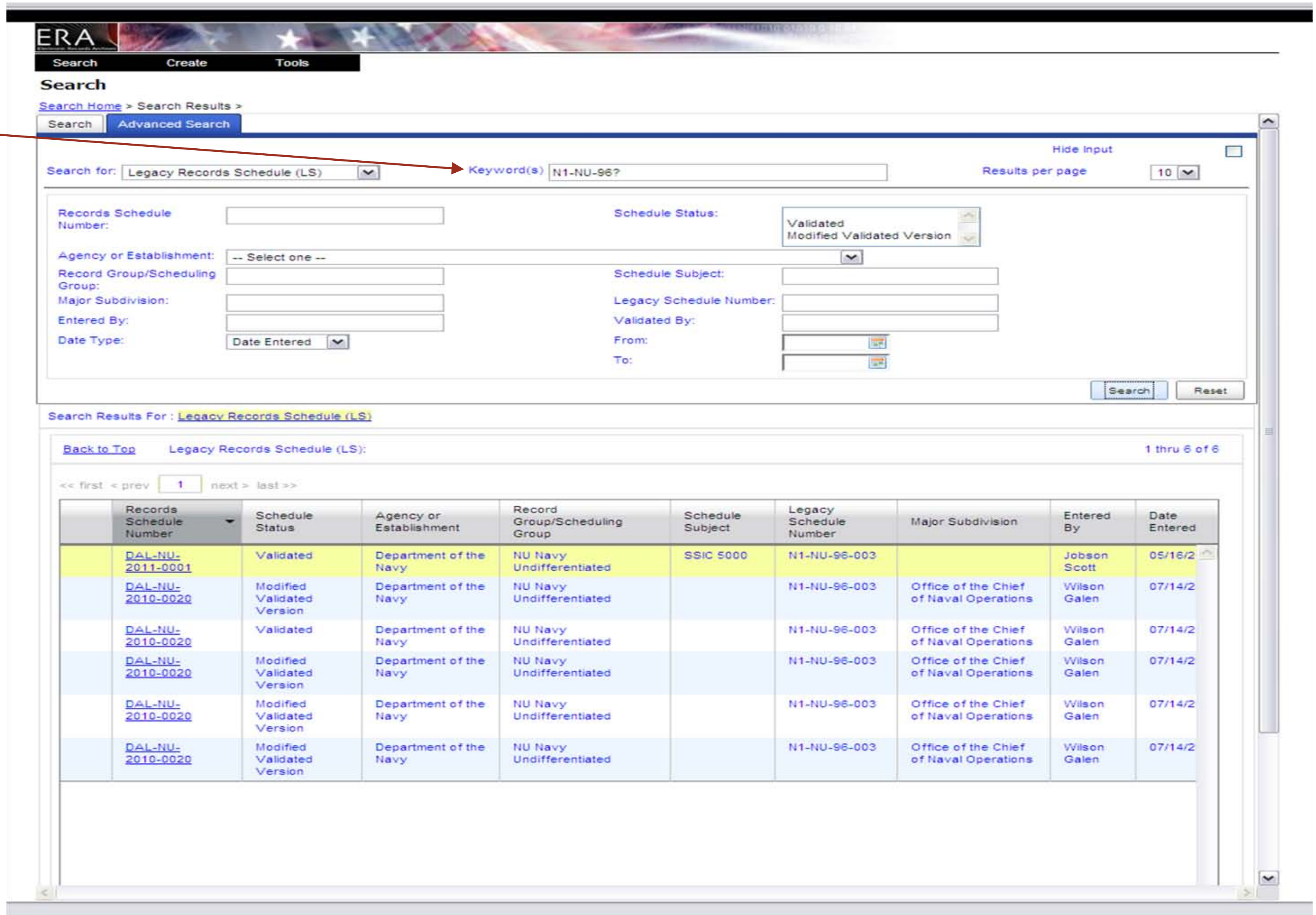
Find a Records Schedule using the asterisk * wildcard in Advanced Search for keyword general ord * and Department of the Navy.



Searching: **WILDCARD SEARCH**

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?.



Searching: 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?

ERA

Search Create Tools

Search

Search Home > Search Results >

Search | Advanced Search

Hide Input

All Business Objects | Select Business Objects

Keyword(s) LTI-0405-2009*

Results per page 10

- [ ] Records Schedule (RS)
- [ ] Records Schedule Item (RSI)
- [ ] Legacy Records Schedule (LS)
- [ ] Legacy Records Schedule Item (LSI)
- [ ] Transfer Plan (TP)
- [ ] Transfer Request (TR)
- [ ] Transfer Processing Results (TPR)
- [x] Legal Transfer Instrument (LTI)
- [ ] Code List (CL)
- [ ] Data Type Template (DTT)
- [ ] Folder (FD)

Search Reset

Search Results For : Legal Transfer Instrument (LTI)

