ERA 2.0 Agency User Manual

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ERA 2.0 Agency User Manual

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Introduction

Welcome to the user manual for NARA's Electronic Records Archives (ERA) 2.0 System. ERA 2.0 is a web-based application that provides Federal agency personnel with the tools to perform essential records management activities, such as scheduling records and transferring permanent records to NARA. This system is an upgrade from ERA, and allows for a more streamlined approach to records management online, including improved search functions, built-in workflows, form progress-tracking, and improved version control.

Agency partners have a critical role in helping to safeguard and preserve the records of our government. This guide enables these activities by outlining ERA 2.0 processes and specific steps or actions.

About this Guide

The purpose of this guide is to provide agency partners with plain language information so that users may seamlessly perform all duties and job functions related to records management through ERA 2.0.

ERA 2.0 is intended for use in Google Chrome or Microsoft Edge browsers. The system is adaptable for screen sizes of 1280px (e.g., 1280 x 720, 1280 x 760, etc.) and above. The combination of the browsers and screen size allows users to navigate between pages without visual interruptions. Using other browsers or lower screen sizes may result in a diminished experience while navigating the system.

The ERA 2.0 system, and this training manual are accessible to blind and visually impaired users of screen-reading technologies.

Who Should Use This Guide

This guide is intended for federal agency users with the following roles:

- ✓ Records Scheduler
- ✓ Certifying Official
- ✓ Transferring Official
- ✓ Approving Official

How This Guide is Organized

This guide contains five parts and is designed with both veteran ERA users and new ERA 2.0 users in mind.

Part I: Quick Start Guide

In this section, users will learn the basics about Records Schedules; key differences between this system and ERA; end user roles and responsibilities; creating and managing user accounts; and the overall workflows for Records Schedules and Transfer Requests.

Part II: Business Forms and Related Elements

This section outlines the ins-and-outs of all business forms in the system, namely Records Schedules and Transfer Requests.

Part III: Key Features in ERA 2.0

Users can review this section to familiarize themselves with key features and functions of ERA 2.0.

Parts IV and V: How to Perform Job functions

These sections comprise most of this manual and outline step-by-step directions for scheduling and transferring records for agencies.

Part I: Quick Start Guide

Records Schedules 101

Records Schedules provide mandatory "disposition authorities" to Federal agencies that indicate whether records may be destroyed or transferred to NARA when they are no longer needed for business. The disposition instructions state whether individual series of records are permanent or temporary, as well as how long to retain the records.

Records with archival value, identified as permanent, are transferred to NARA at the end of their retention period (using a Transfer Request). All other records are identified as temporary and are eventually destroyed in accordance with agency-specific Records Schedules approved by NARA.

To learn more about records management, please visit NARA's Records Management Training Program page: https://www.archives.gov/records-mgmt/training

What's New in ERA 2.0

There are several functionality upgrades in ERA 2.0 from ERA. These include built-in workflows, form progress-tracking, and improved versioning for Records Schedules and Transfer Requests. The chart below outlines former pain points from ERA as well the upgrades in ERA 2.0 that address them.

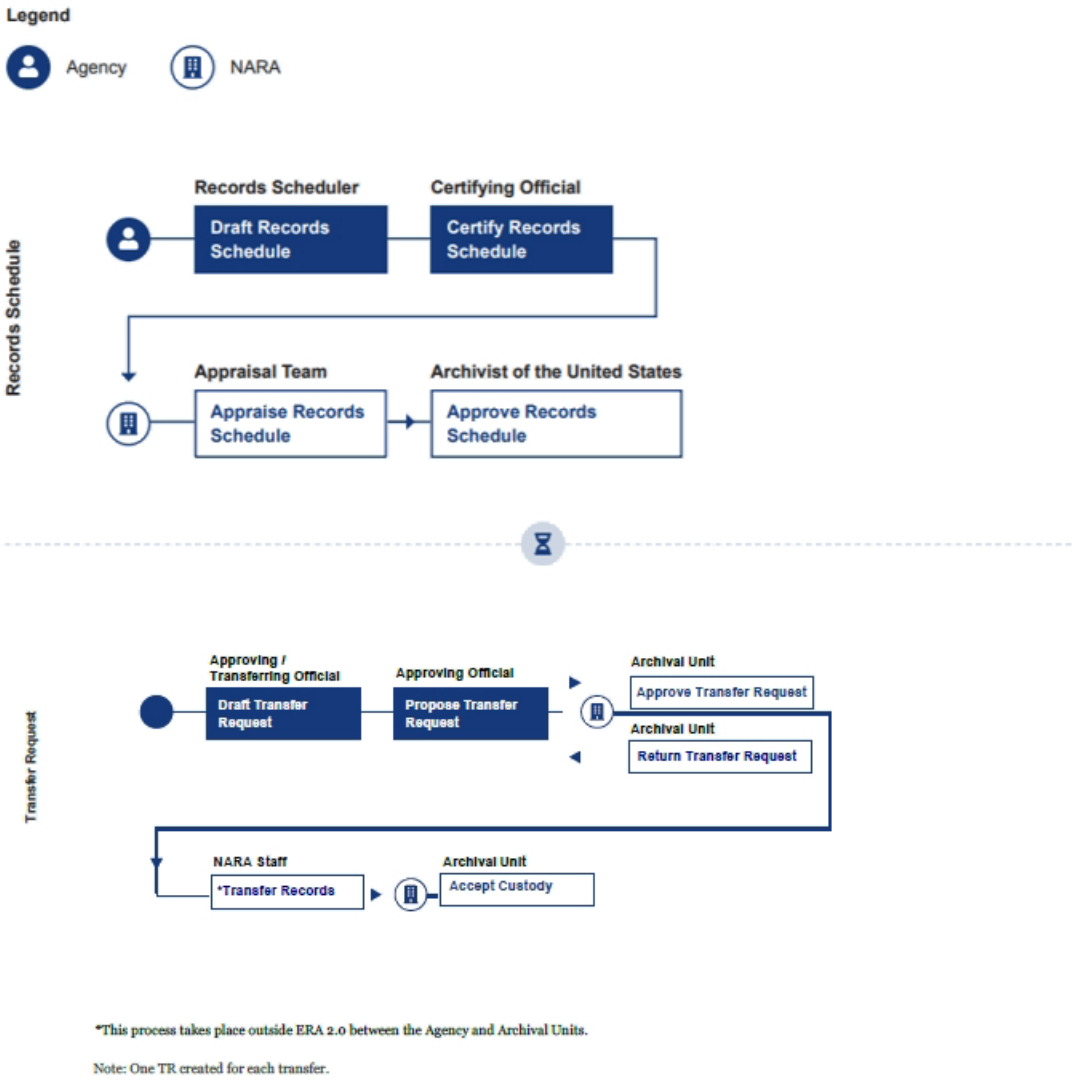
Form Type(s)	ERA Issue	ERA 2.0 Update
Records Schedule & Transfer Request	PDF exports from ERA were not 508 compliant or user friendly.	ERA 2.0 provides an enhanced PDF export that complies with Section 508 which is part of the US Rehabilitation Act while all forms and functionality adhere to the Web Accessibility Guidelines 2.0 (Level AA)
Records Schedule & Transfer Request	Agency user profiles in ERA are defined Record Groups.	In ERA 2.0, agency user access is defined by agency rather than by Record Group, and an agency user's profile can be updated to include as many Agencies and RGs as are needed for users to conduct their business in the system.
Records Schedule & Transfer Request	There was a system-wide broadcast of Notifications for all users.	Notifications are sent only to those directly affected by an action.
Records Schedule & Transfer Request	Users would see a different version for each status of the form versus one single working version with all major changes.	The system provides a single form that includes its version history.
Records Schedule & Transfer Request	There was no tracking of form assignments, which caused users to maintain spreadsheets outside of the system track progress and assignments of forms.	ERA 2.0 tracks assignments through the process from creation to conclusion.
Records Schedule & Transfer Request	Changes to forms were not transparent through its lifecycle.	ERA 2.0 will provide a detailed log of changes per major milestone of the form's lifecycle.
Records Schedule & Transfer Request	Users could not provide additional details for uploaded documents or view those documents after upload.	Users can indicate the type of documents that are uploaded and provide additional content if desired. All users with appropriate permissions will be able to download uploaded files.
Records Schedule & Transfer Request	Users who had more than one role frequently had to complete the actions of one role on a form then search for that form to take the actions	Permissions are set up so that those with multiple roles can perform all functions. For example, a Certifying Official can now create and certify a Records Schedule.

	associated with their second role. For example, a user with a Transferring Official role in their profile could create a TR and Submit for Agency Approval in Base. If the same user had the Approving Official role that user would have to search for the TR to then propose it to NARA.	For Transfer Request, an Approving Official can now create and propose a Transfer Request directly, without first submitting it for approval.
Records Schedule & Transfer Request	The interface was difficult to navigate, and forms had fields that were no longer relevant.	Forms have been redesigned to allow for user-friendly navigation; a Dashboard has been created that will be the central point of form management.
Records Schedule & Transfer Request	Search was inadequate, using cryptic business language and fielding multiple copies of schedules in search results.	Search is enhanced.
Records Schedule	Repositioning Items within the Schedule was difficult.	There is now an improved interface for repositioning Items.
Transfer Request	Transfer Requests could not be edited except when in “Draft” status.	Transfer Requests can be edited throughout the accessioning process.
Transfer Request	Agencies were unable to create Transfer Requests using the General Records Schedule.	Agencies can create Transfer Requests for records scheduled as permanent under the GRS.
Transfer Request	Agencies could only select one Disposition Authority Number.	Agencies can select more than one Disposition Authority Number.
Transfer Request	Users were unable to easily see Transfer Requests created by the Annual Move when logging into the system.	TRs are directly placed into the "Unassigned" Dashboard category of the Transferring Official. Users can also do a search within the system for all Transfer Requests created by the Annual Move.
Transfer Request	Users did not have the ability to use bulk actions on Transfer Requests until later in the process.	Agency users have the ability to conduct bulk actions earlier in the submission process.
Transfer Request	Transferring Official could only select Disposition Authority Numbers for their assigned Record Group.	Transferring Official can search and select Disposition Authority Numbers outside of Record Groups found in their user profile.
Transfer Request	There were three different forms for each accession (TR, TPR, and LTI).	There is just one form - the Transfer Request covers all stages of the accessioning process.

The table above shows upgrades from the ERA system to ERA 2.0.

ERA 2.0 Workflow

The figure below depicts the workflows for Records Schedules and Transfer Requests within ERA 2.0. It shows step-by-step, linear representations of the business process from start to finish. Key activities and responsible end users are outlined.



The figure above shows the basic workflows for Records Schedules and Transfer Requests in ERA 2.0.

Overview of End Users

Roles, Responsibilities, and Capabilities

Roles for Scheduling Records

Records Scheduler: Records Schedulers are agency staff responsible for preparing draft Records Schedules and submitting them to the Certifying Official. Each agency can have multiple individuals assigned to this role.

Certifying Official: Certifying Officials are agency representatives who can draft Records Schedules, but are primarily responsible for certifying that the agency is officially

submitting Records Schedules to NARA for review and approval. Each agency can have multiple individuals assigned to this role.

Roles for Transferring Permanent Records to NARA

Transferring Official: Transferring Officials are agency representatives who create Transfer Requests and submit them to the Approving Official. There can be multiple Transferring Officials within an agency.

Approving Official: Approving Officials are agency representatives who have the ability to draft Transfer Requests, but are primarily responsible for officially submitting Transfer Requests to NARA for review and proposal. There can be multiple Approving Officials within an agency.

Responsibilities and Capabilities for End Users: Records Schedules

Roles	**Responsibilities**	**Capabilities**
Records Scheduler	Create a Records Schedule and submit to the Certifying Official for review Edit a Records Schedule that has been returned for revision	● Create ● Reassign
Certifying Official	Create a Records Schedule and Submit to NARA for review and approval Review the Records Schedule in "Submit for Certification" status and submit it to NARA for review and approval Edit a Records Schedule that has been returned for revision Re-certify a Records Schedule that has been returned for revision	● Create ● Review ● Reassign ● Certify

The table above shows the responsibilities and capabilities for agency end users working on records schedules in ERA 2.0.

Responsibilities and Capabilities for End Users: Transfer Requests

Roles	Responsibilities	Capabilities
Transferring Official	Create a Transfer Request and submit it to the Approving Official for review and approval	• Create • Reassign
Approving Official	Create a Transfer Request and submit it to NARA for review and approval Review the Transfer Request in "Submit for Agency Approval" status and submit to NARA for review and approval Edit a Transfer Request that has been returned Re-propose a Transfer Request that has been returned	• Create • Review • Reassign • Propose

The table above shows the responsibilities and capabilities for agency end users working on transfer requests in ERA 2.0.

Creating and Managing User Accounts

To create an account in ERA 2.0, individual users must complete the online ERA User Account Request Form (NA 3070) on Archives.gov, and submit it to NARA by clicking on the **Submit Form** button. Once submitted, the form will automatically be sent to ERAaccounts@nara.gov.

The NARA ERA Account Official reviews the information and forwards it to the agency's ERA Account Manager (AM) via email. The AM is the primary contact within the agency to handle account management for users. The AM will verify that the request is correct and complete, and then forward the request via email back to the NARA ERA Account Official at ERAaccounts@nara.gov.

If users have already created an account and are trying to access or update their credentials, they should contact the ERA Help Desk via phone or email. The Help Desk can be reached from 6 AM to 8PM (Eastern Standard Time) at 1-877-372-9594; the email address is: ERAHelp@nara.gov.

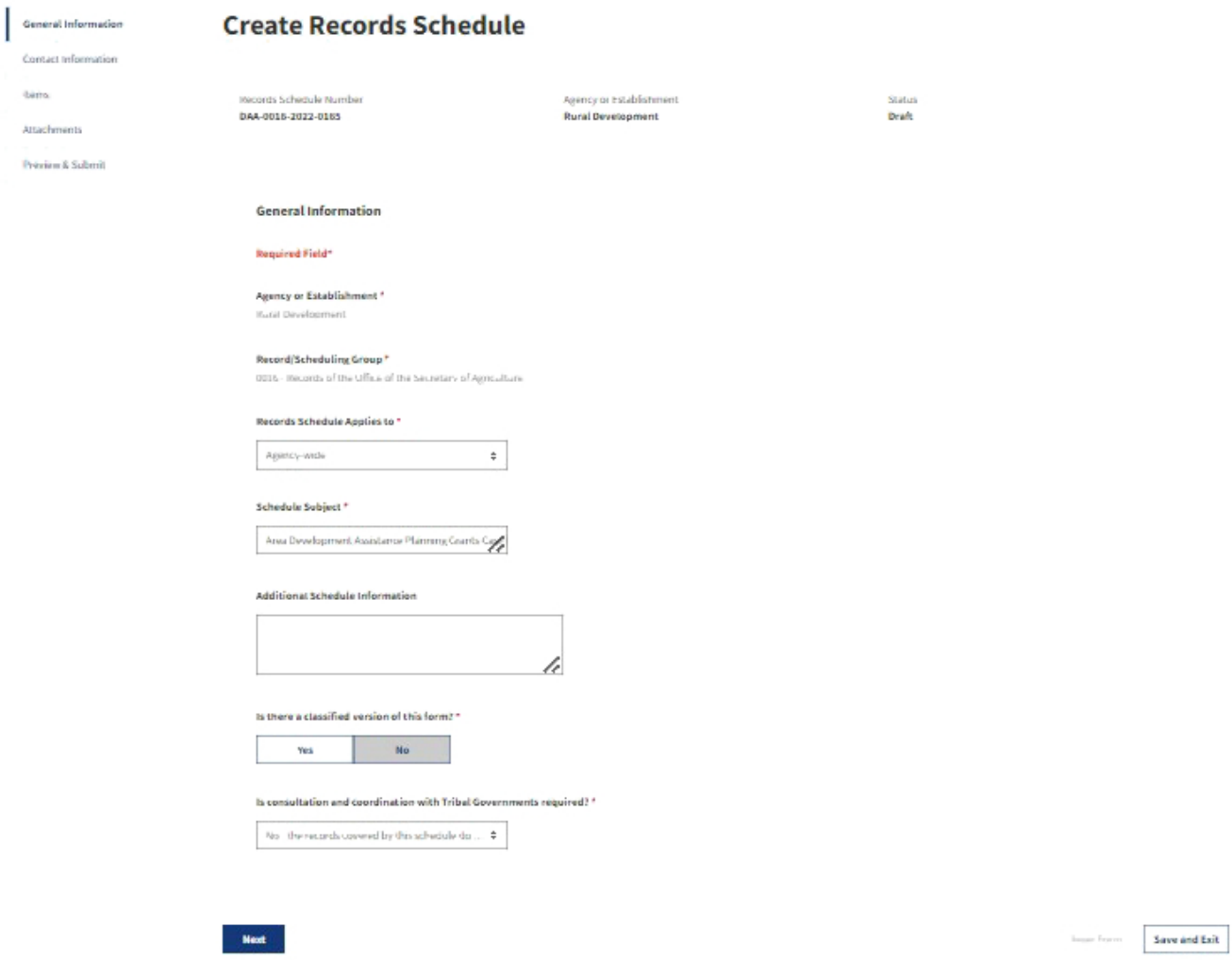
For a more detailed overview of account creation, see the information and additional resources on the Archives.gov website.

Part II: Business Forms and Related Elements

Section A: Records Schedules

Overview

As mentioned in the "Records Schedule 101" section of Part I, a Records Schedule provides mandatory instructions on how long to keep records and when they can be destroyed and/or transferred to NARA. Records Schedules are also known as "Requests for Records Disposition Authority" developed by a Federal agency, and they can be approved, returned for revision, or rejected by NARA using the ERA 2.0 system.



The figure above shows the form for a Records Schedule in ERA 2.0.

Roles, Responsibilities, and Capabilities

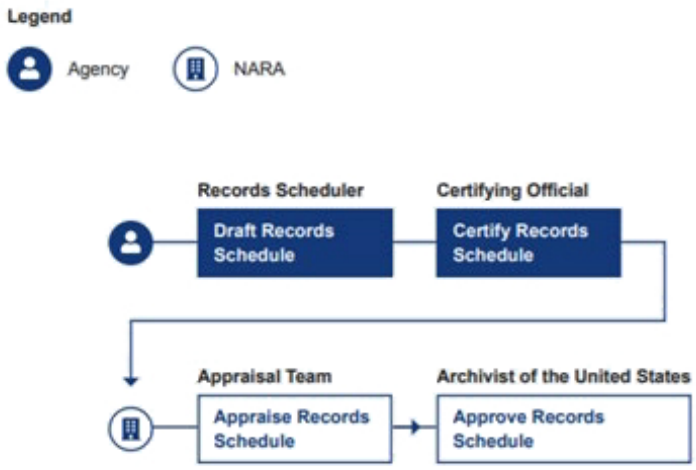
The following table outlines the agency roles, responsibilities, and capabilities for scheduling records within the ERA 2.0 system. In addition to the capabilities listed in the table below, end users can take other actions, such as adding attachments, deleting, or copying from existing. Additional information about available actions may be found in the "How to Schedule Records in ERA 2.0" section of this manual.

Roles	Responsibilities	Capabilities
Records Scheduler	Create a Records Schedule and submit it to the Certifying Official for review	• Create • Reassign
Certifying Official	Create a Records Schedule and submit it to NARA for review and approval Review the Records Schedule in "Submit for Certification" status and submit it to NARA for review and approval	• Create • Review • Reassign • Certify

The figure above outlines end users' roles, responsibilities, and capabilities for scheduling records.

Records Schedule Workflow

The figure below shows the basic workflow for a Records Schedule.



The figure above shows the workflow of the Records Schedule.

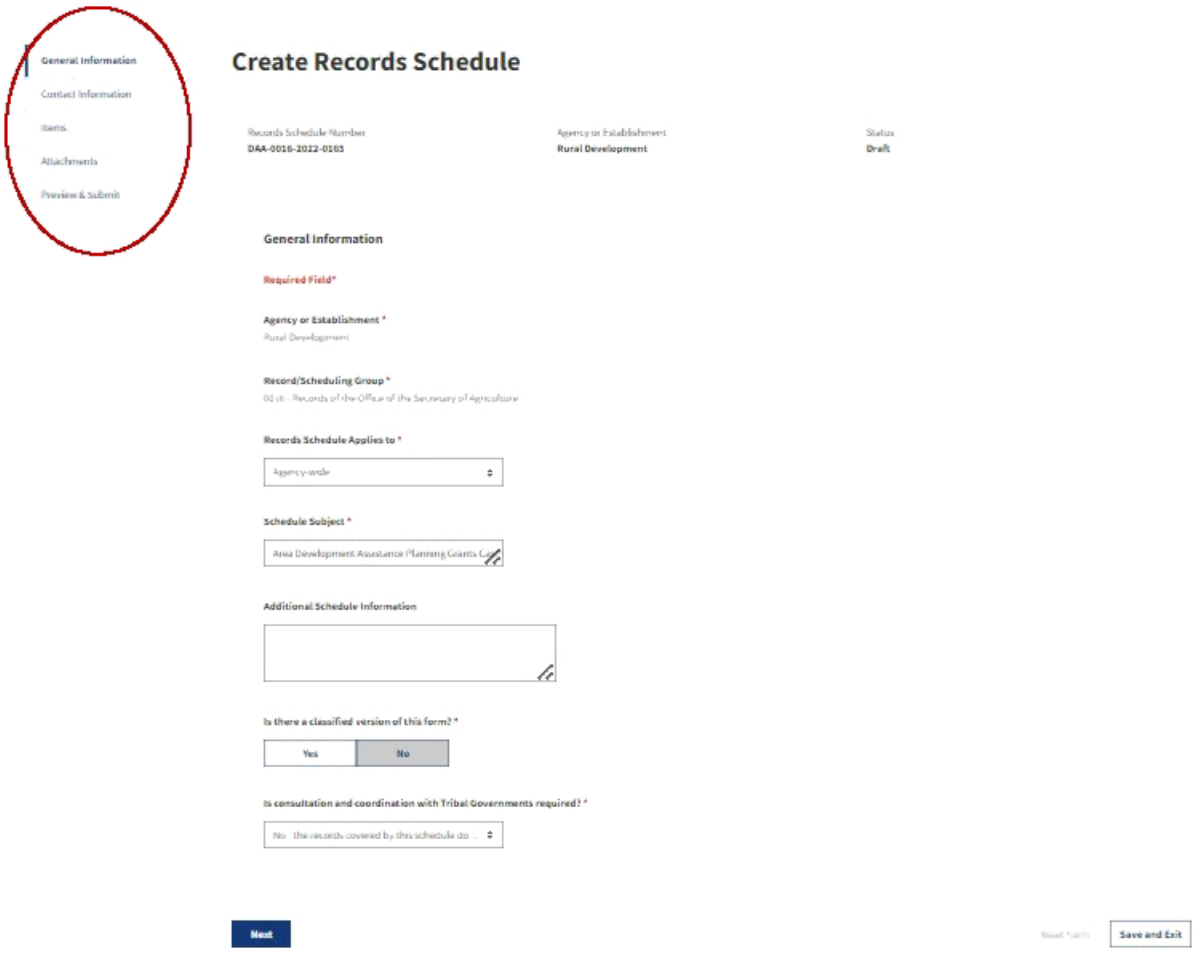
Records Schedule Form Elements

The following information outlines the basic structure of the Records Schedule form. To create a new Records Schedule, users must select the **Create New Form** dropdown menu from the **Dashboard**, and then click on **Records Schedule**. A new Records Schedule form that is in "Draft" status will then appear in a new page.

Note: *To view a description of the **Dashboard**, see "Exploring the Dashboard" in Part III. For detailed information on the Records Schedule creation process, see "Create a Records Schedule" in Part IV.*

This new form will include the following navigation tabs:

1. **General Information**: Contains contextual information that applies to all Items in the Records Schedule (e.g. Name of Agency, Subject of Records Schedule, etc.).
2. **Contact Information**: Provides contact information for the points of contact relating to the specific Records Schedule.
3. **Items**: Contains a list of the Records Schedule Items and Groups.
4. **Attachments**: Provides the option for agencies to attach supporting documentation related to the Records Schedule.
5. **Preview & Submit**: Summarizes all input for the Records Schedule form, and provides action options (e.g. **Submit for Certification** or **Certify**) based on the user's role.

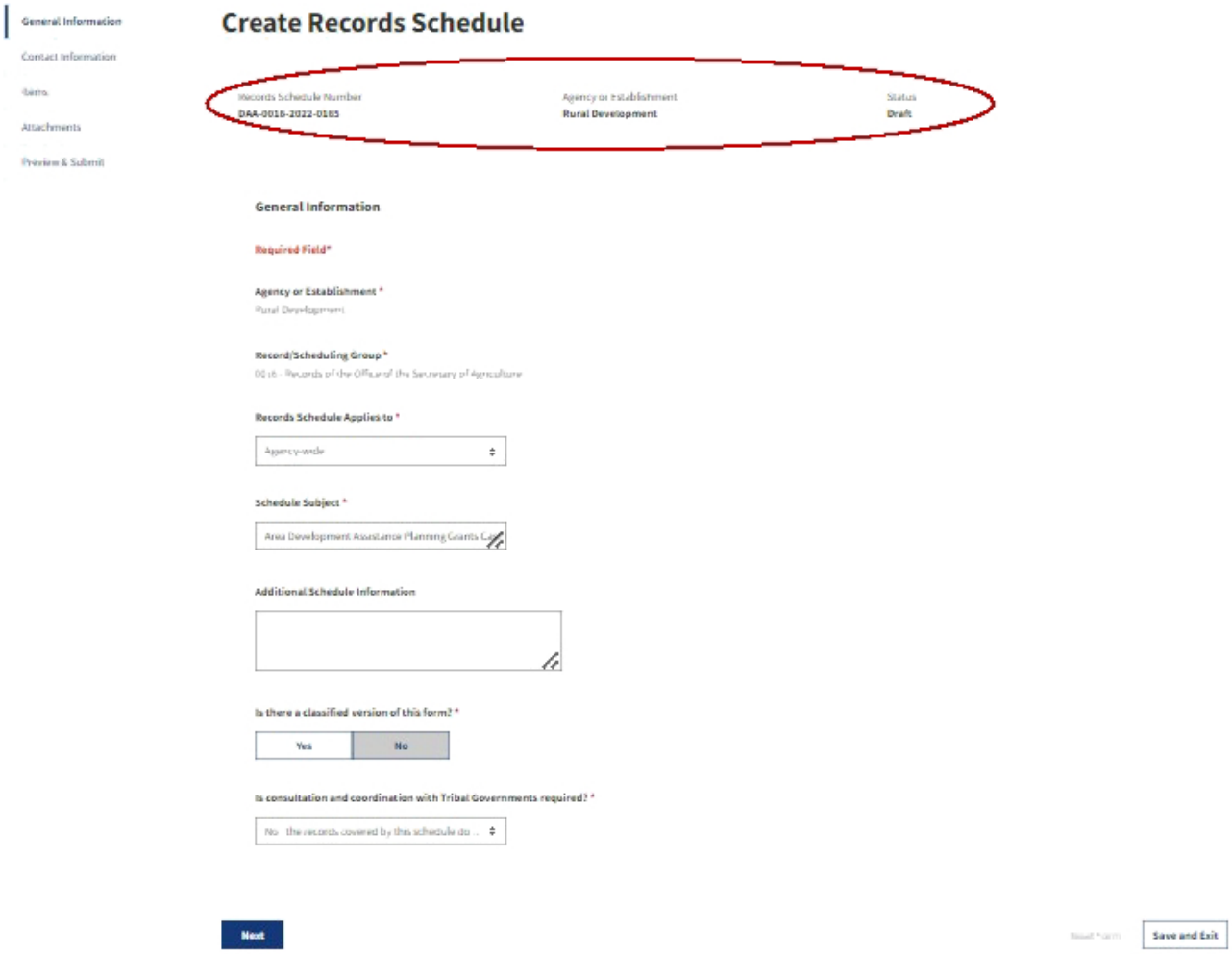


The figure above shows a Records Schedule in "Draft" status, with the left navigation tabs highlighted.

Records Schedule Header

Along with the left navigation, the user will see a header at the top of the form when the draft Records Schedule is open in a new browser tab. The header displays the **Records Schedule Number**, the **Agency or Establishment**, and the **Status**, all of which are system-generated.

The **Status** field of the Records Schedule is automated and updated as the schedule progresses in the workflow. The Records Schedule Number and the Agency or Establishment fields remain the same throughout the entire workflow.



The figure above shows a Records Schedule in "Draft" status, with the header highlighted.

Records Schedule Items and Groups

Each Records Schedule contains "Items," and sometimes contains "Groups" of Items (formerly known as "Overview" in ERA). A Records Schedule Item can cover a single series or several closely related series.

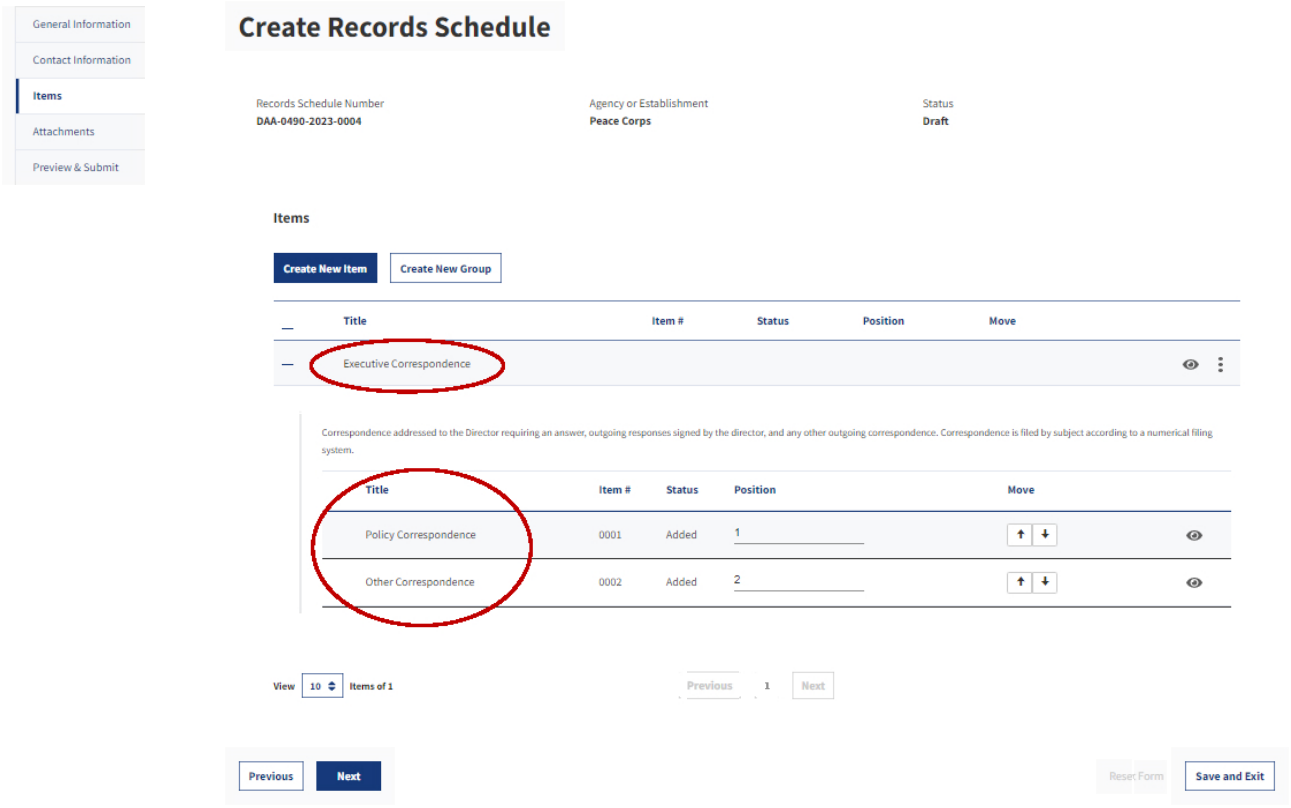
Items: Items include the description of the record(s) — including a suggested period for their retention by the agency —and mandatory instructions for what to do with them when they are no longer needed for current government business.

Groups: Groups contain related Items that are managed together under a common heading or title. Each Records Schedule can contain more than one Item or Group.

For example, the Records Schedule filed by Peace Corps shown below contains the following Group and Items:

- **Group Title**: Executive Correspondence
  - **First Item:** Policy Correspondence

- **Second Item**: Other Correspondence



The figure above shows the Records Schedule Group (Titled: "Executive Correspondence") as well as the individual Items within it, in a Records Schedule filed by the Peace Corps.

Section B: Transfer Requests

Overview

Agencies are required to transfer physical and legal custody of their permanent records to the National Archives. The primary method for undertaking this process is through a Transfer Request. A Transfer Request documents and conducts this physical and legal transfer. One or more Records Schedule Items are attached or linked to each Transfer Request.

Creating Transfer Requests

Agencies and NARA can both create Transfer Requests. NARA will create Transfer Requests and provide those draft forms to agencies during the "Annual Move" each October, when agency records that are held by a Federal Records Center (FRC) facility are scheduled to be transferred to NARA.

Annual Move Transfer Requests

The Annual Move is NARA's process for legally transferring permanent records from Federal Records Centers (FRCs) to NARA archival units across the nation. ERA 2.0 has a tool that can create numerous Transfer Requests (i.e. 10,000+) at a time. Once the necessary Transfer Requests are created, ERA 2.0 will perform the following actions:

- Send a **Notification** to Approving Officials whose agency had a Transfer Request created as part of the process. *The notification contains a CSV export with detailed field level information for each Transfer Request created for that agency.*

- Place created Transfer Requests within the **Dashboard** of all appropriate agency Approving Officials.

Note: *It is the Agency Approving Official's responsibility to determine the next steps for the Transfer Requests that were created for the Annual Move.*

Roles, Responsibilities, and Capabilities

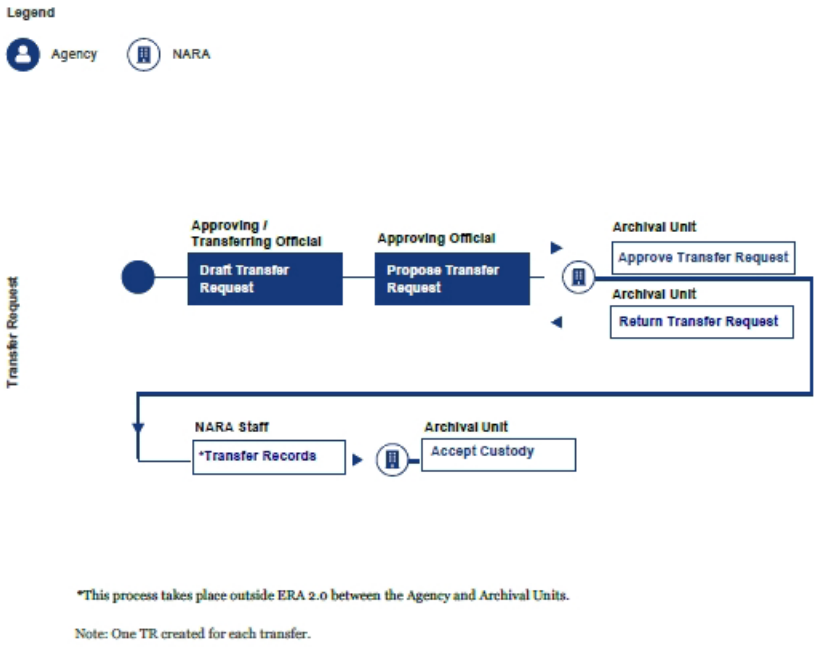
The following table outlines agency roles, responsibilities, and capabilities for transferring permanent records to NARA within the ERA 2.0 system. In addition to the capabilities listed in the table below, end users can take other actions, such as adding attachments, deleting, or copying from existing. Additional information about available actions may be found in the "How to Transfer Records in ERA 2.0" section of this manual.

Roles	Responsibilities	Capabilities
Transferring Official	Create a Transfer Request and submit to the Approving Official for approval	• Create • Reassign
Approving Official	Create a Transfer Request and submit to NARA for review and approval Review the Transfer Request in "Submit for Agency Approval" status and submit it to NARA for review and approval	• Create • Review • Reassign • Propose

The figure above outlines end users' roles, responsibilities, and capabilities for transferring permanent records to NARA.

Transfer Request Workflow

The figure below shows the end-to-end workflow for a Transfer Request, including the end user roles for each step.



The figure above shows the workflow of a Transfer Request.

Transfer Request Form Elements

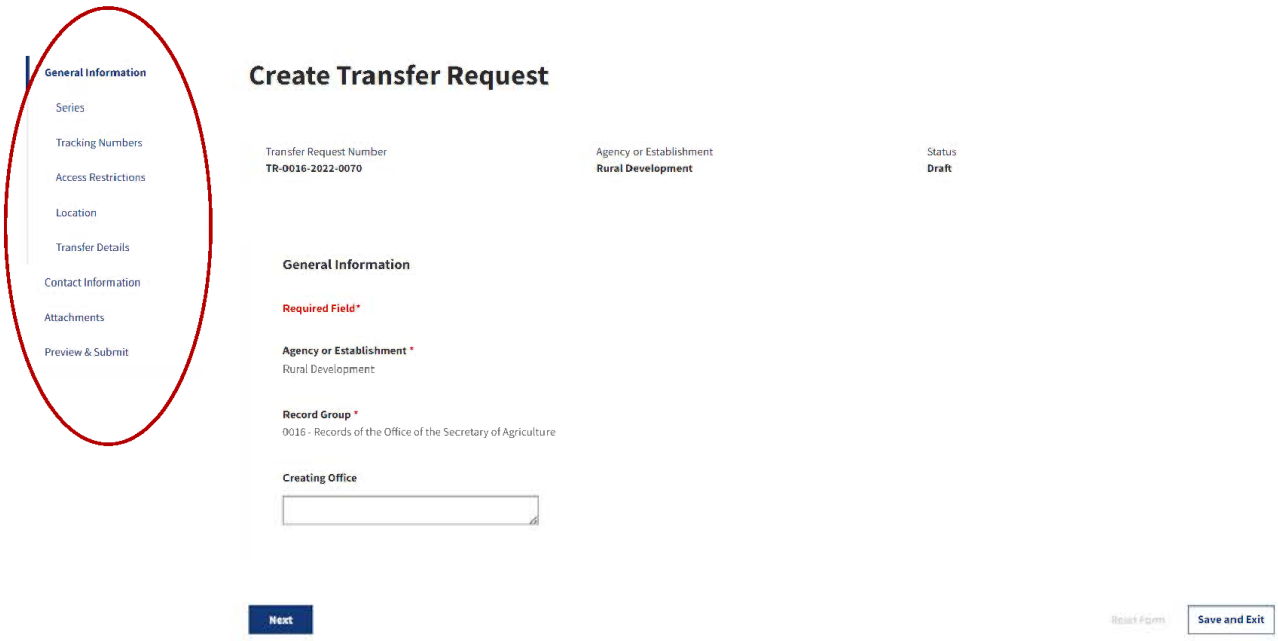
The section below outlines the basic structure of the Transfer Request form, which is similar to that of a Records Schedule. When the user selects the **Create New Form** dropdown menu, and **Transfer Request** from the **Dashboard**, users will navigate to a new page with the Transfer Request form in "Draft" status.

Note: *To view detailed information on the Transfer Request creation process, see "Create a Transfer Request" in Part V.*

The draft Transfer Request form has the following navigation tabs on the left:

1. **General Information**: Contains contextual information that applies to the Transfer Request (e.g. name of Agency, creating office, etc.). This tab consists of the following sub-sections:
    a. Series
    b. Tracking Numbers
    c. Access Restrictions
    d. Location
    e. Transfer Details

    To learn more about these sub-sections refer to Part V of this manual, "How to Transfer Records in ERA 2.0."
2. **Contact Information**: Provides contact information for the points of contact relating to the Transfer Request.
3. **Attachments**: Provides the option for agencies to attach supporting documentation related to the Transfer Request.
4. **Preview & Submit**: Summarizes all input for the Transfer Request form, and provides action options (e.g. Submit for **Agency Approval** or **Propose**) based on the user's role.



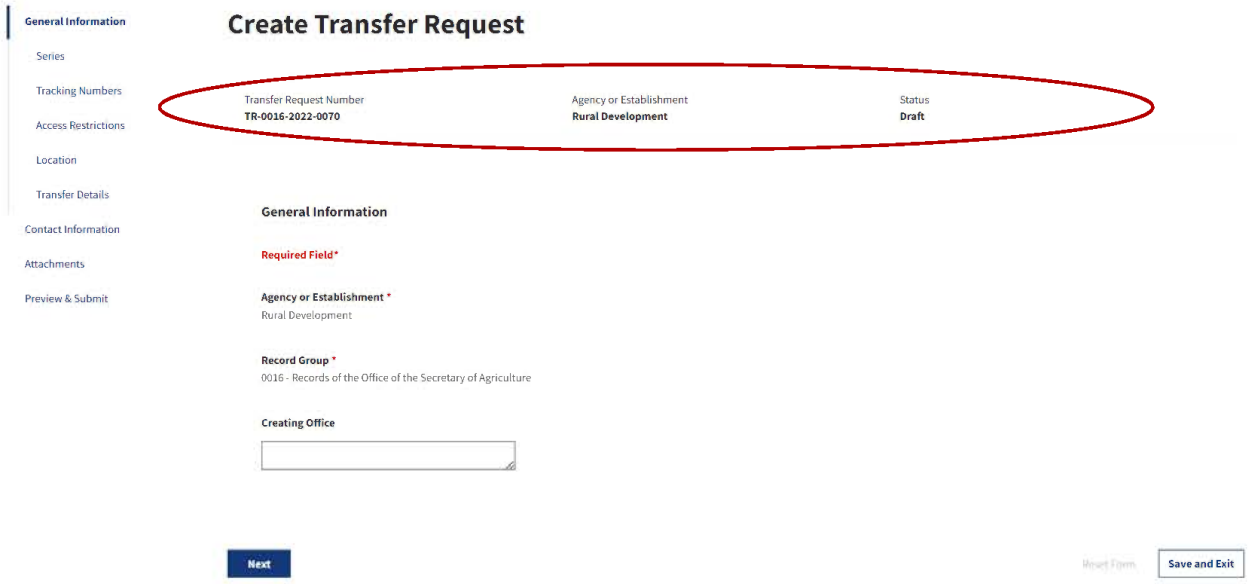
The figure above shows a Transfer Request in "Draft" status, with the left navigation highlighted.

Transfer Request Header

Along with the left navigation, the user will see a header at the top of the form when the draft Transfer Request is open in a new browser tab. The header displays the **Transfer Request Number**, the **Agency or Establishment**, and the **Status**, all of which are system-generated.

The **Status** field of the Transfer Request is automated and updated as the Transfer Request progresses in the workflow. The three status options that are applicable to agencies are "Draft," "Submitted for Agency Approval," and "Proposed."

The **Transfer Request Number** and the **Agency or Establishment** fields remain the same throughout the entire workflow.



The figure above shows a Transfer Request in "Draft" status, with the header highlighted.

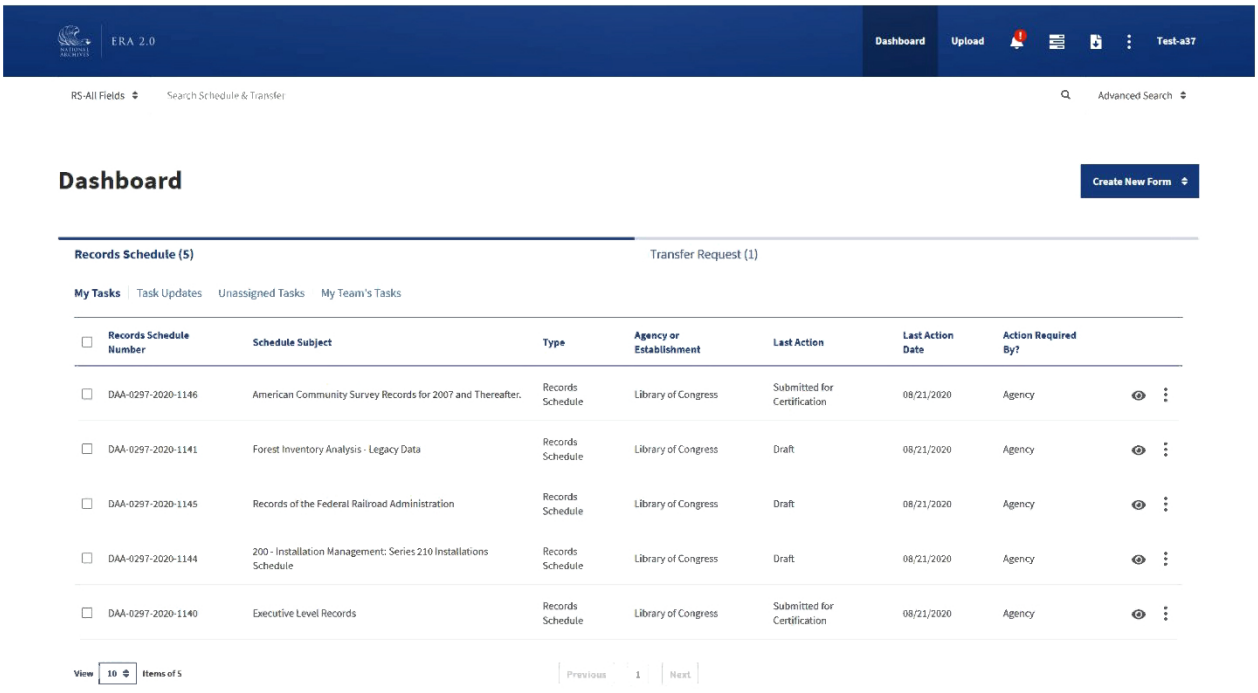
Part III: Key Features in ERA 2.0

The following information provides an overview of the key features in ERA 2.0 that provide critical information and functionality for scheduling and transferring records. The key features and functions described here include:

- Dashboard
- Create New Forms
- Notifications
- Search
    - Keyword Search
    - Advanced Search
- Search Results
- Export Function
- Bulk Actions

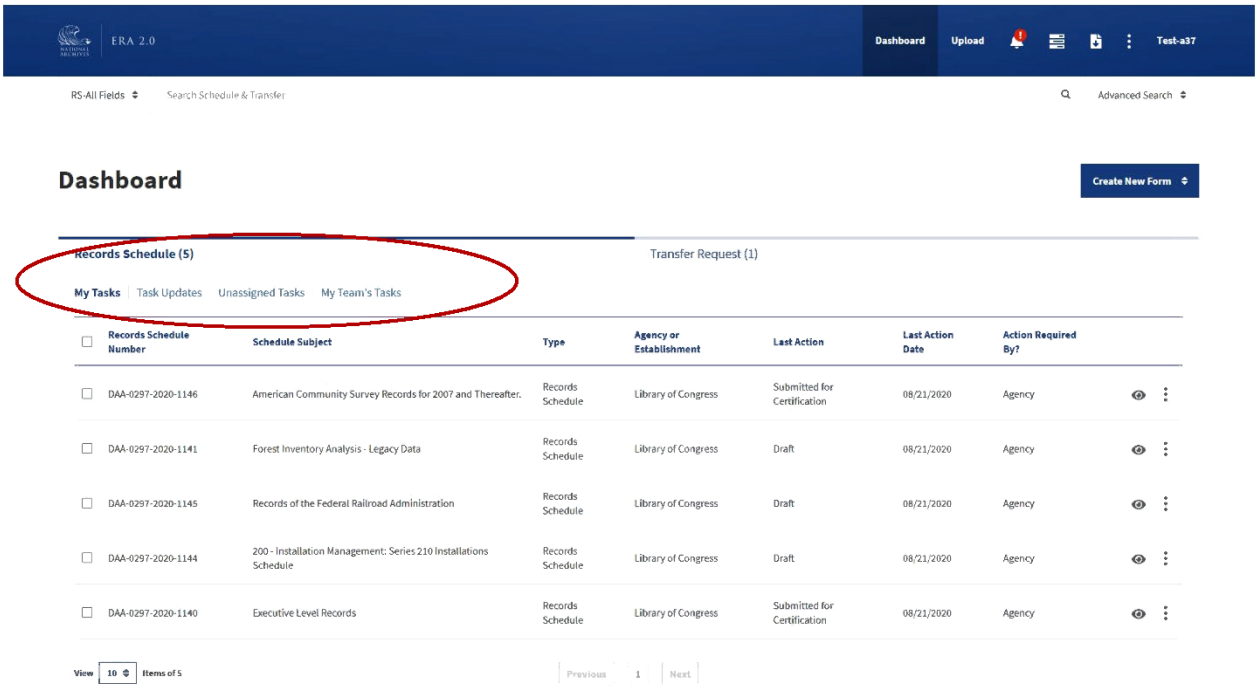
Exploring the Dashboard

When end users log in, they will land on the **Dashboard** within ERA 2.0. The **Dashboard** displays key data points to monitor the progress of each form (i.e. Records Schedule or Transfer Request). Based on their profile, end users will have access to different functionality.



*The figure above shows the **Dashboard** of a Certifying Official.*

There are four available categories within the Records Schedule tab on the **Dashboard**, but end users only have access to the ones that pertain to their role. See the figure below for the location of these categories.



*The figure above shows the categories for a Certifying Official within the Records Schedule tab on the **Dashboard**.*

The following sections provide the full list of categories, descriptions, and accessibility for Records Schedules and Transfer Requests.

Categories within the Records Schedule Tab of the Dashboard

End users can check on their tasks, or the overall status of a Records Schedule, by selecting the "Records Schedule" tab from the **Dashboard**, and then one of the following categories.

Category	Description	Available to
My Tasks	Lists Records Schedules created by and/or assigned to user that are awaiting action	• Records Scheduler • Certifying Official
Task Updates	Lists all Records Schedules that the user has submitted for certification or has certified, that are now awaiting action by other users.	• Records Scheduler • Certifying Official

Unassigned Tasks	Lists all unassigned Records Schedules for the agency that the Certifying Official leads	• Certifying Official
My Team's Tasks	Lists all assigned and unassigned Records Schedules for the group that the Certifying Official leads	• Certifying Official

*The table above describes the different **Dashboard** categories available to agency end users in the Records Schedule lifecycle.*

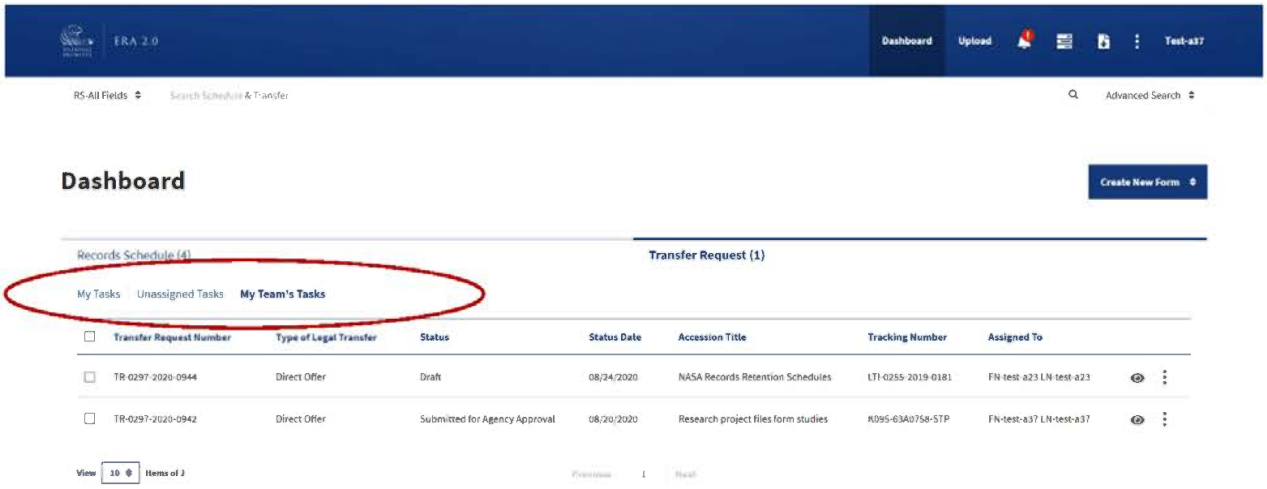
Categories within the Transfer Request Tab of the Dashboard

Similarly, if end users would like to check on the status of a Transfer Request, they can select the "Transfer Request" tab from the **Dashboard**, and then one of the following categories.

*Note: There is no "Task Updates" **Dashboard** category for Transfer Requests.*

Category	Description	Available to
My Tasks	Lists Transfer Requests created by and/or assigned to user that are awaiting action	• Transferring Official • Approving Official
Unassigned Tasks	Lists all unassigned Transfer Requests for the Agency that the Approving Official leads	• Approving Official
My Team's Tasks	Lists all assigned and unassigned Transfer Requests for the group that the Approving Official leads	• Approving Official

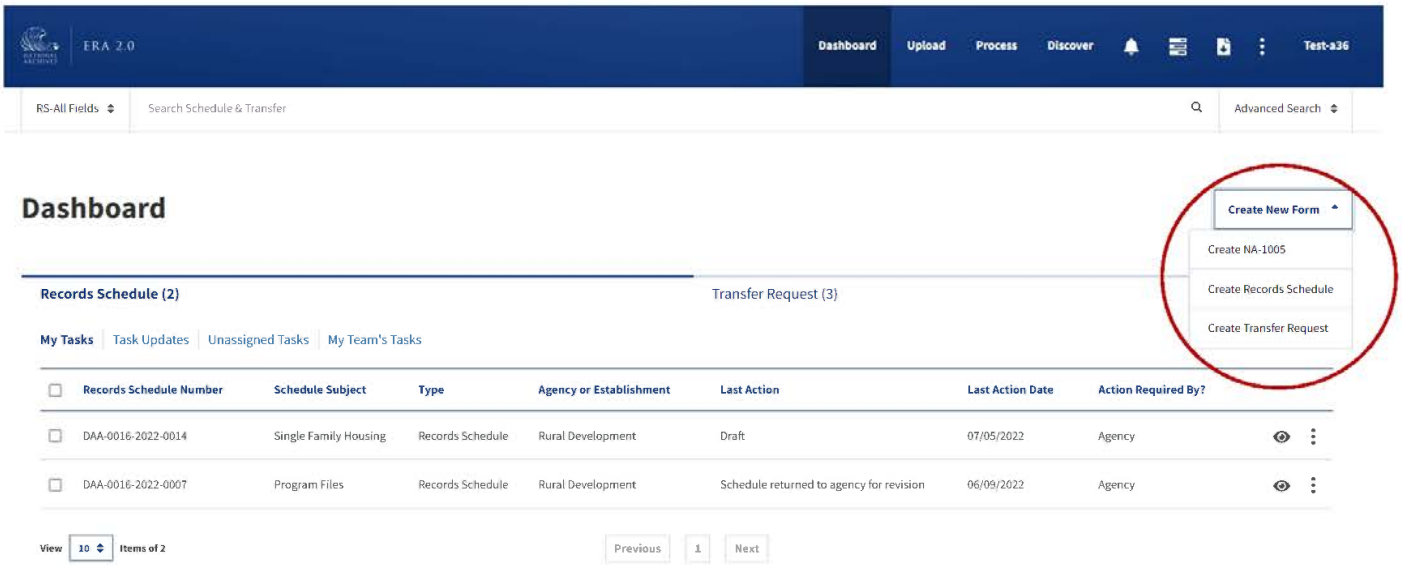
*The table above describes the different **Dashboard** categories available to agency end users in the Transfer Request lifecycle.*



*The figure above shows the categories for an Approving Official within the Transfer Request tab on the **Dashboard**.*

Creating New Forms

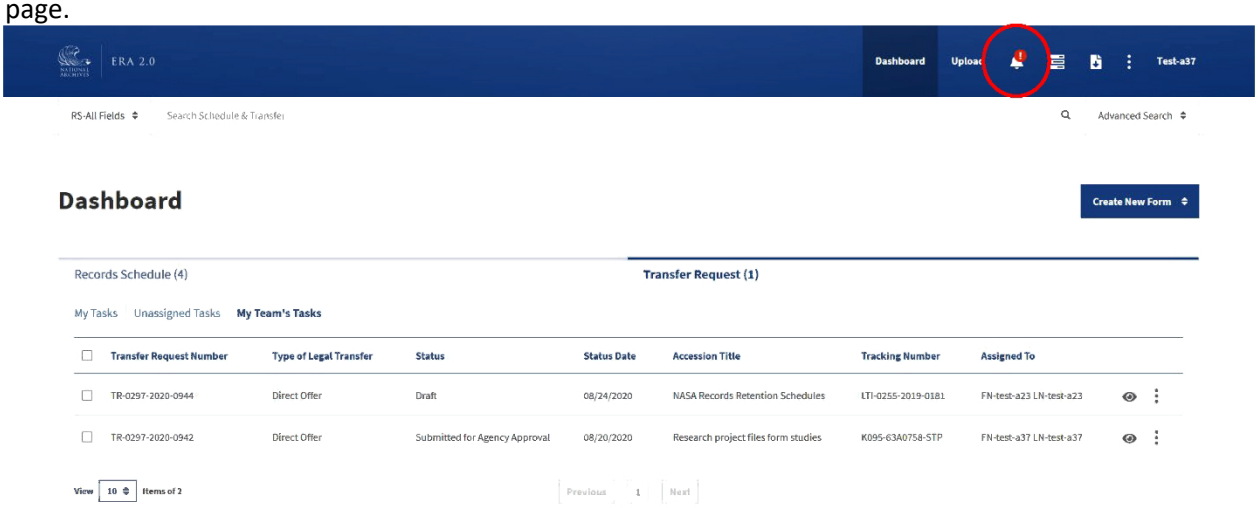
ERA 2.0 provides a simple feature for creating new business forms. Users can create a new Records Schedule or Transfer Request by selecting the **Create New Form** button from the right-hand side of their **Dashboard**. In the dropdown menu, the user can select the type of form they would like to create.



*The figure above shows the **Dashboard** for a Certifying Official, and the **Create New Form** button.*

Viewing Notifications

In ERA 2.0, the system will send a **Notification** to end users to inform them of when they are required to take action on a form or when an action has been taken on a form in which they have an active role. When new **Notifications** are available, users will receive an indicator on the bell icon of their home page.



*The above figure shows the horizontal navigation of the application landing page with the **Notifications** bell icon indicating a new **Notification**.*

Notification Actions

The following tables outline the list of actions that will prompt **Notifications** in the system, as well as the end users who will subsequently receive them.

Notifications for Records Schedules

Action	Audience
Reassign Records Schedule	- New assignee - Certifying Official
Submit for Certification	- Certifying Official
Return for Revision (within agency)	- Person that submitted for certification
Certify	- Person that submitted for certification (if any) - Appraiser Supervisor - Appraiser (If only one appraiser available in appraiser team)
Return for Revision (from NARA)	- Certifying Official
Return Without Action (from NARA)	- Certifying Official
Approve	- Certifying Official

*The figure above outlines the list of actions that will prompt **Notifications** in the system, as well as the end users who will receive them for a Records Schedule.*

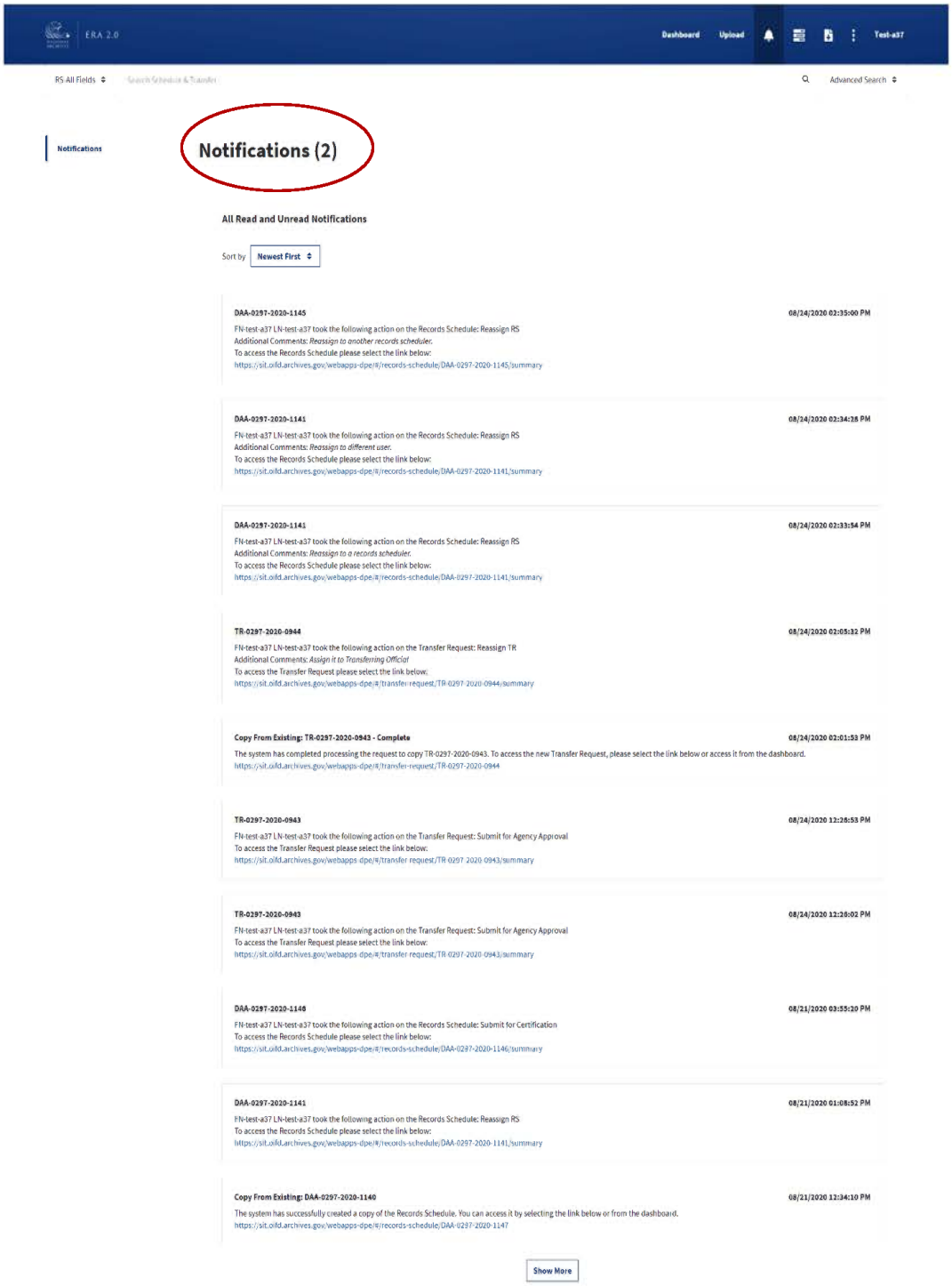
Notifications for Transfer Requests

Action	Audience
Reassign Transfer Request	- New assignee - Approving Official
Submit for Agency Approval	- Approving Official
Return (within agency)	- Person that submitted for agency approval
Propose	- Person that submitted for agency approval (if any) - Lead Archivist of selected Custodial Unit - Supervisory Archivist of selected Custodial Unit
Return (from NARA)	- Approving Official
Reject (from NARA)	- Approving Official
Approve	- Approving Official
Reject	- Approving Official
Accept Custody	- Approving Official
Reject Custody	- Approving Official
Accept Physical Custody	- Approving Official
Reject Physical Custody	- Approving Official
Accept Legal Custody	- Approving Official
Reject Legal Custody	- Approving Official

*The figure above outlines the list of actions that will prompt **Notifications** in the system, as well as the end users who will receive them for Transfer Request.*

Notifications Page

Selecting the bell icon on the landing page will navigate the user to the **Notifications** page, which lists both current and past **Notifications** they have received. While a bell indicator signals a new **Notification**, there will be a count at the top of the **Notifications** page to indicate the exact number of new **Notifications** (as seen in the screenshot below). If there are no new **Notifications**, the count is updated to zero (0).



*The figure above shows the **Notifications** page and the count of new **Notifications**.*

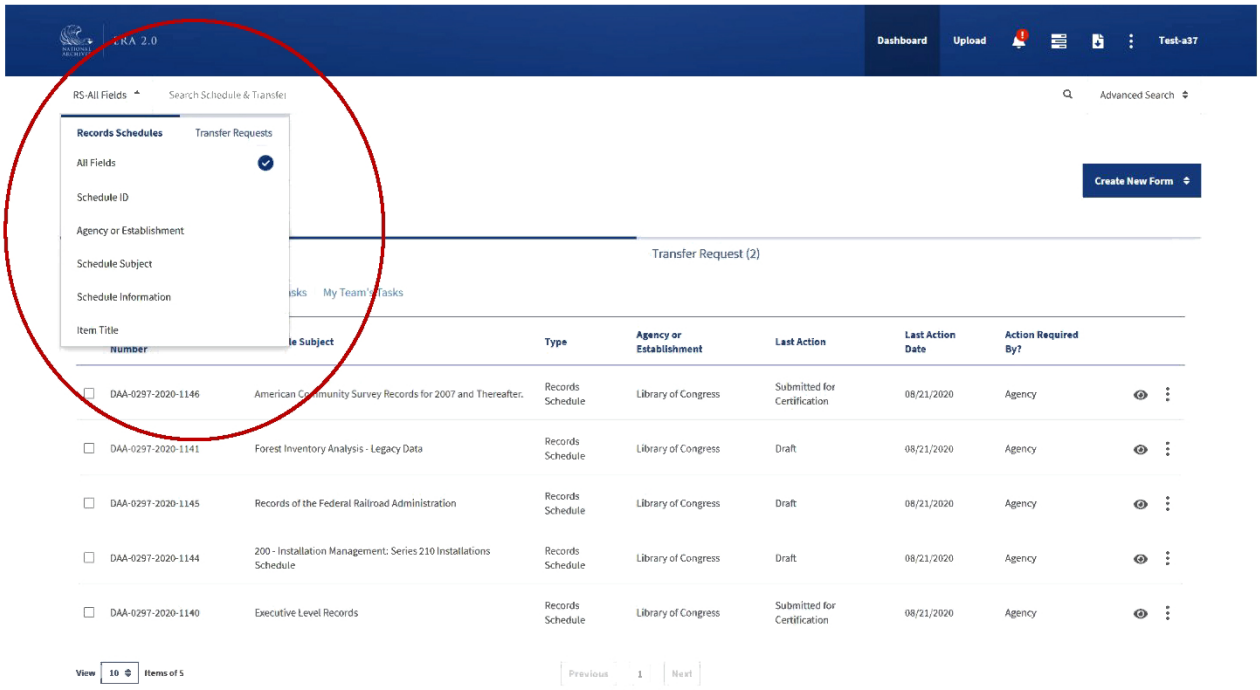
Each **Notification** includes the form's ID, the timestamp of the **Notification**, the action taken, additional comments, and a link to the related form. The user may sort **Notifications** by newest to oldest and vice versa.

Search

ERA 2.0 has enhanced **Search** functionality and allows different types for keywords, “wild card” (i.e. partial value) searches, and ID searches. The following sections delve further into the specific capabilities.

Keyword Search

Keyword Search allows users to search through all or one specific field in a Records Schedule or Transfer Request. The **Search** bar is located at the top of the home page, and users have the option to search **All Fields** within the Records Schedule or Transfer Request tabs, or narrow down results through unique field options within each form.



*The figure above shows the field options within the “Records Schedules” tab from the dropdown menu on the **Search** bar.*

To execute a **Keyword Search**, users will select the correct form (Records Schedule or Transfer Request) from the **Search** bar and then select an option from the dropdown menu. Once users have selected an option for Keyword Search, they must provide search criteria in the **Search** bar and press Enter, or select the **Search** icon. Once the search has been executed, the user will land on the **Search Results** page with the result set corresponding to the **Search** criteria.

Keyword Search Fields for Records Schedules

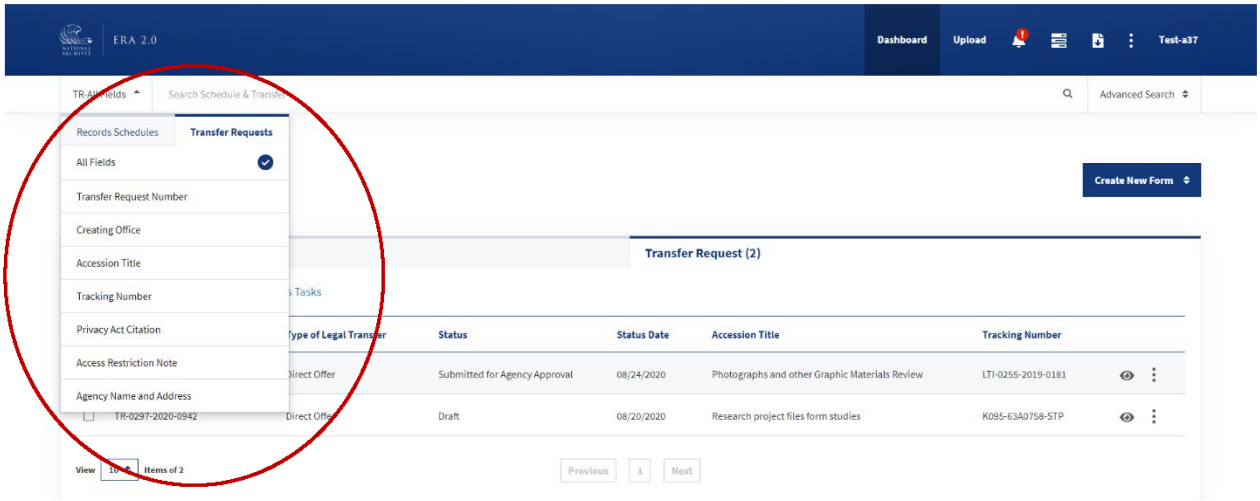
The following information describes the **Keyword Search** dropdown options for Records Schedules. *If users would like to search for an exact match, they must surround the value with quotation marks.*

- **All Fields** will perform a search against all form fields for Records Schedules, and it will return Records Schedules that match the entered value.
- **Schedule ID** will search for Records Schedule IDs that match the provided value.
- **Schedule Subject** will search Records Schedules that have a matching Schedule Subject to the provided value.
- **Agency or Establishment** will search Records Schedules that belong to the Agency or Establishment provided by the user.
- **Schedule Information** will search Records Schedules that have matching values to the Additional Information field of a Records Schedule.
- **Item Title** will search Records Schedules that have matching Item Titles to the provided value.

Keyword Search Fields for Transfer Requests

The following information describes the Keyword Search dropdown options for Transfer Requests. *If users would like to search for an exact match, they must surround the value with quotation marks.*

- **All Fields** will perform a search against all form fields for Transfer Requests and return Transfer Requests that match the entered value.
- **Transfer Request Number** will search for Transfer Request Numbers that match the provided value.
- **Creating Office** will search Transfer Requests for the Creating Offices that match the provided value.
- **Accession Title** will search Transfer Requests for Accession Titles that match the provided value.
- **Tracking Number** will search for Transfer Requests that match the Tracking Number entered.
- **Privacy Act Citation** will search for Transfer Requests that match the Privacy Act Citation.
- **Access Restriction Note** will search for Transfer Requests that match the Access Restriction Note.
- **Agency Name and Address** will search for Transfer Requests that match the Agency Name and Address the user provides.



The figure above shows the field options within the "Transfer Requests" tab from the dropdown menu on the Search bar.

Searching for Multiple Forms

Keyword Search allows users to search for multiple forms at once by entering multiple exact values (i.e. the full term surrounded by quotation marks) that are separated by commas, into the **Search** bar.

For example, if users would like to see all Records Schedules with three separate Item Titles, they would select the **Item Title** option from the **Search** dropdown menu, and enter the following into the **Search** bar: "Unedited Master Files", "Data Processing Records", "Noteworthy Imagery"

The system would then yield all Records Schedules that contain these Item Titles and show them in the **Search Results** page.

Note: *The above information applies for all* ***Search*** *dropdown options other than "Schedule ID" (if searching Records Schedules) or "Transfer Request Number" (if searching Transfer Requests). For these, no quotation marks are necessary.*

Searching for Multiple Forms Using ID Numbers

When users are trying to locate a Records Schedule or Transfer Request by its ID number (listed as "Schedule ID" or "Transfer Request Number" in the search field drop-down menu), they can enter the full ID number for each desired form and separate them with only a space.

For example, if users are searching for two separate Records Schedules, they would enter: DAA-0297-2020-1008 DAA-0297-2020-1018.

The system would then look for the Records Schedules that have either ID and show them in the Search Results page.

If the search is being run against “RS-All Fields” or “TR-All Fields” and the ID Numbers are being searched as keywords, spaces may not be used to separate terms. Instead, quotation marks should enclose each unique Records Schedule or Transfer Request number.

For example, if users are searching for two different Records Schedules and the drop-down is set to “RS-All Fields,” they should enter: “DAA-0297-2020-1008” “DAA-0297-2020-1018” to run the search.

Searching Using Partial Values

Keyword Search allows the user to search for Records Schedules and Transfer Requests using only partial values. Users may enter one-word values if only partial information is known. Additionally, the use of an asterisk, and the placement of it (e.g. before or after the word or number), will yield more precise results.

There are three options for asterisk placement:

1. Entering an asterisk **(*)** at the end of the term will cause the system to search for anything that **starts** with the value provided.

   For example, if a user is searching for a Records Schedule with the Records Schedule Subject “American Community Survey,” and enters *American*,* the system will look for Records Schedule Subjects that start with “American” and end in any other words or numbers.

2. Entering an asterisk **(*)** at the beginning of the term will cause the system to search for anything that **ends** in the value provided.

   For example, borrowing the Records Schedule Subject from above, if the user entered **American,* the system would look for Records Schedule Subjects that **end** with “American” and start with any value. (To yield the correct result for “American Community Survey,” the user would instead enter **Survey*.)

3. Entering an asterisk **(*)** at the **beginning** and **end** of the term will cause the system to search for a phrase that contains the term.
   For example, if the user entered **American**, the system would search for Records Schedule Subjects with the word “American” somewhere in the Subject.

Searching in All Fields

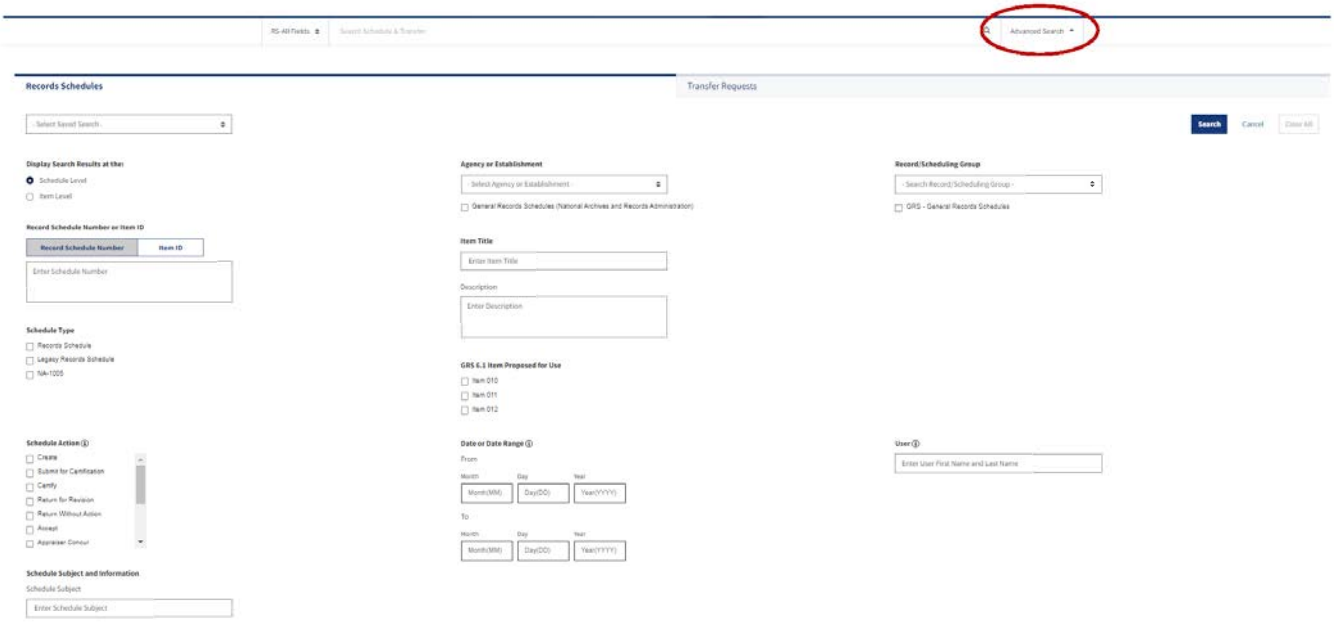
Users who are searching within **All Fields** (i.e. the first dropdown option) must use quotation marks around search terms with more than one word. This is because the system treats each word that is separated by a space as a unique term in **All Fields**.

For example, if a user enters the following term: American Community Survey, the system will look for “American” and “Community” and “Survey” in all fields across all Records Schedules (or Transfer Requests if the user is searching within this tab).

Single words with internal special characters, such as Schedule IDs with dashes in the ID or hyphenated Group or Item titles, must also be enclosed in quotation marks if they are searched within “All Fields.”

Advanced Search

Advanced Search allows the user to create simple or complex queries by searching against one specific field or combining multiple fields provided in the **Advanced Search** page. For instance, an end user might look for specific Records Schedules within a certain status and belonging to a specific agency.



The figure above shows where to select the “Advanced Search” page within the Search bar, as well as the field options within the Records Schedules tab in Advanced Search.

To execute an **Advanced Search**, the user selects **Advanced Search** to the right of the search bar from the **Dashboard** (see screenshot above), then selects either the “Records Schedules” or “Transfer Requests” tab. The user then selects the desired parameters from the options provided to construct the search query and select the **Search** button at the top or bottom of the page to find Records Schedules or Transfer Requests that match the selected criteria.

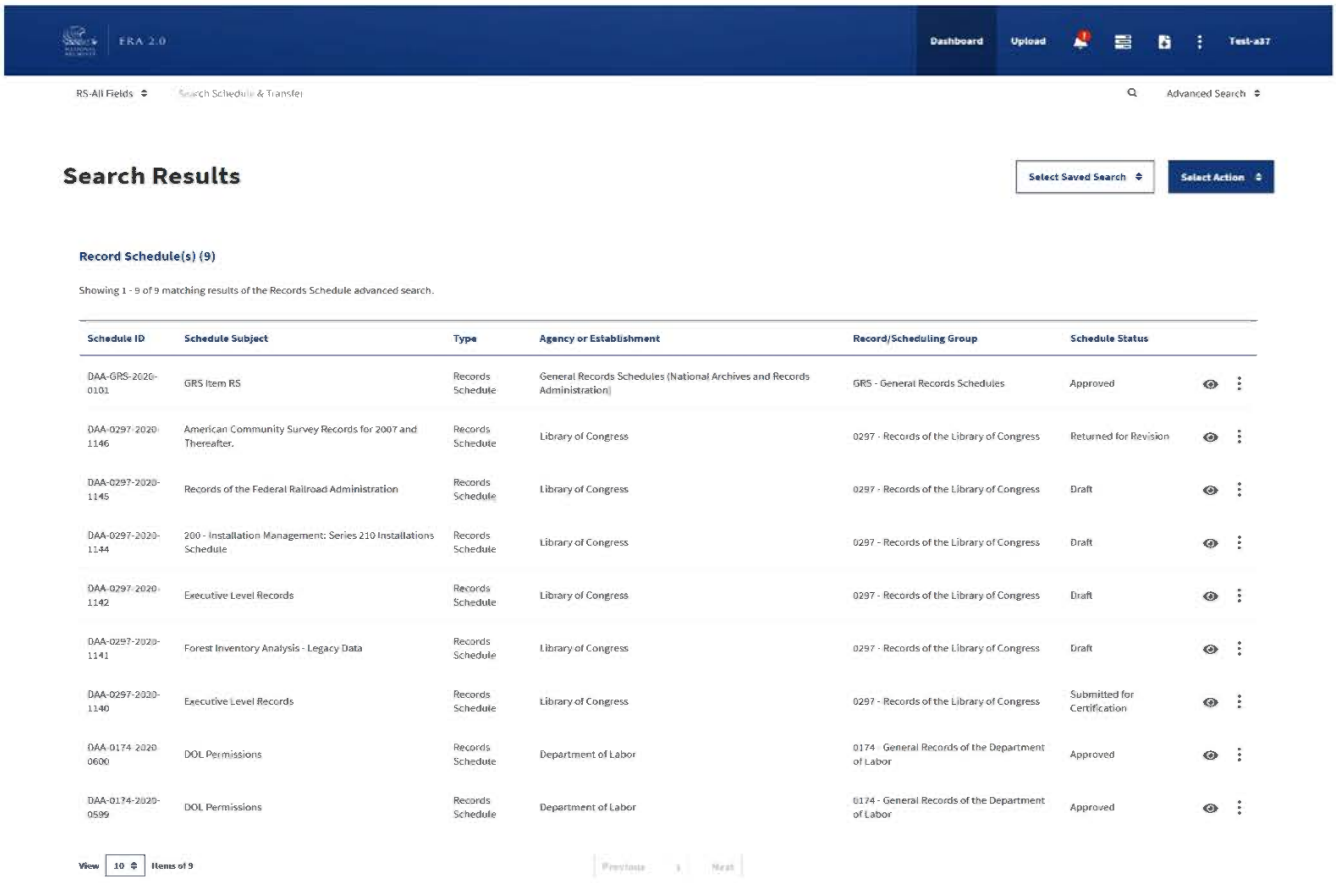
For both tabs, the default view of **Advanced Search** will show a limited number of fields, however more fields can be displayed by selecting the **View More** button at the bottom of the page.

Note: Advanced Search *does not support partial values (*) searches. When searching for specific values (e.g. Item Title) in Advanced Search, the user will need to enter the full value contained in the Schedule.*

Note: *There is a known issue with Transfer Request searches. When running an Advanced Search for a Transfer Request, the first search may return no results. If this happens, navigate back to the Advanced Search page and run the search again. This should cause the search to return results.*

Search Results

Once a **Keyword** or **Advanced Search** has been successfully executed, the user will land on the **Search Results** page with the result set corresponding to the search criteria. The page will present the number of results returned with the entered criteria. When more than 10 results are returned, the system will provide pagination, and allow the user to display between 10 to 250 results per page.



*The figure above shows the results of a **Keyword** or **Advanced Search** in the "Records Schedules" tab.*

Search results for Records Schedules and Transfer Requests pages offer different columns.

Records Schedules Search Results displays the following columns:

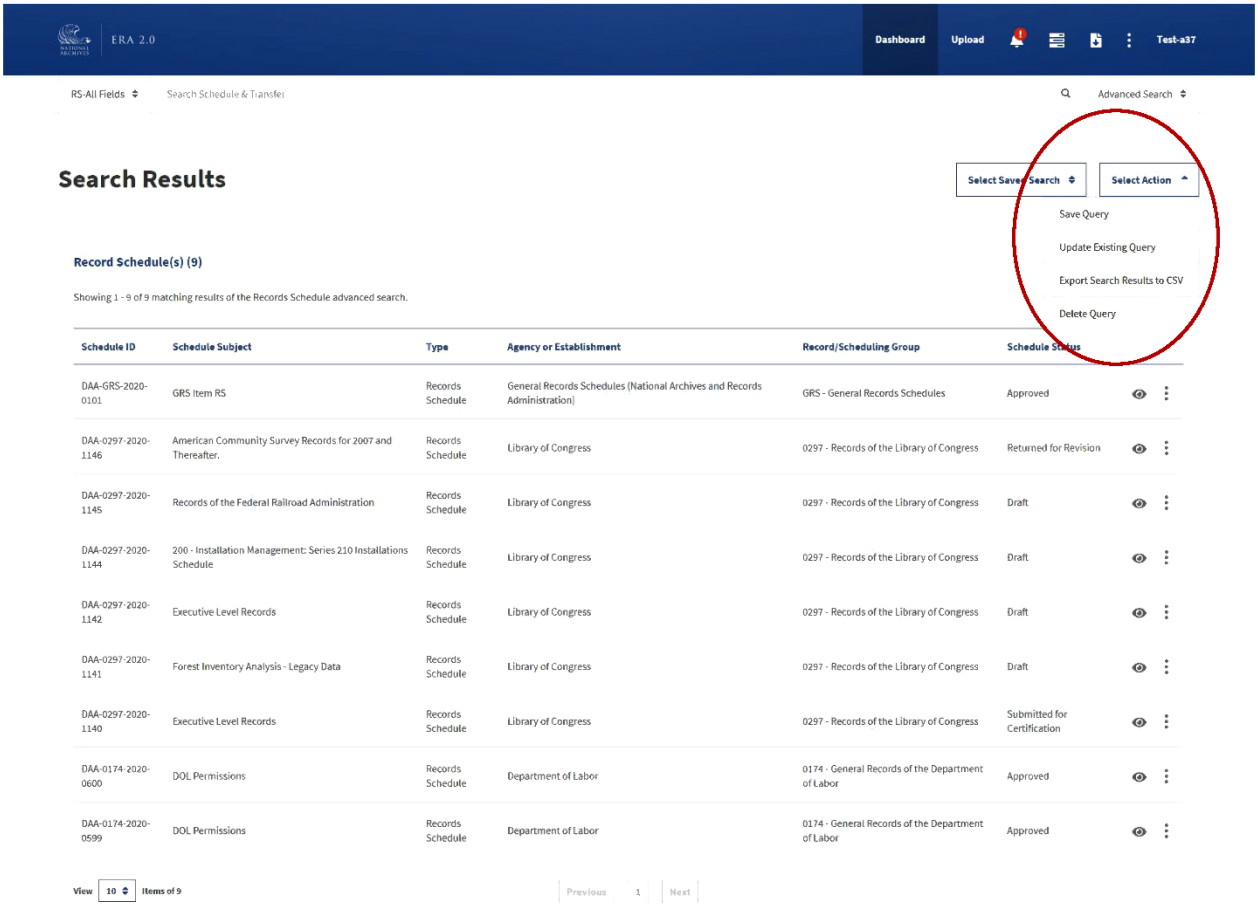
- Schedule ID
- Schedule Subject
- Type
- Agency or Establishment
- Record/Schedule Group
- Schedule Status

Transfer Requests Search Results displays the following columns:

- Transfer Request Number
- Type of Legal Transfer
- Status
- Accession Title
- Tracking Number
- Disposition Authority
- Destination Custodial Unit
- Creating Office

Saving a Search Query

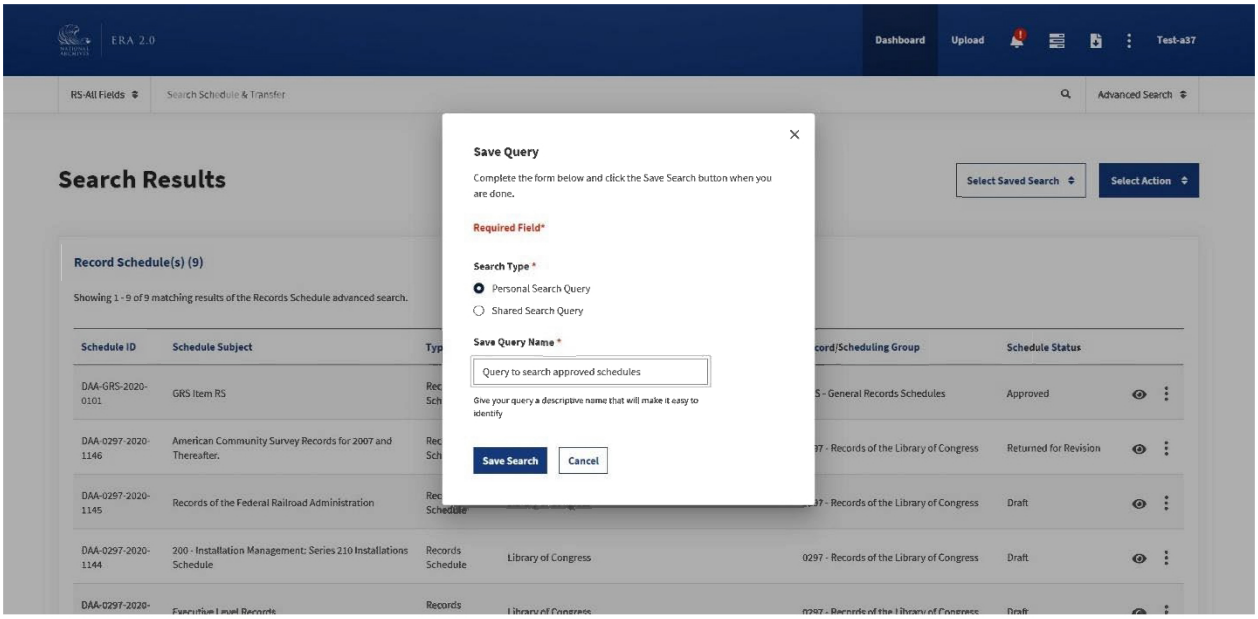
Once a **Search** has been executed, users can choose to save their **Search Query** (i.e. the form fields used to execute the search) by clicking the **Select Action** dropdown menu and the **Save Query** option.



*The figure above shows the **Select Action** button that allows end users to save their **Search Query**.*

Once a user selects **Save Query**, a new screen will appear prompting the user to save as a **Personal Search Query** or as a **Shared Search Query**. If the user selects the first option, the Query will only be

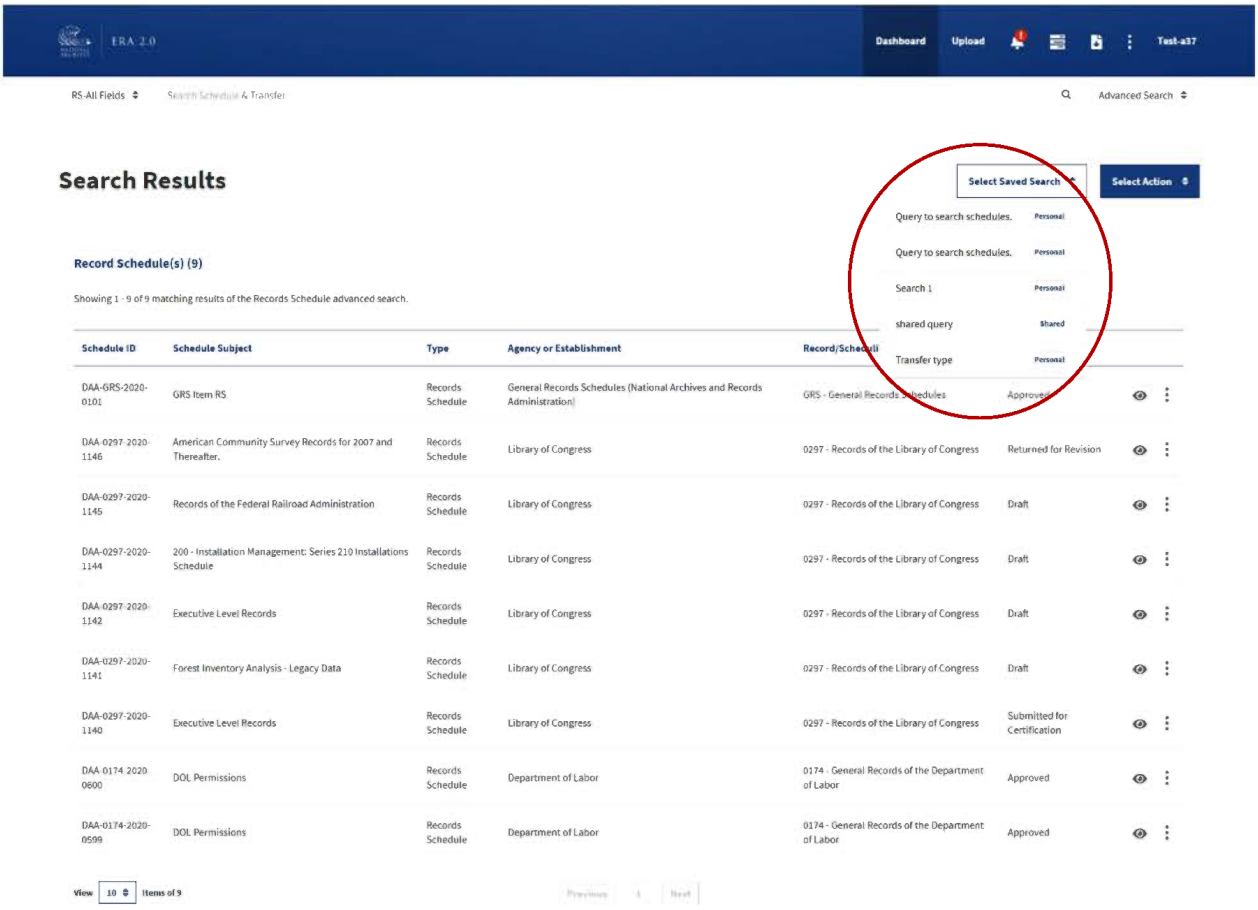
available to the user. If users select **Shared Search Query**, they can share their **Search Query** with the users associated with their agency.



*The figure above shows the prompted screen when a user selects the **Save Query** option from the **Select Action** dropdown menu on the **Search Results** page.*

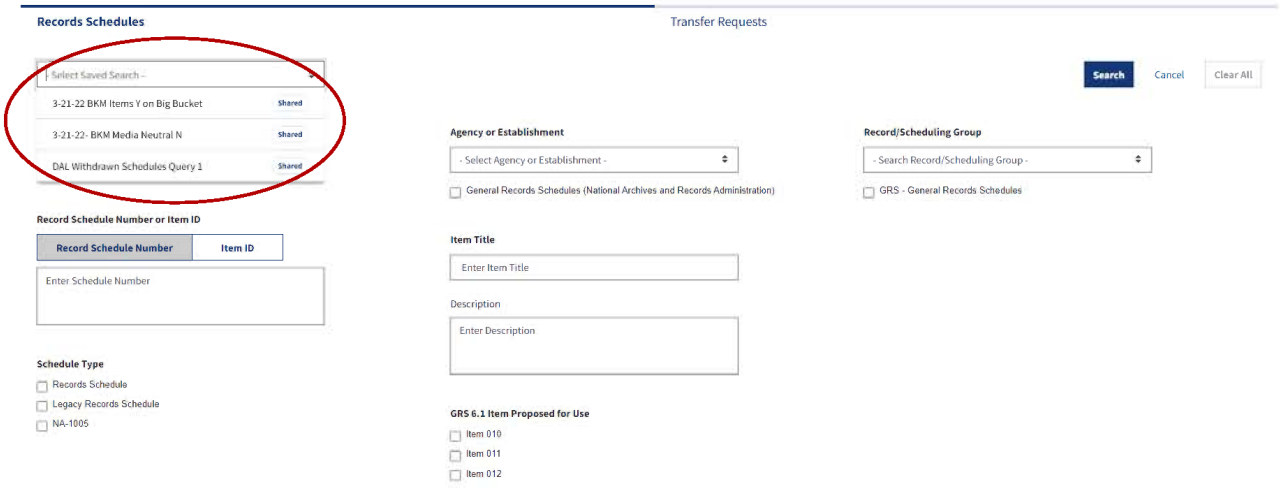
Retrieving a Saved Search Query

When users have saved a **Search Query** or have a **Search Query** shared with them, they can access it through the **Search Results** page or the **Advanced Search** page. On the **Search Results** page, the user must select the **Select Saved Search** dropdown menu (seen in the figure below).



The figure above shows the dropdown menu for retrieving a saved search.

From the **Advanced Search** page, users can select the **Select Saved Search** button and then see all saved **Search Queries** in the dropdown menu.