Back to Top Legal Transfer Instrument (LTI): 1 thru 5 of 5

<< first < prev 1 next > last >>

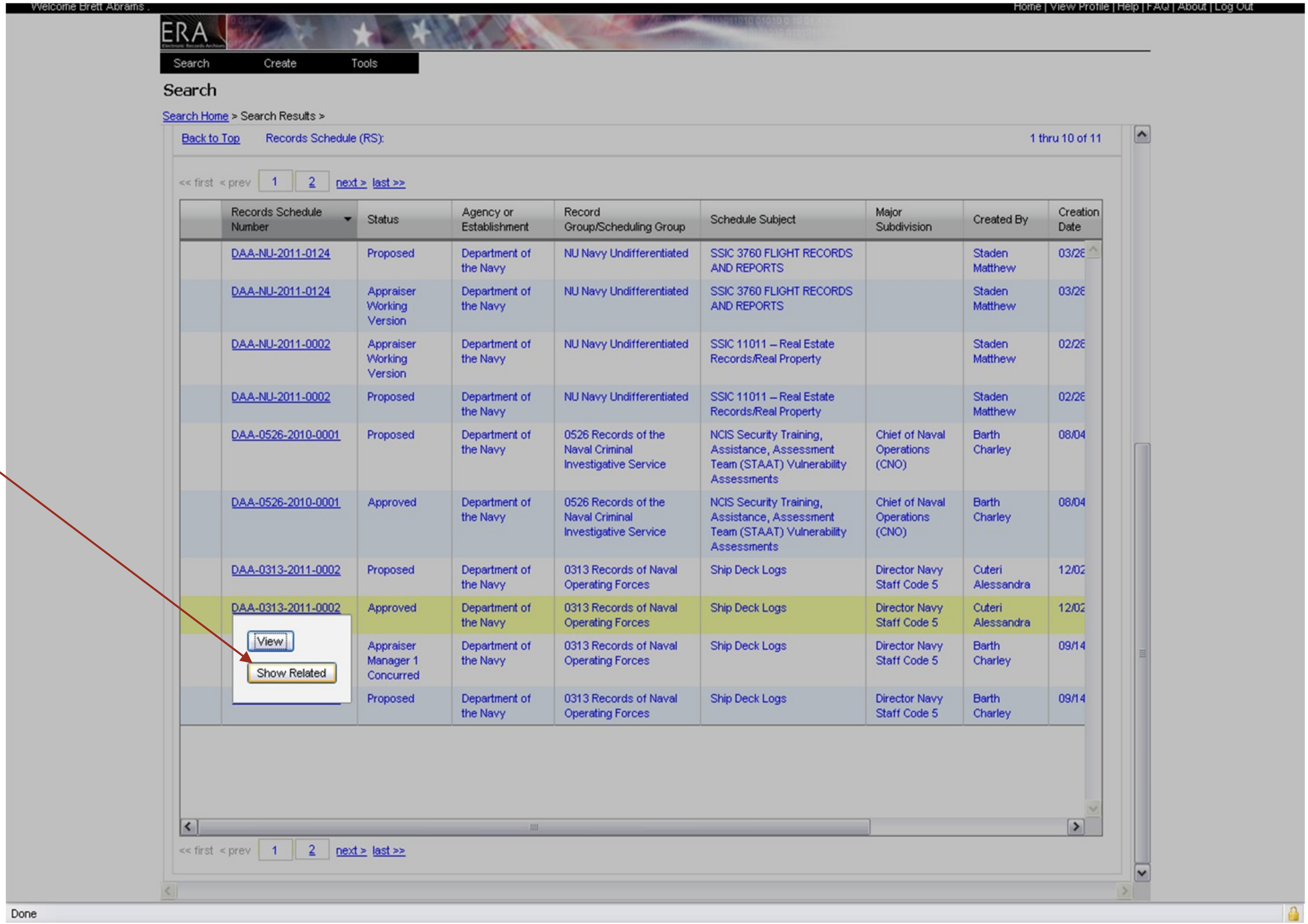
	Accession Number	Status	Agency or Establishment	Record Group Number	Legal Transfer Type	Legacy Legal Transfer Instrument Indicator	Transaction Number Type	Transaction Number	Records Schedule Item Title
	LTI-0405-2009-0005	Legal Custody Accepted	Department of the Navy	0405	Direct Offer	No	Legacy Accession Number	NN3-405-09-005	Databases maintained by Registrar, Commandant, o offices, which consist of for transcripts, class grad files, admission files and c similar files.
	LTI-0405-2009-0004	Legal Custody Accepted	Department of the Navy	0405	Direct Offer	No	Legacy Accession Number	NN3-405-09-004	Databases maintained by Registrar, Commandant, o offices, which consist of for transcripts, class grad files, admission files and c similar files.
	LTI-0405-2009-0003	Legal Custody Accepted	Department of the Navy	0405	Direct Offer	No	Legacy Accession Number	NN3-405-09-003	Databases maintained by Registrar, Commandant, o offices, which consist of for transcripts, class grad files, admission files and c similar files.
	LTI-0405-2009-0002	Legal Custody Accepted	Department of the Navy	0405	Direct Offer	No	Legacy Accession Number	NN3-405-09-002	Databases maintained by Registrar, Commandant, o offices, which consist of for transcripts, class grad files, admission files and c similar files.
	LTI-0405-2009-0001	Legal	Department of	0405	Direct	No	Legacy	NN3-405-09-001	Databases maintained by

Show Related Function

Searching: **SHOW RELATED FUNCTION**

The Show Related function allows users to see links that connect business objects associated with a particular schedule.