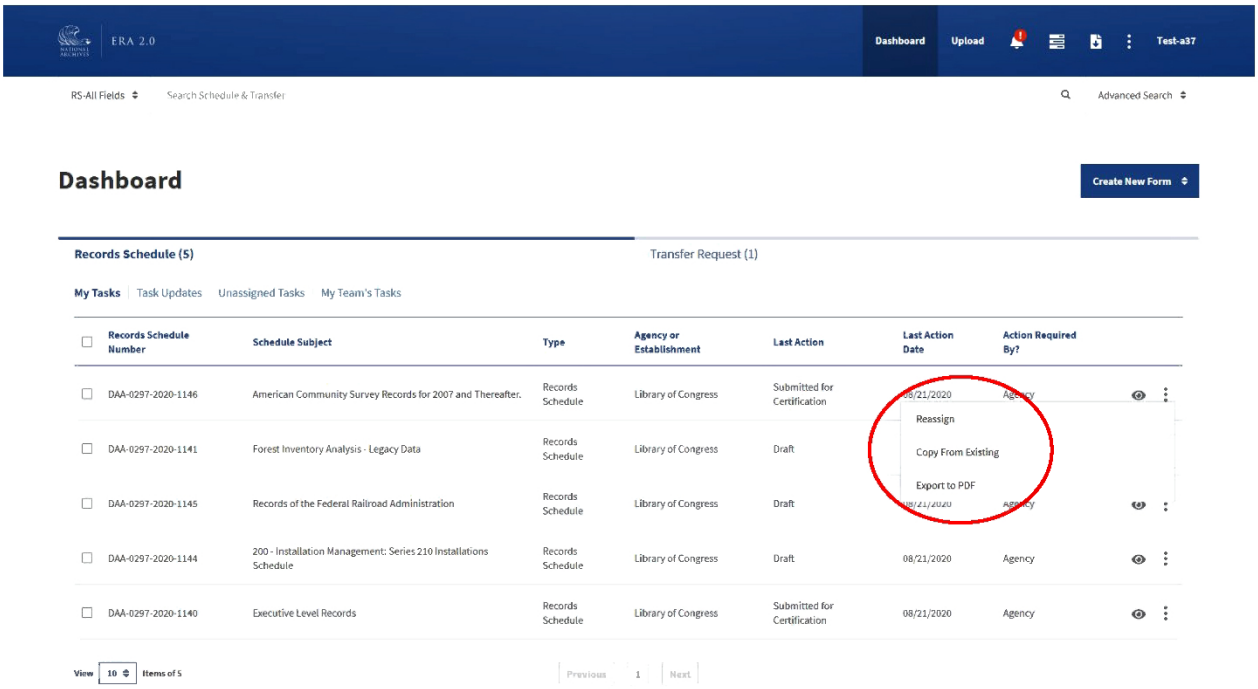


*The figure above shows the **Advanced Search** page where a user can choose to **Select Saved Searches**.*

Note: *When users select a specific saved* ***Search Query****, they are routed to the* ***Advanced Search*** *page where they can either execute the Search Query as is, or modify and then execute it.*

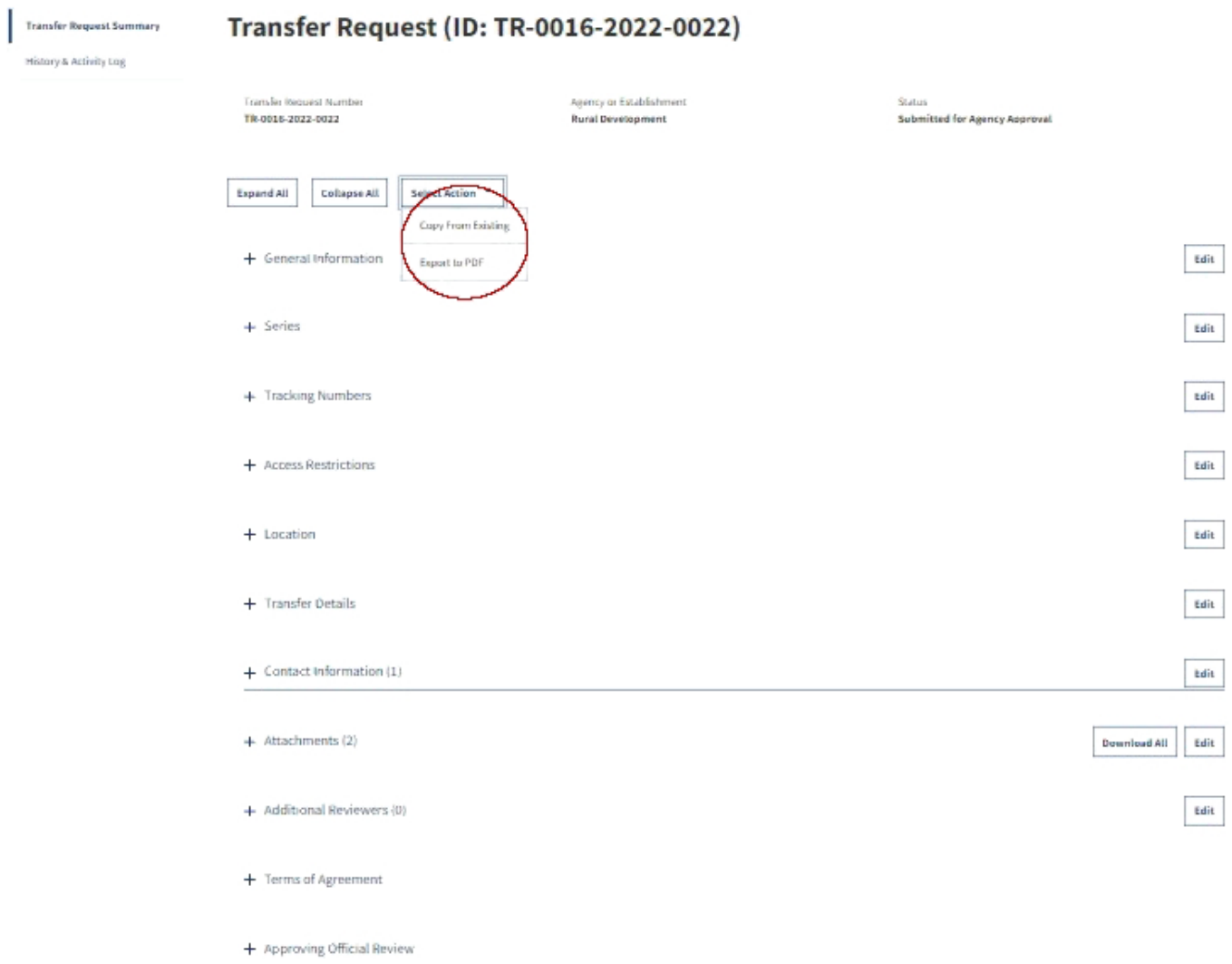
Using the Export Function

In ERA 2.0, users can export forms into CSV or PDF files from the **Dashboard**, the form's "Summary" tab, or from Search Results.

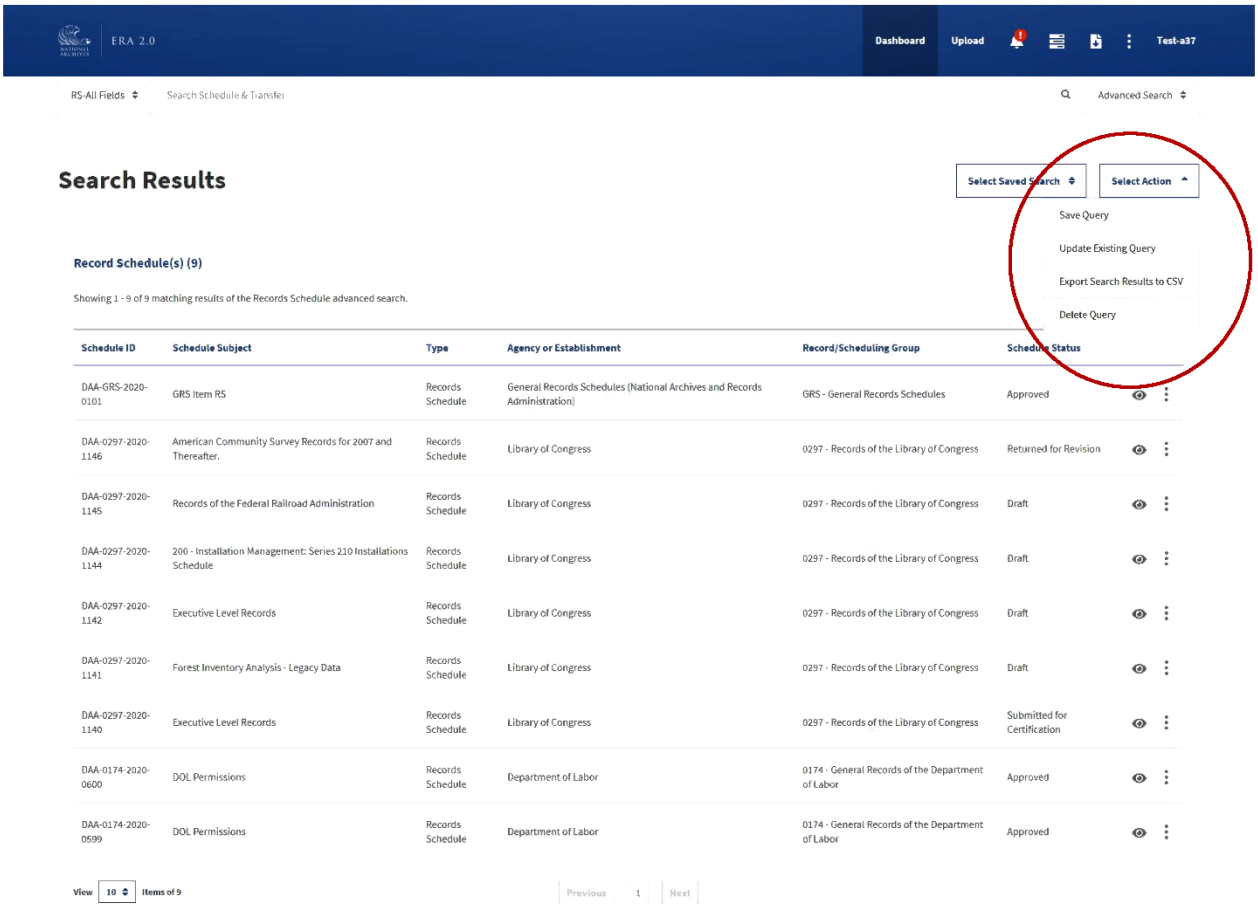


The figure above shows the ***Export to PDF*** *option from the ellipsis on the* ***Dashboard*** *page.*

- **Export to PDF** allows users to convert the form into a PDF file when it is in any status other than "Draft." This option is available in three places:
    - **Dashboard:** Users can select the ellipsis on the form listed, and then select **Export to PDF** from the dropdown menu.
    - **Search Results:** Users can similarly select the ellipsis on the form listed, and then select **Export to PDF** from the dropdown menu.
    - **Summary Tab:** Users can select the **Select Action** dropdown menu from the form's "Summary" tab, and then select **Export to PDF** from the options.



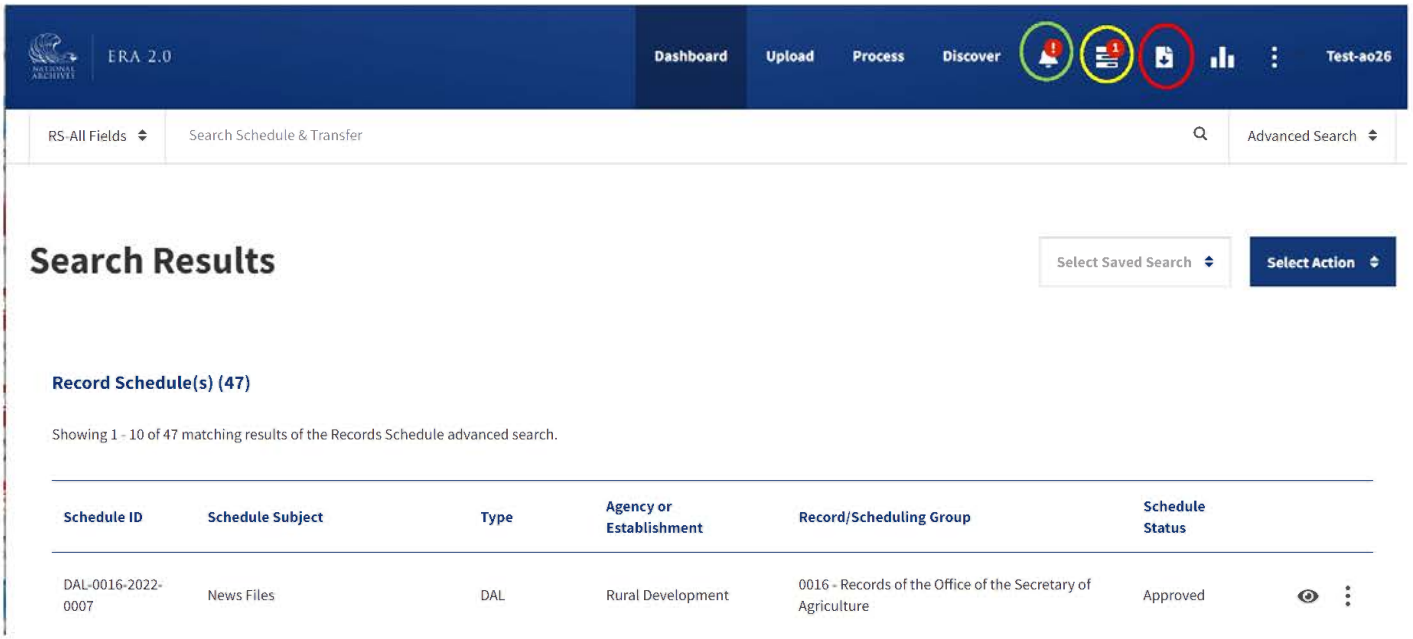
*The figure above shows the **Export to PDF** option from the **Select Action** dropdown on the "Records Schedule Summary" tab.*



*The figure above shows the **Export Search Results to CSV** option from the **Select Action** dropdown menu on the Search Results page.*

- **Export to CSV** allows users to export the form's data into a CSV file for all records returned in Search Results. To export to CSV, users select the **Select Action** dropdown menu, and then select **Export Search Results to CSV**.
- **Export to CSV** is currently built to display information about Records Schedules (DAAs). While Legacy Records Schedules may be included in the export, information that is specific to the DAL schedule will not be exported. Searches that include NA-1005 forms cannot currently be exported to CSV.

Navigation buttons at the top of the page allow users to view the CSV task progress and download the CSV file.



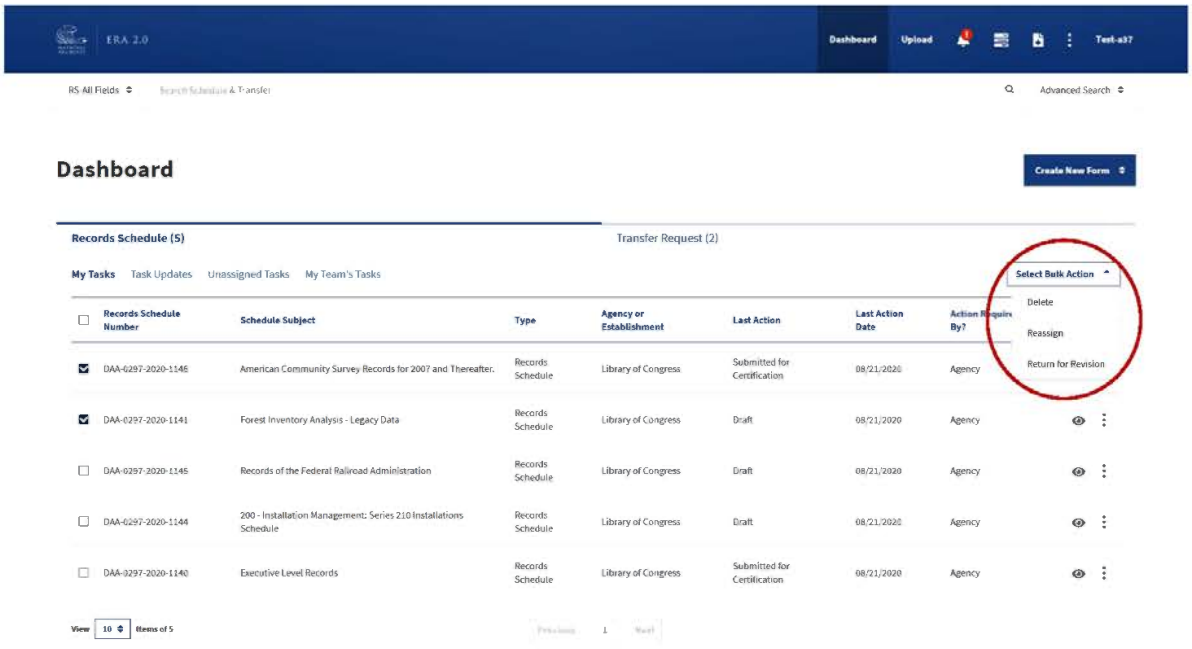
The figure above shows a Search Results page with a CSV download task in progress.

- The Task Progress icon, shown in the figure above in a yellow circle, displays the progress of system actions, including "Export Search Results to CSV."
- The Notifications icon, shown in the figure above in a green circle, displays system messages about the success and failure of tasks, including "Export Search Results to CSV." Users may also download their CSV from the notification message, which includes a download link.
- The Downloads icon, shown in the figure above in a red circle, contains download links for recent tasks, including "Export Search Results to CSV."

Performing Bulk Actions

The **Select Bulk Action** feature lets users take actions on multiple forms at the same time and is accessible from the **Dashboard**. Once the user has selected the checkbox against the individual forms or has selected all forms by selecting the checkbox in the column header, the **Select Bulk Action** button will become visible. The user can select the bulk action that they want to perform from the dropdown menu. The user who takes the action will receive a **Notification** once it has been completed.

If, for example, users would like to delete draft Records Schedules that are no longer useful, they can select several Records Schedules by first selecting the checkbox next to the forms from the "My Tasks" tab, and then clicking the **Select Bulk Action** dropdown menu, and **Delete**.



*The figure above shows the **Select Bulk Action** dropdown menu for Records Schedules that appears on the Certifying Official's **Dashboard**.*

Bulk Action Capabilities

The options within the **Select Bulk Action** dropdown menu are role- and status-based. Users will know what bulk actions they can perform based on what is within the **Select Bulk Action** dropdown menu. The following tables provide a complete list of bulk action permissions for end users processing Records Schedules as well as Transfer Requests.

Bulk Action Capabilities for Records Schedules

Status of Records Schedule	Bulk Action	Records Scheduler	Certifying Official
Draft	Delete	x	x
	Reassign	x	x
	Return for Revision		
Submitted for Certification	Delete		
	Reassign		x
	Return for Revision		x
Returned for Revision	Delete		
	Reassign	x	x
	Return for Revision		x

The table above shows the Bulk Actions permissions for Records Schedules.

Bulk Action Capabilities for Transfer Requests

Status of Transfer Request	Bulk Action	Transferring Official	Approving Official
Draft	Delete	x	x
	Reassign	x	x
	Submit for Agency Approval	x	
	Propose		x
Submitted for Agency Approval	Delete		
	Reassign		x
	Return		x
	Propose		x
Returned	Delete		
	Reassign	x	x
	Submit for Agency Approval	x	
	Return		x
	Propose		x

The table above shows the Bulk Actions permissions for Transfer Requests.

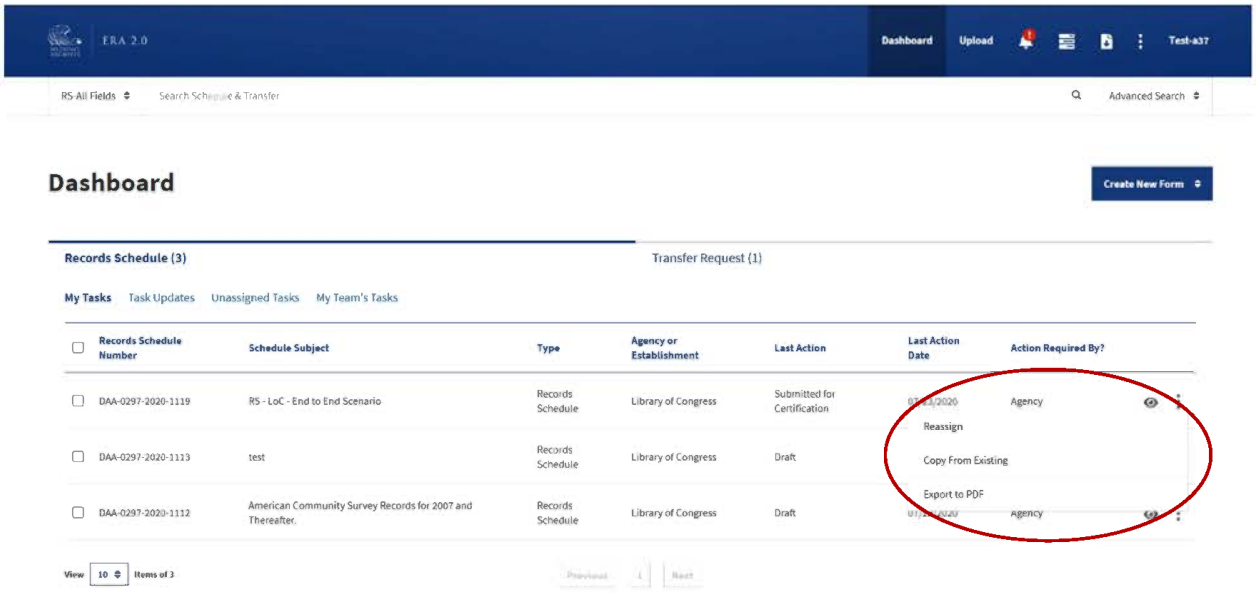
Copy From Existing

To expedite the time required to create a new Records Schedule or Transfer Request, users can take advantage of the **Copy From Existing** feature. This feature lets the user duplicate an original form, make changes to it as required, then save the new form. **Copy From Existing** is helpful in cases where the user is unable to make edits to information (e.g. Agency or Record Group) but does not want to start from scratch.

Copy From Existing allows users to copy a Records Schedule that is in any status other than "Draft." Users can also copy Transfer Requests that are in any status other than "Draft."

Copy From Existing is available in three places:

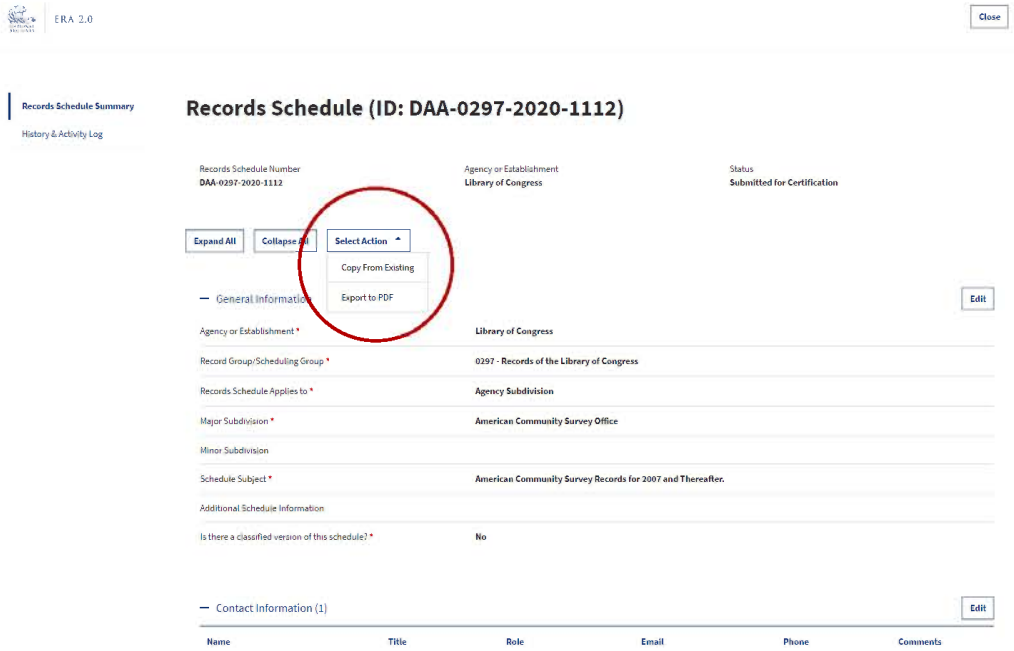
- **Dashboard:** Users can select the vertical ellipsis on the form listed, and then select **Copy From Existing** from the dropdown menu.



*The figure above shows the **Copy From Existing** feature on the Dashboard.*

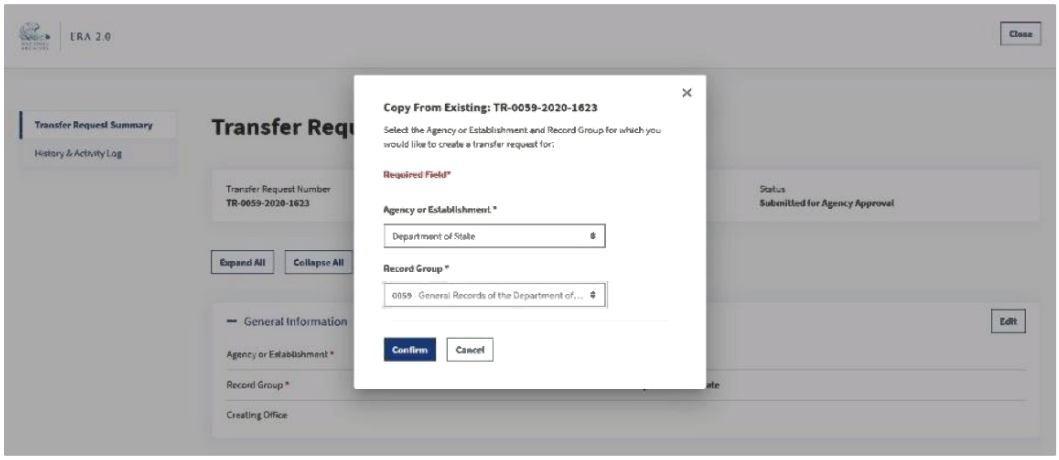
- **Search Results:** Users can similarly select the vertical ellipsis on the form listed, and then select **Copy From Existing** from the dropdown menu.

- **Summary Tab:** For Records Schedules, users can select **Copy From Existing** from the **Select Action** button on the form's "Summary" tab (e.g. "Records Schedule Summary" tab).



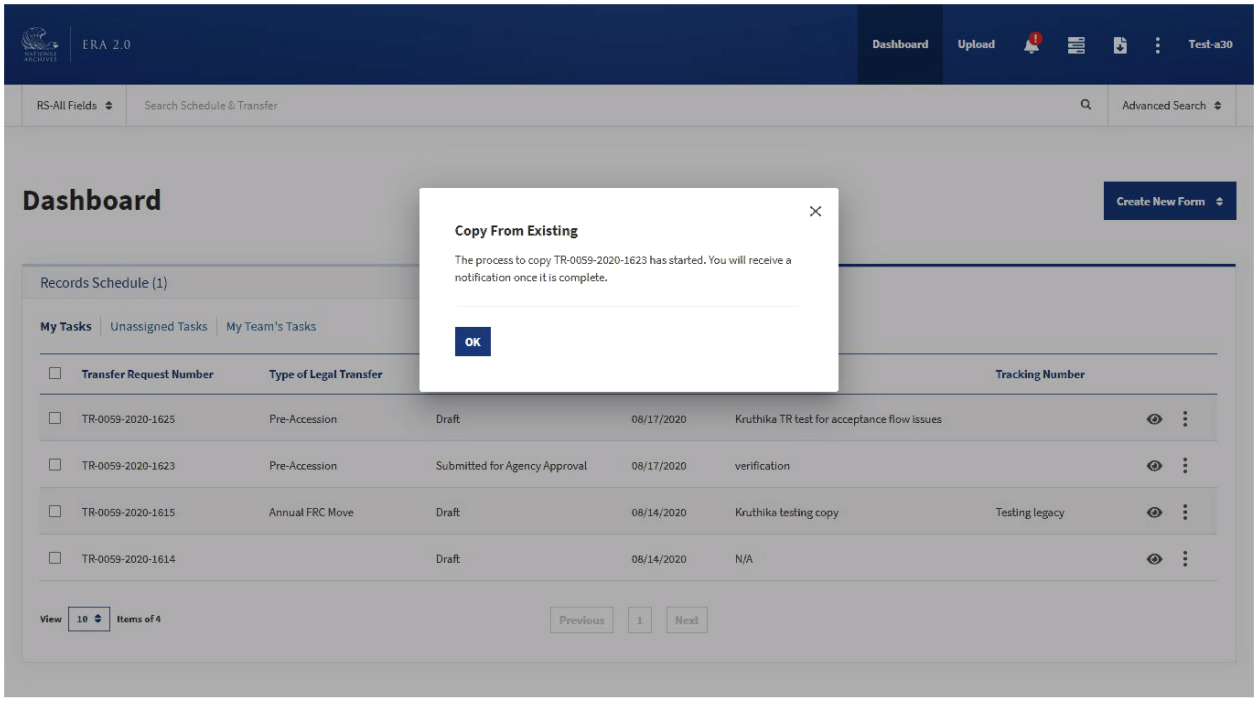
*The figure above shows the **Copy From Existing** option on the "Records Schedule Summary" tab.*

Once the user selects **Copy from Existing**, the system will display a pop-up asking the user to select the Agency and Record Group applicable to the form.



*The figure above shows the **Copy from Existing** pop-up for a Transfer Request.*

After the information is provided in the pop-up, and the user selects **Confirm**, the system will display a message indicating that the copying process has started.



The figure above shows the message displayed once the copying process has started.

Once the process is complete, users will get a **Notification** with a link to the new form. The form will be placed under the “My Tasks” category on the user’s **Dashboard**. They can open the Records Schedule or Transfer Request from either the **Notifications** page or the **Dashboard**.

Copy a Records Schedule

The system will only copy the information from the "General Information" and "Items" sections of the form. This includes:

- All of the information within "General Information" except for the **Records Schedule Applies To** field.
- All of the information for the featured "Items" within the form. The status of the "Items," however, might change as they are copied.
    - The status updates will depend on their status in the original schedule:
        - If the Item(s) was in "Added," "Pending," or "Active" status in the original Schedule, the system will place it in "Added" status in the copied schedule.
        - If the Item(s) was in "Draft" status in the original schedule, it will remain in "Draft" status in the copied schedule.

The copied Records Schedule will get a new Records Schedule Number, and its status will be set to "Draft."

***Note**: **Copy From Existing** will not be available if the Records Schedule is in "Draft" status.*

Copy a Transfer Request

The system will copy all information within the form other than the "Contact Information" and "Attachments" sections. The following sections of the Transfer Request form are copied verbatim:

- General Information
- Series
- Tracking Numbers
- Access Restrictions
- Location
- Transfer Details

The copied Transfer Request will get a new Transfer Request Number and its status will be set to "Draft."

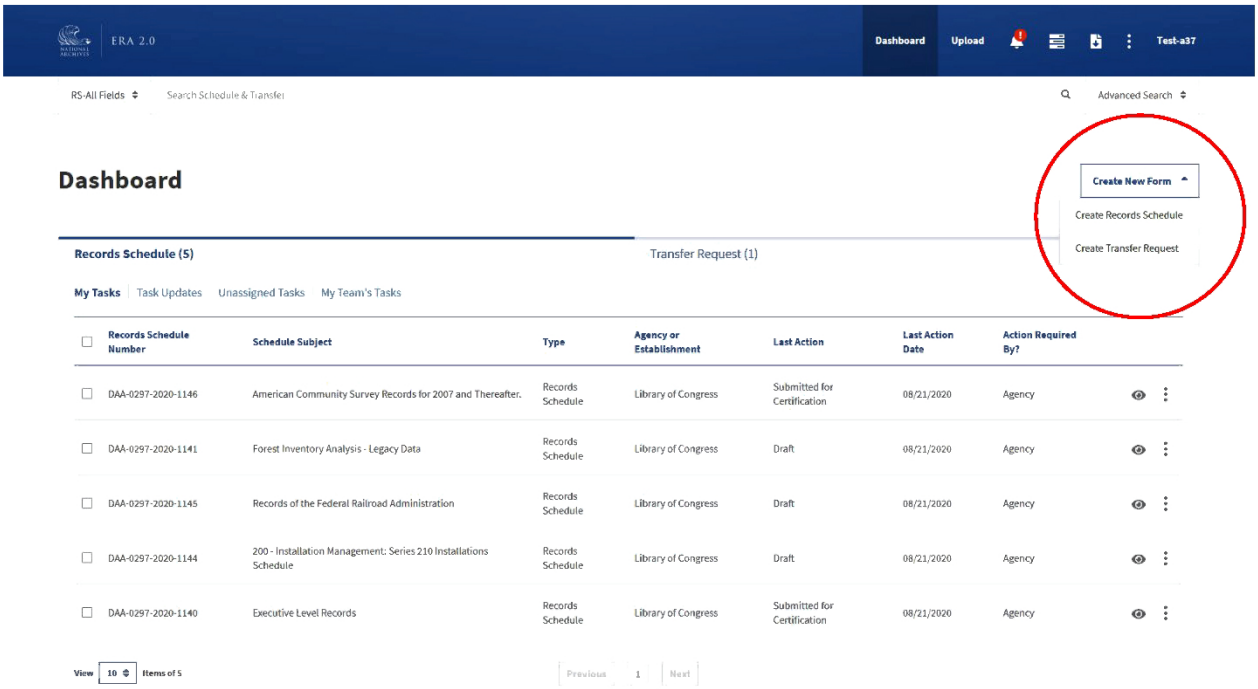
***Note: Copy From Existing** will not be available if a Transfer Request is in "Draft" status.*

Part IV: How to Schedule Records in ERA 2.0

Create a Records Schedule

End users with the roles of Records Scheduler or Certifying Official may create a Records Schedule in the ERA 2.0 system. The full description of roles, responsibilities, and capabilities is featured in the "Overview of End Users" section in Part I of this manual.

When Records Schedulers or Certifying Officials log in, they will land on the **Dashboard** and have the option to "Create New Form." They can then select "Create Records Schedule" from that dropdown menu.



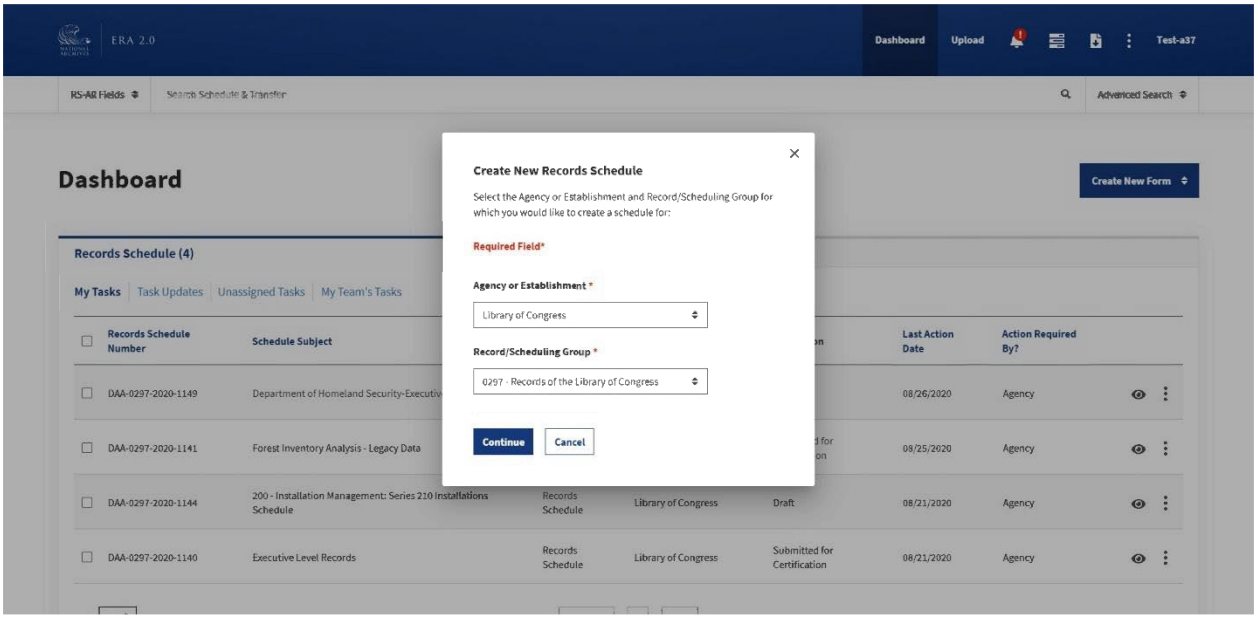
*The figure above shows the **Create New Form** dropdown menu and the **Create Records Schedule** option on the **Dashboard**.*

Create New Records Schedule Pop-up

Once the user selects "Create Records Schedule" from the **Dashboard**, a pop-up opens and prompts the user to select values for the following fields:

- **Agency or Establishment** features a dropdown menu with a list of auto-populated options based on the user's profile. *If users do not have access to the correct Agency or Establishment, they should contact their Account Manager to start the process of having the value(s) added to their profile.*

- **Record/Scheduling Group** features a dropdown menu with a list of the auto-populated **Record Groups** or **Scheduling Groups** within the selected Agency or Establishment. A **Record Group** is a numeric code used by NARA to uniquely identify an Agency. A **Scheduling Group** is an alpha code used by NARA only for department-wide schedules in military departments. Scheduling Groups include NU (Department of the Navy), AU (Department of the Army), and AFU (Department of the Air Force). *If users do not have access to the correct Record/Scheduling Group, they should contact their Account Manager to start the process of having the value(s) added to their profile.*



*The above figure displays the **Create New Records Schedule** pop-up.*

Once users have provided inputs for the required fields, they can select **Continue**, and the system will create a draft Records Schedule in a new browser tab.

***Note:** If users' profiles have more than one Agency or Record Group available, they must select the correct Record Group AND Agency. If incorrect selections are made, the Records Schedule will not be accepted by NARA and a new one will need to be created as these two fields cannot be updated.*

Records Schedule Form

The following sections explore the information within the Records Schedule form in ERA 2.0, including the six navigation tabs and the individual fields within them. If users do not have the required information to complete the Records Schedule, they should contact their supervisor.

Records Schedule Header

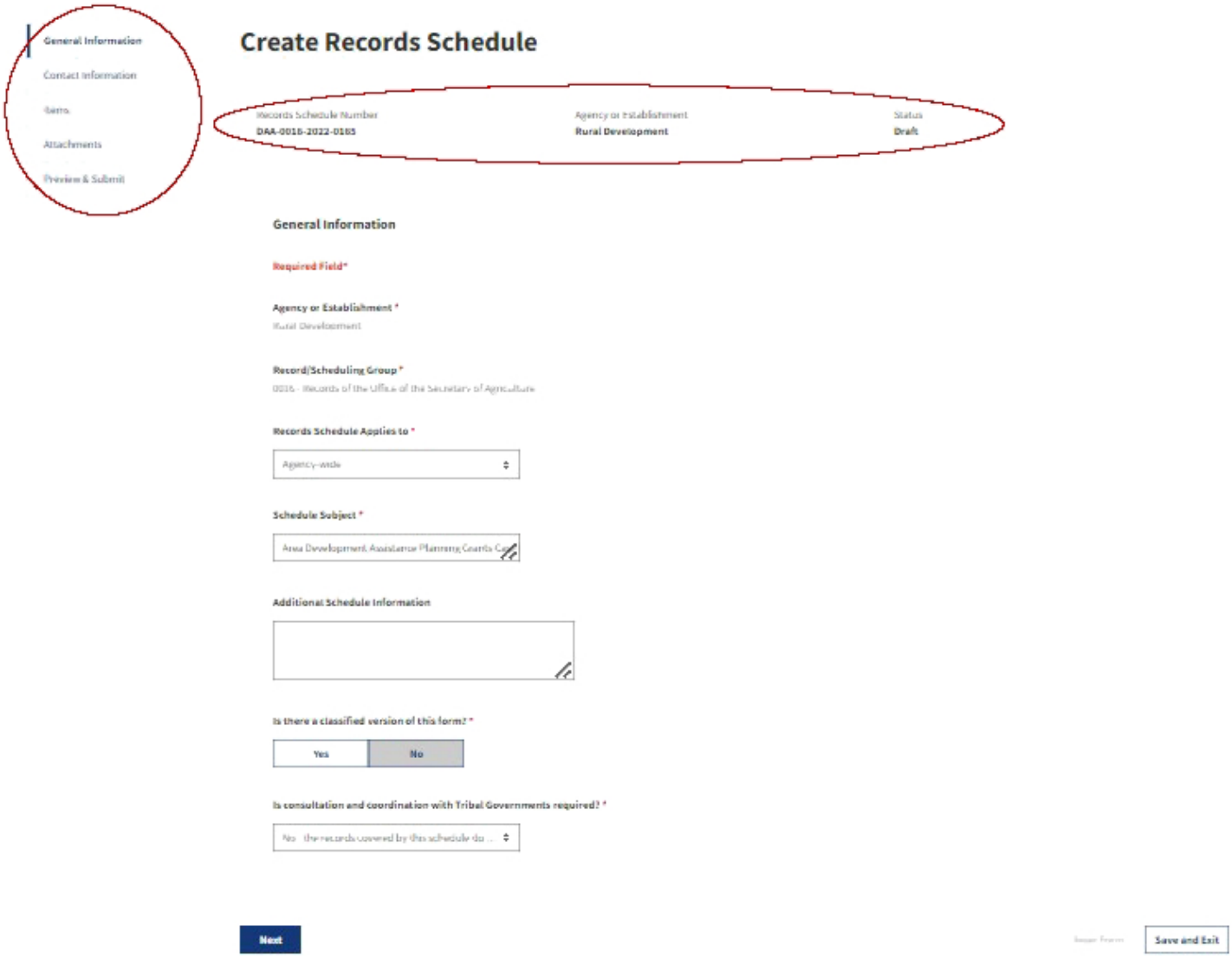
When the draft Records Schedule is open in a new browser tab (i.e. once the user has completed the **Create New Records Schedule** pop-up), the user will see a header at the top of the form with the **Records Schedule Number**, the **Agency or Establishment**, and the **Status**, all of which are system-generated.

The **Status** of the Records Schedule is automated and updated as the schedule progresses in the workflow. The status options are:

- Draft
- Submitted for Certification
- Certified
- Returned for Revision
- Appraiser Concurred
- Appraiser Team Concurred

- Manager Concurred
- Chief Records Officer Concurred
- Approved
- Returned Without Action

The **Records Schedule Number** and the **Agency or Establishment** fields remain the same throughout the entire workflow.



The figure above shows the navigation tabs (left) and header (right) for a draft Records Schedule form.

Navigation Buttons

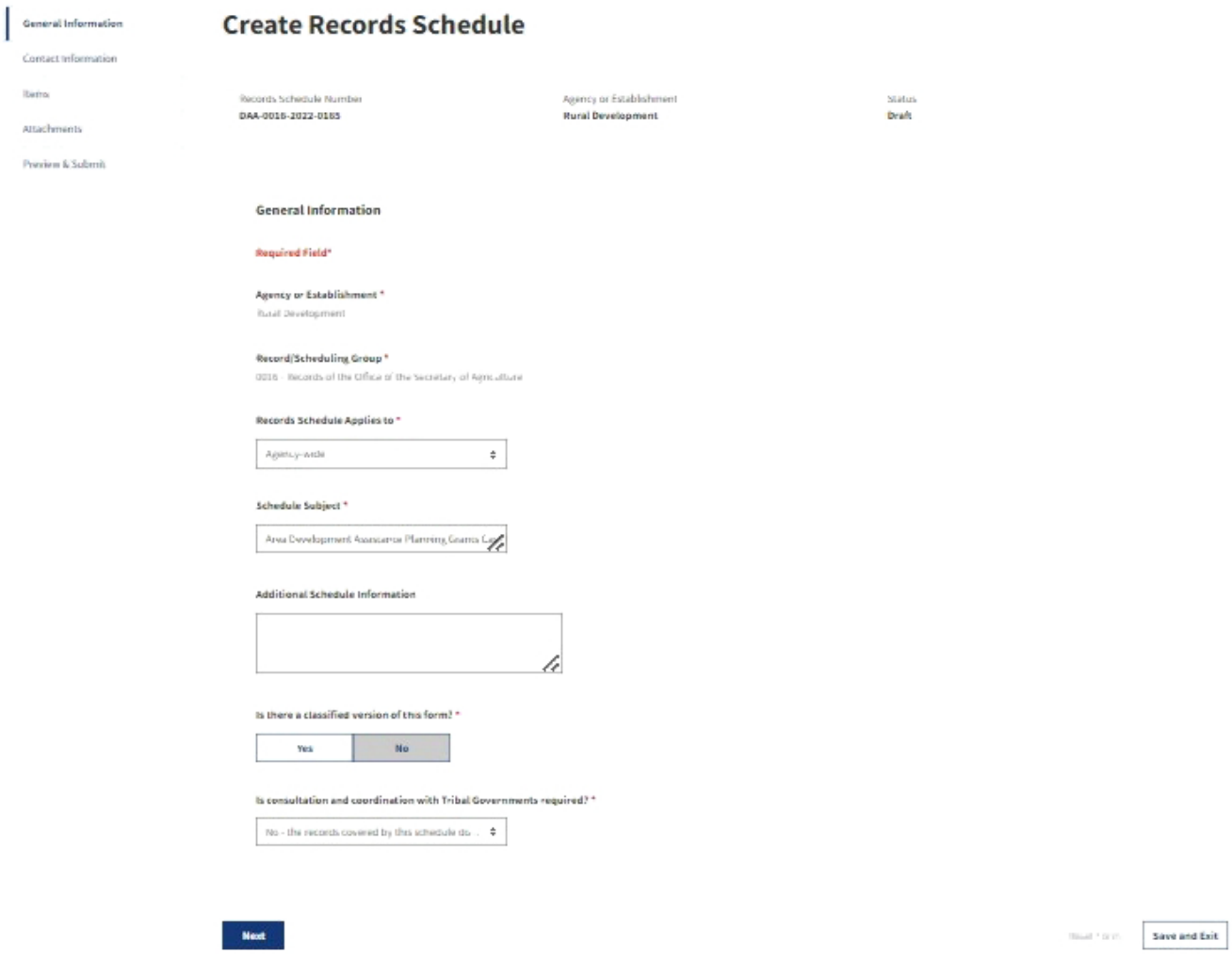
Along with the header, each page has the following options for navigating to and from the tabs within the Records Schedule form:

- **Previous** saves all content and navigates to the tab directly above the current one. *This is not available for the "General Information" page as it is the first tab option.*

- **Next** saves all content and navigates to the tab directly below the current one. *This is not available on the "Preview & Submit" page as it is the last tab option.*
- **Save and Exit** saves the data and closes the form. The user navigates back to the **Dashboard**.
- **Reset form** clears the data from the current tab. If there was previously saved information, choosing this option will clear the current input and revert the form to its previously saved state.

General Information Tab

This tab contains contextual information that applies to the Items in the Records Schedule.



The figure above displays the fields within the "General Information" tab of the Records Schedule form.

General Information Fields

The following information shows the default fields within the General Information tab. *Each open text field has character limits.*

- **Agency or Establishment** is auto-populated in the system based on the user's original input in the **Create New Records Schedule** pop-up. To change this, the user must create a new Records Schedule form.
- **Record/ Scheduling Group** is also auto-populated in the system based on the user's original input in the "Create New Records Schedule" pop-up. To change this, the user should delete the draft Records Schedule and create a new one.
- **Records Schedule Applies to** prompts the user to choose from a list of options that are populated based on the user's permissions. There are sub-fields that expand depending on the value that the user selects. The list of field options, along with the associated sub-pages, includes the following:
    - **Agency-Wide** indicates that the Records Schedule applies to the entire agency; this option is available to all users.
    - **Multi Agency** indicates that the Records Schedule applies to multiple Agencies that are not within the same Department. *These schedules are rare. Before undertaking a Multi-Agency Records Schedule, the Agency should contact their Appraisal Archivist to discuss the Schedule.*
        - Sub-field**: Additional Agencies This Schedule Applies To** allows the user to select from an auto-populated list of additional Agencies based on the user's profile. (See the "Creating and Managing User Accounts" section in Part I for more information.)
    - **Department-Wide** indicates that the Schedule applies to all component Agencies within the Department. *Only Records Schedulers at the Department level should use "Department-Wide." Records Schedulers in component Agencies have this option available but should not use it.*
        - Sub-field**: Additional Agencies This Schedule Applies To** is where the user can select from an auto-populated list of additional Agencies based on the user's profile.
    - **Agency Subdivision** indicates that the Schedule applies to an office within an Agency.
        - If selected, the user will be prompted to enter information for two sub-fields, **Major Subdivision** (required) and **Minor Subdivision** (optional), which are used to identify the program office that creates and/or maintains the records. *These text fields have character limits of 100.*
- **Schedule Subject** is where the user enters a short title for the overall Records Schedule. *The character limit for this field is 100.*
- **Additional Schedule Information** is an optional field that allows users to enter contextual information relevant to the overall schedule. *The character limit for this field is 10,000.*
- **Is there a classified version of this form?** requires a **Yes** or a **No** response. Generally, the answer to this question is **No,** because most Schedules are not security classified. Agencies cannot submit security classified Schedules in ERA 2.0. If a security classified Schedule is required, the Agency should submit a public use version of the Schedule via ERA 2.0, indicating **Yes** in this field and then submit the classified version of the Schedule outside ERA 2.0.
- **Is consultation and coordination with Tribal Governments required?** offers the following choices:
    - No – the records covered by this schedule do not implicate Tribal interests
    - Yes – the records covered by this schedule do implicate Tribal interests
    - Yes and completed – a consultation with Indian Tribal governments was conducted
    - Exempt from requirement – Legislative Branch

- Exempt from requirement – Judicial Branch
- Exempt from requirement – Independent Regulatory Agency.

Contact Information Tab

This tab provides information for the points of contact within the Agency relating to the specific Records Schedule.

The figure above shows the "Contact Information" tab within the Records Schedule form.

Contact Information Fields

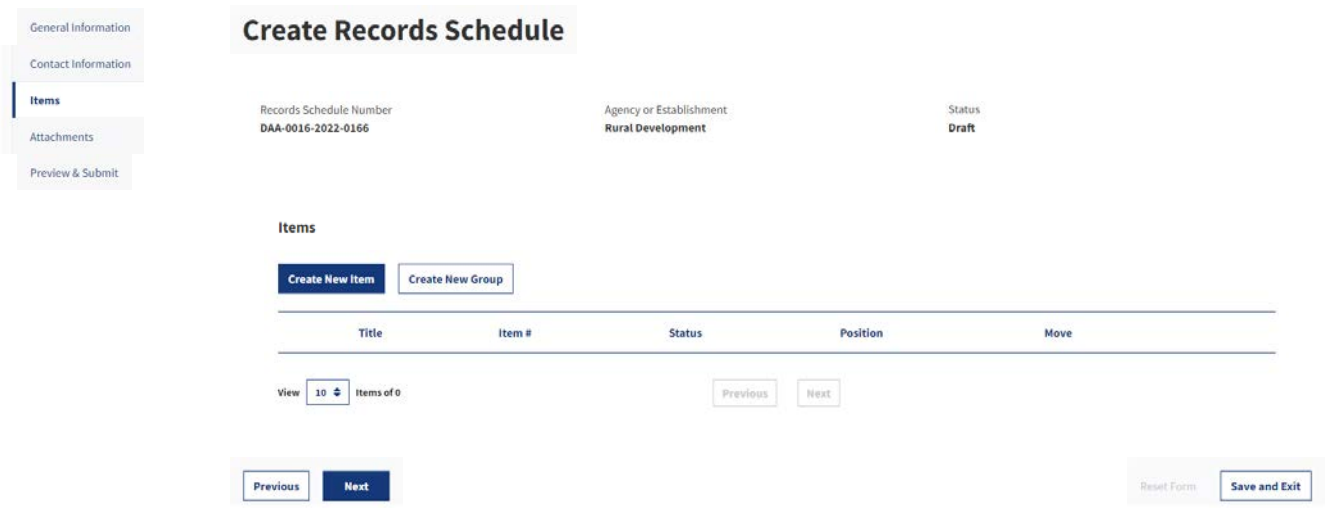
By default, the person creating the Records Schedule is assigned as the Primary Contact; however, the user can update this by adding additional contacts. The following information shows the fields within the "Contact Information" page:

- **Primary Contact** is auto-populated based on the user's profile.
- **Add Contact** allows users to select from a list of users who have accounts in ERA 2.0. They can also manually add new contacts for users who do not have ERA 2.0 accounts. When users select to add a new contact, they must provide the contact's first and last names, phone number, and email address.

***Note:** To update the **Primary Contact**, users must select the **Add Contact** button, select the correct name, and then select **Yes** to the **Primary Contact** field. If the contact is not selected as the **Primary Contact** during the adding process, users must delete the contact and add the person again.*

Items Tab

Each Records Schedule contains "Items" and often "Groups" of Items (formerly known as "Overview" of Items in ERA.)



The figure above shows the default "Items" tab within the Records Schedule form.

Items Fields

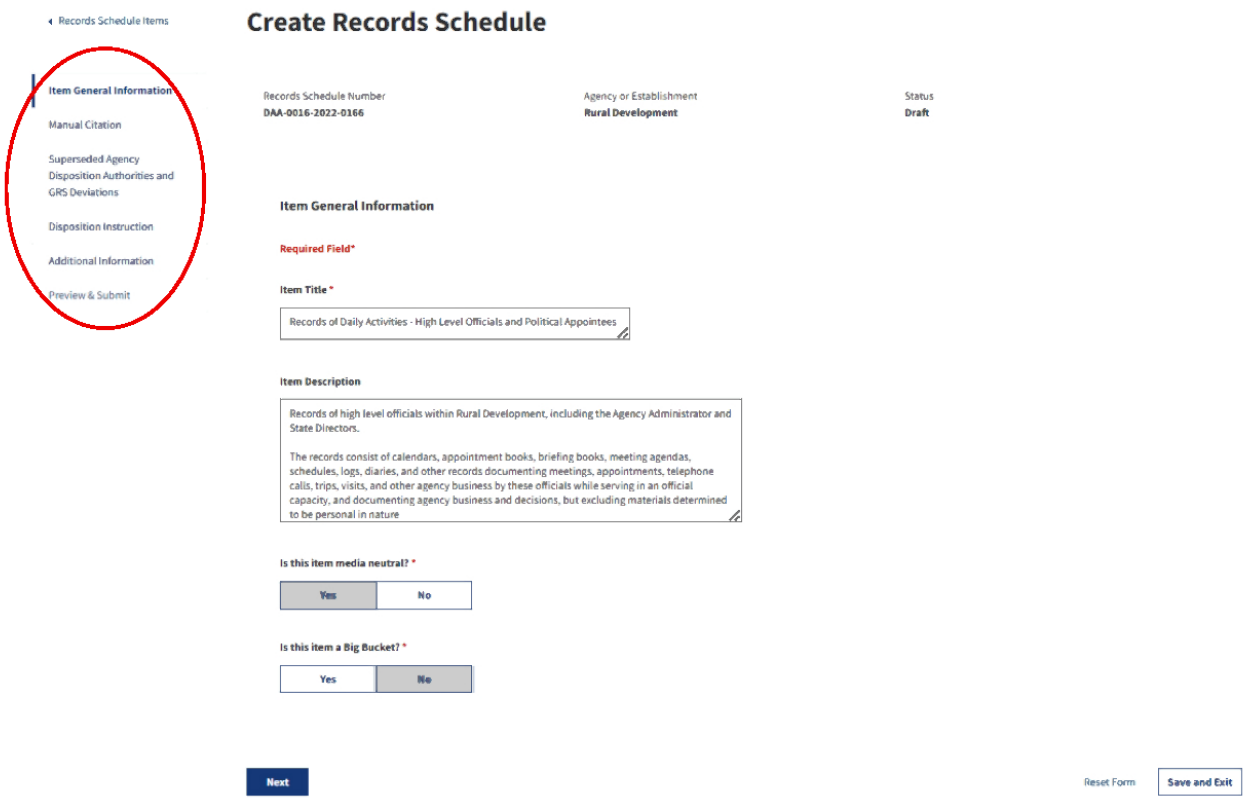
The following sections provide detailed information around how to create, add, modify, and delete Items and Groups. When a user selects the "Items" tab, the person is presented with two options:

- **Create New Item** allows the user to create an Item.
- **Create New Group** allows the user to create a new Group.

Note: To learn how to reorder or delete Items, see the "Reorder Items" or "Delete Items" sections.

Create and Edit Items

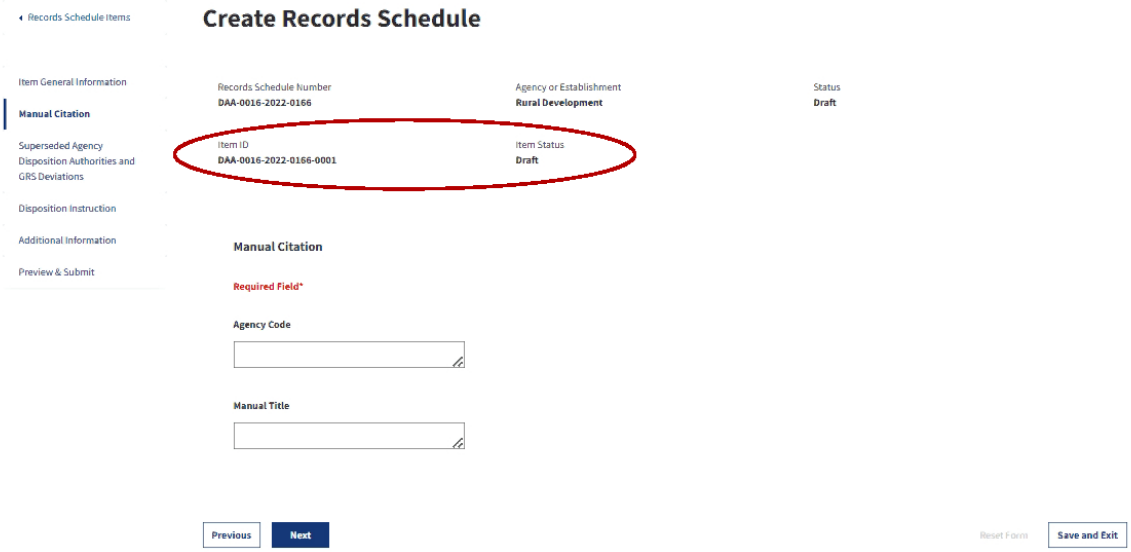
When users select the **Create New Item** button from the Items tab, a sub-page appears. This page has its own navigation tabs consisting of required fields for creating an Item.



The figure above shows the navigation tabs for the Items sub-page.

Items Header

Once the user has provided at least the **Item Title** and selected "Next" or "Save and Exit" on the "Item General Information" tab, a new header will appear that throughout the Items tab that includes the **Item ID** and **Item Status**, which are both system-generated.



The figure above shows the updated Item Header after the user has provided the Item Title and selected "Next" on the Item General Information tab.

The **Item Status** is automated and updated as the schedule progresses in the workflow. The following table provides a description of each **Item Status**:

Item Status	Description
Draft	User has created a new Item.
Added	User has entered all required fields for the Item and has selected the **Add** button within the Item form.
Pending	User has certified and sent the Records Schedule to NARA.
Active	NARA has approved the Records Schedule.
Inactive	Item is not to be used for disposition. It is most likely superseded by a newer item.

*The table above shows the description of each **Item Status**.*

Item General Information Tab

This tab contains background and contextual information for the specific Item. The following is a list and description of the fields within this tab:

- **Item Title** refers to the name of the Item being scheduled and is provided by the user. *The character limit for this field is 2,000.*
- **Item Description** is optional and describes the records that the Item covers, including their purpose and function. *The character limit for this field is 25,000.*
- **Is this item media neutral?** allows the user to indicate whether the Item is media neutral. If an Item is media neutral it applies to the records regardless of their media (paper, electronic, etc.). A media specific item applies to records only in a specified medium. If the item is not media neutral, the user will be prompted to select the specific media that applies to the records.
- **Is this item a Big Bucket?** allows the user to indicate that the Item covers multiple series of records that relate to the same subject matter, business function, or work process. "Big Bucket" Items provide disposition authority for all existing series covered by the Item, and for any additional series created in the future that conform to the bucket's description.

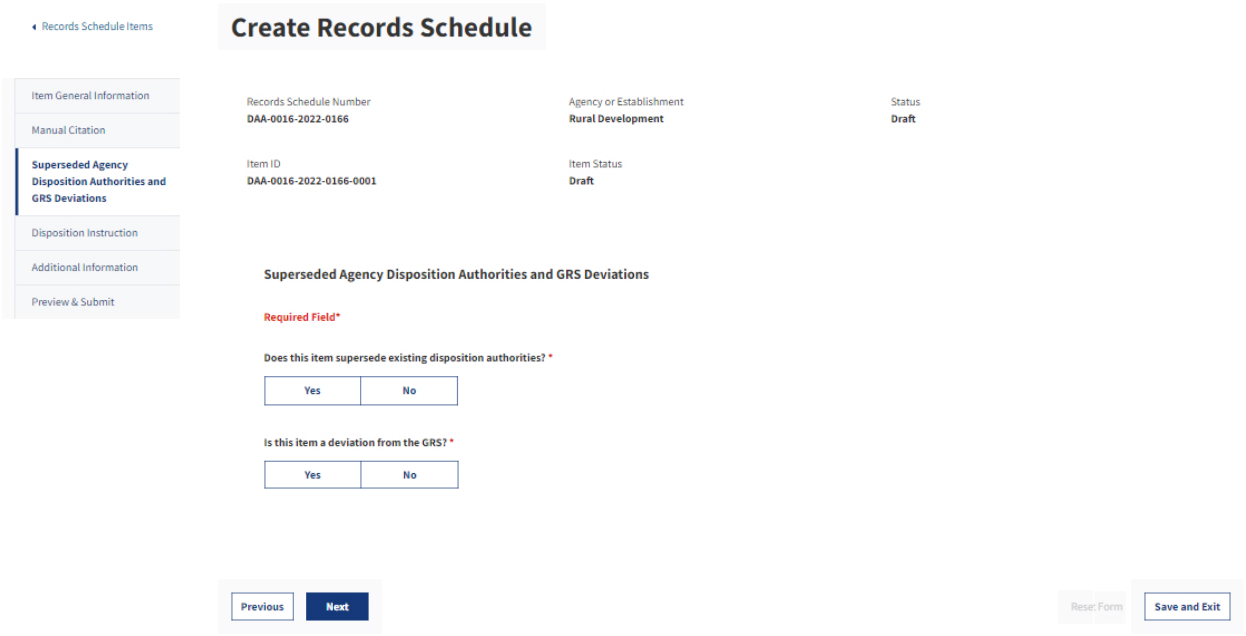
Manual Citation Tab

This tab allows the user to enter the manual citation, or another code or classification, used by the agency to identify specific Items. The following is a list and description of the fields within this Tab:

- **Agency Code** is optional and allows the user to enter an agency-assigned identifier to the item—either a manual citation, code, or classification. This field is optional. *The character limit is 1,000.*
- **Manual Title** is optional and allows the user to enter the title of the agency's records disposition manual, if a manual citation is being provided. This field is optional. *The character limit for this field is 1,500.*

Superseded Agency Disposition Authorities and GRS Deviations Tab

This tab allows users to supersede existing disposition authorities and indicate that the newly created Item deviates from an existing GRS disposition authority.



The figure above shows the "Superseded Agency Disposition Authorities and GRS Deviations" tab within the "Items" page.

The following is a list of the fields within this tab:

- **Does this item supersede existing disposition authorities?** refers to whether the Item supersedes any previously approved disposition authorities within the system. If the user selects **Yes**, then the following tabs will appear**.**
    - **ERA Disposition Authorities** lets the user select and add disposition authorities that were previously approved on a Records Schedule. If created in ERA, the disposition authority has a DAA prefix. If approved prior to ERA but later added to the system, the disposition authority has a DAL prefix. **DAL disposition authorities should not be added in ERA Disposition Authorities.** Superseded items from schedules that were approved prior to ERA should be entered in Pre-ERA Disposition Authorities.

      To add active Items that will be superseded (i.e. replaced), users will select the **Find DAA Item(s)** button. A pop-up that is pre-populated with all active Items will appear, and users will then select the checkbox next to the Item(s) that will be superseded. Once selected, users will click the **Add Disposition Item(s)** button.

      Once the Item(s) are added, users will see following sub-field:
        - **Item Superseded In Part?** indicates whether the Item will be fully superseded or partially superseded. Users can select **Yes** or **No**. If users select **Yes**, they will be required to provide an explanation in the text box. *The character limit for this field is 500.*
    - **Pre-ERA Disposition Authorities** allows users to manually enter disposition authorities that pre-date ERA (a disposition authority with a prefix such as N1 or NC1 or similar). Disposition authorities include the full schedule number and the item number separated

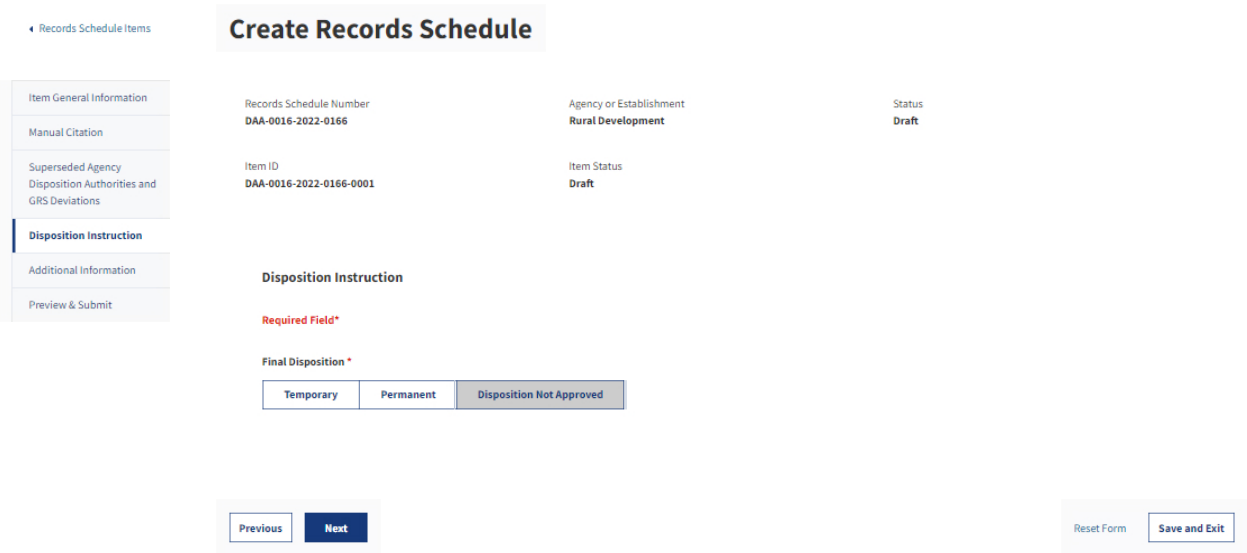
with a "/". To enter multiple Pre-ERA disposition authorities, users must separate them by commas. Example: N1-068-85-01 / 1, N1-068-85-01 / 12, N1-068-89-16 / 310. *The character limit for this field is 1,500.*

***Note**: Once the Schedule is approved by the Archivist of the United States, the Item that was superseded will become "Inactive." If all the Items in the Schedule become Inactive, then the status of the whole Records Schedule will be updated to "Inactive."*

- **Is this item a deviation from the GRS?** allows users to indicate whether the records described by the Item are covered by the GRS in whole or part**.** If the user selects **Yes**, then the following options will appear**.**
    - **GRS disposition Authority** lets the user select and add existing GRS disposition authorities that apply to records described in this Item. To add an Item, the user will select the "Lookup GRS Item ID(s)" button and add the related Item(s).
    - **Justification for GRS Deviation** allows the user to enter an explanation as to why they are requesting to use an agency Item rather than the GRS for records covered by the GRS. *The character limit for this field is 500.*

Disposition Instruction Tab

This tab contains disposition instructions for the Item that state whether it is **Permanent**, **Temporary**, or **Disposition Not Approved**, as well as how long to retain the records.



The figure above shows the "Final Disposition" tab within the "Items" page.

The following is a list and description of the fields within this tab:

- **Temporary** indicates that records will not be transferred to NARA and will eventually be destroyed or cease to be government property.
    - Sub-field: **Cutoff Instructions** is an optional field that allows the user to indicate the point at which records retention starts.
    - Sub-field: **Retention Period** allows users to select an option that identifies the time at which records are to be destroyed.
- **Permanent** indicates that the Items have archival value and will be transferred to NARA's ownership. Once selected, the user will see the following sub-fields.

    - **Cutoff Instructions** is an optional field that allows the user to indicate the point at which records retention starts.
    - **Are there multiple instructions for this item?** allows the user to indicate that more than one transfer instruction is required for records described in this Item based on the format (e.g. Paper-based textual records and Presentation Formats) or date span of the records (e.g. Records created up to 2010, Records created after 2010).
        - **Records to which this instruction applies** is an optional field and allows users to select the format to which the transfer instruction applies.
        - The **Add** button appears once the user has provided the requisite fields within the "Multiple Instructions" tab. Selecting the button summarizes all of the previous instructions provided by the user.
    - **Transfer Instruction** indicates the time at which permanent records are to be transferred to NARA for accessioning. *Typically, records should be transferred no sooner than 15 years and no later than 30 years.* ***Note:*** *If entering multiple instructions, DO NOT enter a comma (,) in this field.*
- **Disposition Not Approved** indicates that records have been scheduled with a disposition that they cannot be destroyed or transferred.

Additional Information Tab

This tab contains relevant information for the specific Item, and the field options differ based on the user's previous input (e.g. whether the user has chosen **Permanent**, **Temporary**, or **Disposition Not Approved** in the previous tab).

The following is a list and description of all possible fields within this tab for users who select **Permanent** within the "Disposition Instruction" tab:

- **Legal citation related to record retention (if applicable)** is optional and allows the user to enter any statutory citation(s) and title(s) of the act, Code of Federal Regulations citation(s), or other legal citations that apply to retention of the records described by the Item. *The character limit for this field is 100.*
- **Current Records Format** allows the user to select the formats in which the records are known to currently exist, e.g. "Paper-based textual records," "Digital audio," etc. ***Note:*** *This field is required for Permanent records.*
- **Current volume** allows the user to enter the estimated volume for each selected records format. *The character limit for this field is 100.* ***Note:*** *If adding multiple Records Format and Volume, DO NOT enter a comma (,) in this field. This field is required for Permanent records.*
- **Approximate first year of records covered by this authority** allows the user to indicate the earliest year of the records that will be covered by this authority. This is an optional field. *The character limit for this field is 4.*
- **End year of records covered by this authority** is optional and indicates the latest year that the records were created. Users may indicate that records are still being created. This is an optional field. *The character limit is 4.*
- **Date span of the initial transfer** is optional and indicates the date span of the first transfer of the records using this authority. This field contains the following combination of fields: **From (Month, Day, Year) To (Month, Day, Year).** *The character limits for this field are 2 for month, 2 for day, and 4 for year.*
- **Frequency of transfer** is optional and indicates how often the records will be transferred. *This is generally based on how often records are cut off. If it is a one-time transfer, enter "0." If records are cut off annually, the frequency is "1." If they are cut off in 5-year blocks, the frequency is "5."*

The frequency is usually going to be "1" unless records are being transferred in blocks, which would be indicated in a cutoff instruction. The character limit for this field is 3.

- **Are any of the records covered by this item subject to a FOIA exemption?** indicates whether records covered in this Item are exempt from FOIA requests. The user should select all that apply to the records at the time of scheduling. *If records contain RD/FRD material choose FOIA (b)(3) in addition to FOIA (b)(1), and enter the applicable statute below. NARA recognizes that these exemptions may not apply at the time of transfer for permanent records.* ***Note:*** *This field is required for Permanent records.*
    - Sub-field: **FOIA Exemption(s)** allows the user to indicate the statutory citation(s) and title(s) of the act. **Yes** must be selected for **Are any of the records covered by this item subject to a FOIA exemption?**
    - Sub-field: **What is the related statute for the FOIA B(3) exemption?** allows the user to indicate the statute related to a FOIA B(3) exemption if such an exemption currently applies to the records. **FOIA (b)(3) Statute** must be selected for **FOIA Exemption(s).** *The character limit for this field is 100.*

The following is a list and description of all possible fields for users who select **Temporary** within the "Disposition Instruction" tab:

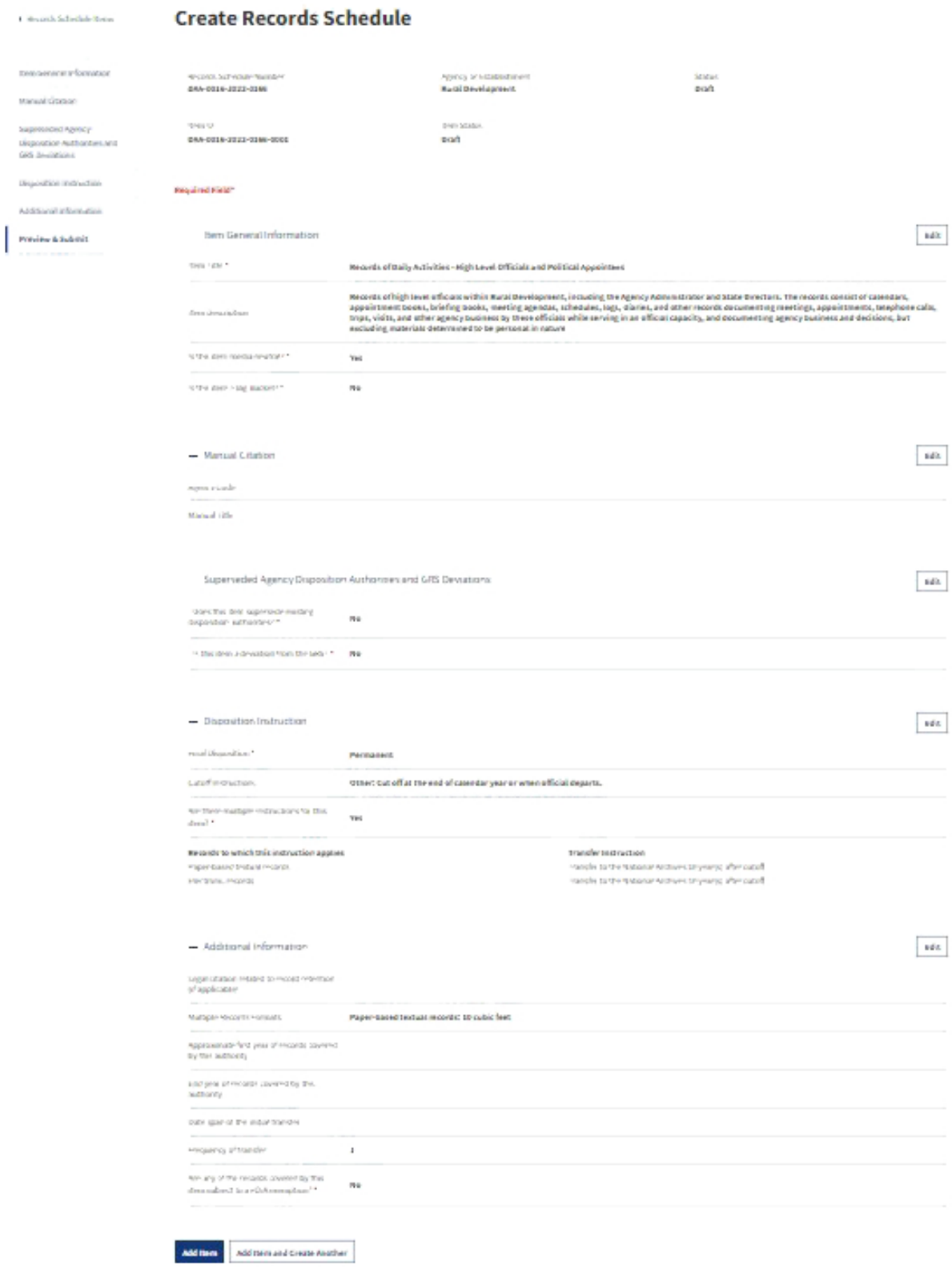
- **Legal citation related to record retention (if applicable)** is optional and allows the user to enter any statutory citation(s) and title(s) of the act, or Code of Federal Regulations citation(s), or other legal citation(s) that apply to retention of the records described by the Item. *The character limit for this field is 100.*
- **Are any of the records covered by this item national security classified?** indicates that records described by the Item are national security-classified.
- **GAO Approval Required** indicates whether GAO approval is required for the Item. GAO approval is required for program records that are to be destroyed less than three years from creation.

The following is a list and description of all possible fields for users who select **Disposition Not Approved** within the "Disposition Instruction" tab:

- **Legal citation related to record retention (if applicable)** is optional and allows the user to enter any statutory citation(s) and title(s) of the act, Code of Federal Regulations citation(s), or other legal citation(s) that apply to the retention of the records described by the Item. *The character limit for this field is 100.*

Preview & Submit Tab

In this tab, users will see an overview of the information that they have provided for the Item, and have the option to add it to the Records Schedule or make edits.



The figure above shows the "Preview & Submit" tab for Items.

The following is a list and description of the functions within this tab:

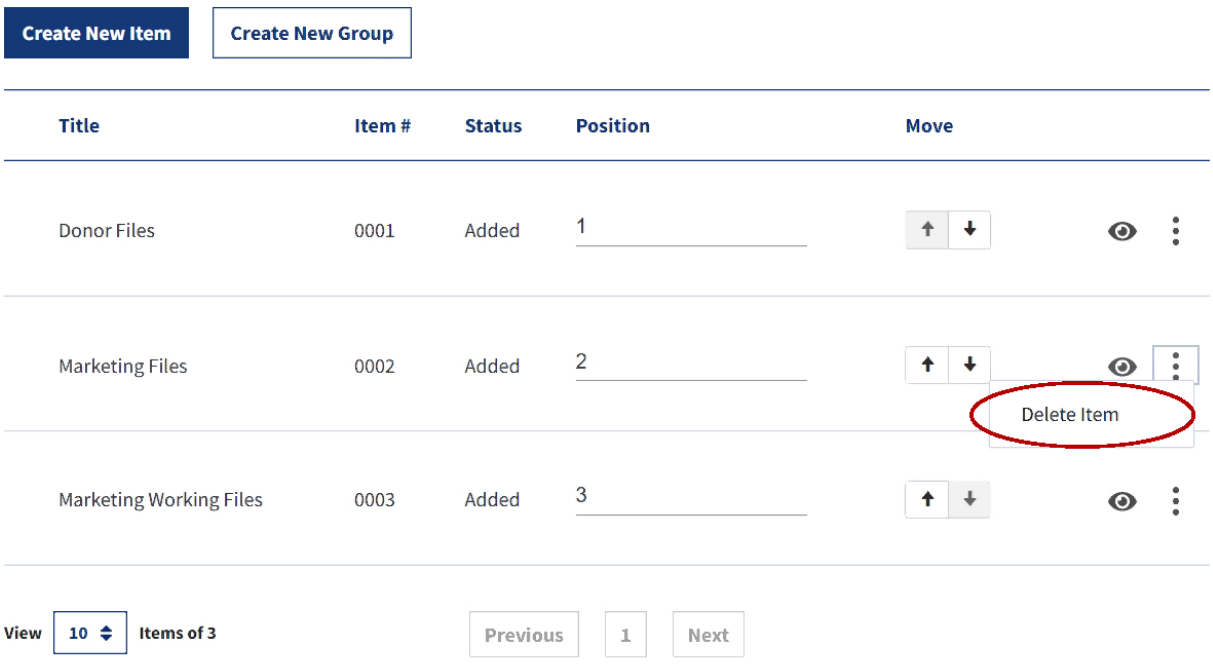
- **Add Item** allows the user to add the Item to the Records Schedule and be redirected to the Items Tab within the Records Schedule form.
- **Add Item and Create Another** allows the user to add the Item to the Records Schedule while being redirected to the "Item General Information" tab where they can start creating another Item.

Reorder Items

Users may change the order or **Position** of the Items within the Records Schedule so that they are listed (or grouped) logically and/or chronologically. The **Position** of Items does not affect the Records Schedule or cause prioritization.

The user who is assigned the Schedule (which, by default, is often the creator of the Schedule) has the permission to edit **Position**.

To update the **Position** of Items, the user selects the Item's numerical position, manually provides the new position number, and then presses **Enter**. Items may also be repositioned with arrows located beside the position numbers. Clicking on the "up" arrow will move the item up one position. The "down" arrow will move the item down one position. The moved items will be renumbered to reflect their new positions.



*The figure above shows the **Position** of the Items as well as the **Delete Item** option from the Items tab.*

If an Item is re-positioned, the **Item #** will no longer match its **Position** number. The Item IDs listed under the **Item #** will be regenerated when the user selects "Submit for Certification" or "Certify" from the "Preview & Submit" tab.

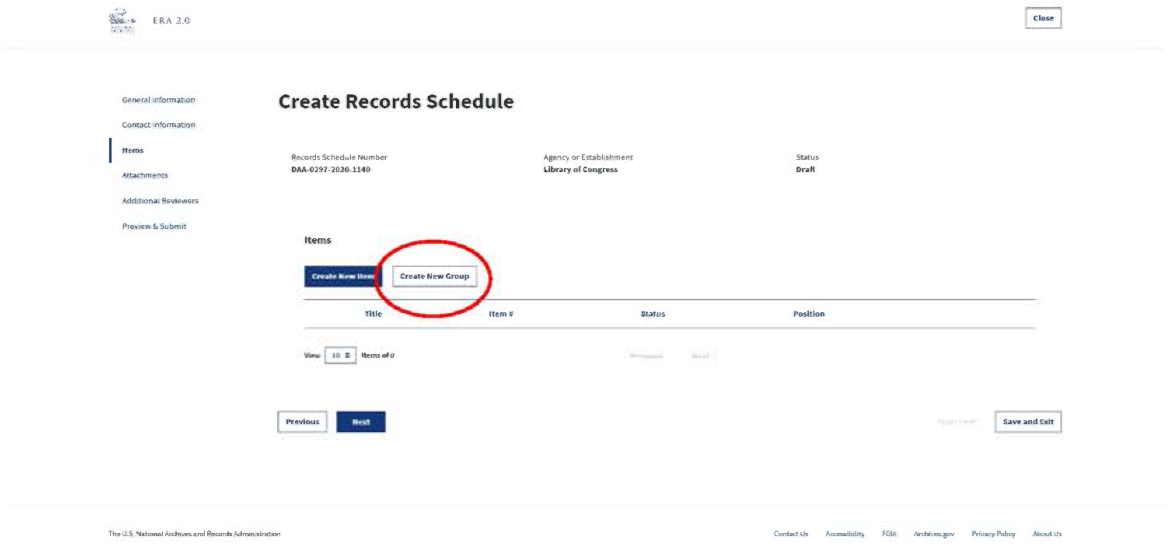
The figure above shows the message that appears concerning the Item ID when a user updates its position.

Delete Items

A user can delete an Item within the Items Tab by selecting the vertical ellipsis (three dots) to the right of the respective Item. Once selected, the "Delete Item" option will appear. A message is displayed on the Item page once the Item has been deleted.

Groups

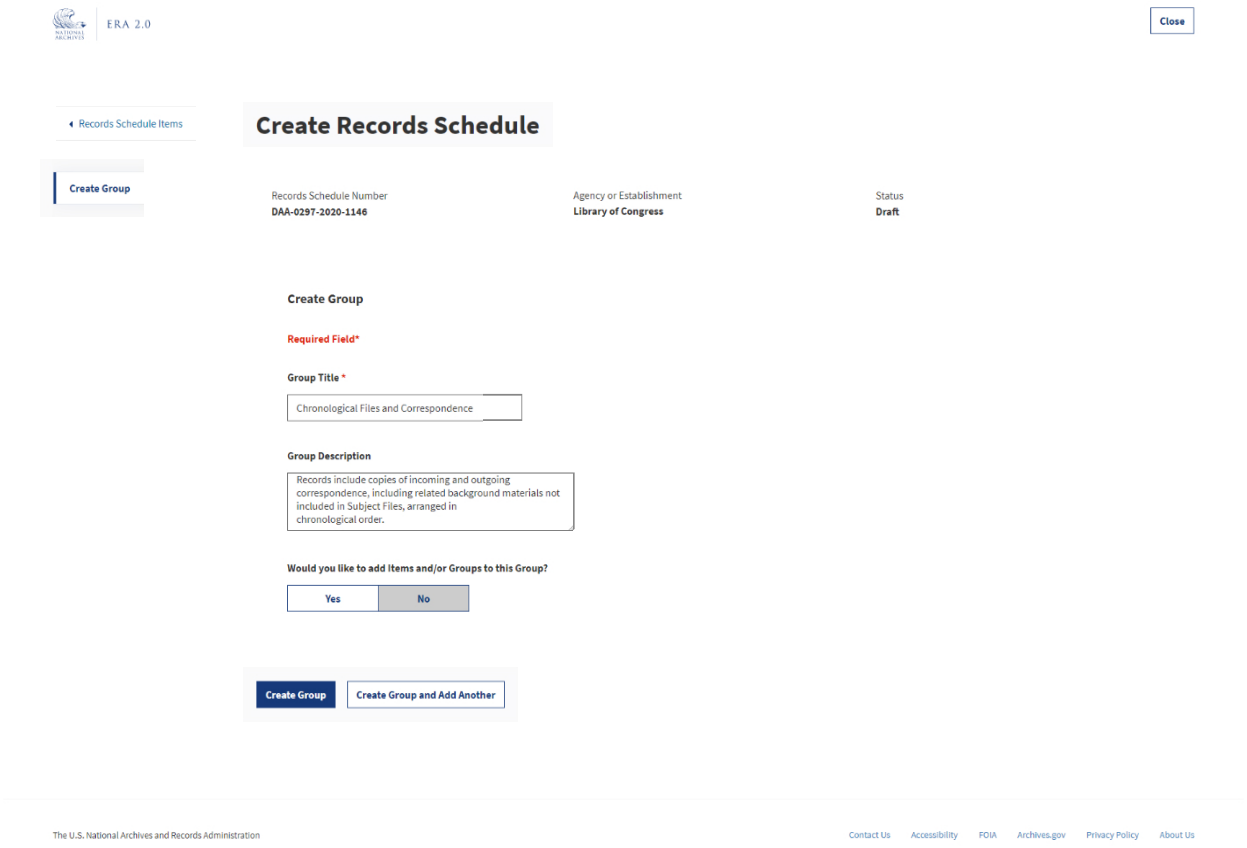
A Group is a way to combine multiple Record Schedule Items under a common title and description. Groups should contain at least two items and might be nested (i.e. can have Groups within a Group).



*The figure above shows the **Create New Group** button within the "Items" tab of the Records Schedule form.*

Create and Add Groups

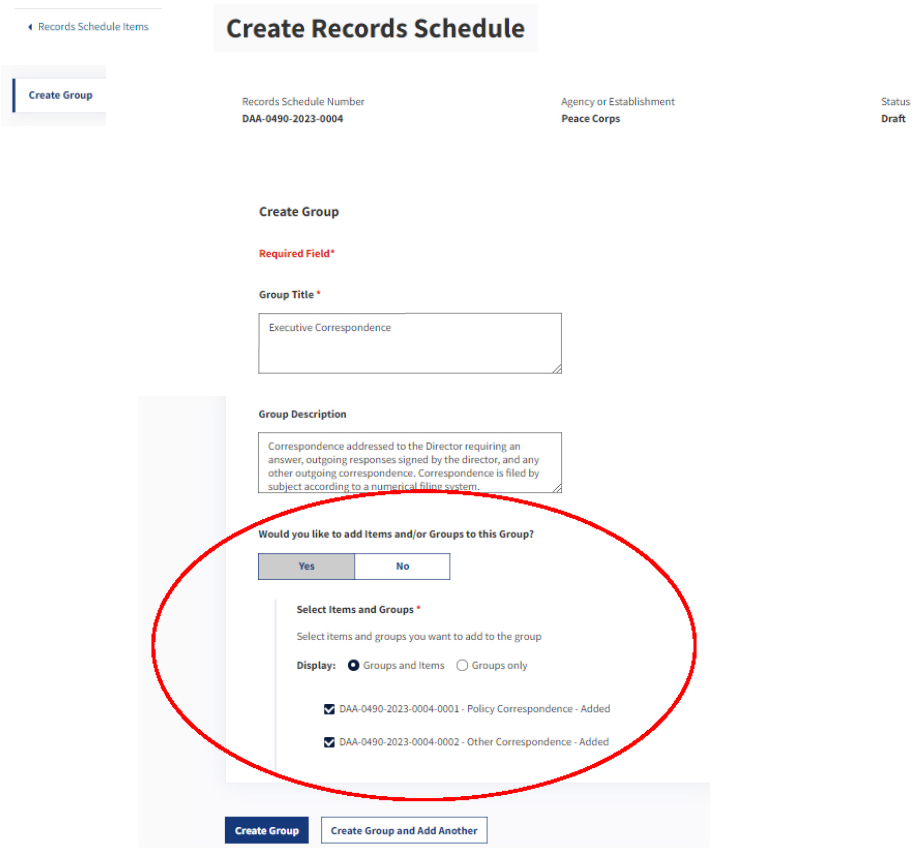
Once users have selected the **Create New Group** button from the Items tab, they will be redirected to a "Create Group" sub-page.



The figure above shows the "Create Group" sub-page of the "Items" tab.

The following information outlines the fields within this page:

- **Group Title** refers to the name of the Group being created, and is provided by the user. *The character limit for this field is 3,000.*
- **Group Description** is an optional field to provide an overarching description of the items included in the Group. This description should apply to all of the items in the group. *The character limit for this field is 25,000.*
- **Would you like to add Items and/or Groups to this Group?** refers to whether users would like to add Items and/or Groups that they have already created.

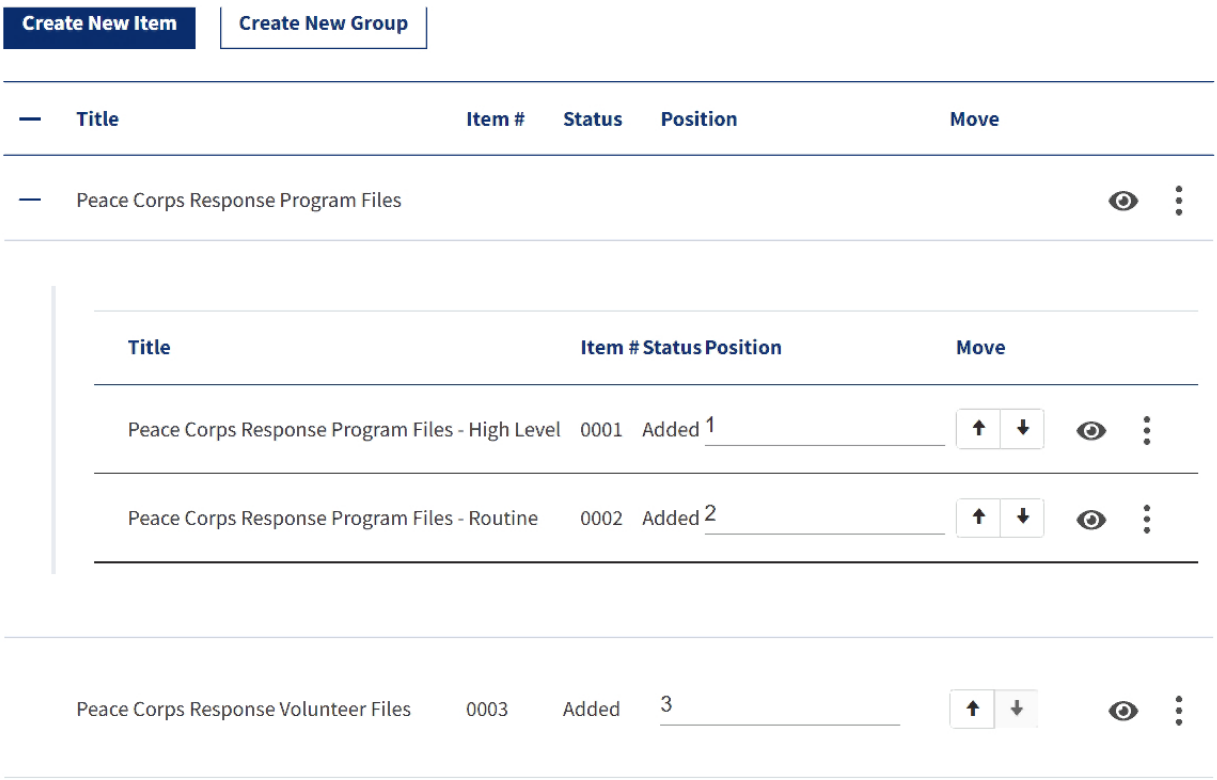


*The figure above shows the options if a user selects **Yes** to adding Items and/or Groups on the "Create Group" sub-page.*

- If users select **Yes**, they will see a list of options for adding Items and/or Groups.
  - The **Groups and Items** radio button will auto-generate a list of all Groups and Items that the user has created within the current Records Schedule, from which the user can choose.
  - The **Groups Only** radio button will auto-generate the Groups that the user has created within the current Records Schedule, from which the user can choose.
- If the users select **No**, they only create the Group that they are currently working on, so nothing more is added.

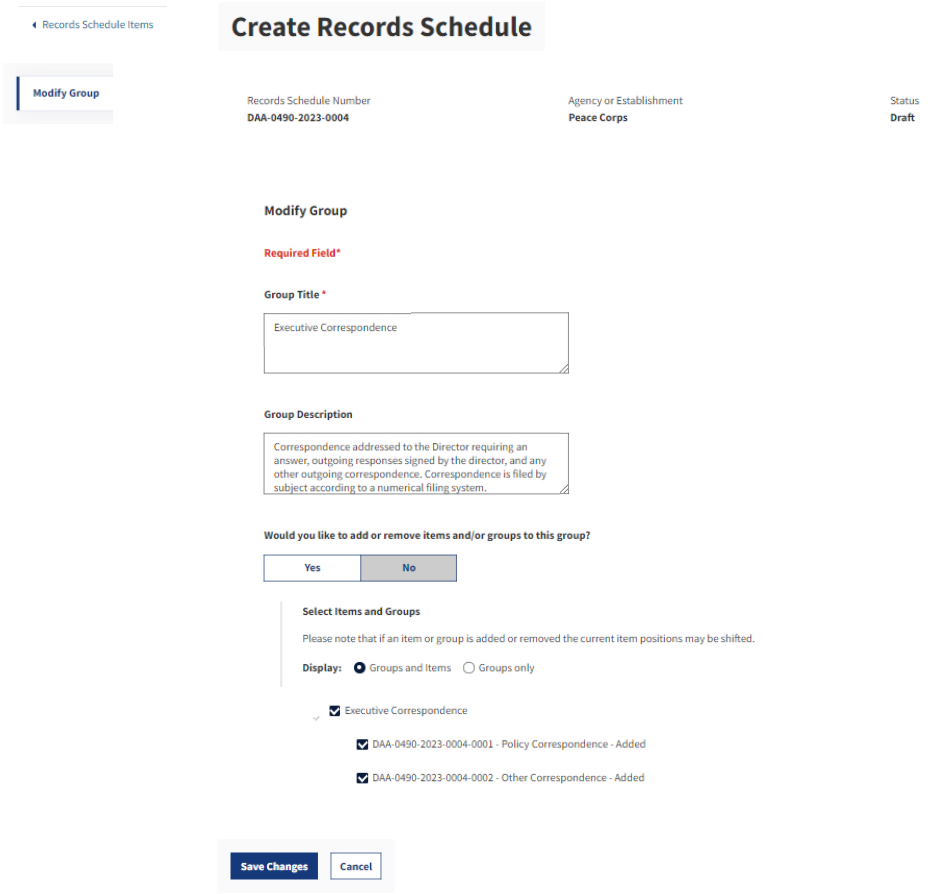
Modify a Group

Users might want to modify a Group by updating the description, adding new Items, etc. To make edits to the Group, users will navigate back to the "Items" tab of the Records Schedule form and select the "eye" icon to the right of the Group that they would like to modify.



The figure above shows the "eye" icon that allows users to modify Groups and Items.

Once users have selected the "eye" icon, they will be redirected to the "Modify Group" page where each of the fields from the "Create Group" sub-page can be edited. The user then makes desired updates and selects **Save Changes**, and the system will display a message on the "Items" page that the Group has been successfully modified.

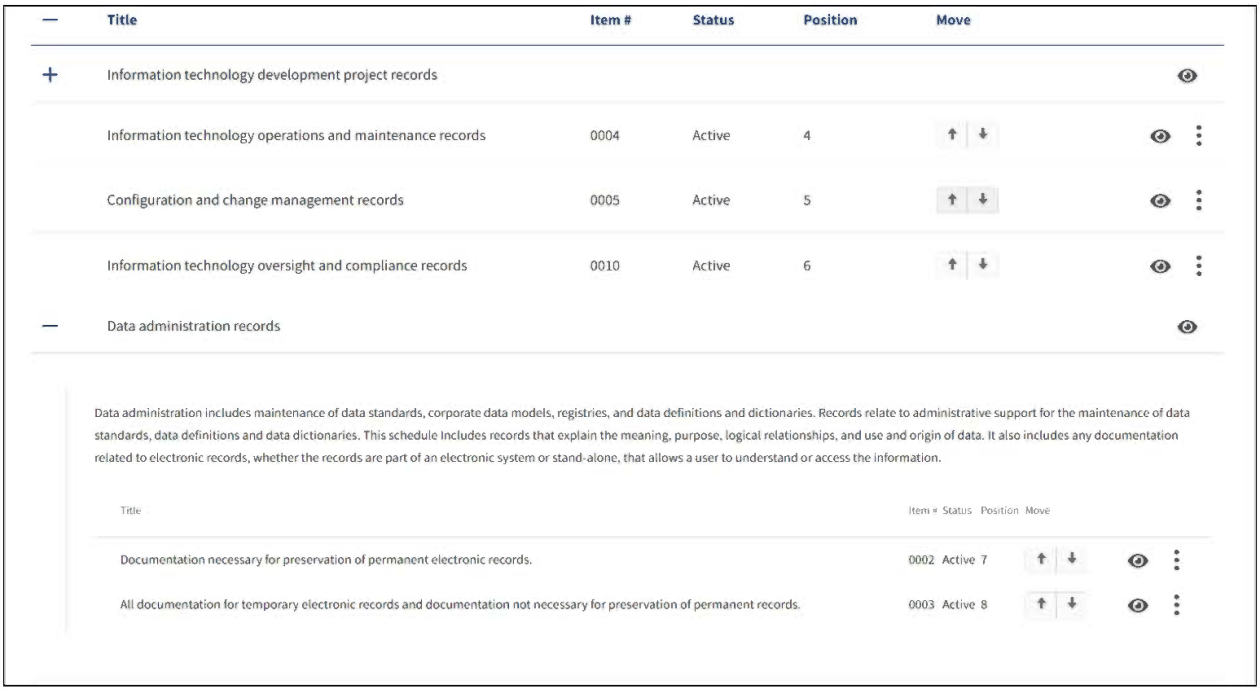


The figure above shows the "Modify Group" page.