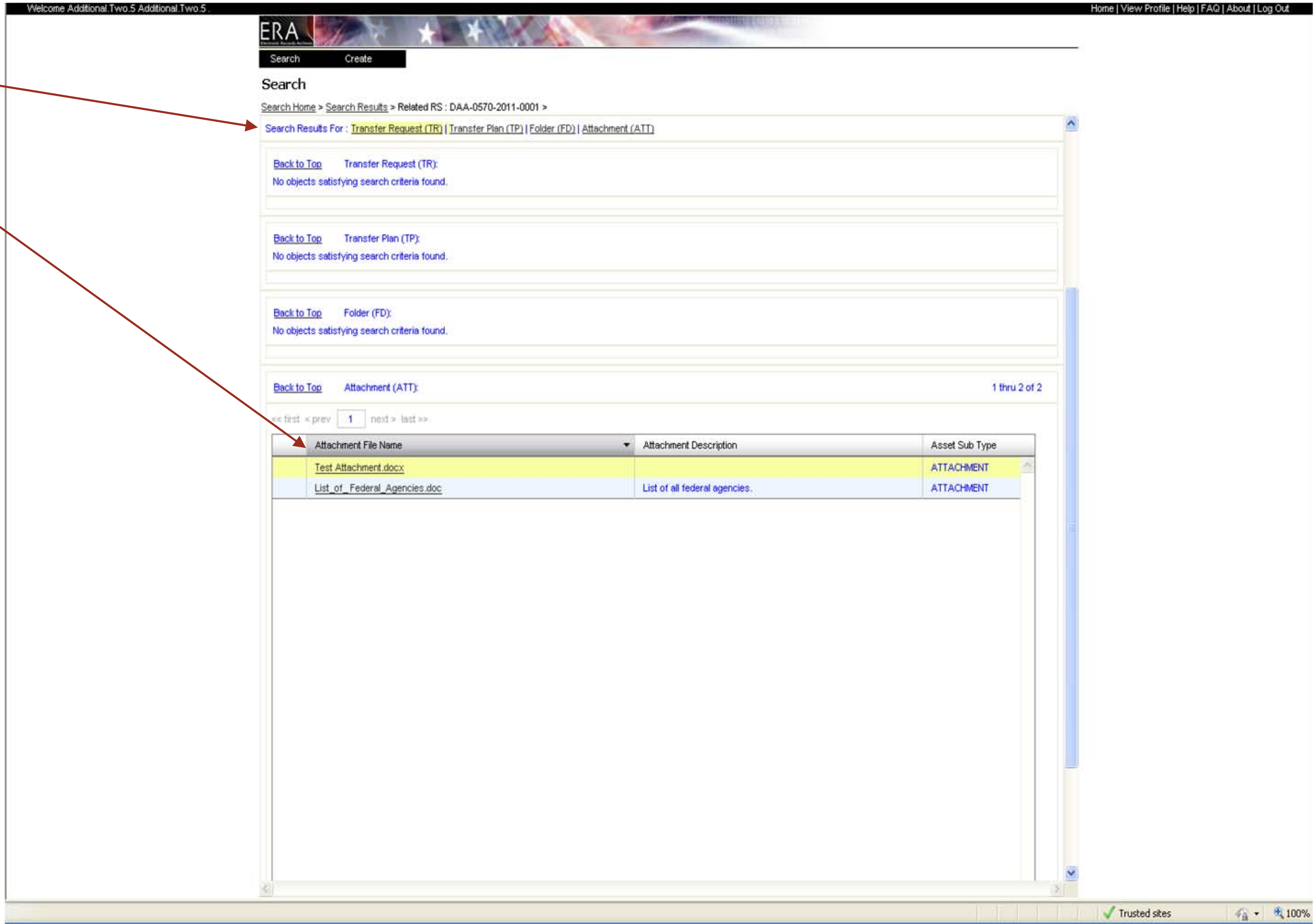
After performing a Basic, Advanced or Wildcard search, users can click Show Related to display other objects associated with a Records Schedule.



Searching: **SHOW RELATED FUNCTION**

When Show Related is clicked, any related Business Objects will be displayed.

In this example, two attachments are associated with this Records Schedule.



Basic and Advanced Search Properties

Searching: 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

Searching: **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, heli-copter	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** sup-ported	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	