Reorder Items in a Group

Items can be moved between or out of Groups by updating the position number. If an Item is given a position number that is inside a Group, then that item will move inside the Group. **Position** number of all other Items will be adjusted accordingly. To move an Item outside the Group, update the **Position** number to that of the Item that is outside the Group.

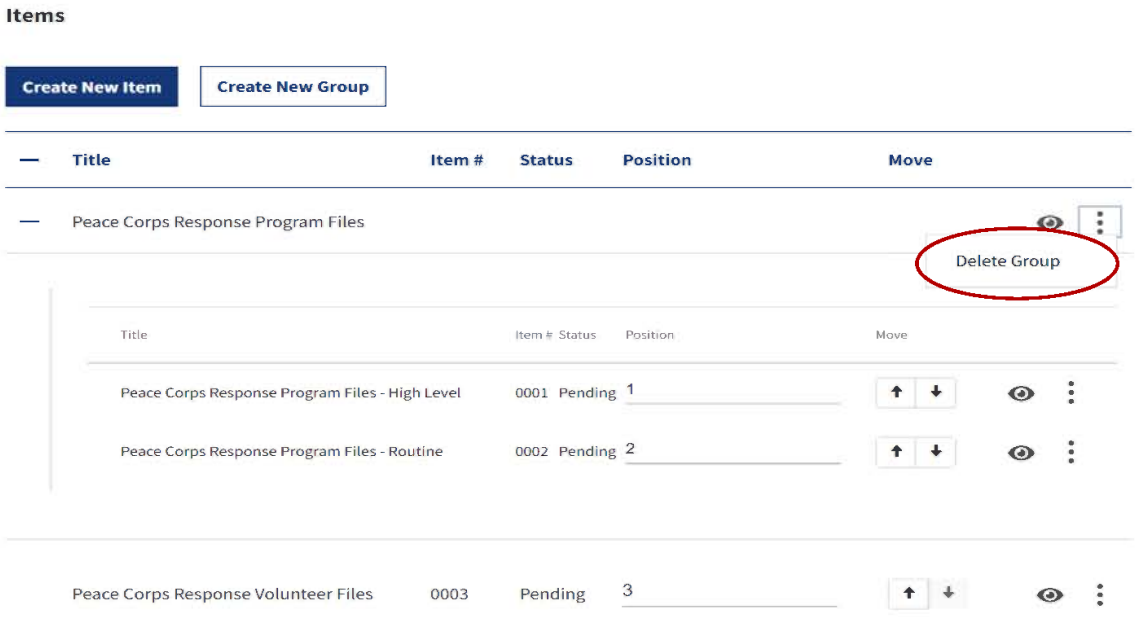
Items may also be repositioned using the "up" and "down" arrows next to the position number. For example, Item 3 in the screenshot below could change places with Item 2 using the "up" arrow, or would move outside the Group with the "down" arrow. Item 10 could be moved into the Group with the "down" arrow.



The figure above shows a Group with two Items, with another Group and several Items outside the group.

Delete Groups

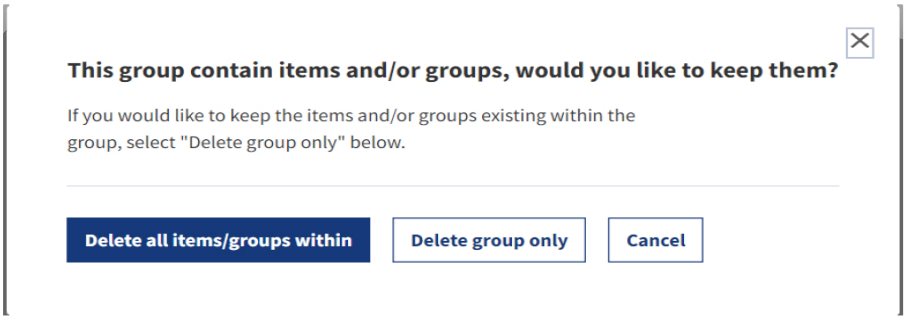
A user can delete a Group within the "Items" tab by selecting the vertical ellipsis (three dots) to the right of the respective Group.



*The figure above shows the **Delete Group** option.*

Once selected, the **Delete Group** option will appear, and the user will be prompted to choose from the following additional options:

- **Delete all Items/groups within** will delete the Group and everything within it (e.g. additional Groups and Items).
- **Delete group only** will delete the selected Group and the Groups and Items within that Group will be moved outside the now-deleted Group. The position number for Items will be updated.

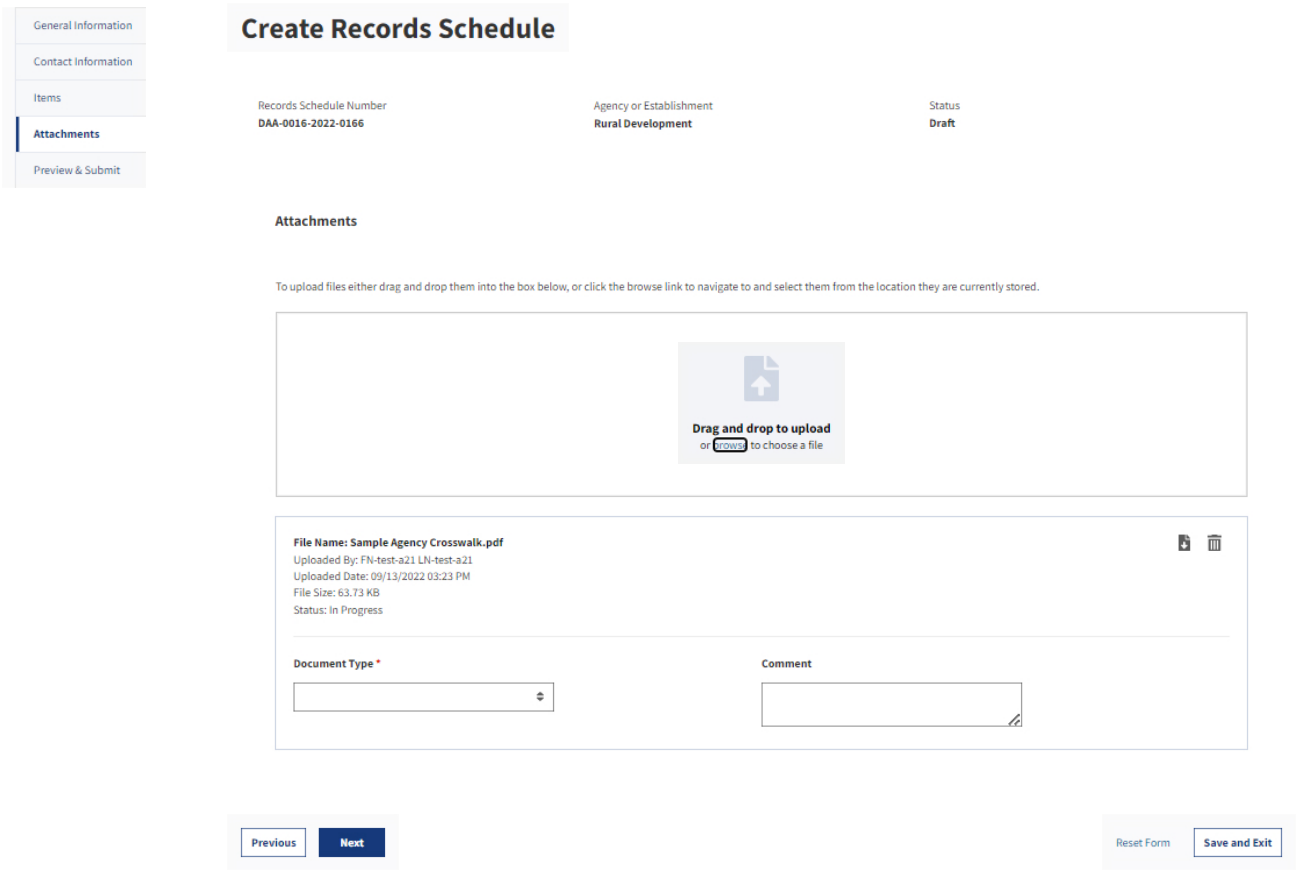


*The figure above shows the pop-up that appears from the **Delete Group** button.*

Attachments Tab

This tab provides the option for users to upload supporting documents related to the Records Schedule. The system supports uploading documents of any type (e.g., pdf, .docx, .xlsx, .csv, etc.) and users can upload more than one document. Users may access the attachments on the Records Schedule throughout the workflow (even after certified and sent to NARA).

***Note:** Once a Records Schedule has been certified and sent to NARA, Agency users cannot add attachments to the Records Schedule. Instead, it is up to the Appraiser at NARA to upload any additional attachments.*



The figure above shows the "Attachments" tab within the Records Schedule form.

Attachments Fields

The following information outlines the default fields in the Attachments tab:

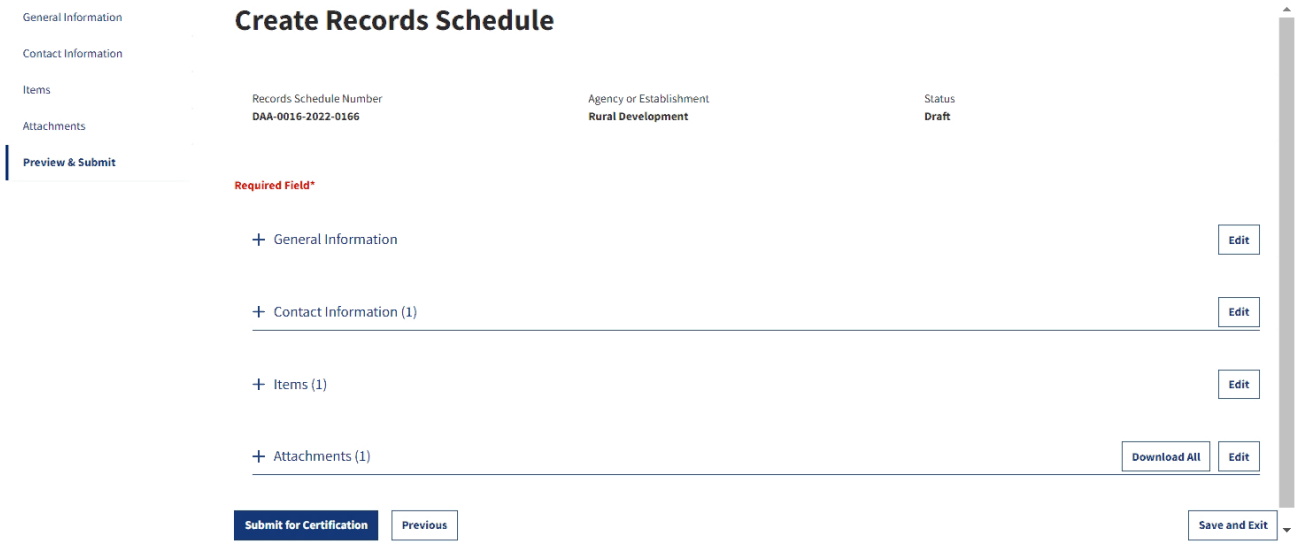
- **Drag and drop to upload** provides two options (dragging or uploading) to attach documents. The user can select multiple documents from the upload option at a time, and the system will scan all documents for viruses.
- Once a document is uploaded, the following sub-fields will appear:
    - **Document Type** prompts the user identify what type of attachment the file is. The user may select from the following options:
        - Early legal transfer checklist
        - Late legal transfer checklist
        - Crosswalk
        - Approvals
        - Sample documents
        - Background information
        - Box list
        - Correspondence
        - Other

- **Comment** allows the user to provide additional contextual information. It is an optional field unless the user has selected **Other** as the **Document Type**. *The character limit for this field is 100.*

Preview & Submit Tab

In this tab, users will see an overview of all information they have provided while creating the Records Schedule and will have the option to edit each section.

- **Submit for Certification** allows the user to submit the Records Schedule to the Certifying Official.
- **Previous** allows the user to navigate back to the previous tab.
- **Save and Exit** allows users to save draft Records Schedule and close the form.



The figure above shows a collapsed view of the "Preview and Submit" page within a Records Schedule form.

Download All Attachments from Preview & Submit Tab

Users may download attachments from the Preview & Submit tab, either individually through a "Download" link, or in bulk using "Download All."

The figure above shows the Download options for Attachments to a Records Schedule.

When “Download All” is selected, the system will generate a ZIP file containing the attachments. The Background Task Progress window will show download status, and when the download completes, the user will receive a notification message with a link to the file.

The “Download All” task will fail if multiple files have the same name (for example, two files named “Correspondence.pdf”). If there are multiple attachments with the same name, the files should be downloaded individually.

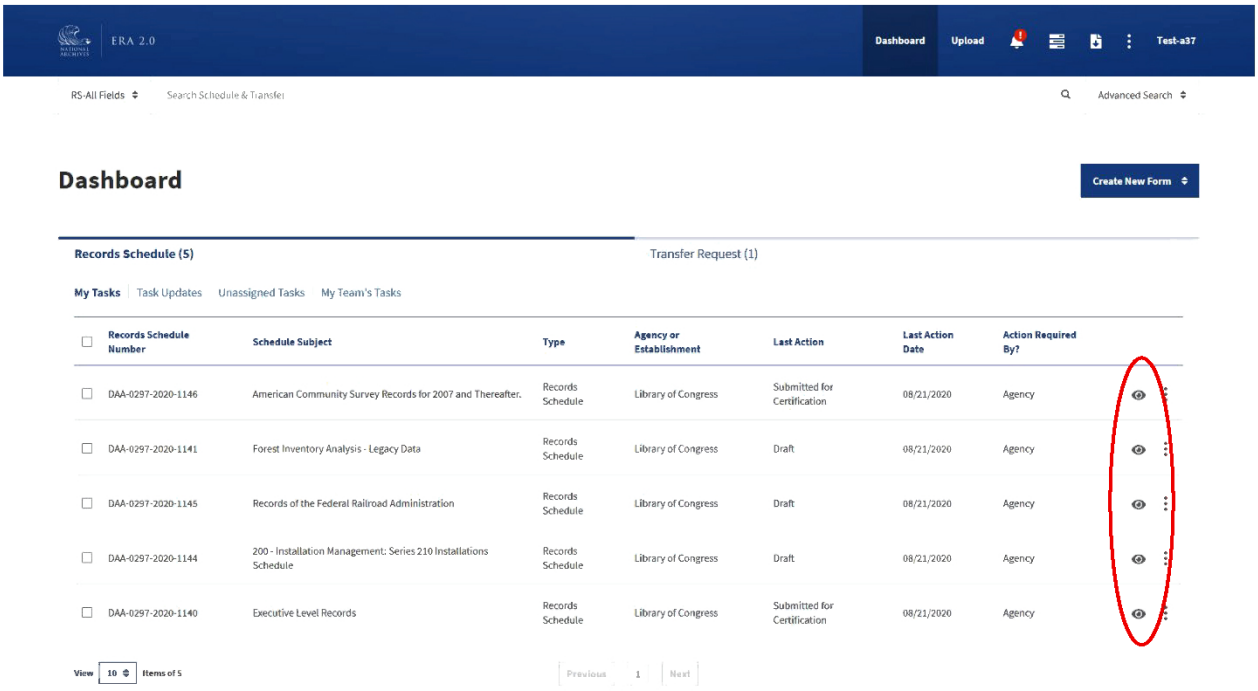
Modify a Records Schedule

Users can modify the Records Schedule to which they are assigned under the “My Tasks” category on the **Dashboard**. There are different capabilities based on the user’s profile and permissions. The following information outlines the Records Schedule statuses and permissions based on end user role. *To confirm the status of the Records Schedule, refer to the form’s header.*

Status	Permission to Modify
Draft	Can be modified by Records Scheduler and Certifying Official as long as the schedule is assigned to them.
Submitted for Agency Approval	Can be only modified by Certifying Official as long as it is assigned to them.
Returned for Revision	Can be modified by Records Scheduler and Certifying Official as long as the schedule is assigned to them. ***Note:*** *A Records Schedule is in Returned for Revision status after it has been certified and returned by NARA.*

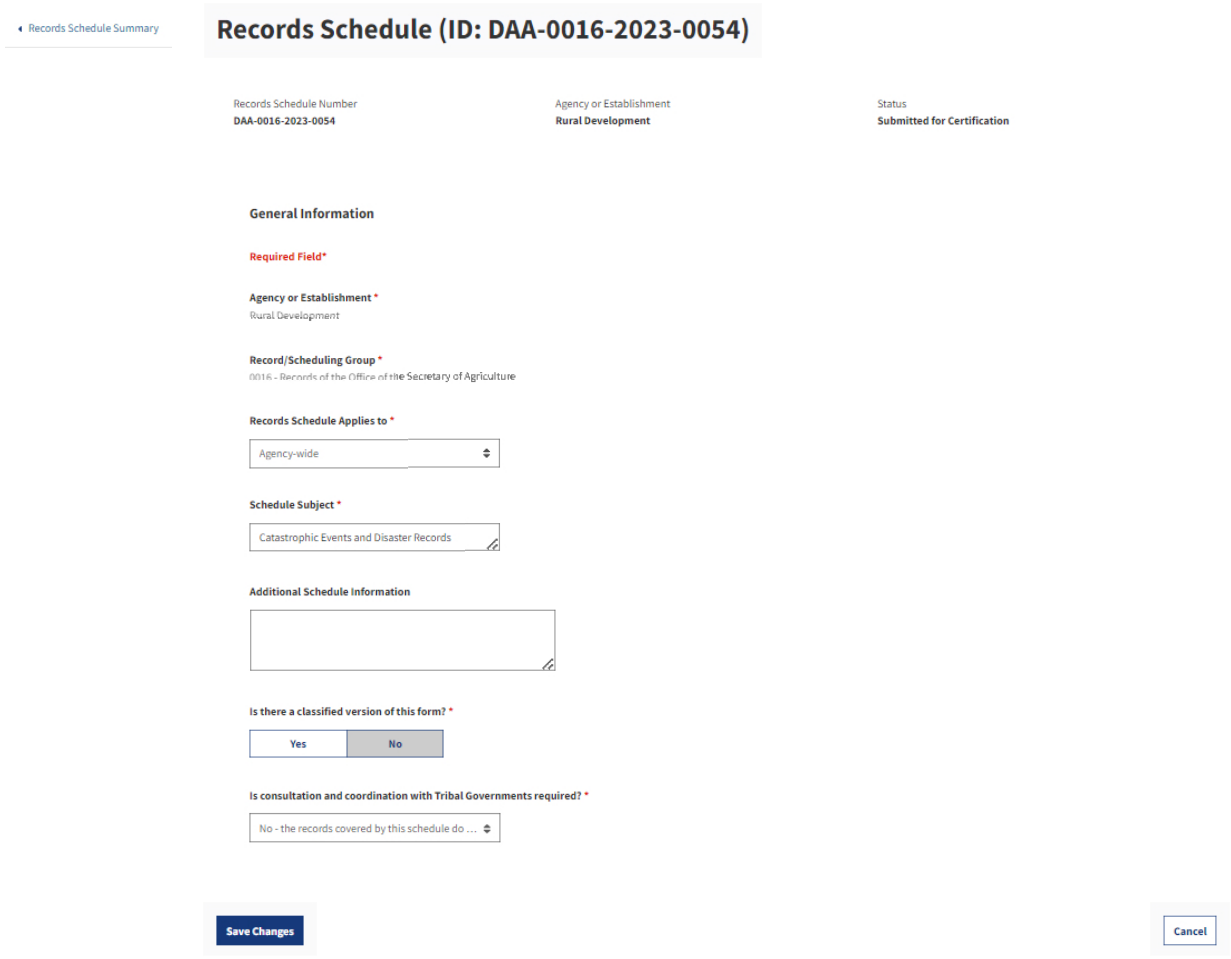
The table above describes the statuses and capabilities for modifying a Records Schedule.

To modify a Records Schedule, the user will select the “eye” icon to the right of the Records Schedule, featured on the user’s **Dashboard**. Once selected, the user is redirected to a new browser tab with a summary view of the Records Schedule. Each section has an **Edit** option.



*The figure above shows the "eye" icons in the list of Records Schedules within the user's **Dashboard**.*

Once users select **Edit**, they are taken to the section of the Records Schedule where they can make edits as necessary. Once users have saved the changes, they are redirected back to the Records Schedule summary view.



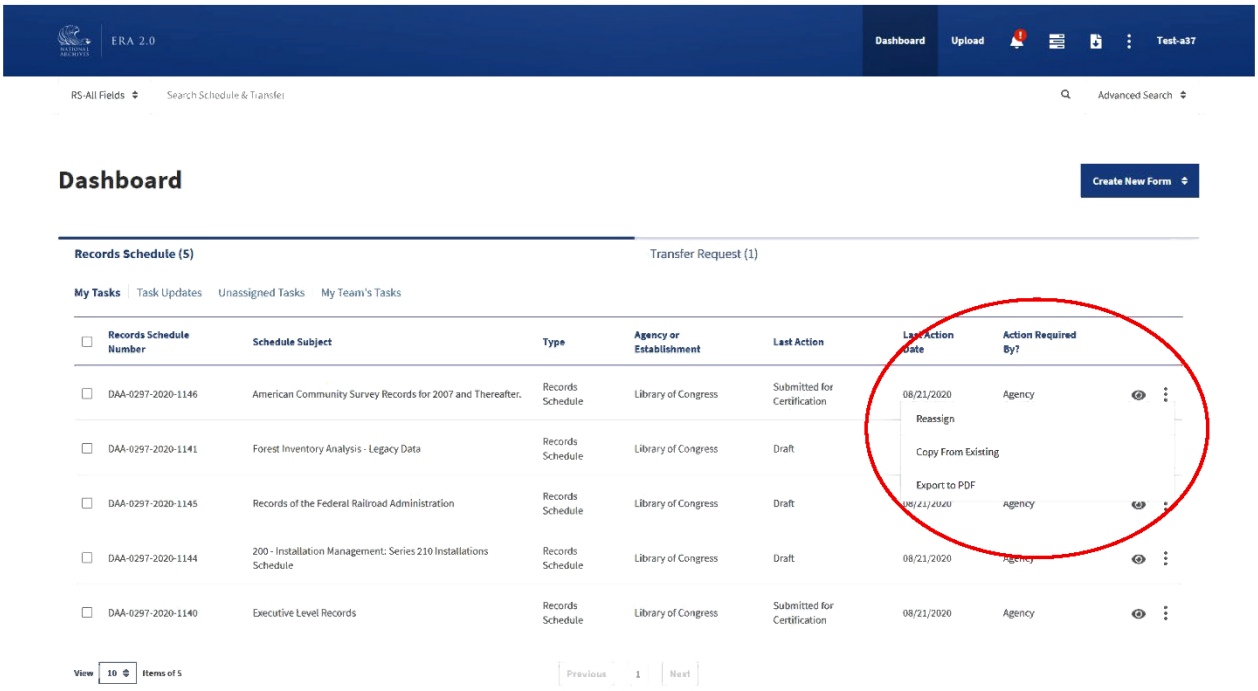
*The figure above shows the General Information section in **Edit** mode.*

Reassign a Records Schedule

By default, the Records Schedule is assigned to the user who has created it. However, the assigned user can reassign it to someone else. For example, if a Records Scheduler is leaving the Agency, or a Certifying Official would like to redistribute the workload, the user might reassign the Records Schedule.

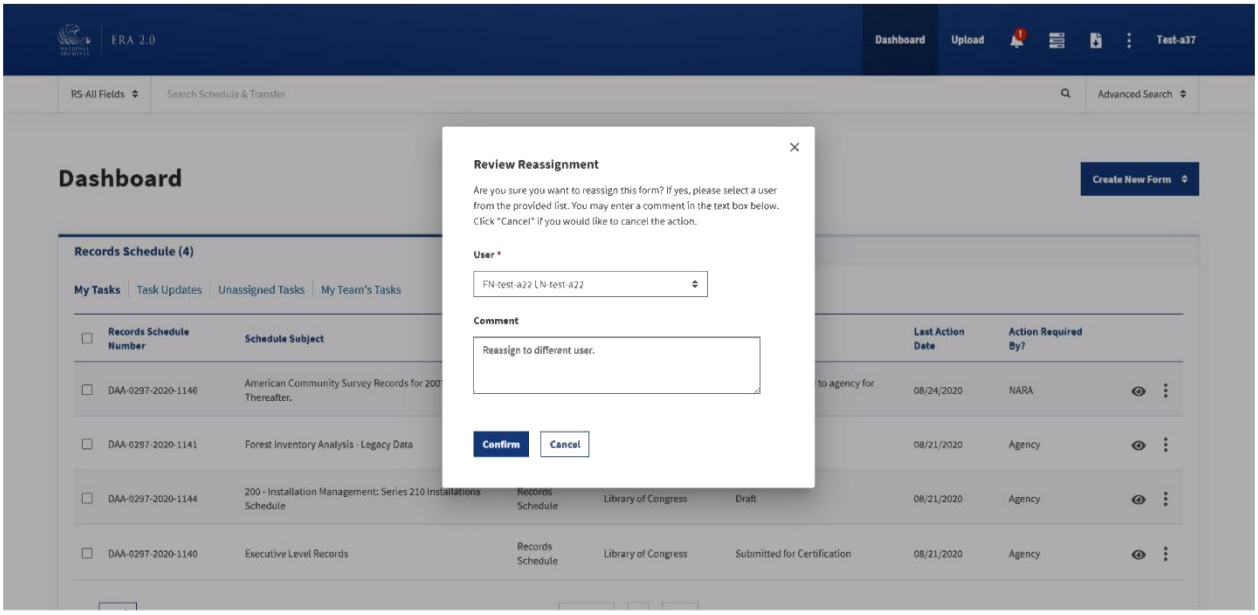
Both Records Schedulers and Certifying Officials can reassign a Records Schedule, however, the status of the Records Schedule and user role affects who can reassign it. An assigned Records Scheduler can reassign a Schedule that is in “Draft” status, while a Certifying Official can reassign a schedule in the following statuses regardless of the Schedule being assigned to them:

- Draft
- Submitted for Certification
- Returned for Revision



*The figure above shows the **Reassign** option from the vertical ellipsis dropdown menu on the **Dashboard**.*

To reassign a Schedule, select the vertical ellipsis to the right of the Schedule on the **Dashboard** page. The user can then select **Reassign** from the dropdown menu, and a pop-up will open with list of users to which the schedule can be reassigned.



The figure above shows the "Review Reassignment" pop-up.

- **User** prompts the user to select from a pre-populated list based on their profile.

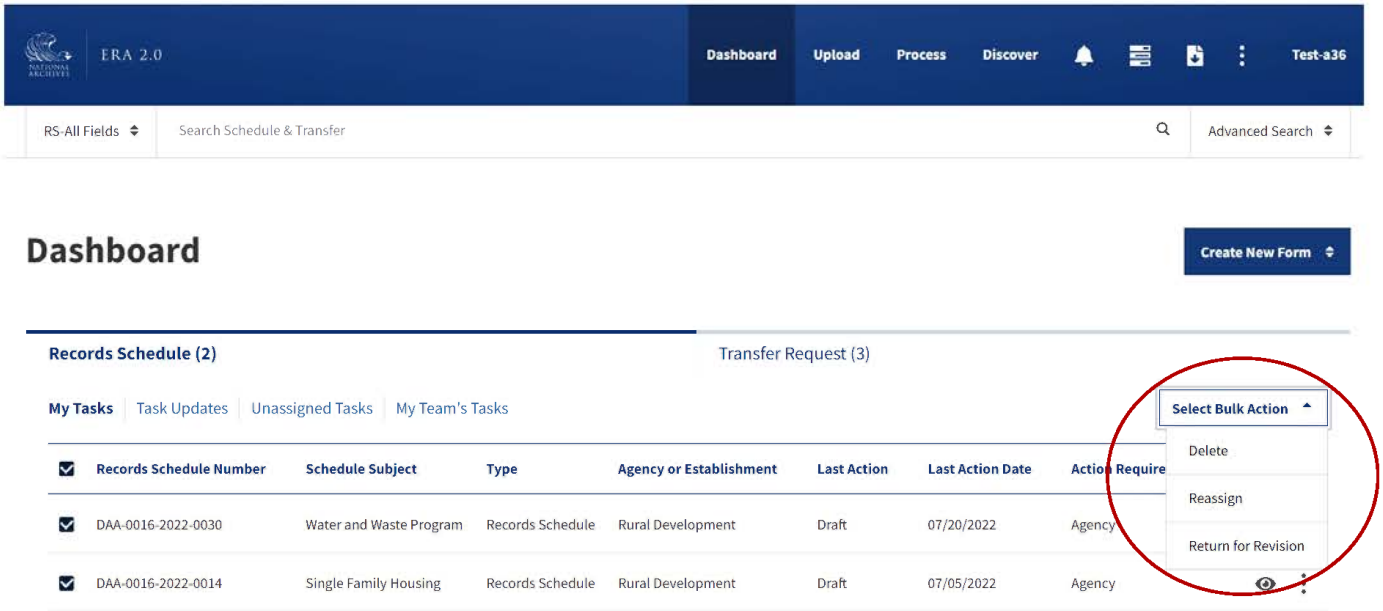
- **Comment** is optional and allows for additional context around the reassignment. *The character limit for this field is 500.*

Once the user confirms the reassignment, the system will send a **Notification** to the new assignee(s) that will include the comment provided and a direct link to the Records Schedule. The Schedule will appear under "My Tasks" on the new assignees **Dashboard**.

Bulk Reassign Records Schedules

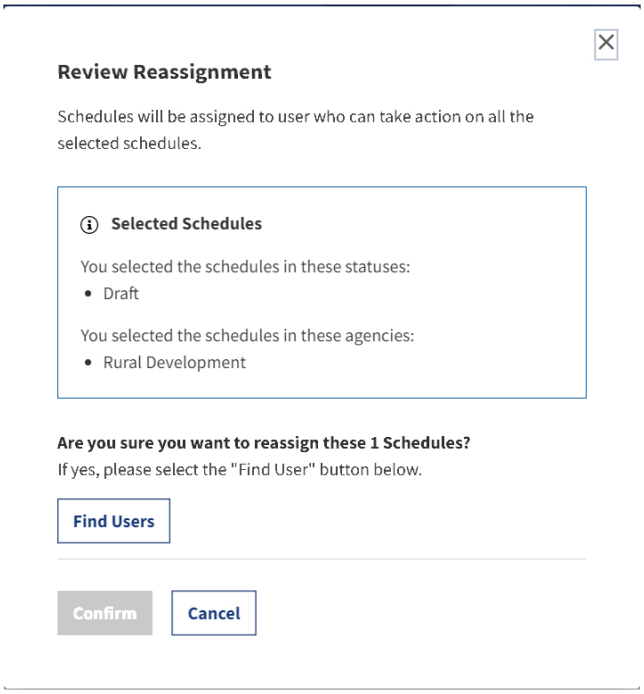
If there are multiple Records Schedules that need to be reassigned, they may all be reassigned at once using the "Select Bulk Action" drop-down on the **Dashboard**.

To reassign, select Records Schedules by checking the boxes to the left of the relevant Records Schedule Numbers. A "Select Bulk Action" menu should appear on the right side of the Dashboard.



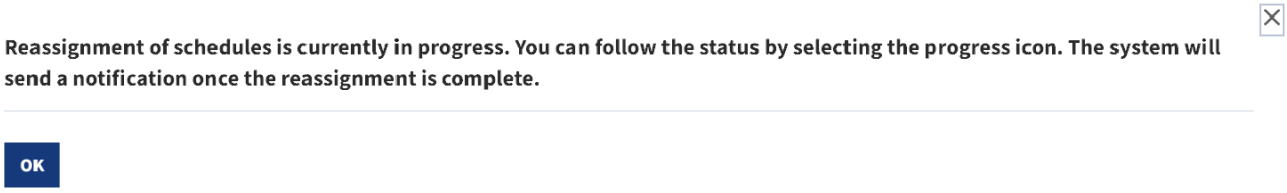
The figure above shows the Records Schedule tab of the Dashboard and the "Select Bulk Action" menu.

Choose "Reassign" and a pop-up will appear with reassignment options. The "Find Users" button will display a list of users to whom the Records Schedule may be assigned. Once a user is selected, the "Confirm" button will become available. "Cancel" will cancel the "Reassign" action.



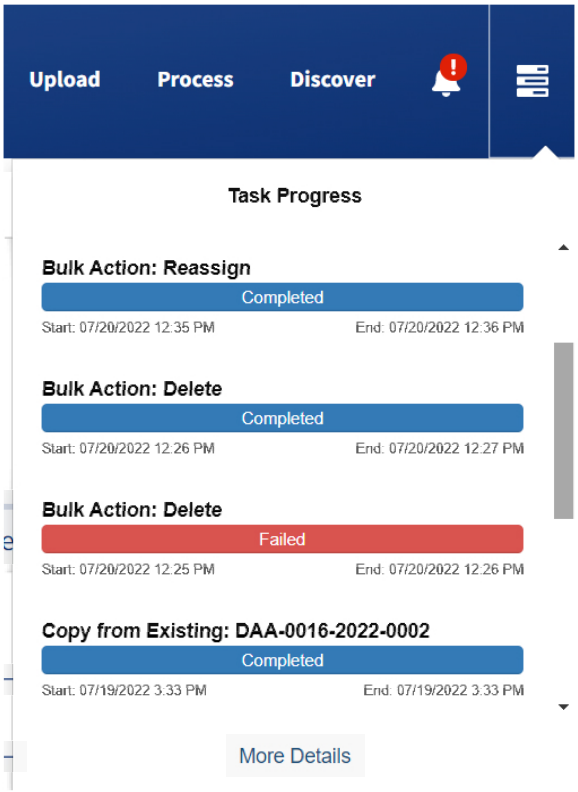
The figure above shows the "Review Reassignment" pop-up window.

After selecting "confirm," a pop-up message will appear.



The figure above shows the pop-up with information about the status of the "Reassign" action.

To monitor the status of the "Reassign" action, open the task menu. The most recent task should be first in the list.

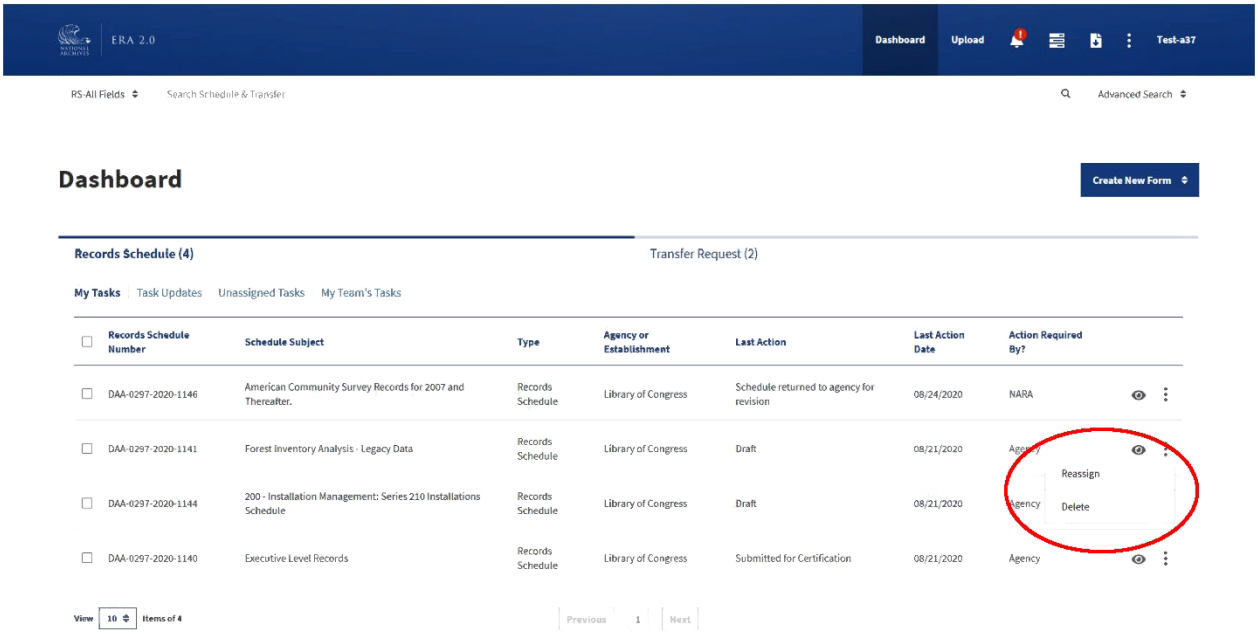


The figure above shows the Task Progress window with the "Reassign" Bulk Action at the top of the list.

Delete a Records Schedule

Users can only delete Records Schedules in "Draft "status. To delete a Schedule, users select the vertical ellipsis to the right of the Records Schedule on the **Dashboard**. Once the user selects **Delete** from the dropdown, a pop-up appears asking the user to confirm that they would like to delete the Schedule.

Once the user confirms, the Schedule is deleted and does not show on anyone's **Dashboard**.

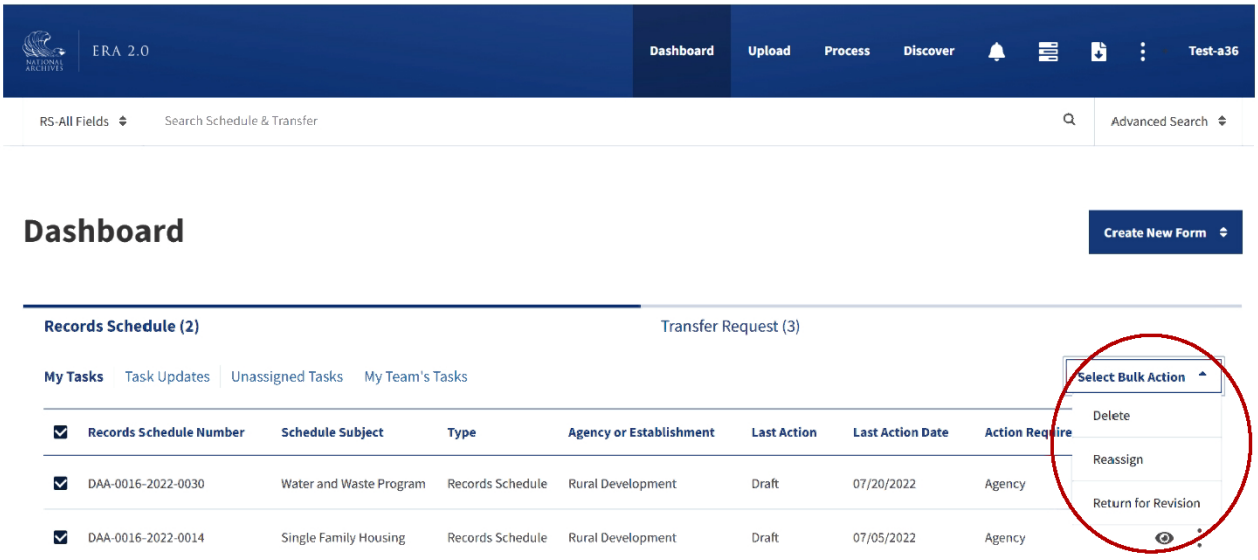


*The figure above shows the **Delete** option featured as a dropdown from the vertical ellipsis.*

Bulk Delete Records Schedules

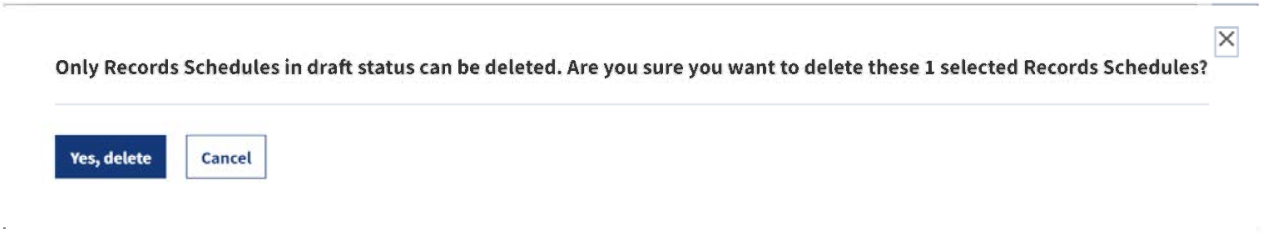
Users may also delete Records Schedules in bulk if all of the schedules are in Draft status. This action should be taken from the Records Schedule section of the **Dashboard**.

To delete, select Records Schedules by checking the boxes to the left of the relevant Records Schedule Numbers. A "Select Bulk Action" menu should appear.



The figure above shows the Records Schedule tab of the Dashboard and the "Select Bulk Action" menu.

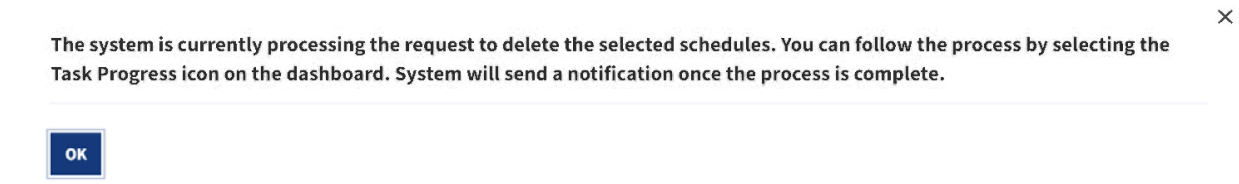
After selecting "Delete," a pop-up message will appear and ask for confirmation that the Records Schedule should be deleted.



The figure above shows the confirmation pop-up message.

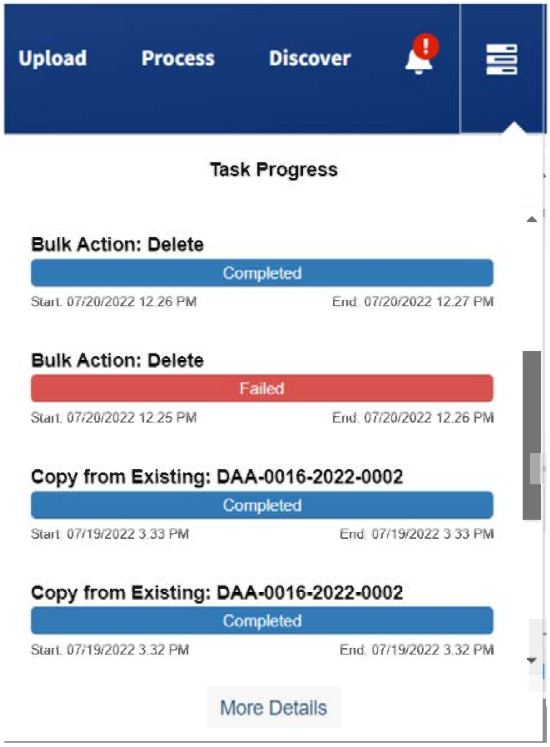
"Yes, delete" will delete the Records Schedule. If the user chooses "Cancel," the Records Schedule will not be deleted.

Once the user confirms that the Records Schedule should be deleted, a pop-up with information about the Delete action will appear.



The figure above shows the pop-up with information about the Delete action.

To monitor the status of the "Delete" action, open the task menu. The most recent task should be first in the list.

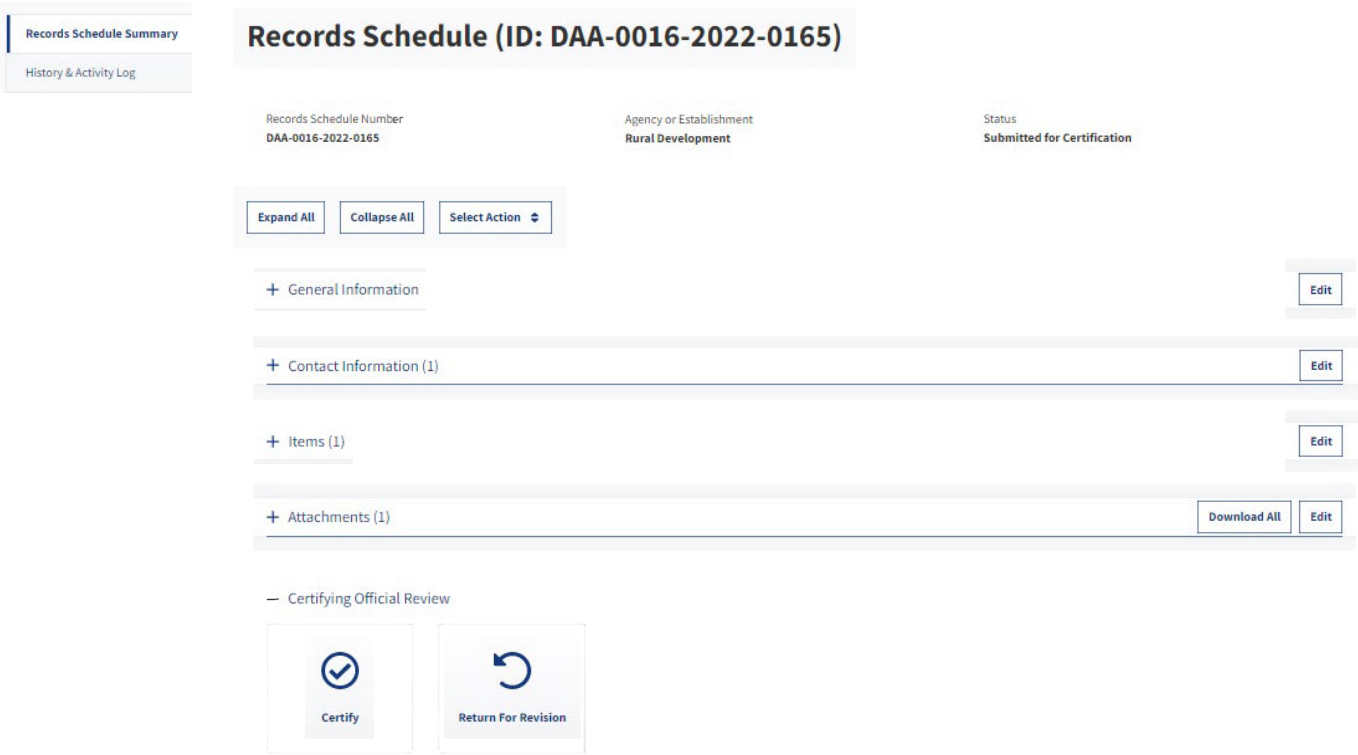


The figure above shows the Task Progress window with the "Delete" Bulk Action at the top of the list.

Certify a Records Schedule

Once the Records Schedule has been submitted for certification, it is routed to the Certifying Official(s) of the Agency. The Certifying Official will receive a **Notification** on the **Dashboard** that a Schedule has been submitted for certification. When users select the **Notification** icon on the **Dashboard**, they will open the **Notifications** page, which has the links to the Schedule and any relevant information from the assigner.

Note: *The Certifying Official can also access the Records Schedule from the "My Tasks" tab on the* ***Dashboard****. If an Agency chooses to have more than one user with the Certifying Official role, the Records Schedule will appear in the "Unassigned Tasks" tab of all Certifying Officials'* ***Dashboards****. From there, any Certifying Official in the Agency can go in the system and assign the Records Schedule to themselves, or another Certifying Official.*



The figure above shows the "Records Schedule Summary" tab for Certifying Officials performing a review.

The following are step-by-step directions for certifying the Records Schedule.

1. The Certifying Official must open the Schedule from the **Dashboard** by selecting the "eye" icon; the system will open the Records Schedule in a new browser tab.
2. The user will then review and edit the Records Schedule as necessary. Once reviewed, the user will select one of two options:
    - **Certify** routes the Records Schedule to NARA for review and approval.
    - **Return for Revision** routes the Schedule back to the person who submitted it for certification.

***Note**: In ERA 2.0 the Certifying Official can perform all the actions of a Records Scheduler and then take actions as a Certifying Official without having to assign the form to themselves. For instance, a Certifying Official can **Certify** a Records Schedule that the user created in "Draft" status. If the Certifying Official creates a Schedule, then on the "Preview and Submit" page they will see the option to **Certify** instead of **Submit for Certification**.*

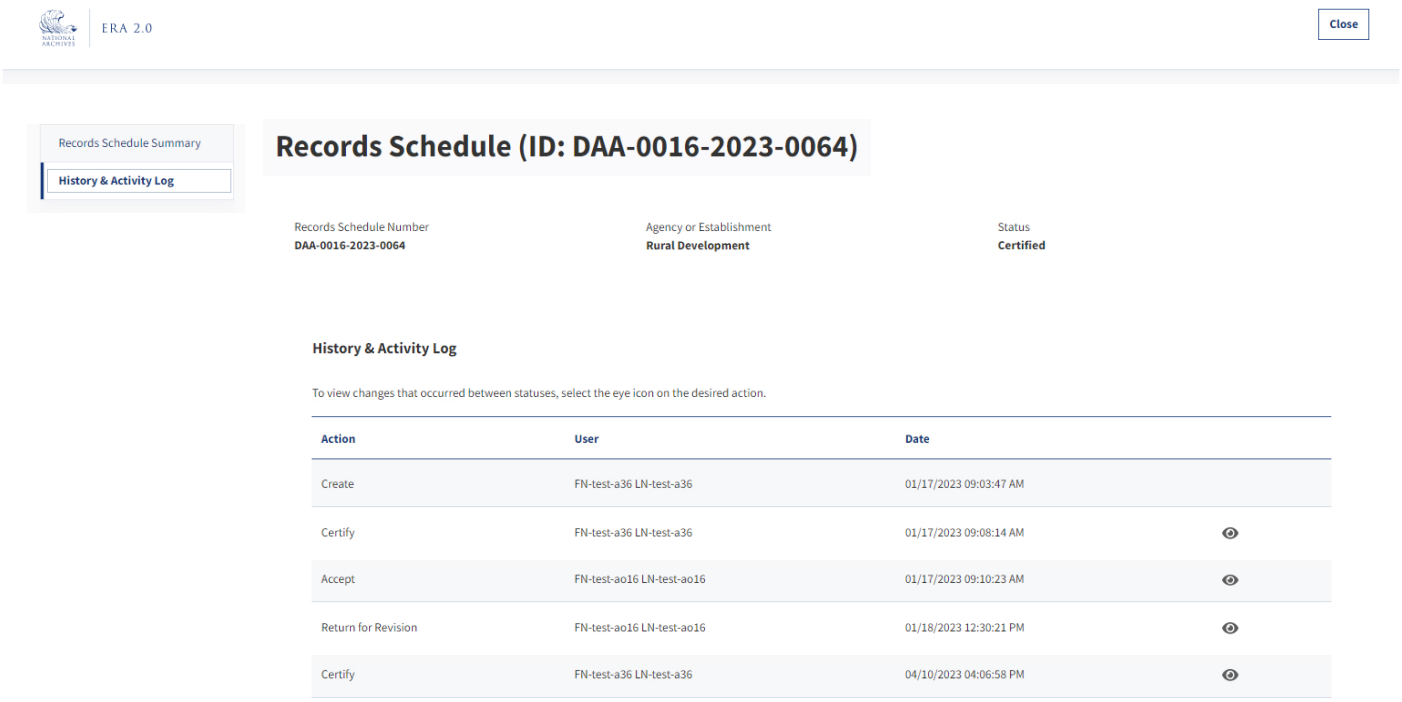
*Once the Certifying Official selects **Certify**, the Records Schedule is sent to NARA and is visible within the "Tasks Update" category on the Certifying Official's **Dashboard**.*

Review History & Activity Log Tab

The tab appears in the left navigation of the form only once the Records Schedule has been certified by the Agency's Certifying Official. It provides a comprehensive view of each milestone, or **Action** taken, on a given Records Schedule. In addition to viewing the list of **Actions**, users can access more detailed information regarding the specific milestones.

History & Activity Log Fields

There are three fields within the History & Activity Log page: **Action**, **User**, and **Date**. The **Action** field displays the milestone that was reached on the form; the **User** field displays by whom the **Action** was taken, and the **Date** displays the day, month, and year on which it occurred.



The figure above shows the "History & Activity Log" tab.

The following is a list of milestones along with their descriptions:

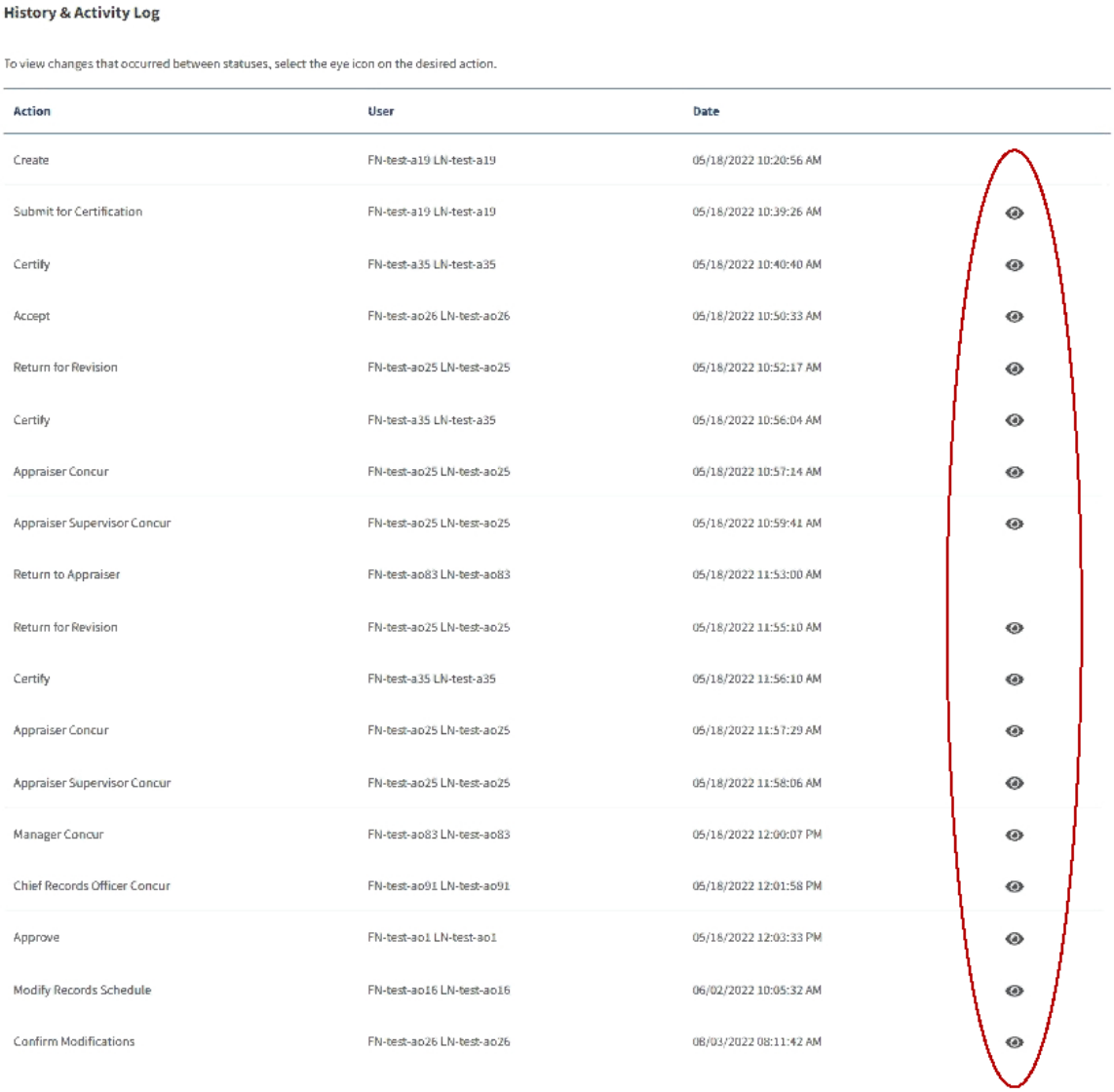
Milestone/ Action	Description
Create	Records Scheduler or Certifying Official creates Records Schedule.
Submit for Certification	Records Scheduler submits Records Schedule for certification.
Certify	Certifying Official certifies Records Schedule.
Accept	Appraiser accepts Records Schedule.
Return for Revision	User returns Records Schedule for revision.
Return Without Action	User rejects Records Schedule.
Federal Register Publication	Appraiser published the Records Schedule to the Federal Register.
Appraiser Concur	Appraiser concurred with the Records Schedule.
Return to Appraiser	User returned the Records Schedule to the Appraiser.
Appraiser Supervisor Concur	Appraiser Supervisor concurred with the Records Schedule.
Manager Concur	Manager concurred with the Records Schedule.
Chief Records Officer Concur	Chief Records Officer concurred with the Records Schedule.
Approve	The Archivist of the United States approved the Records Schedule.
Modify Records Schedule	A NARA user opened a Records Schedule in "Approved" status for modification
Confirm Modifications	A NARA modified a Records Schedule's data after initial approval.
Delete Modifications	A NARA user decided to cancel Records Schedule updates after initial approval.

The table above shows the possible milestones for a Records Schedule.

In addition to the list that is displayed on the “History & Activity Log” page, the system provides a detailed activity log of the changes that are made to a form. Users can access this log by selecting the “eye” icon to the right of the chosen **Action**.

Note: *Only the following* ***Actions*** *feature the “eye” icon option and additional details in the Activity Log:*

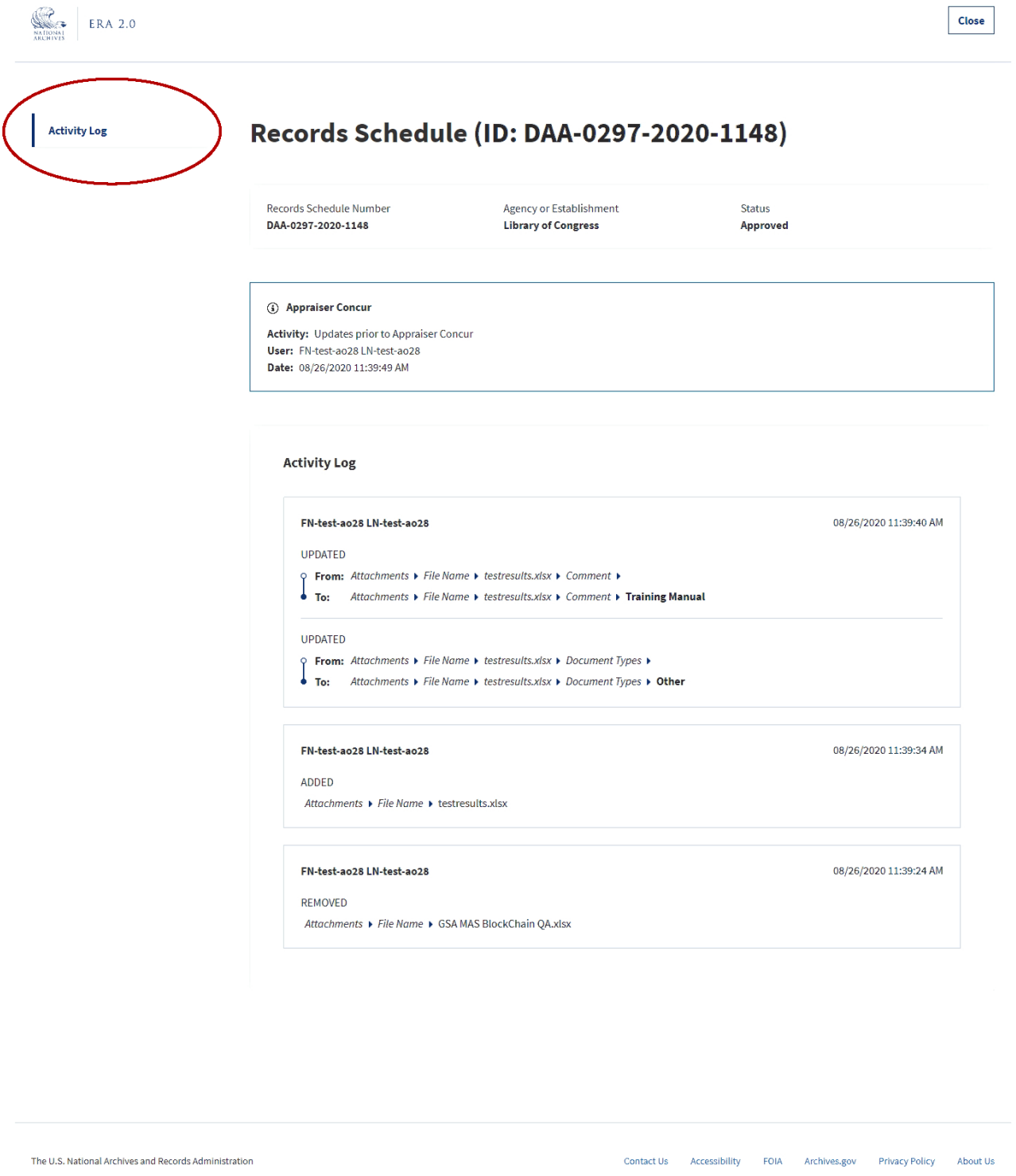
- *Submit for Certification*
- *Certify*
- *Accept*
- *Return for Revision*
- *Appraiser Concur*
- *Appraiser Supervisor Concur*
- *Manager Concur*
- *Chief Records Officer Concur*
- *Approve*
- *Modify Records Schedule*
- *Confirm Modifications*
- *Delete Modifications*



The figure above shows the "eye" icon on the "History & Activity Log" page.

Activity Log Tab

Once the user selects the "eye" icon next to a specific **Action**, a new browser appears with an "Activity Log" tab.

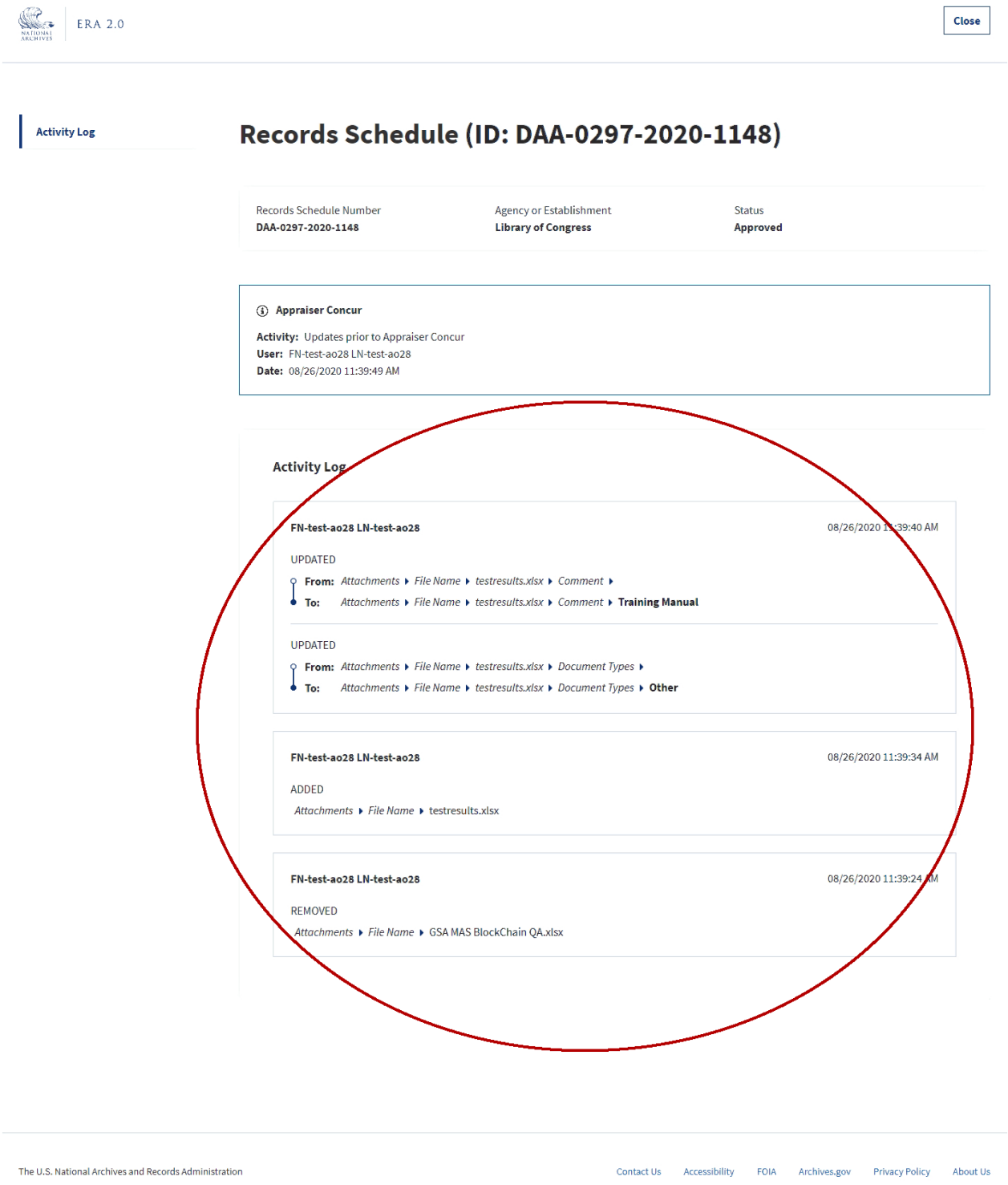


The figure above shows the "Activity Log" tab and page.

This tab contains a list of all updates to the form preceding the **Action** that the user selected (e.g. everything leading up to **Appraiser Concur**).

The following information outlines the sections and fields within the "Activity Log" tab:

- The first section orients the user by featuring the selected **Action** (e.g. **Appraiser Concur** in the figure above) and the following fields:
    - **Activity**: Always says “Updates prior to [selected milestone]”
    - **User**: Features the name of the user who updated the Records Schedule to the selected **Action** (e.g. the name of the Appraiser).
    - **Date**: Features the day, month, year, and time of the **Action** update.
- The **“**Activity Log” section features the list of activities that were completed.



The figure above shows the "Activity Log" section of the tab.

The following information outlines the fields within the "Activity Log" tab:

- In the top left corner, users will see the first and last name of the owner of a particular action. Below the name, users will see the description of a particular action categorized as one of the following:

    - **Added**: Applies when a value is added to a field for the first time, a new Items is created, or an Attachment is added.
    - **Updated:** Applies when the existing value of a field is updated.
    - **Removed:** Applies when an existing Item or Attachment is deleted.
- All changes are displayed in the following format: [Section] > [Field] > [Field Value]
- For fields that have been **Updated**, the following information is included:
    - **From:** Shows the original value.
    - **To:** Shows the new value, which is in bold.
- In the top right corner, users will see the date and time stamp for that particular action.

Note: *While changes in the General Information and Attachment sections follow the format mentioned above, changes that are made to Items are displayed as follows:*

[Section] > [Field] > [Item ID] > [Item Section] > [Item field] > [Field Value]

For example, updates to Items would appear as follows:

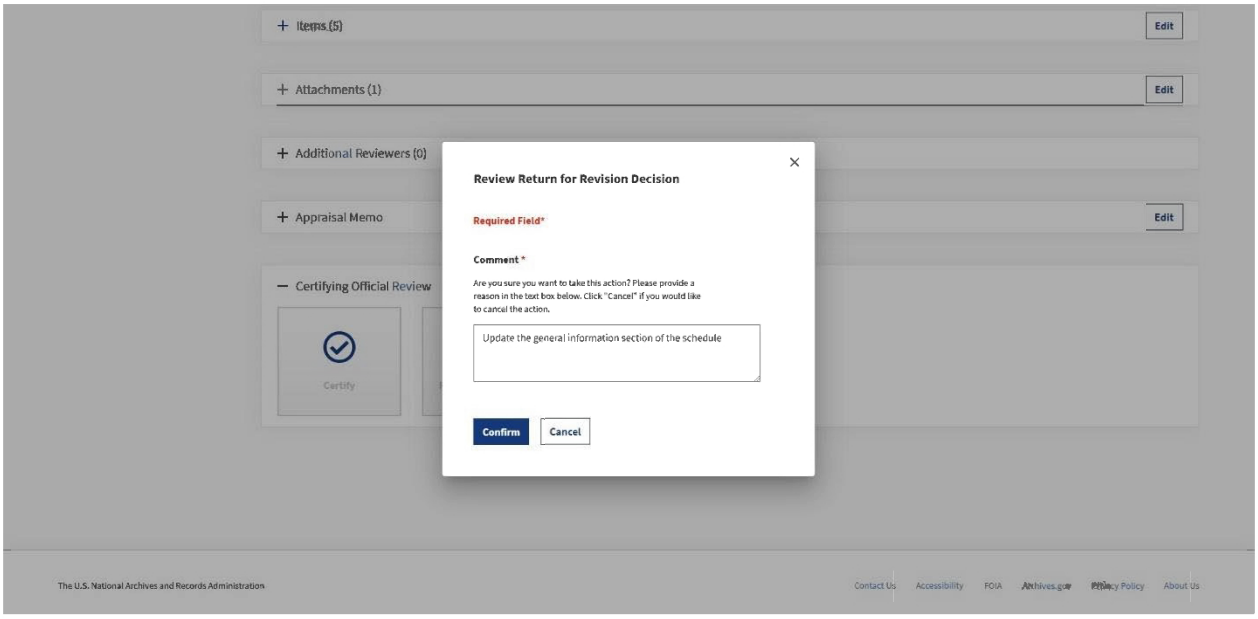
From: *Items > Item ID > DAA-0029-2020-0001-0008 > Item General Information > Item Description > ABC*

To: *Items > Item ID > DAA-0029-2020-0001-0008 > Item General Information > Item Description >* ***XYZ***

Return for Revision

Upon review of the Records Schedule submitted for certification, the Certifying Official can choose to **Return for Revision**. When the user selects this, a pop-up will appear, prompting the user to provide a reason for the return within the **Comment** field.

The Records Schedule, once confirmed, will then be routed back to the user who submitted it for certification. The system will send a **Notification** to the Records Scheduler who submitted the Records Schedule for certification. When the user selects the **Notification** icon on the **Dashboard**, the person will open the **Notifications** page, which has the links to the Schedule and any relevant information from the Certifying Official.



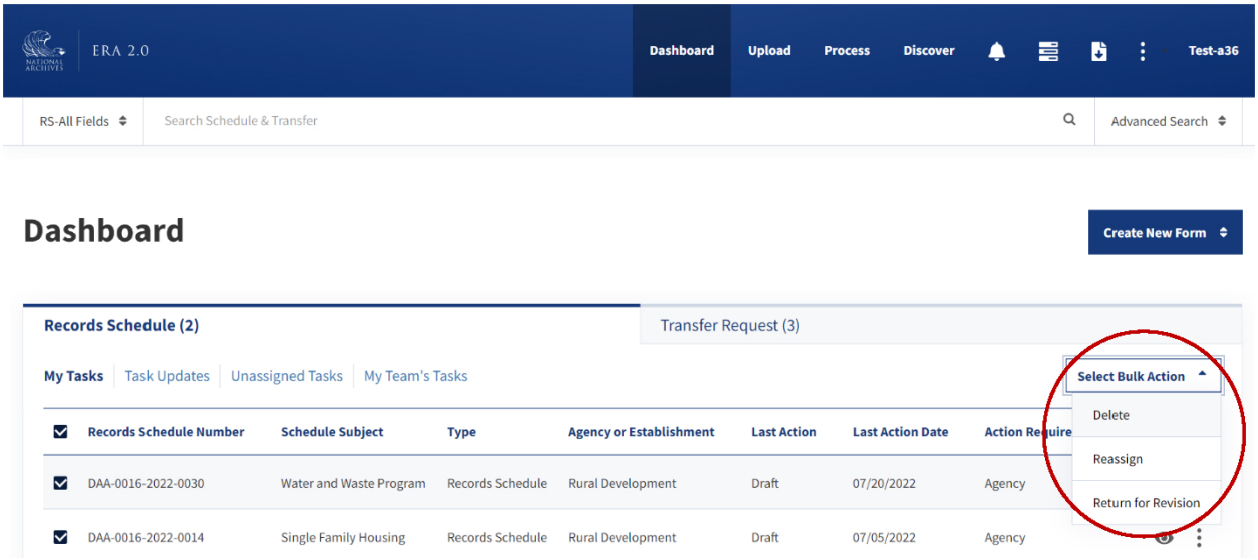
*The figure above shows the **Review Return for Revision Decision** pop-up.*

When a schedule in "Submitted for Certification" status is returned for revision, the status is updated to "Draft."

Bulk Return for Revision

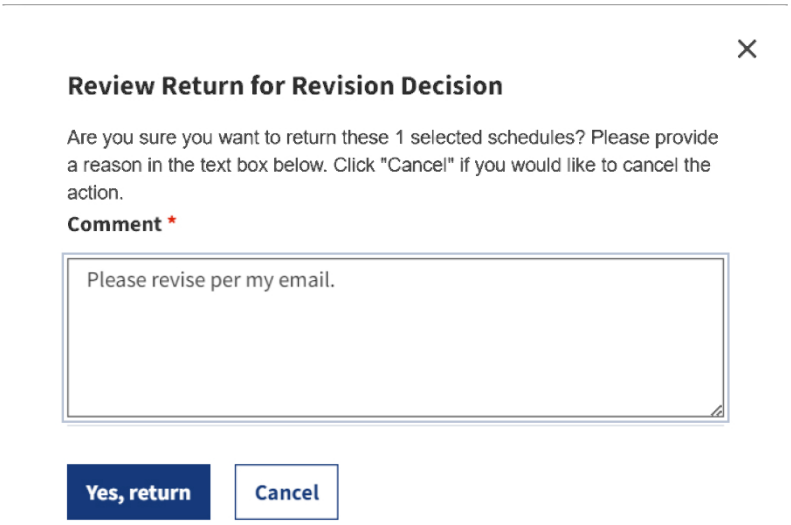
If there are multiple Records Schedules that need to be returned to the Records Scheduler for revision, the Certifying Official may use the "Select Bulk Action" menu on the **Dashboard**.

To return the schedules for revision, select Records Schedules by checking the boxes to the left of the relevant Records Schedule Numbers. A "Select Bulk Action" menu should appear.



The figure above shows the Records Schedule tab of the Dashboard and the "Select Bulk Action" menu.

A pop-up window asking for confirmation will appear. The Certifying Official must enter a comment before "Yes, return" becomes available. The action may be cancelled without adding a comment.

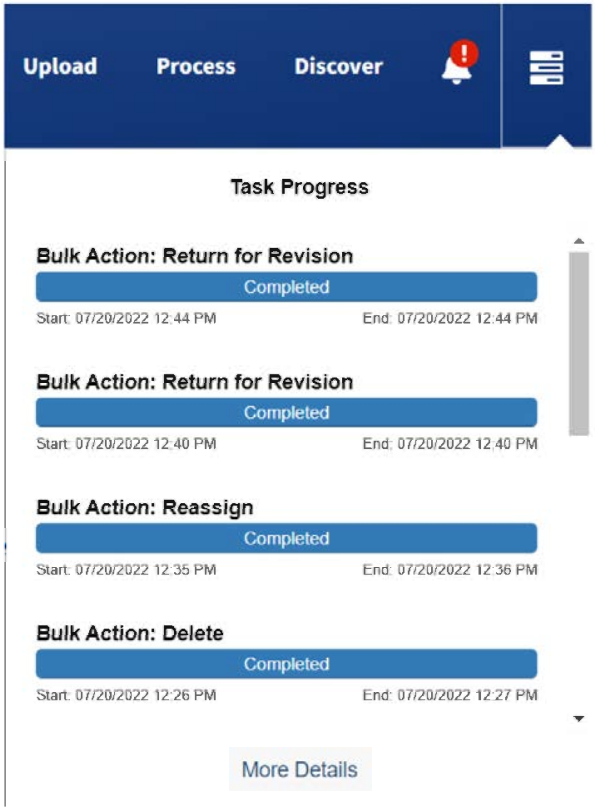


The figure above shows a confirmation pop-up window.

Once a comment has been entered and the Records Schedules have been returned for revision, another pop-up will appear.

The figure above shows a pop-up message with information about the Bulk Action task progress.

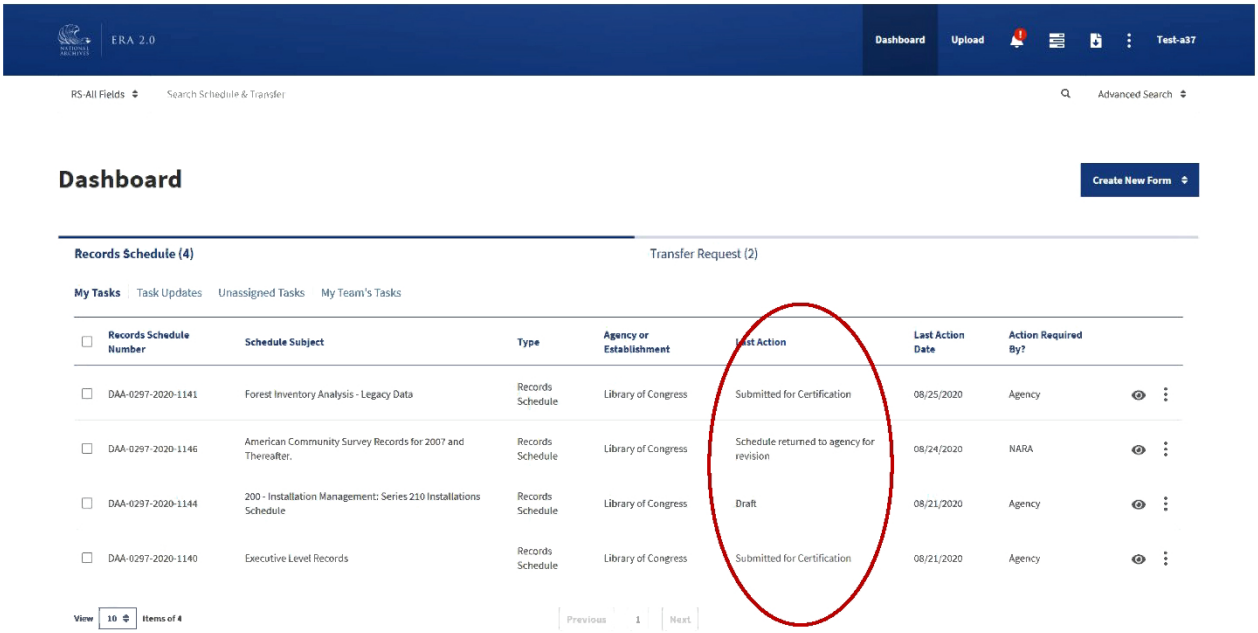
To monitor the status of the "Return for Revision" action, open the task menu. The most recent task should be first in the list.



The figure above shows the Task Progress window with the "Return for Revision" Bulk Action at the top of the list.

Tracking the Records Schedule

Once the Records Schedule has been certified by the Certifying Official, it will be sent to NARA for review and approval. Agency users can follow the progress of the Schedule by referencing the "Task Updates" category within their **Dashboard**. The "Last Action" column within the updates will indicate the most recent action taken by NARA.



*The figure above shows the "Last Action" column on the user's **Dashboard**.*

The following table outlines the actions that NARA users can take on the Schedule, and how those will appear under users' "Task Updates."

Action Taken by NARA	**"Last Action" Column**
Appraiser accepts the Records Schedule	"Accepted"
Appraiser selects one of the following actions from their dropdown menu: ● Agency contacted for appraisal visit appointment ● Appraisal meeting set ● Appraisal meeting held ● Agency sent questions to NARA ● NARA provided answers to agency questions ● NARA sent request for information to agency ● Agency provided information requested by NARA ● Schedule not being actively worked on. Work will resume on:	The action and date will appear as follows: [Selected Action]: [Selected date] e.g. "Appraisal meeting set: 08/05/2022"
Appraiser (or Appraiser Supervisor) returns the Schedule for revision	"Schedule returned to agency for revision"
Appraiser starts to draft the Appraisal Memo	"Appraiser drafting appraisal memo"
Appraiser Supervisor approves Appraisal Memo	"Appraisal memo approved"
Appraiser assigns additional internal reviews	"Schedule forwarded to other NARA unit(s) for review"

Appraiser or Appraiser Supervisor approves the Federal Register Document	"Federal Register publication process initiated"
Appraiser or Appraiser Supervisor provides the Federal Register Notice expiring date	"Published in the Federal Register. Notice expires [Selected expiration date]"
Appraiser or Appraiser Supervisor indicate that comments were received during the Federal Register process	"Adjudicating comments received during the Federal Register process"
Appraiser concurs with the Records Schedule	"Schedule submitted for NARA concurrences and approval"

*The table above shows actions taken by NARA users and the status that will appear under the **Last Action** column within the "Task Updates" category on users' **Dashboard**s.*

Returned For Revision by NARA

Similar to how the agency Certifying Official can return the Schedule for revision, the NARA Appraiser can do so once the Schedule has been certified if it has significant errors. If the Records Schedule has small errors, the Appraiser reviewing it will typically address the issues by communicating with the agency. However, if there are errors that cannot be addressed without significant agency input, NARA will return the Records Schedule back to the agency for revision.

When NARA returns the Records Schedule, the system sends a **Notification** to the agency's Certifying Official. The **Notification** includes a comment explaining the reason for the return. When this occurs, the Records Schedule's status is updated to "Returned for Revision;" it is assigned to the Certifying Official, and it will appear under the Certifying Official's "My Tasks" **Dashboard** category.

Once the Records Schedule is in "Returned for Revision" status, the Certifying Official has the option to certify the Schedule again after making the necessary updates, or the user can return the Schedule back to the Records Scheduler who initially submitted it for certification.

To certify the Schedule once more, the Certifying Official would open it from the **Dashboard** or the **Notifications** page and select the preferred option from the bottom of the "Records Schedule Summary" page.

Returned Without Action by NARA

When a Records Schedule that is sent to NARA for review does not meet acceptable standards or has an incorrect Agency or Record Group selected for it, NARA will select to **Return Without Action**.

When NARA returns the form without action, the system terminates the Records Schedule workflow and sends a **Notification** to the Agency's Certifying Official. The **Notification** includes a comment explaining the reason for the return. When this occurs, the Records Schedule's status is updated to "Returned Without Action."

***Note:** When the Records Schedule is in "Returned Without Action" status, the user needs to start over with the Schedule by creating a new Records Schedule.*

Approved by NARA

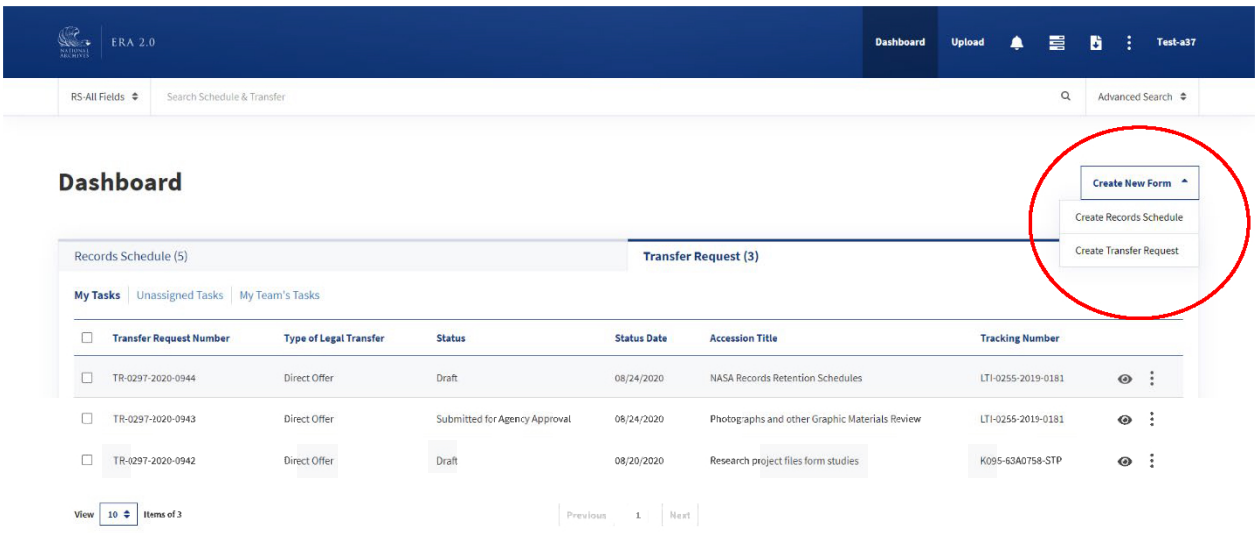
Once a Records Schedule has been sent to NARA for review, and all necessary reviews have been completed, the Archivist of the United States will approve the Records Schedule. When the Records Schedule is approved, its status is updated to "Approved," and the system sends the Agency's Certifying

Official a **Notification** informing them of the approval. At approval, the Records Schedule is removed from all users' "Task Updates" **Dashboard** category.

Part V: How to Transfer Records in ERA 2.0

Create a Transfer Request

End users with the roles of Transferring Official or Approving Official may create a Transfer Request in the ERA 2.0 system. See the "Roles, Responsibilities, and Capabilities" section for Transfer Requests in Part II of this manual.



*The figure above shows the "Create New Form" button and the "Create Transfer Request" option from the dropdown menu on the **Dashboard**.*

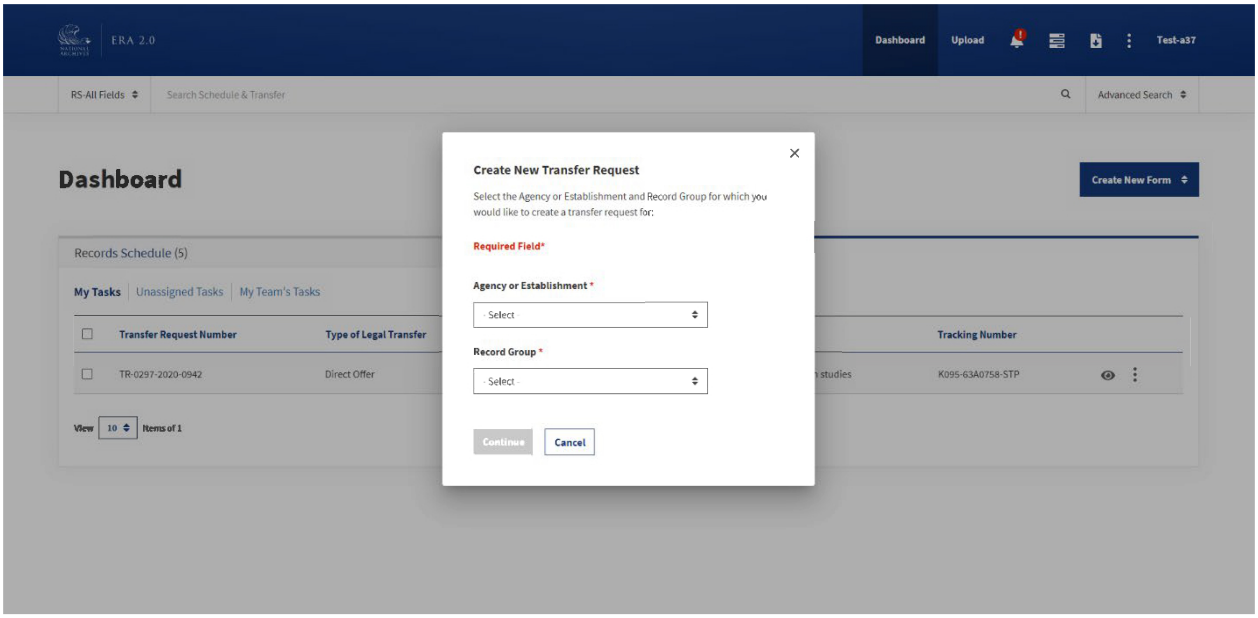
When Transferring Officials or Approving Officials log in, they will land on the **Dashboard** and have the option to **Create New Form**. They can then select **Create Transfer Request** from that dropdown menu.

Create New Transfer Request Pop-up:

Once the user selects "Create Transfer Request" from the **Dashboard**, a pop-up will open and prompt the user to select values for the following fields:

- **Agency or Establishment** features a dropdown menu with a list of auto-populated options based on the user's profile. *If users do not have access to the correct Agency or Establishment, they should contact their Account Manager to start the process of having the value(s) added to their profile.*

- **Record Group** features a dropdown menu with a list of the auto-populated **Record Groups** within the selected Agency or Establishment. A **Record Group** is a numeric code used by NARA to uniquely identify an Agency. *If users do not have access to the correct Record Group, they should contact their Account Manager to start the process of having the value(s) added to their profile.*



*The figure above shows the **Create New Transfer Request** pop-up.*

Once users have provided inputs for the required fields, they can select **Continue**, and the system will create a draft Transfer Request in a new browser tab.

Transfer Request Form

The following sections explore the information within the Transfer Request form in ERA 2.0, including the five navigation tabs and the individual fields within them. If users do not have the required information to complete the Transfer Request, they should contact their supervisor.

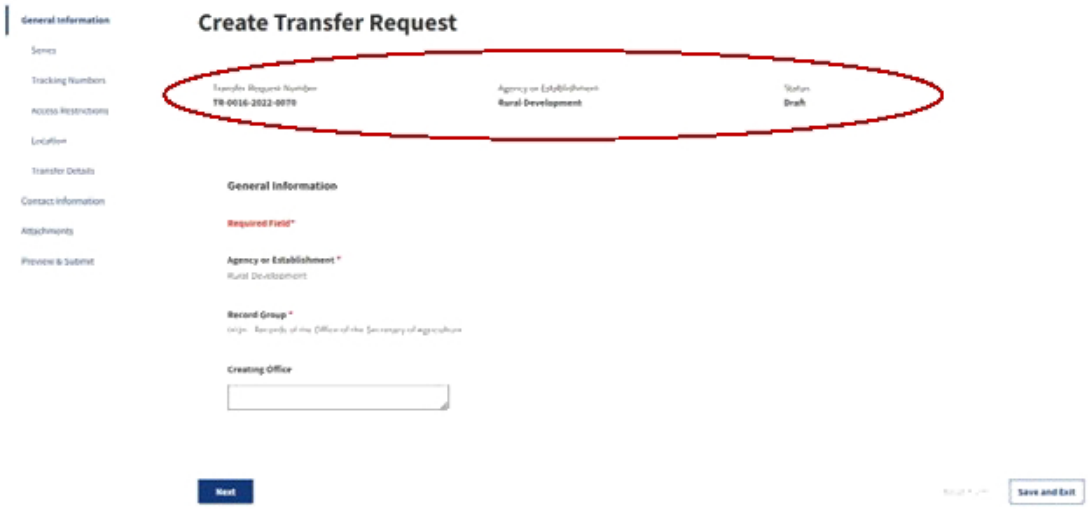
Transfer Request Header

When the draft Transfer Request is open in a new browser tab (i.e. once the user has completed the "Create New Transfer Request" pop-up), the user will see a header at the top of the form with the **Transfer Request Number**, the **Agency or Establishment**, and the **Status**, all of which are system-generated.

The **Status** of the Transfer Request is automated and updated as it progresses in the workflow. The status options are:

- **Draft**
- **Submitted for Agency Approval**
- **Proposed**
- **Returned**
- **Rejected**
- **Approved**
- **Physical Custody Accepted** (if Pre-Accession)
- **Physical Custody Rejected** (if Pre-Accession)
- **Custody Accepted**
- **Custody Rejected**

The **Transfer Request Number** and the **Agency or Establishment** fields remain the same throughout the entire workflow.



The figure above shows the header for the Transfer Request form.

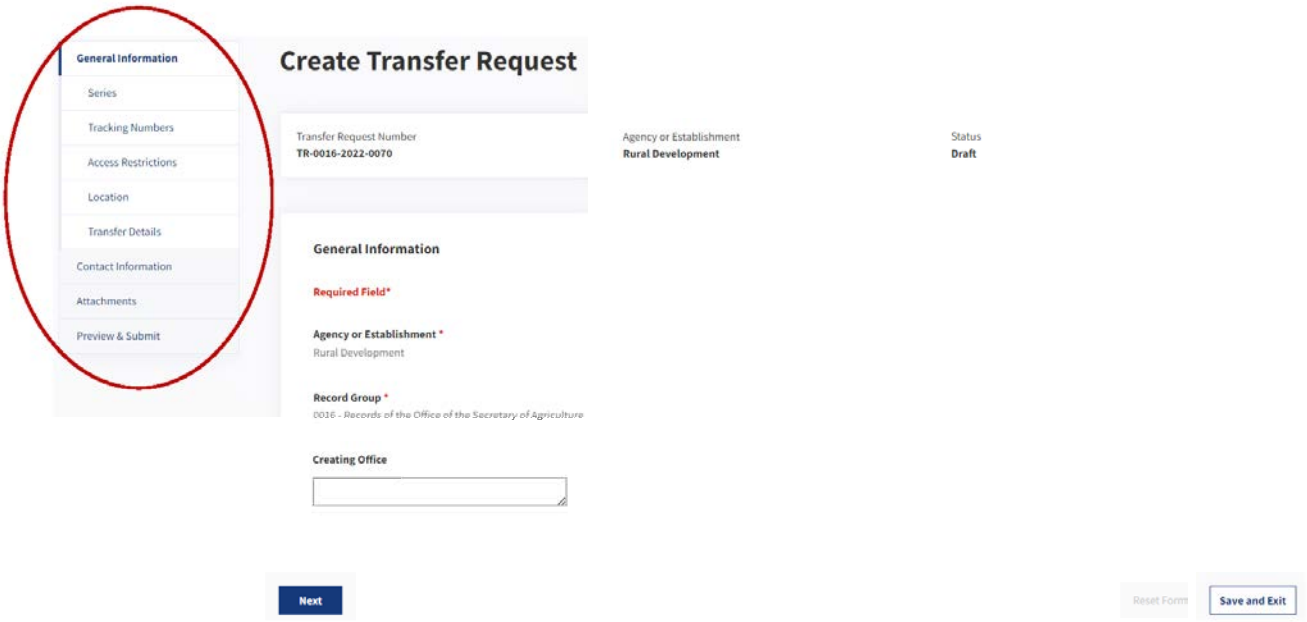
Navigation Buttons

Along with the header, each page has the following options for navigating to and from the tabs within the Transfer Request form:

- **Previous** saves all content and navigates to the tab directly above the current one. *This is not available for the "General Information" page as it is the first tab option.*
- **Next** saves all content and navigates to the tab directly below the current one. *This is not available on the "Preview & Submit" page as it is the last tab option.*
- **Save and Exit** saves the data and closes the form. The user navigates back to the **Dashboard**.
- **Reset form** clears the data from the current tab. If there was previously saved information, choosing this option will clear the current input and revert the form to its previously saved state.

General Information Tab

This tab contains contextual information relating to the Transfer Request. There are also tabs nested under the General Information tab: "Series," "Tracking Numbers," "Access Restrictions," "Location," and "Transfer Details."



The figure above displays the "General Information" tab, and the sub-series of tabs under it, for the Transfer Request form.

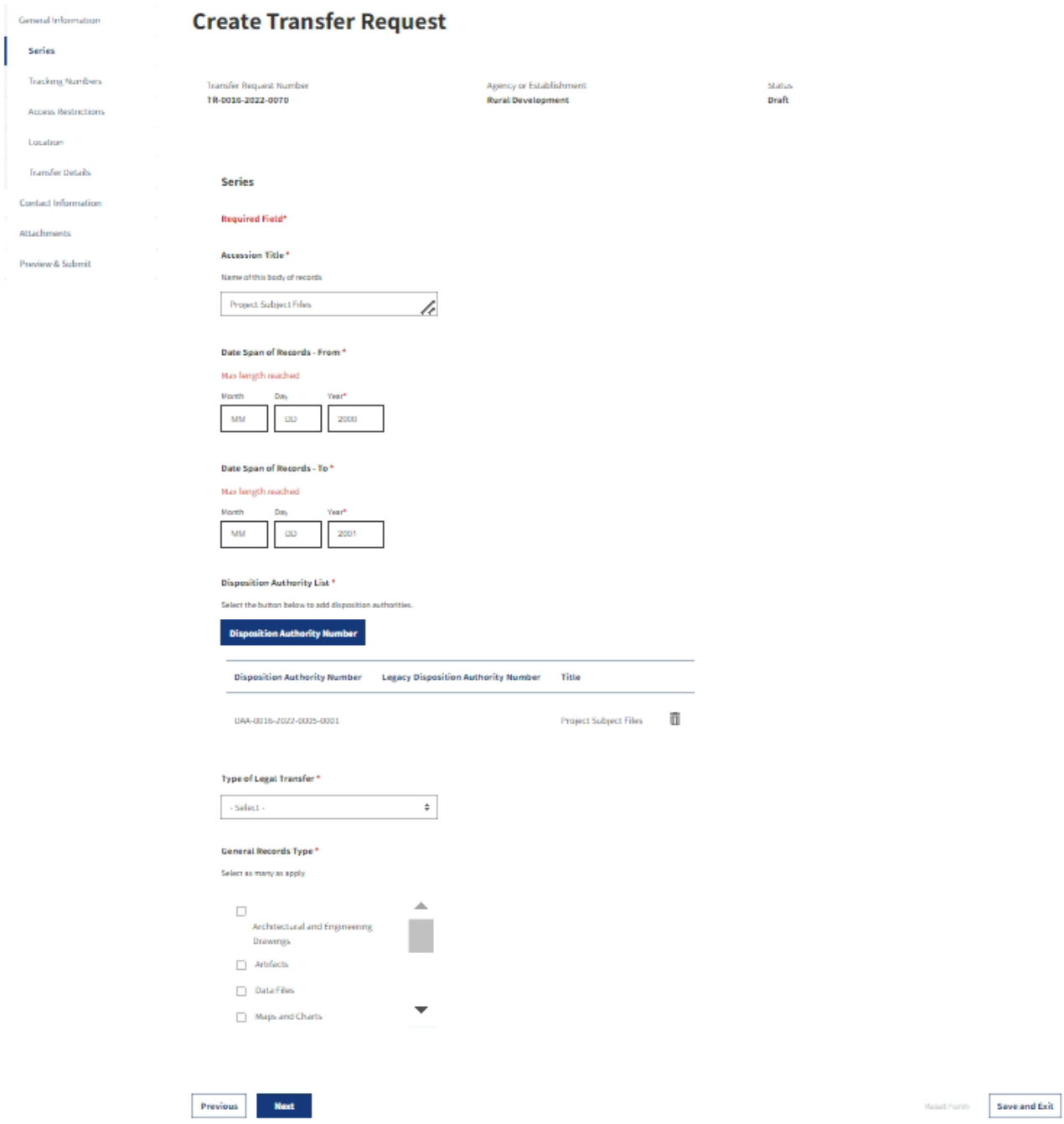
General Information Fields

The following information shows the default fields within the General Information tab. *Each text field has character limits.*

- **Agency or Establishment** is auto-populated in the system based on the user's original input in the **Create New Transfer Request** pop-up. To change this, the user must create a new Transfer Request form.
- **Record Group** is also auto-populated in the system based on the user's original input in the **Create New Transfer Request** pop-up. To change this, the user must create a new Transfer Request form.
- **Creating Office** is optional and allows users to provide additional context and enter the office which with they are associated. *The character limit for this field is 500.*

Series Tab

A single Transfer Request can reference multiple Records Schedule Items. This tab allows users to provide details about the body of records that are expected to be transferred to NARA.



The figure above shows the "Series" tab under the General Information tab of the Transfer Request form.

Series Fields

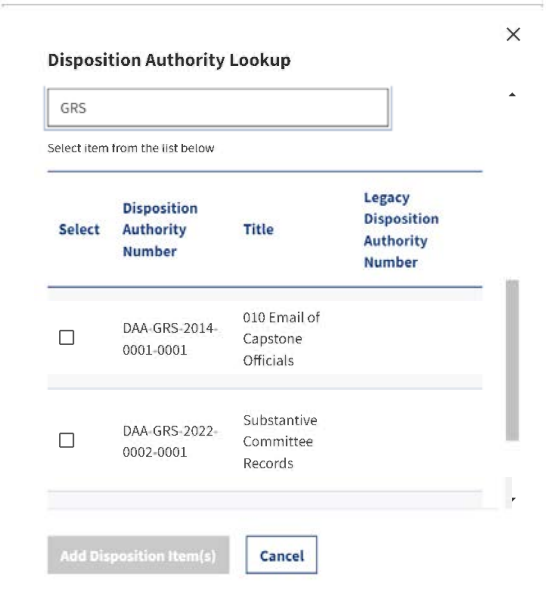
The following information shows the default fields within this tab.

- **Accession Title** prompts users to provide a brief name of this body of records. *The character limit for this field is 10,000.*
- **Date Span of Records - From** prompts users to select the beginning date on which the record group, collection, or series was created, maintained, or accumulated by the creator.

- **Date Span of Records - To** prompts users to select the last date on which the record group, collection, or series was created, maintained, or accumulated by the creator.
- **Disposition Authority List** lets users select the **Disposition Authority Number** button, which opens a new pop-up. This pop-up enables users to search and add one or more permanent active Records Schedule Item(s) to the Transfer Request. The following steps outline how to add a permanent active Item to the Transfer Request:
    - Select the **Disposition Authority Number** button.
    - Select the Item(s) from the list that will be linked to the Transfer Request.
      ***Note**: The pop-up presents all permanent disposition authorities. If the user wants to see only disposition authorities associated to their Agency/Record Group, the user can select the available Agency/Agencies or Record Group(s) in the pop-up. These are pre-populated based on the user's profile.*
- **Type of Legal Transfer** allows the user to choose from a dropdown list of three options:
    - **Annual FRC Move** refers to records that are currently stored at a Federal Records Center (FRC) and are a part of the Annual Move.
    - **Direct Offer** refers to transfers initiated by agencies outside the Annual Move process.
    - **Pre-Accession** refers to electronic records that are approved for legal transfer at a future date.
        - Sub-field for **Pre-Accession**: **Date Eligible for Legal Custody** prompts the user to select the date that NARA can take legal custody. It must be at the current or a later date.
- **General Records Type** prompts users to select from a list of options for the type of records being transferred, such as photographs, textual records, maps, etc. Users have the option to select more than one records type.

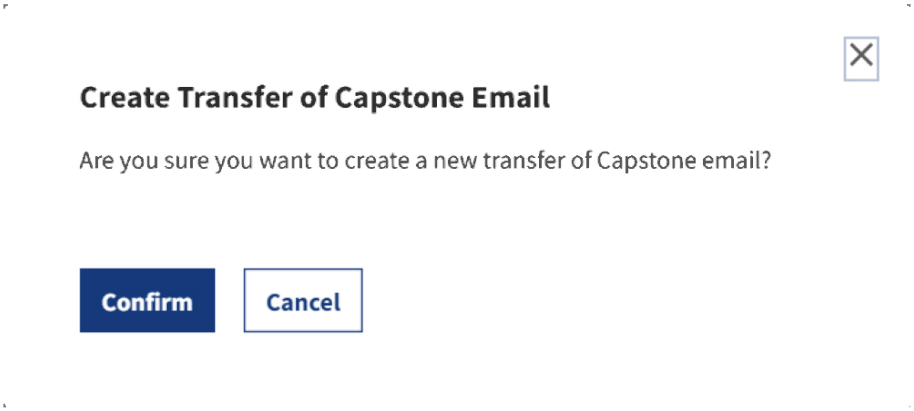
Creating a Transfer of Records of Capstone Officials

To create a Transfer Request for records of Capstone Officials, select "DAA-GRS-2014-0001-0001" from the Disposition Authority List on the Series Tab.



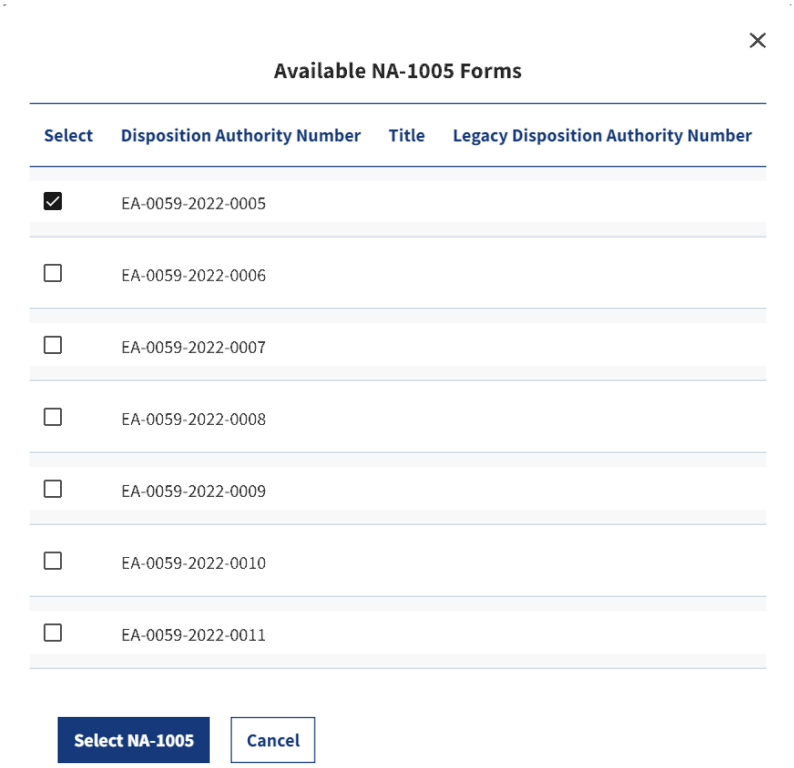
The figure above shows the Disposition Authority Lookup window, filtered to show schedules with "GRS" in the Disposition Authority Number.

After checking the 'Select' box, the "Add Disposition Items" button will become available. When it is clicked, a confirmation modal will open.



The figure above shows the confirmation modal for Transfer of Capstone Email.

Once the transfer has been confirmed, the next pop-up modal will show a list of available NA-1005 forms.



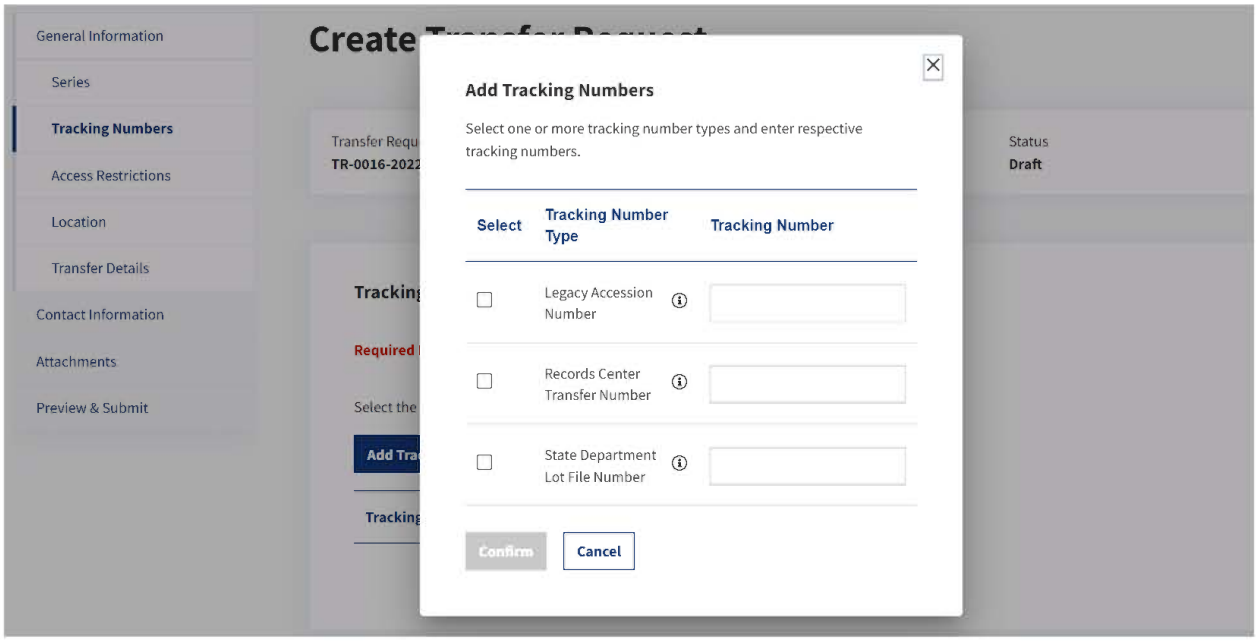
The figure above shows the pop-up modal containing a list of NA-1005 forms.

Choose a form by clicking a 'Select' box, then choose "Select NA-1005." The relevant form will appear on the Series page.

The figure above shows the selected Disposition Authority, DAA-GRS-2014-0001-0001, and the selected NA-1005 form.

Tracking Numbers Tab

This tab contains the records tracking information. This information is typically provided when records are held by certain types of facilities.



*The figure above shows the **Add Tracking Numbers** pop-up within the "Tracking Numbers" tab of the Transfer Request form.*

Tracking Numbers Fields

The default view of this tab contains only one button, **Add Tracking Numbers**.

Once a user selects this button, a new pop-up opens with three options for **Tracking Number Type**:

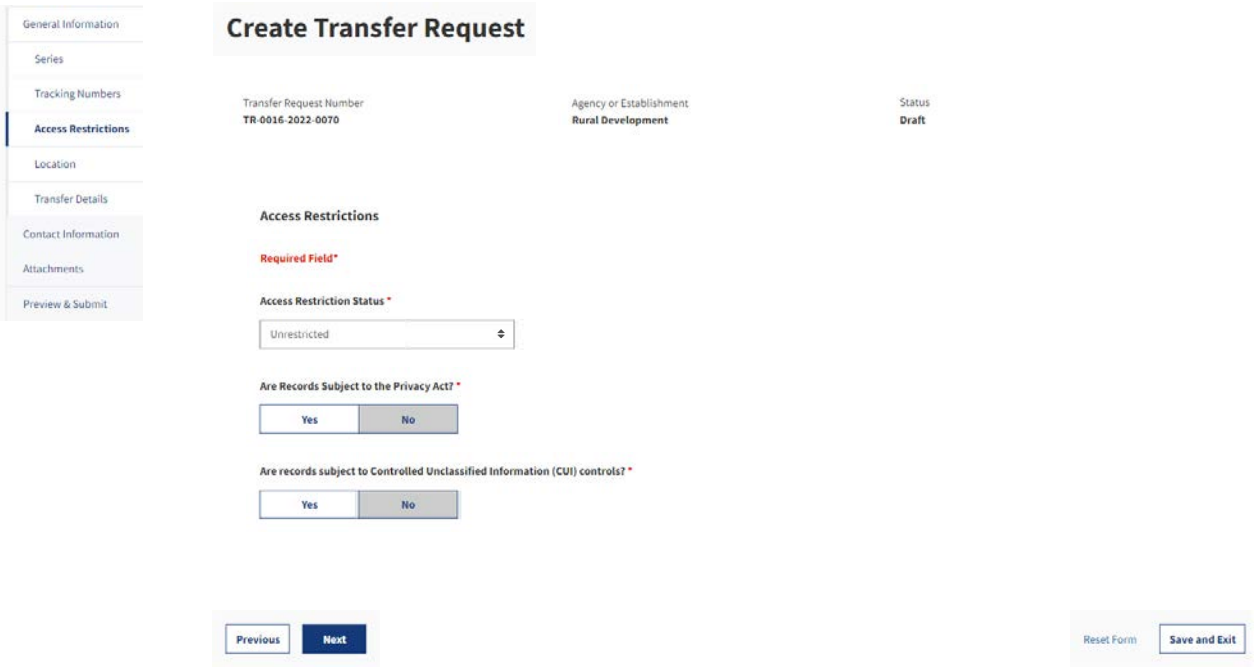
- **Legacy Accession Number** is for NARA use only.
- **Records Center Transfer Number** refers to the tracking number for the FRC transfer.

- **State Department Lot File Number** refers to the Agency-created internal tracking number.

Once a user has selected the check box next to the **Tracking Number Type**, the user is required to provide a Tracking Number. *The character limit for this field is 310.* Users can provide one Tracking Number of the same type at a time.

Access Restrictions Tab

This tab allows the user to provide information relating to the restrictions for the records within the Transfer Request, such as security-classification or Freedom of Information Act (FOIA) exemptions.



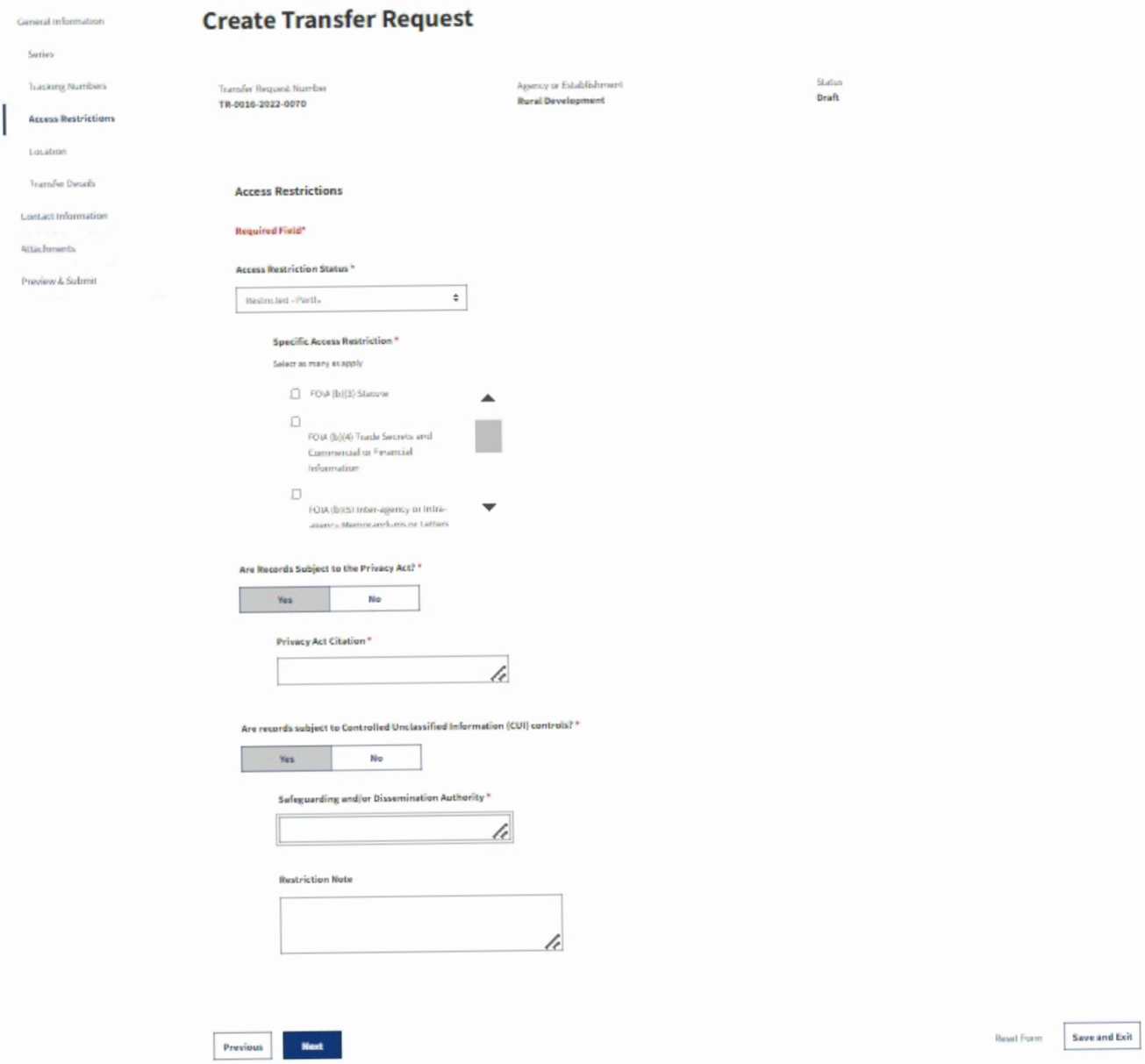
The figure above shows the "Access Restrictions" tab under the General Information tab of the Transfer Request form.

Access Restrictions Fields

The following information outlines the default fields within this tab:

- **Access Restrictions Status** indicates the level of restrictions and prompts users to select from the following dropdown menu:
    - **Unrestricted** indicates that the records are fully available for public release.
    - **Restricted-Fully** indicates that the records are fully restricted.
    - **Restricted-Partly** indicates that some of the records are restricted.
- **Are Records Subject to the Privacy Act?** prompts users to select **Yes** or **No**.
    - If users select **Yes**, they are indicating that a System of Record Notice (SORN) has been published in the Federal Register for this series. The user will need to enter the specific Privacy Act Citation. *The character limit for this field is 100.*
- **Are records subject to Controlled Unclassified Information (CUI) controls?** prompts users to select **Yes** or **No**.

- If users select **Yes**, they are indicating that this series includes records with markings included in the ISOO Controlled Unclassified Information (CUI) registry. The user will need to enter the **Safeguarding and/or Dissemination Authority** office or department. *The character limit for this field is 100.*



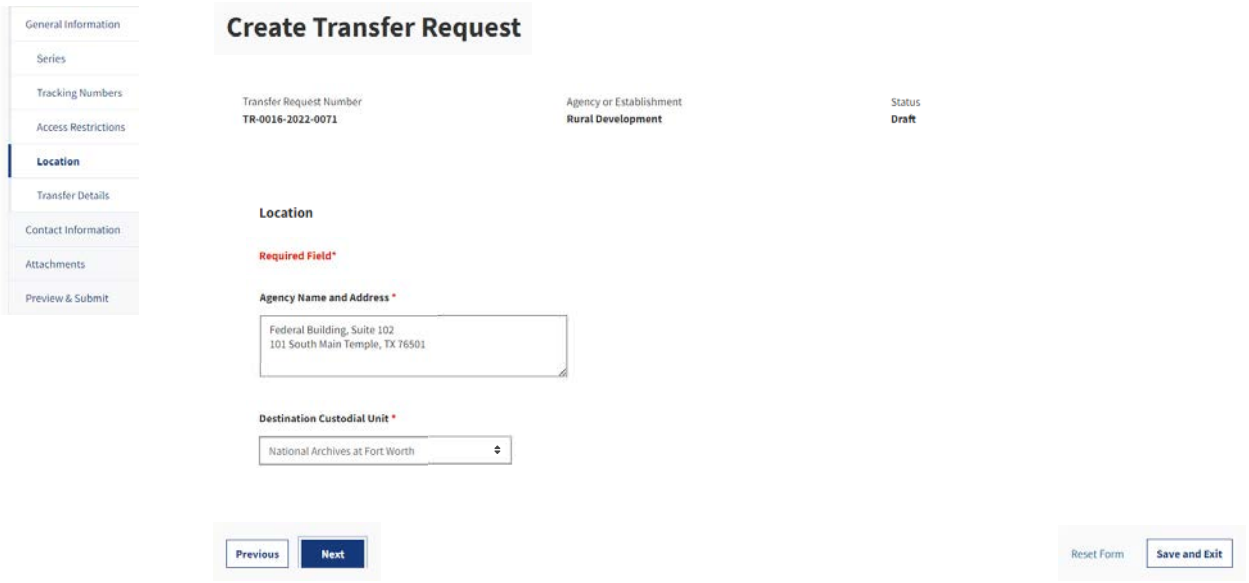
The figure above shows the sub-fields for a Transfer Request with partly restricted Items, within the "Access Restrictions" tab.

If users select **Restricted-Partly** or **Restricted-Fully** from the **Access Restrictions Status** dropdown menu, they will see additional sub-fields appear on the page. The following information outlines all possible sub-fields for these options:

- **Specific Access Restriction** prompts the user to select from a fixed list of FOIA exemptions.
- **Statutory Citation** refers to the citation for the specific statute that restricts access to archival materials. This becomes available when the user has selected the FOIA (b)(3) Statute from the above "Specific Access Restriction" list.
- **Security Classification** refers to classification of the records within the Transfer Request (e.g. Confidential, Secret, and Top Secret, etc.) It becomes available when a Specific Access Restriction, such as FOIA (b)(1) National Security, is selected that is related to a Security Classification. *ERA 2.0 can only be used to transfer unclassified electronic records.*
- **Special Markings** is optional and indicates a restriction or special handling requirements, such as NATO, Sensitive Compartmented Information (SCI), Special Access Program (SAP), and Other. It becomes available when users enter FOIA (b)(1) National Security as a Specific Access Restriction.
- **Restriction Note** is optional and allows users to enter contextual information about the access restriction. *The character limit for this field is 2,000.* It becomes a required field if the user selects "Other" in **Specific Access Restriction**.

Location tab

This section describes the physical address for the building where the records are currently being stored.



The figure above shows the "Location" tab under the General Information tab of the Transfer Request form.

Location Fields

The following information outlines the default fields within this tab:

- **Agency Name and Address** prompts users to provide the name and address of the facility holding the records. *The character limit for this field is 500. This field is available when **Direct Offer** or **Pre-Accession** is selected for the **Type of Legal Transfer** field.*
- **Destination Custodial Unit** prompts users to select from a dropdown menu of specific NARA custodial units to which the records will go.

- **Current Federal Records Center** prompts users to provide the Federal Records Center where the Annual FRC Move records are currently stored. *This field is available when **Annual Move** is selected for the **Type of Legal Transfer** field.*

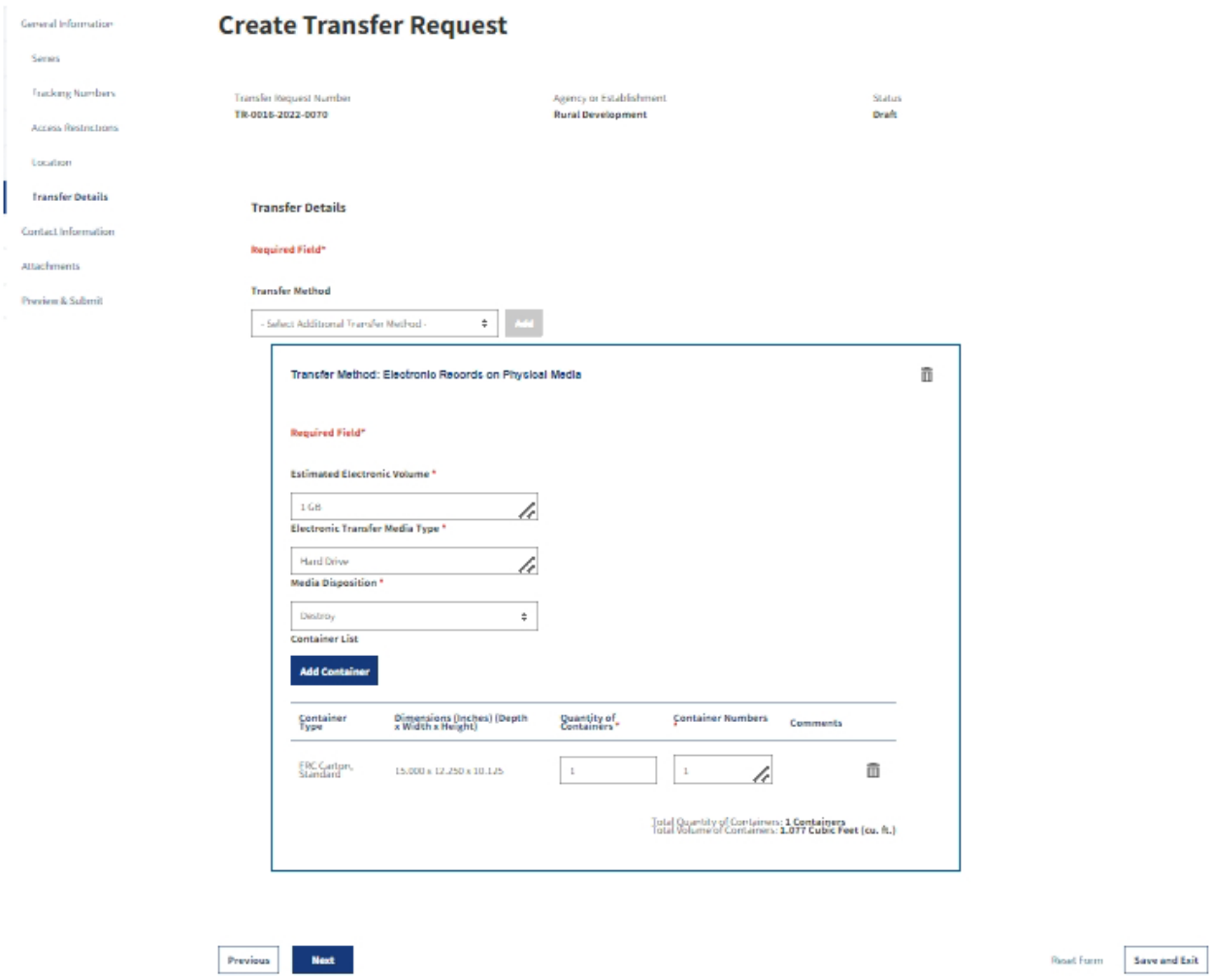
Transfer Details Tab

This tab provides details about how the records will be transferred to NARA, the volume of the records, the type of media, and the number and type of containers in which the records are packaged.

Transfer Details Fields

The following information outlines the default fields within this tab:

- **Transfer Method** prompts users to choose from a dropdown menu with three options:
  - **Electronic Records on Physical Media** indicates that the records are stored on physical media (e.g. CD-ROM) for transfer to NARA. If users select this option, the following sub-fields are displayed:
    - **Estimated Electronic Volume (in MB, GB, TB)** is for the estimated volume for the records described in this Transfer Request. This field is free text to give Agencies flexibility in describing the volume of records to be transferred. *The character limit for this field is 100.*
    - **Electronic Transfer Media** Type is for the type of physical storage device on which the electronic records will be transferred, for example, CD / DVD, hard drives, or computer tape. *The character limit for this field is 100.*
    - **Media Disposition** indicates the preference for what happens to the original physical storage device after the records are accepted into the legal custody of the National Archives.
    - **Container Type** indicates the type of box in which the records will be transferred. Most container types will automatically include the container's dimensions, but the "Other" container type will require user-entered depth, width, and height measurements. "Other" also requires a description of the container type in the "Comments" field.
  - **Electronic Records by Electronic Means** indicates that the records are going to be transmitted to NARA via an electronic transfer method.
    - If users select this, the sub-field of **Estimated Electronic Volume** will prompt users to enter the volume of the records. This field is free text to give Agencies flexibility in describing the volume of records to be transferred. *The character limit for this field is 100.*
  - **Non-Electronic Records** indicates that the records are non-electronic (e.g. hard copy), and will be transmitted via physical means (e.g. FRC-S boxes). Use this option for all analog textual accessions. If users select this option, the following sub-field is displayed:
    - **Container Type** allows the user to select from the list of dropdown options. Most container types will automatically include the container's dimensions, but the "Other" container type will require user-entered depth, width, and height measurements. "Other" also requires a description of the container type in the "Comments" field.



The figure above shows the default view of the "Transfer Details" tab under the General Information tab of Transfer Request form.

Contact Information Tab

This tab provides information for the points of contact within the agency relating to the specific Transfer Request.

The figure above shows the "Contact Information" tab within the Transfer Request form.

Contact Information Fields

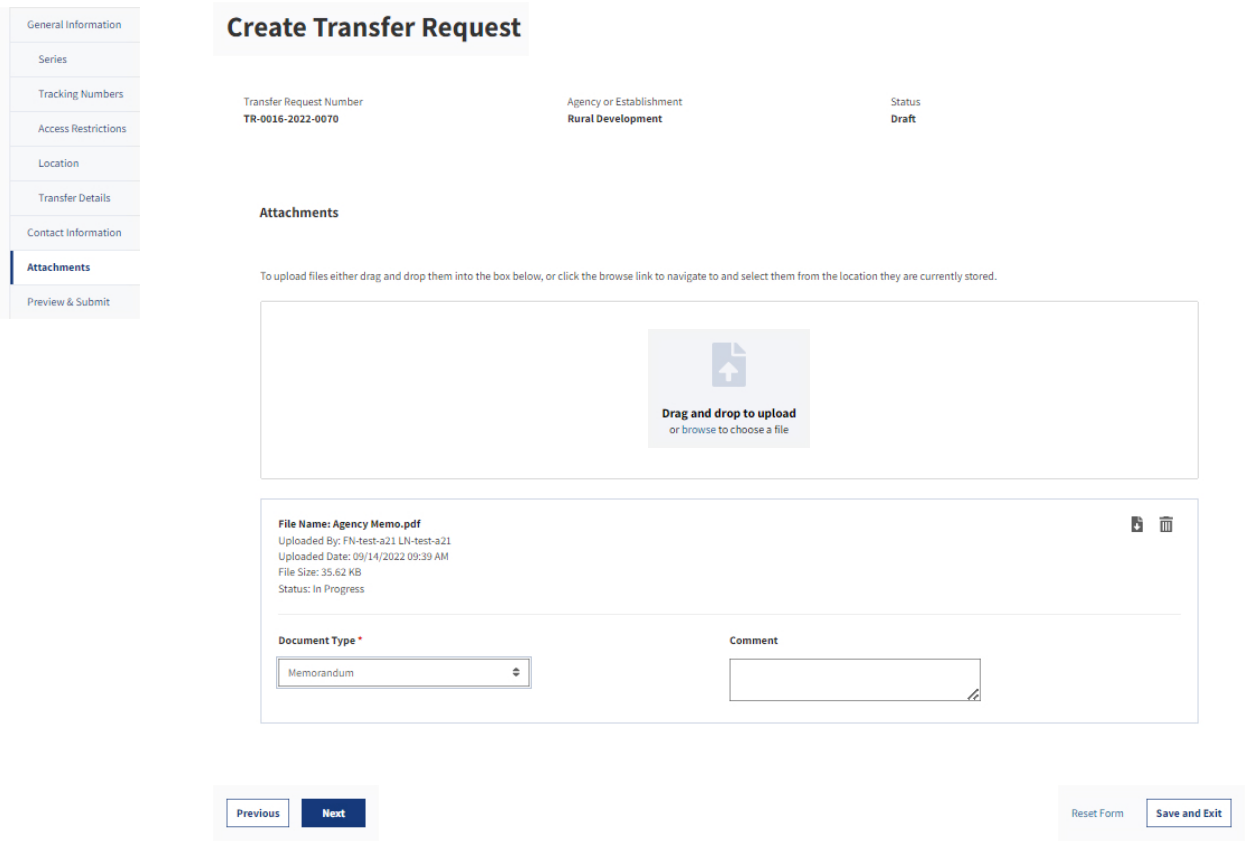
By default, the person creating the Transfer Request is assigned as the Primary Contact; however, the user can also update this by adding additional contacts. The following information shows the fields within the "Contact Information" tab:

- **Primary Contact** is auto-populated based on the user's profile.
- **Add Contact** allows users to select from a list of users who have accounts in ERA 2.0. They can also manually add new contacts for users who do not have ERA 2.0 accounts. When users select to add a new contact, they must provide the contact's first and last names, phone number, and email address.

Attachments Tab

This tab provides the option for users to upload supporting documents related to the Transfer Request. The system supports uploading documents of any type (pdf, .docx, .xlsx, .csv) and users can upload more than one document. Users can access the attachments on the Transfer Request tab throughout the workflow (even after proposed and sent to NARA).

Note: *Once a Transfer Request has been proposed and sent to NARA, agency users cannot add attachments to it. Instead, it will be up to the Archivist at NARA to upload any additional attachments.*



The figure above shows the "Attachments" tab within the Transfer Request form.

Attachments Fields

The following are the default fields in the "Attachments" tab.

- **Drag and drop to upload** provides two options (dragging or uploading) to attach documents. The user can select multiple documents at a time, and the system will scan all documents for viruses.
- Once a document is uploaded, the following fields will appear:
    - **Document Type** prompts the user to select from a dropdown menu with the following categories:
        - Classified records transfer checklist
        - Correspondence
        - Finding Aid
        - Kyl-Lott Certification
        - Memorandum
        - SF-115
        - Other
    - **Comment** allows the user to provide additional contextual information. It is an optional field unless the user has selected "Other" as the **Document Type**. *The character limit for this field is 100.*

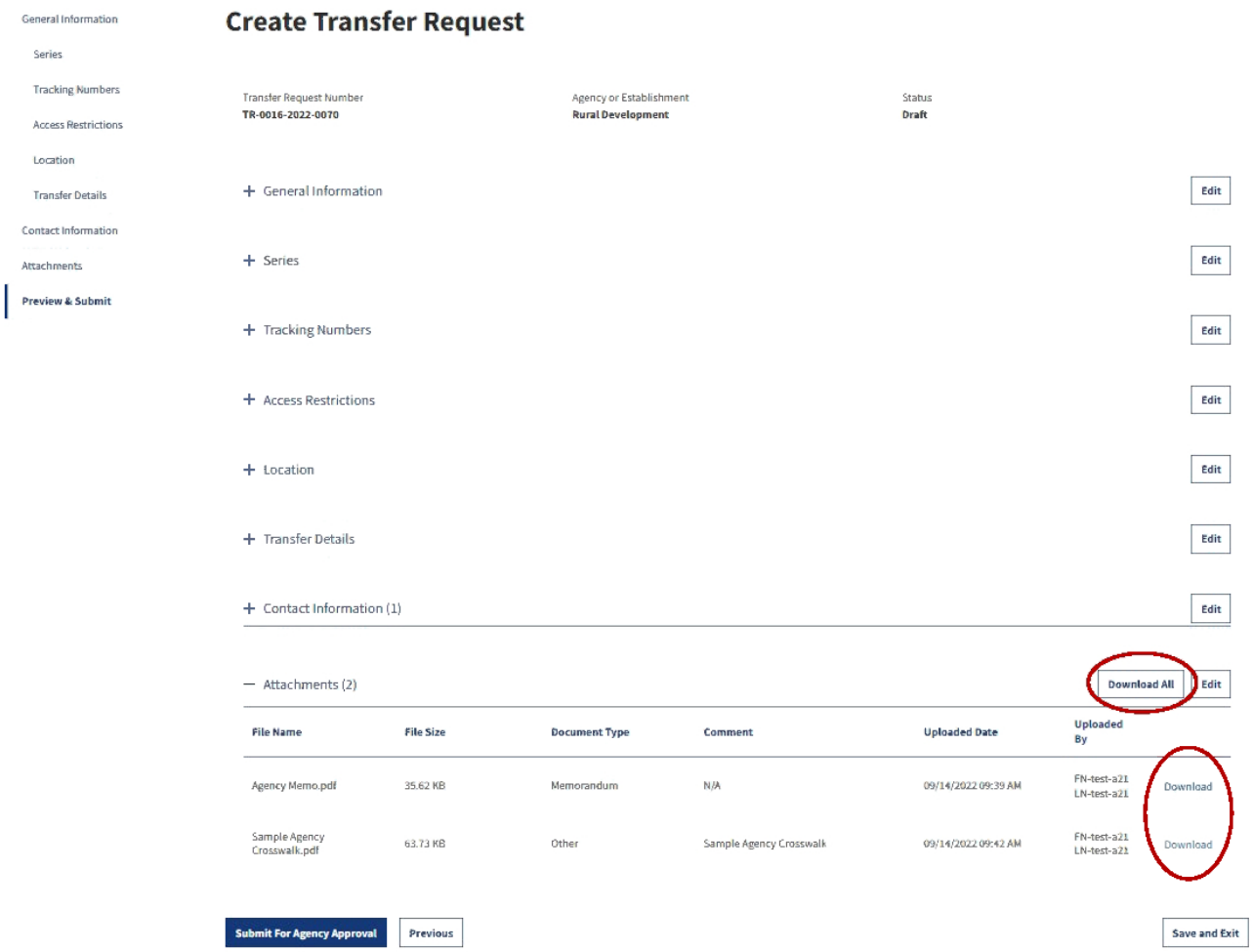
Preview & Submit Tab

In this tab, users will see an overview of all information they have provided while creating the Transfer Request, and will have the option to edit each section.

- **Submit for Agency Approval** allows the user to submit the Transfer Request to the Approving Official.
- **Previous** allows the user to navigate back to the previous tab.
- **Save and Exit** allows users to save draft Transfer Request and close the form.

Download Attachments from Preview and Submit Tab

Users may also download attachments from the Preview & Submit Tab. The files may be downloaded individually, or all attachments may be downloaded at once using the "Download All" link.



The figure above shows the links to individually download files, and the "Download All" option.

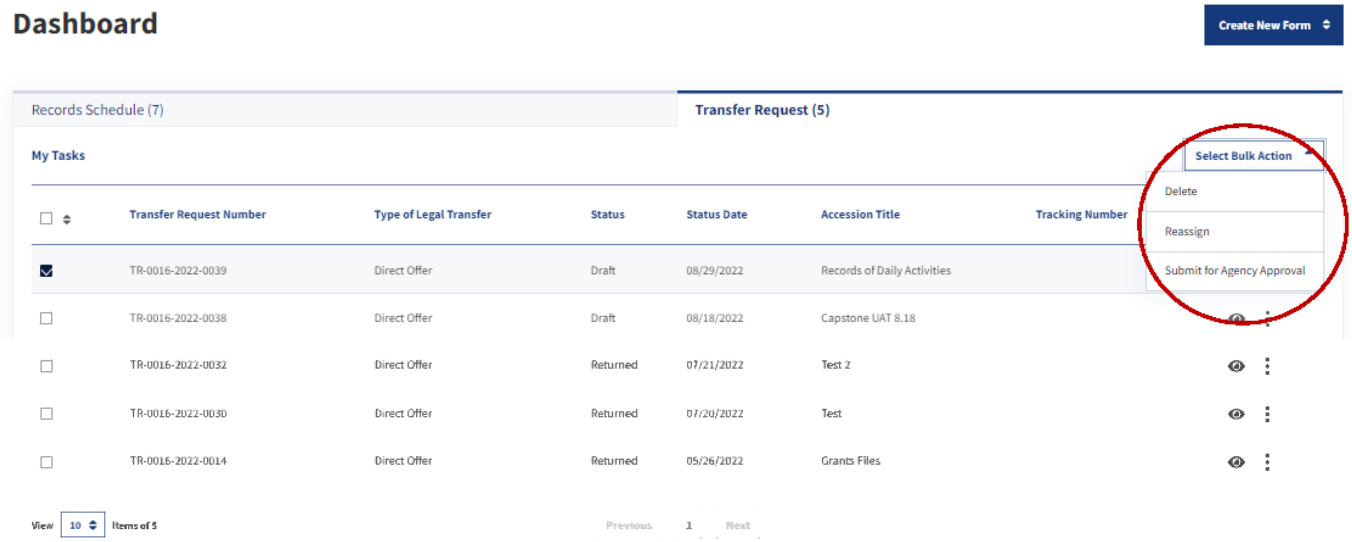
When "Download All" is selected, the system will generate a ZIP file containing the attachments. The Background Task Progress window will show download status, and when the download completes, the user will receive a notification message with a link to the file.

The “Download All” task will fail if multiple files have the same name (for example, two files named “Correspondence.pdf”). If there are multiple attachments with the same name, the files should be downloaded individually.

Submit Multiple Transfer Requests for Approval Through Bulk Action

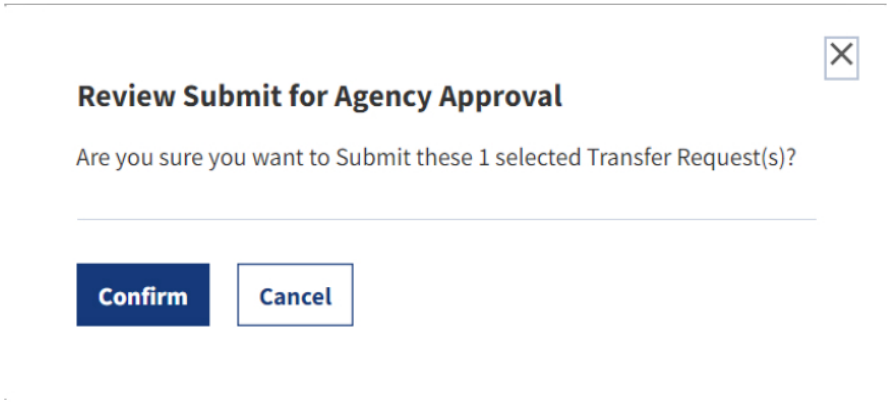
If there are multiple Transfer Requests that need to be submitted to the Approving Official for review, the Transferring Official may use the “Select Bulk Action” menu on the **Dashboard**.

To select Transfer Requests to “Submit for Agency Approval,” check the boxes to the left of the relevant Transfer Request Numbers. A “Select Bulk Action” menu should appear.



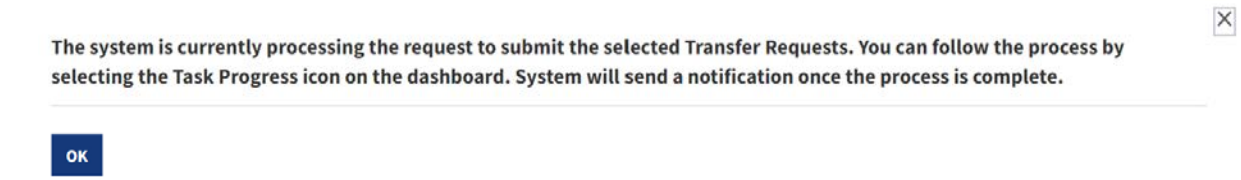
The figure above shows the Transfer Requests tab of the Dashboard and the “Select Bulk Action” menu.

Next, the user will need to confirm their bulk action in a new pop-up window. To submit the Transfer Requests, choose “Confirm.” To cancel the Bulk Action, choose “Cancel.”



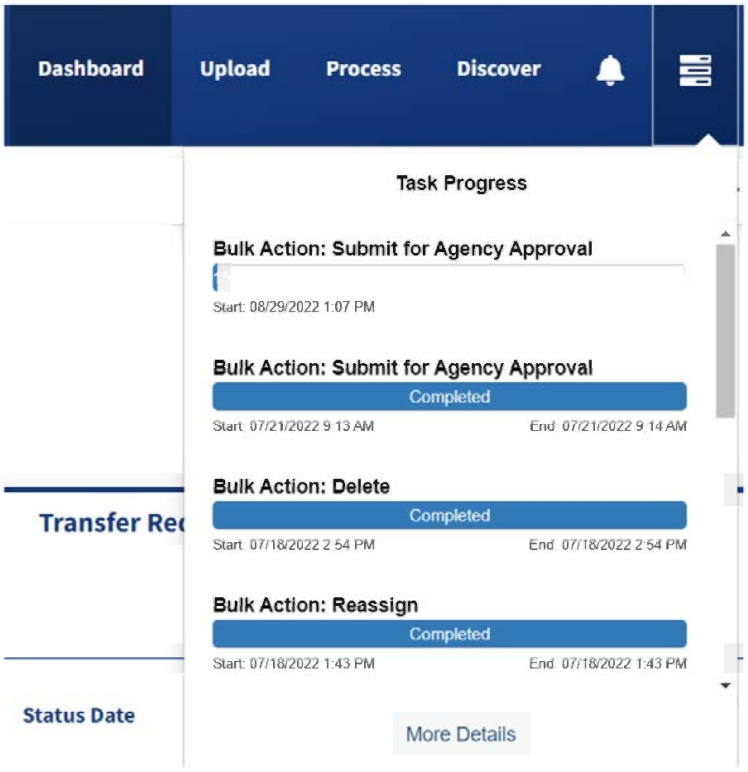
The figure above shows the confirmation pop-up window.

Once the Transfer Requests have been submitted, another pop-up window will appear.



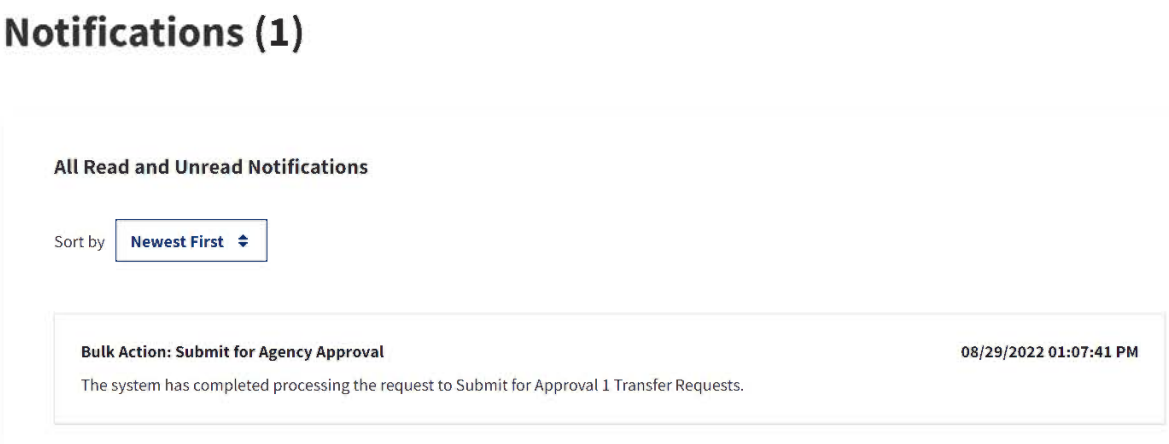
The figure above shows the pop-up window with information about the Bulk Action task progress.

To monitor the status of the "Submit for Agency Approval" action, open the task menu. The most recent task should be first in the list.



The figure above shows the Task Progress window with the "Submit for Agency Approval" Bulk Action at the top of the list.

Once the task has completed, the Transferring Official will receive a notification with information about the success or failure of the Bulk Action.



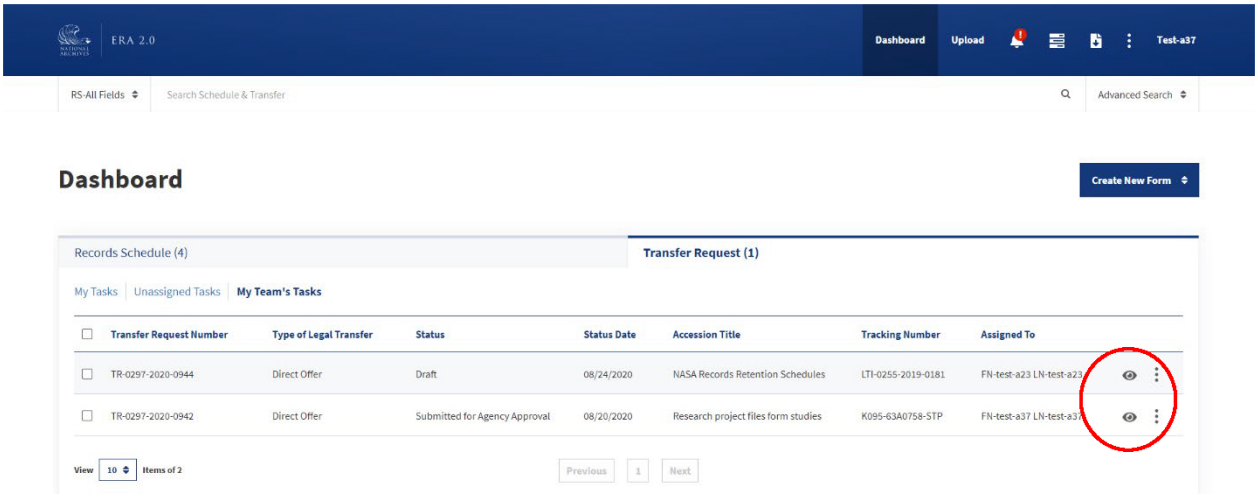
The figure above shows the Notifications screen.

Modify a Transfer Request

Users can modify the Transfer Request to which they are assigned under the "My Tasks" category on their **Dashboard**. There are different capabilities based on the user's profile and permissions. The following information outlines the Transfer Request statuses and permissions based on end user role. *To confirm the status of the Transfer Request, refer to the header.*

Status	Permission to Modify
Draft	Can be modified by Transferring Official and Approving Official as long as the Transfer Request is assigned to them
Submitted for Agency Approval	Can be modified by Approving Official as long as the Transfer Request is assigned to them
Returned	Can be modified by Transferring Official and Approving Official as long as the Transfer Request is assigned to them

To modify a Transfer Request, the user will select the "eye" icon to the right of the Transfer Request, featured on the user's **Dashboard**. Once selected, the user is redirected to a new browser tab with a summary view of the Transfer Request. Each section has an "Edit" option. Once users select "Edit," they are taken to that section of the Transfer Request where they can make edits as necessary. Once user has saved the changes, they are redirected back to the Transfer Request summary view.



*The figure above shows the "eye" icons in the list of Transfer Request within the user's **Dashboard**.*

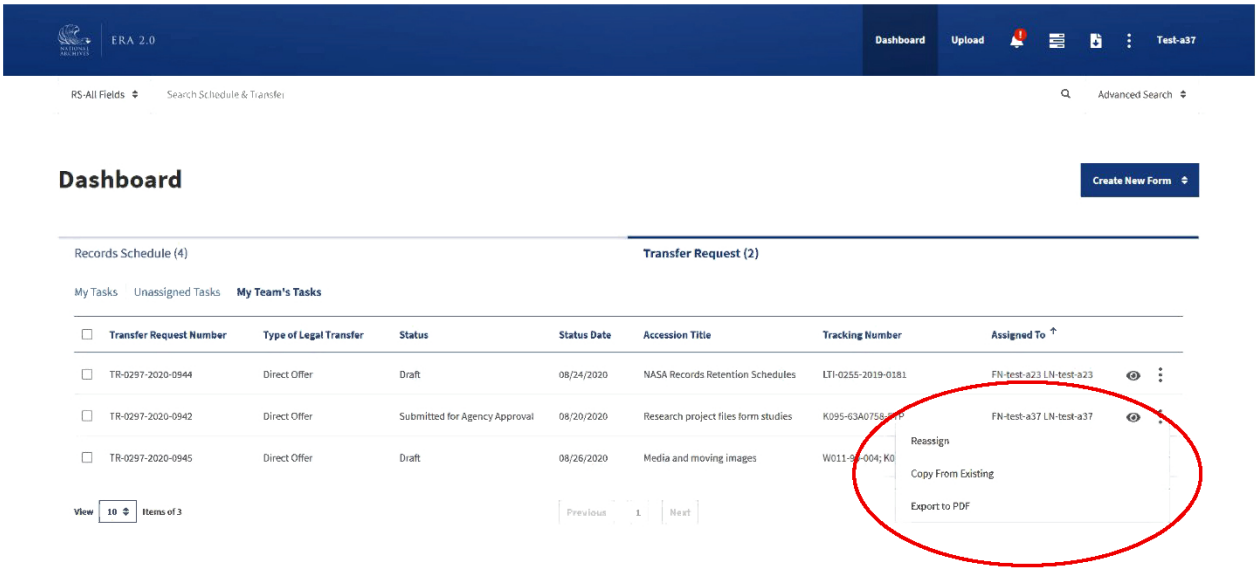
Reassign a Transfer Request

By default, the Transfer Request is assigned to the user who has created it. However, the assigned user can reassign it to someone else. For example, if a Transferring Official is leaving the Agency, or an Approving Official would like to redistribute the workload, the user might reassign the Transfer Request. When the Transfer Request is reassigned, both the new assignee and the Approving Official will get a **Notification**.

Both Transferring Official and Approving Official can reassign a Transfer Request, however, the status of the Transfer Request affects who can reassign it. A Transferring Official can reassign a Transfer Request that is in "Draft" status, while an Approving Official can reassign a Transfer Request in the following statuses:

- Draft
- Submitted for Agency Approval
- Returned

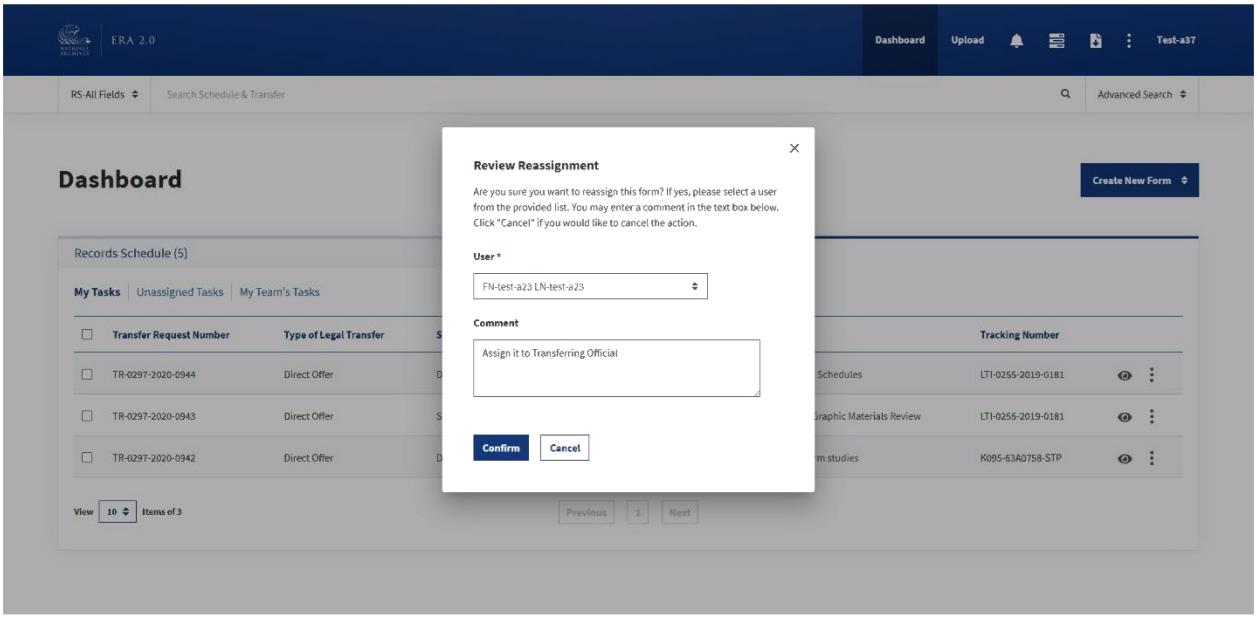
When reassigning a Transfer Request, be aware of the status and system role of the user who will receive the request. For example, if a Transfer Request is in 'Returned' status, a Transferring Official cannot Propose it. The Transfer Request must be Returned to the Transferring Official, rather than Reassigned to the Transferring Official, in order for the Transferring Official to be able to edit the form and then Submit for Agency Approval.



*The figure above shows the **Reassign** option from the vertical ellipsis dropdown menu on the **Dashboard**.*

To reassign a Transfer Request, select the vertical ellipsis to the right of the Transfer Request on the **Dashboard** page. The user can then select **Reassign** from the dropdown menu, and a pop-up will open with the list of users to which the Transfer Request can be reassigned.

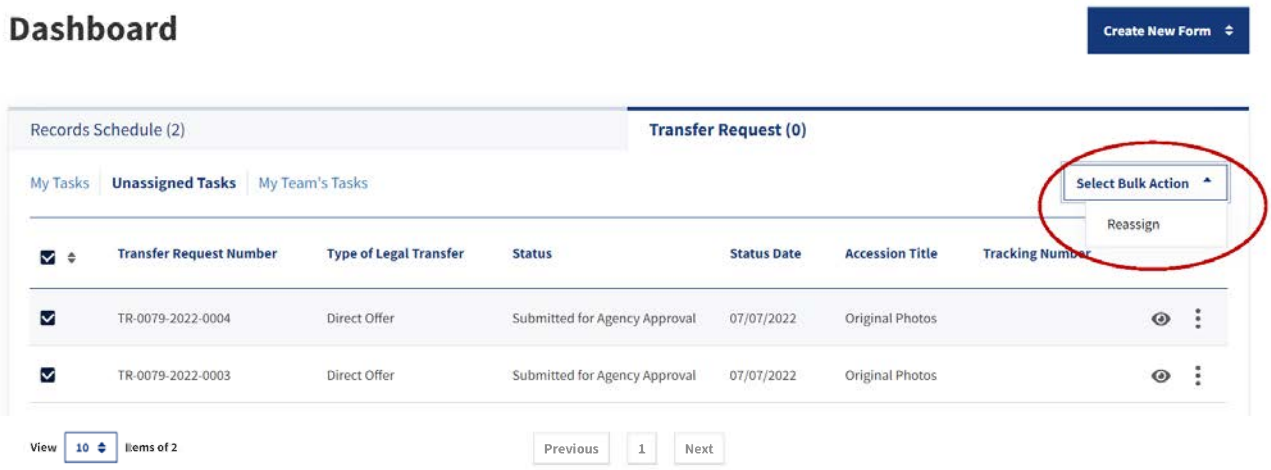
- **User** prompts the user to select from a pre-populated list based on their profile.
- **Comment** allows for additional context around the reassignment.



*The figure above shows the **Review Reassignment** pop-up.*

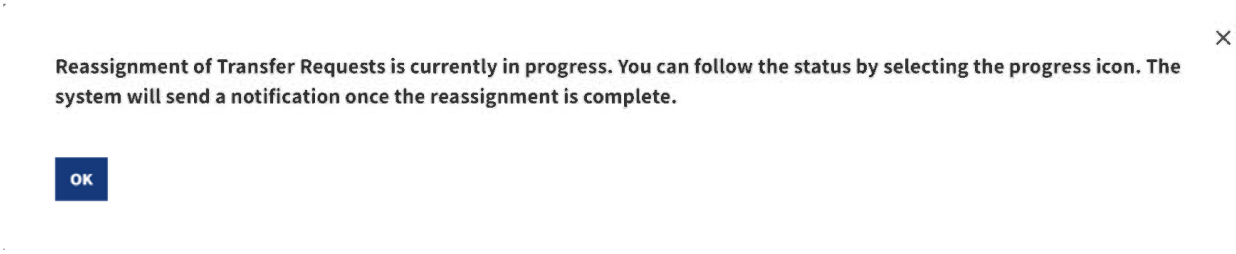
Once the user confirms the reassignment, the Transfer Request will appear under “My Tasks” on the new assignee’s **Dashboard**.

Transfer Requests may also be assigned in bulk by selecting two or more boxes to the left of each request, then choosing “Reassign” from the “Select Bulk Action” drop-down.



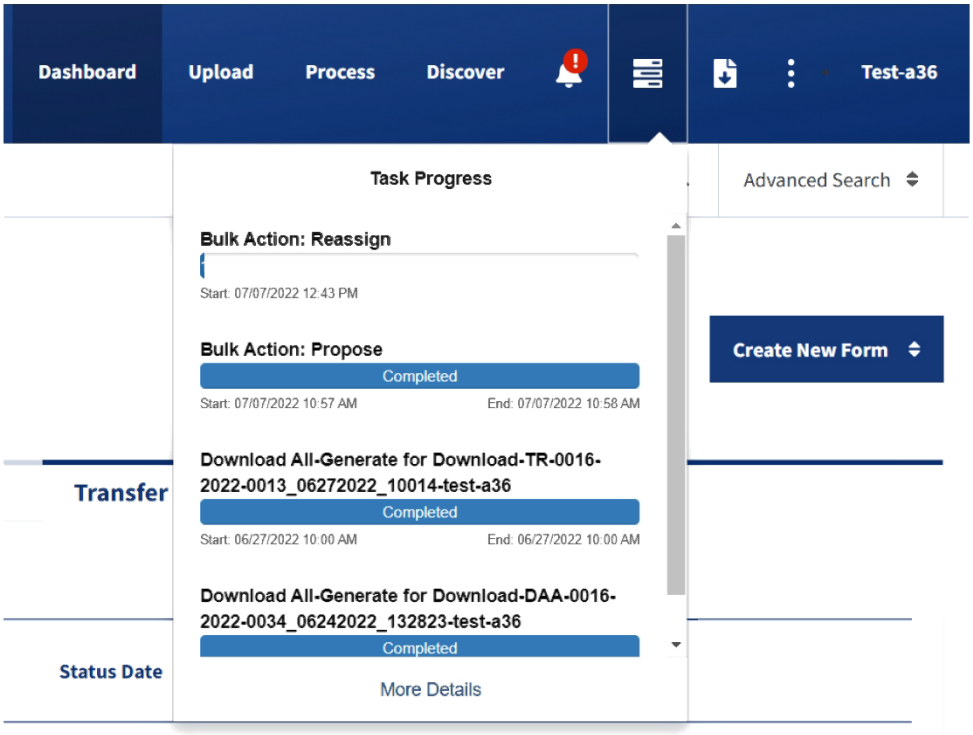
The figure above shows the Reassign Bulk Action.

After the “Reassign” process has been initiated, the system will display a pop-up with information about how to track the task’s progress.



The figure above shows the pop-up indicating that the Reassignment of Transfer Requests is in progress.

The status of the bulk reassignment is visible in the Progress window.

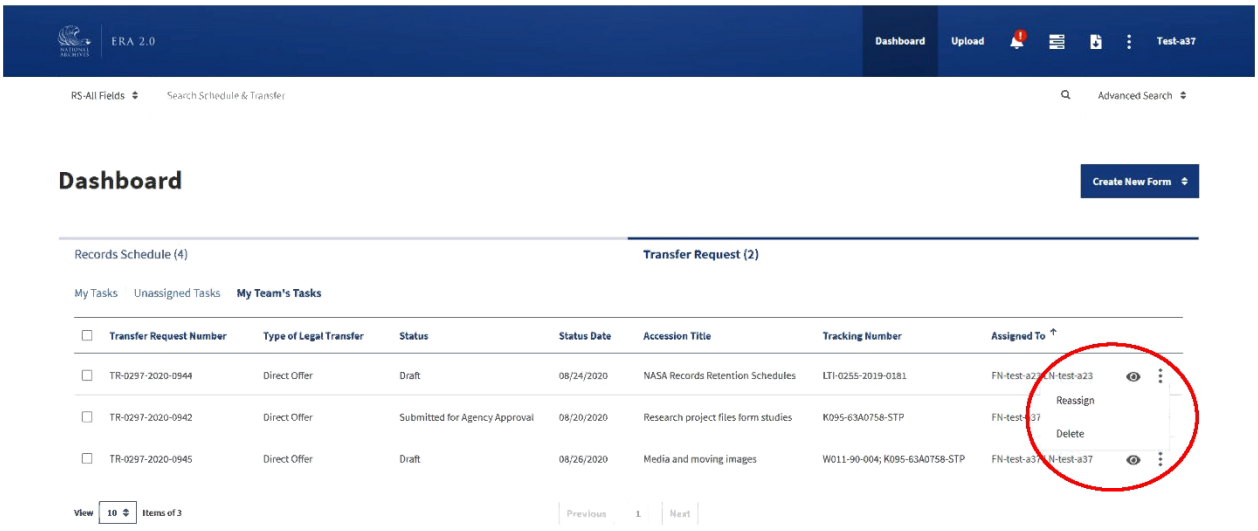


The figure above shows the Task Progress window.

Note: *The user reassigning the Transfer Requests and the new assignee will get a* ***Notification*** *that Transfer Request has been reassigned.*

Delete a Transfer Request

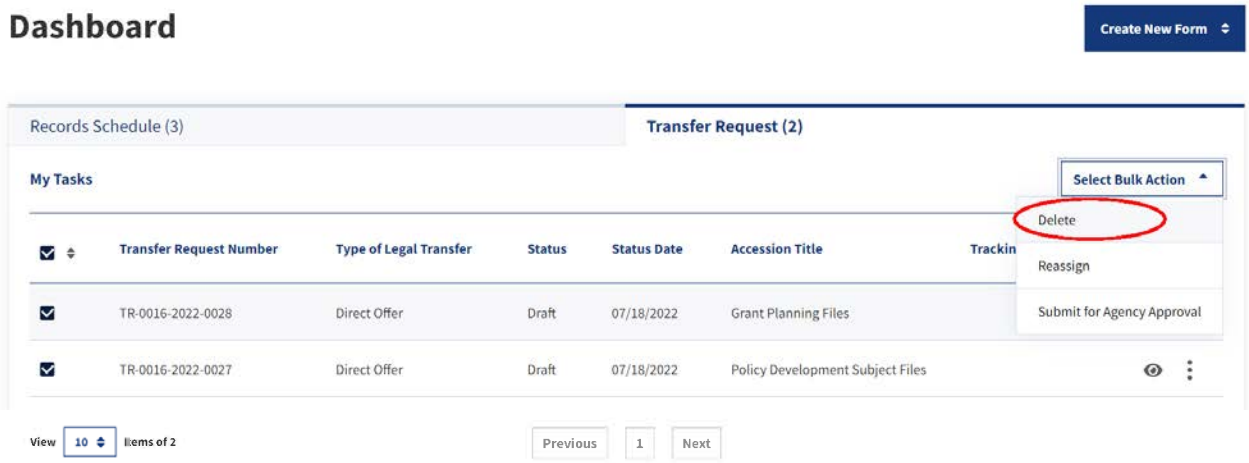
Transfer Requests can only be deleted if they are in "Draft "status.



The figure above shows the ***Delete*** *option featured as a dropdown from the vertical ellipsis.*

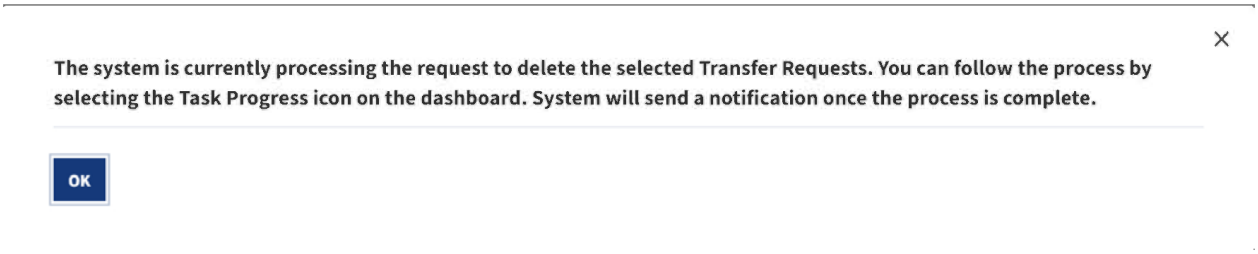
To delete a Transfer Request, users select the vertical ellipsis to the right of the Transfer Request on the **Dashboard**. Once the user selects **Delete** from the dropdown, a pop-up appears asking the user to confirm that they would like to delete the Transfer Request. Once the user confirms, the Transfer Request is deleted and does not show on anyone's **Dashboard**.

Transfer Requests may also be deleted in bulk, as long as all of the requests are in "Draft" status. To use the bulk action, select the Transfer Requests that you wish to delete by clicking the box(es) to the left of the Transfer Request Number. Then choose Delete from the "Select Bulk Action" box.



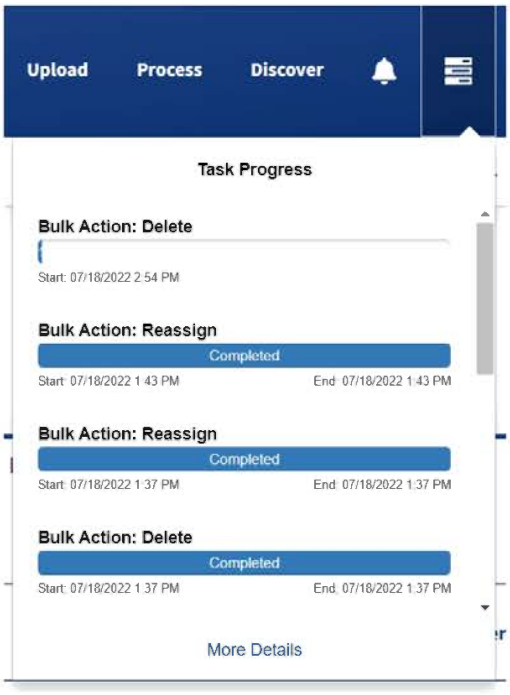
*The figure above shows the **Delete** option in the Bulk Actions dropdown.*

After the Delete bulk action has been confirmed, another pop-up with information about the task will appear.



The figure above shows the pop-up with a "now processing" message about the Delete bulk action.

The Task Progress window will have information about the status of the Delete bulk action.

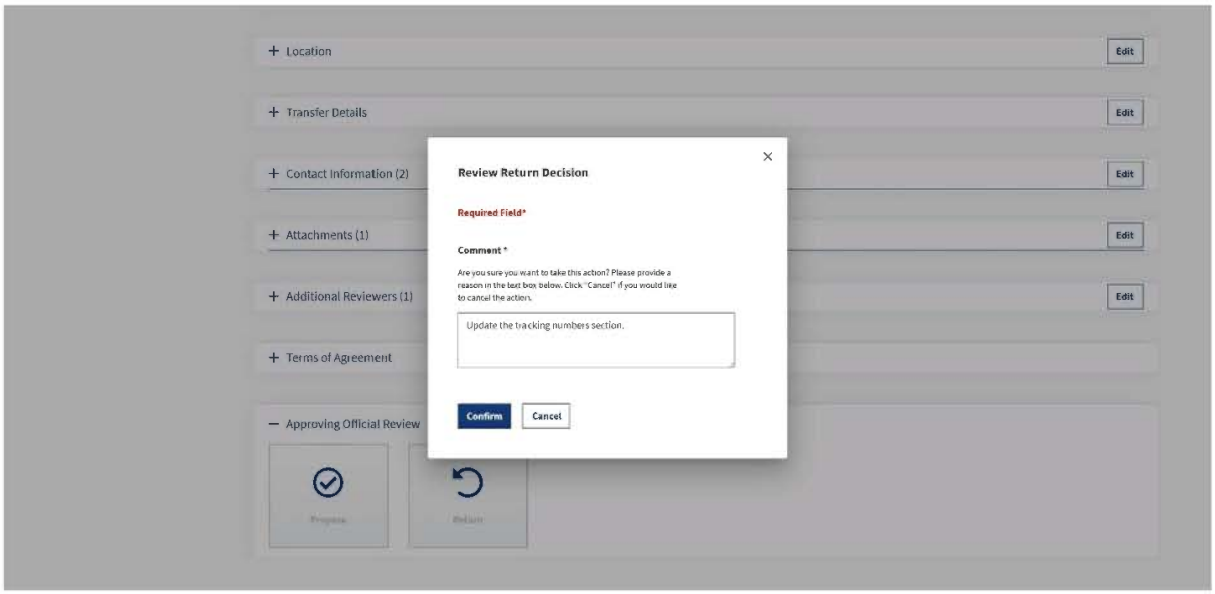


The figure above shows the Delete bulk action in the Task Progress window.

The Approving Official will receive a notification when the bulk action completes.

Return a Transfer Request

Upon review of the Transfer Request that has been submitted for Agency approval, the Approving Official can choose to **Return** it. When the user selects this, a pop-up will appear, prompting the user to provide a reason for the return within the **Comment** field. The Transfer Request, once confirmed, will then be routed back to the user who submitted it for Agency approval.



*The figure above shows the **Review Return Decision** pop-up.*

When a Transfer Request that is in "Submitted for Agency Approval" status is returned, the status is updated to "Draft." The Agency user will receive a **Notification** that will include the message provided by the person returning the Transfer Request. When users select the **Notification** icon on the **Dashboard**, they will open the **Notifications** page, which will have the link to the Transfer Request and the message from the Approving Official.

Approving Officials may also return Transfer Requests in bulk, as long as all of the requests are in "Submitted for Agency Approval" or "Returned" status. To use the bulk action, select the Transfer Requests that you wish to Return by clicking the box(es) to the left of the Transfer Request Number. Then choose Return from the "Select Bulk Action" box.

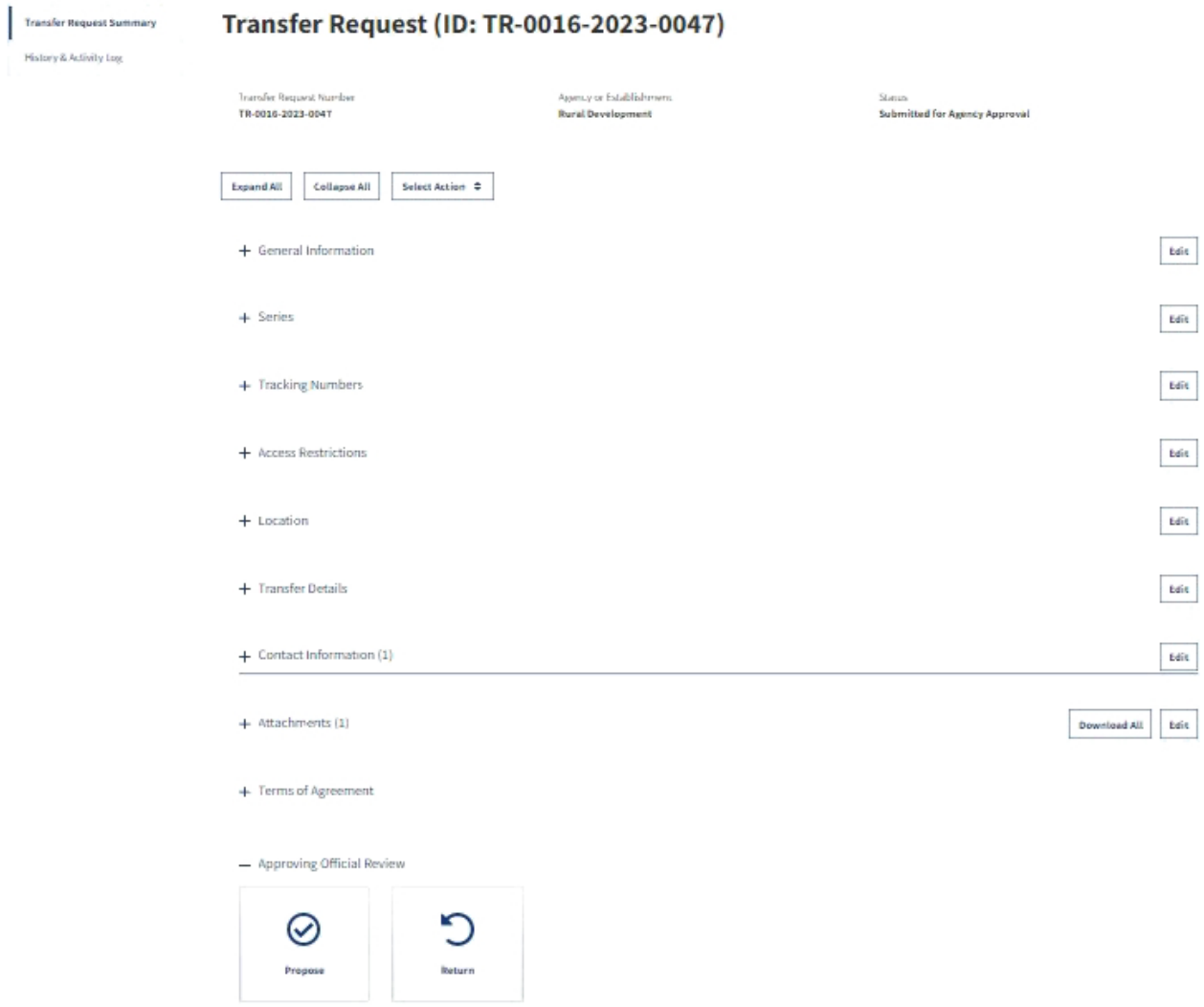
Propose a Transfer Request

Once the Transfer Request has been "Submitted for Agency Approval," it is routed to the Approving Official(s) of the Agency. The Approving Official will receive a **Notification** on the **Dashboard** page that a Transfer Request has been "Submitted for Agency Approval." When users select the **Notification** icon on the **Dashboard**, they will open the **Notifications** page, which has the links to the Transfer Request.

Note: *The Approving Official can also access the Transfer Request from the "My Tasks" tab on the* ***Dashboard****. If the Agency has more than one Approving Official, the Transfer Request will appear in the "Unassigned Tasks" tab of all Approving Official's* ***Dashboard****s. From there, any Approving Official can go in the system and assign the Transfer Request to themselves, or another Approving Official.*

Approving Officials may review and act on Transfer Requests by opening the requests individually, or by choosing to Propose the Transfer Requests in bulk from the Dashboard.

Propose an Individual Transfer Request



The figure above shows the Transfer Request Summary tab view for Approving Officials.

The following are step-by-step directions for proposing the Transfer Request.

1. The Approving Official must open the Transfer Request from the **Dashboard** by selecting the "eye" icon, which will redirect the user to the Transfer Request in a new browser tab.
2. The user will then review and edit the Transfer Request as necessary. Once reviewed, the user will select one of two options:
    - **Propose** routes the Transfer Request to NARA for review and approval.
    - **Return** routes the Transfer Request back to the person who submitted it for agency approval.

***Note**: In ERA 2.0, Approving Officials can perform all the actions of a Transferring Official and then take actions as Approving Officials without having to assign the form to themselves. For instance, an Approving Official can "Propose" a Transfer Request that the user created in "Draft" status. If the*

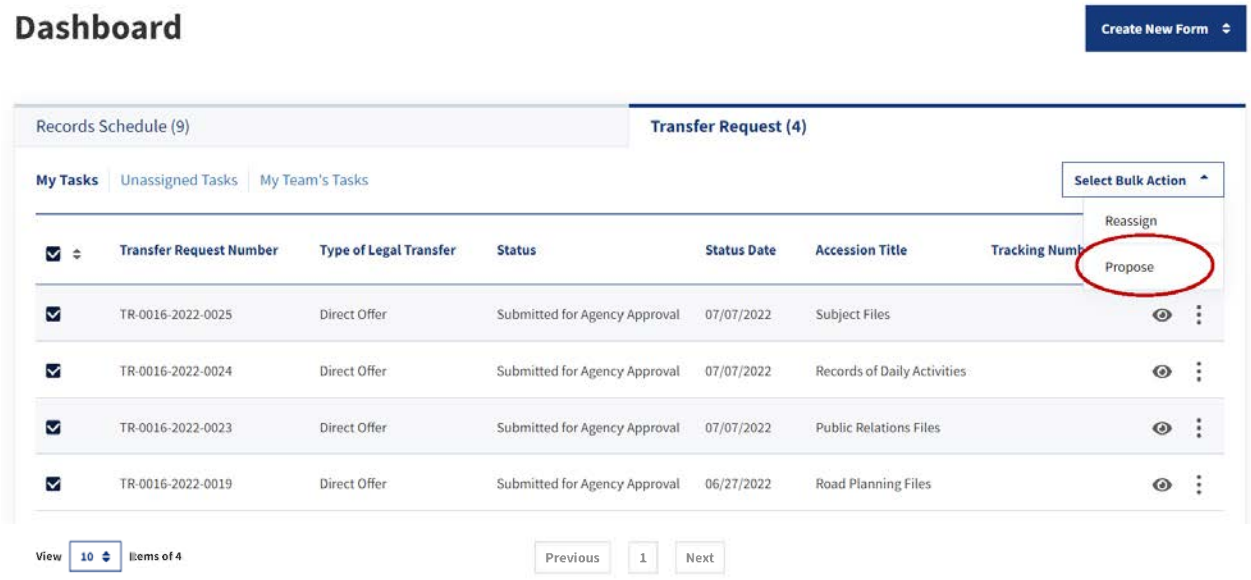
Approving Official creates a Transfer Request, then on the "Preview and Submit" page the user will see the option to "Propose" instead of "Submit for Agency Approval."

Once the Approving Official selects "Propose," the Transfer Request is sent to NARA for their review and approval.

Propose Multiple Transfer Requests Through Bulk Action

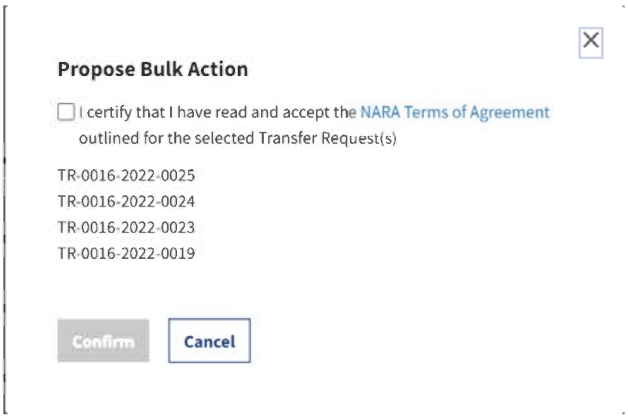
Multiple Transfer Requests may be "Proposed" at once through bulk action. To be eligible, Transfer Requests must be in an appropriate status and assigned to an Approving Official.

First, the Approving Official should choose one or more Transfer Requests by clicking the box to the left of the Transfer Request Number. The top box also acts as a "select all" option. Then, the "Propose" action should be chosen from the Bulk Action drop-down.



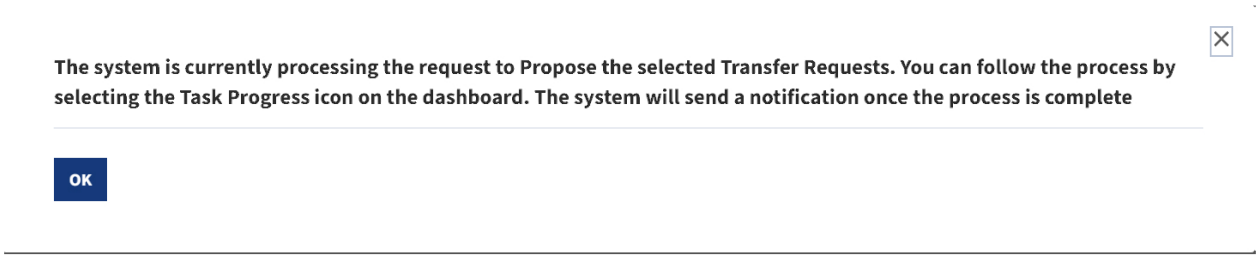
The figure above shows the "My Tasks" tab of the Dashboard, and the Propose bulk action.

Once the "Propose" action has been selected, a pop-up window will appear. The box next to the certification statement must be checked before "Confirm" is available as an action. The Approving Official may also choose "Cancel" to cancel the Propose Bulk Action.



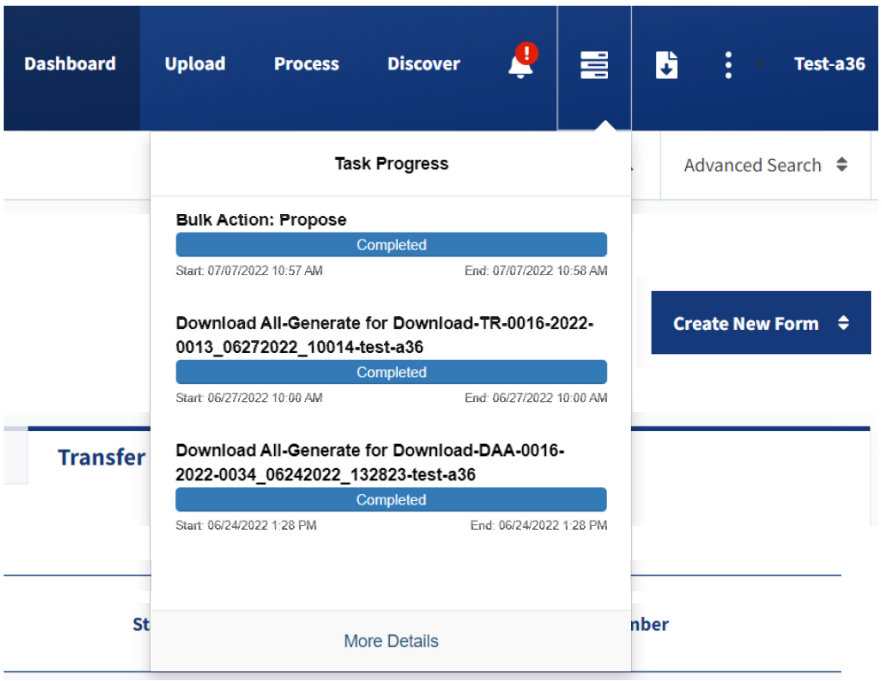
The figure above shows the pop-up window with the certification statement.

After the Propose Bulk Action has been confirmed, another pop-up with information about the task will appear.



The above image shows the pop-up with a "currently processing" message about the Propose Bulk Action.

The Task Progress window will have information about the status of the Propose Bulk Action.



The figure above shows the Propose Bulk Action in the Task Progress window.

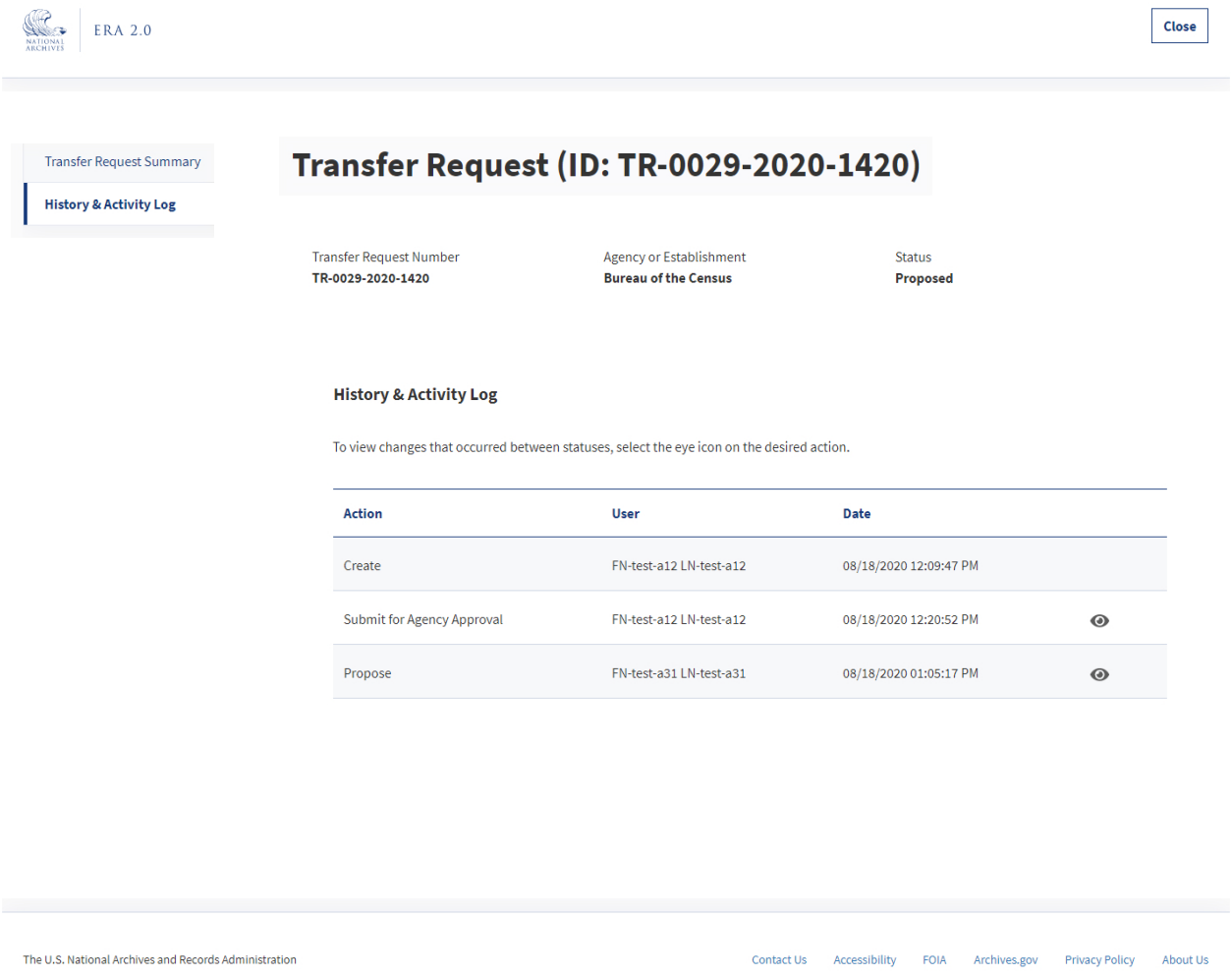
The Approving Official will receive a notification when the bulk action completes.

Review History & Activity Log Tab

The tab appears in the left navigation of the form once the Transfer Request is out of Draft status, such as when it is Submitted for Agency Approval by a Transferring Official or Proposed by an Approving Official. It provides a comprehensive view of each milestone, or **Action** taken, on a given Transfer Request. In addition to viewing the list of **Actions**, users can access more detailed information regarding the specific milestones.

History & Activity Log Fields

There are three column fields within the History & Activity Log page: **Action**, **User**, and **Date**. The **Action** field displays the milestone that was reached on the form; the **User** field displays by whom the **Action** was taken, and the **Date** displays the day, month, and year on which it occurred.



The figure above shows the "History & Activity Log" tab.

The following is a list of possible milestones that can be listed under the **Action** column, along with their descriptions:

Milestone/Action	Description
Create	Transferring Official or Approving Official creates Transfer Request
Submit for Agency Approval	Transferring Official submits Transfer Request for agency approval
Propose	Approving Official proposes Transfer Request
Return	User returns Transfer Request for revision
Reject	NARA user rejects Transfer Request
Approve	NARA user approves Transfer Request.

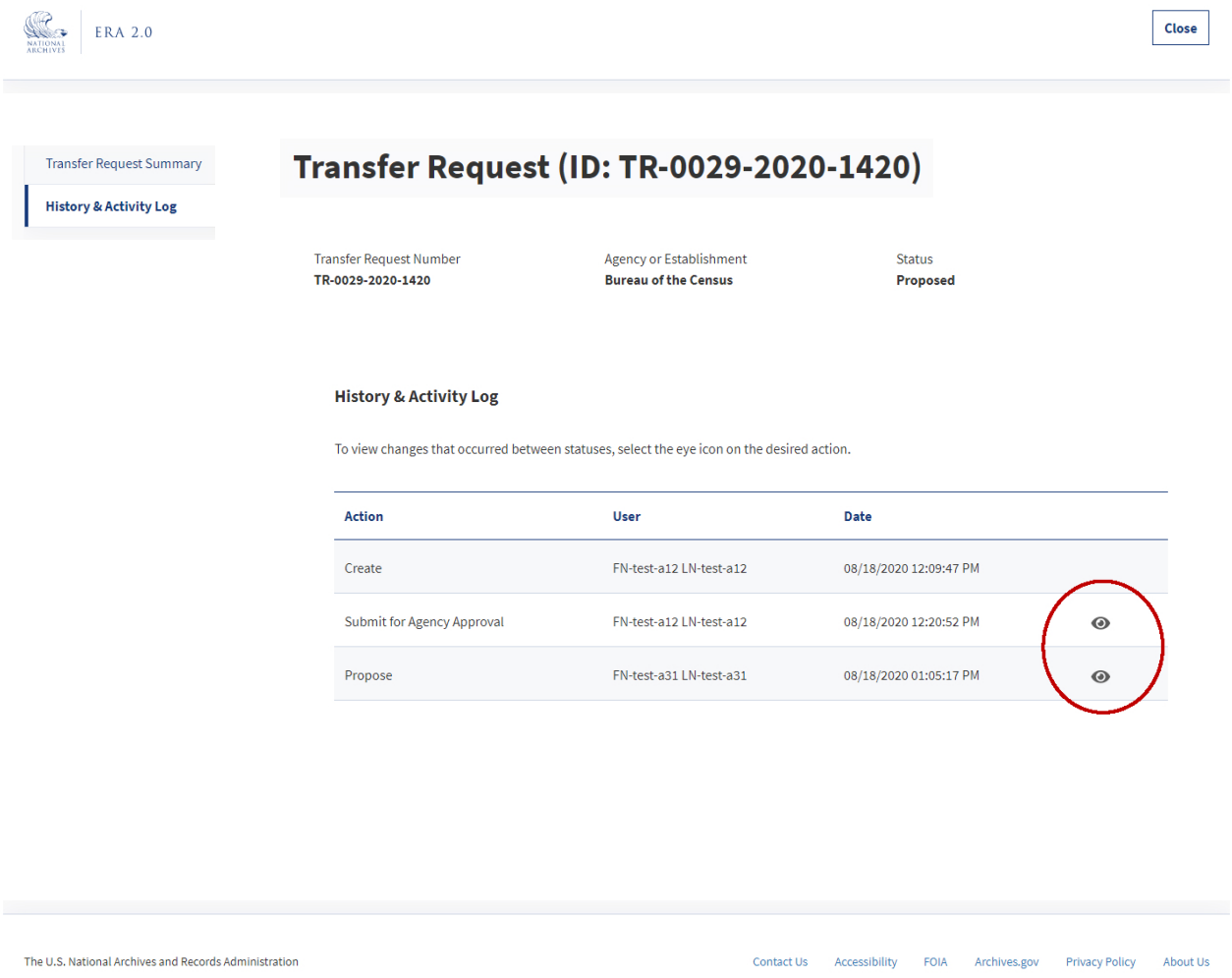
Accept Physical Custody (Pre-Accession Only)	NARA user accepts physical custody in Transfer Request form
Reject Physical Custody (Pre-Accession Only)	NARA user rejects physical custody in Transfer Request form
Accepted Legal Custody (Pre-Accession Only)	NARA user accepts legal custody in Transfer Request form
Reject Legal Custody (Pre-Accession Only)	NARA user rejects physical custody in Transfer Request form
Accept Custody	NARA user accepts custody in Transfer Request form
Reject Custody	NARA user rejects custody in Transfer Request form
Modify Transfer Request	NARA user opened a Transfer Request in "Custody Accepted" status for modification
Confirm Modifications	NARA user confirmed modifications of a Custody-Accepted Transfer Request
Delete Modifications	NARA user deleted the temporary Custody-Accepted Transfer Request

The table above shows the possible milestones for a Transfer Request

In addition to the list that is displayed on the “History & Activity Log” page, the system provides a detailed activity log of the changes that are made to a form. Users can access this log by selecting the “eye” icon to the right of the chosen **Action**.

Note: *Only the following Actions include the “eye” icon option and additional details in the Activity Log:*

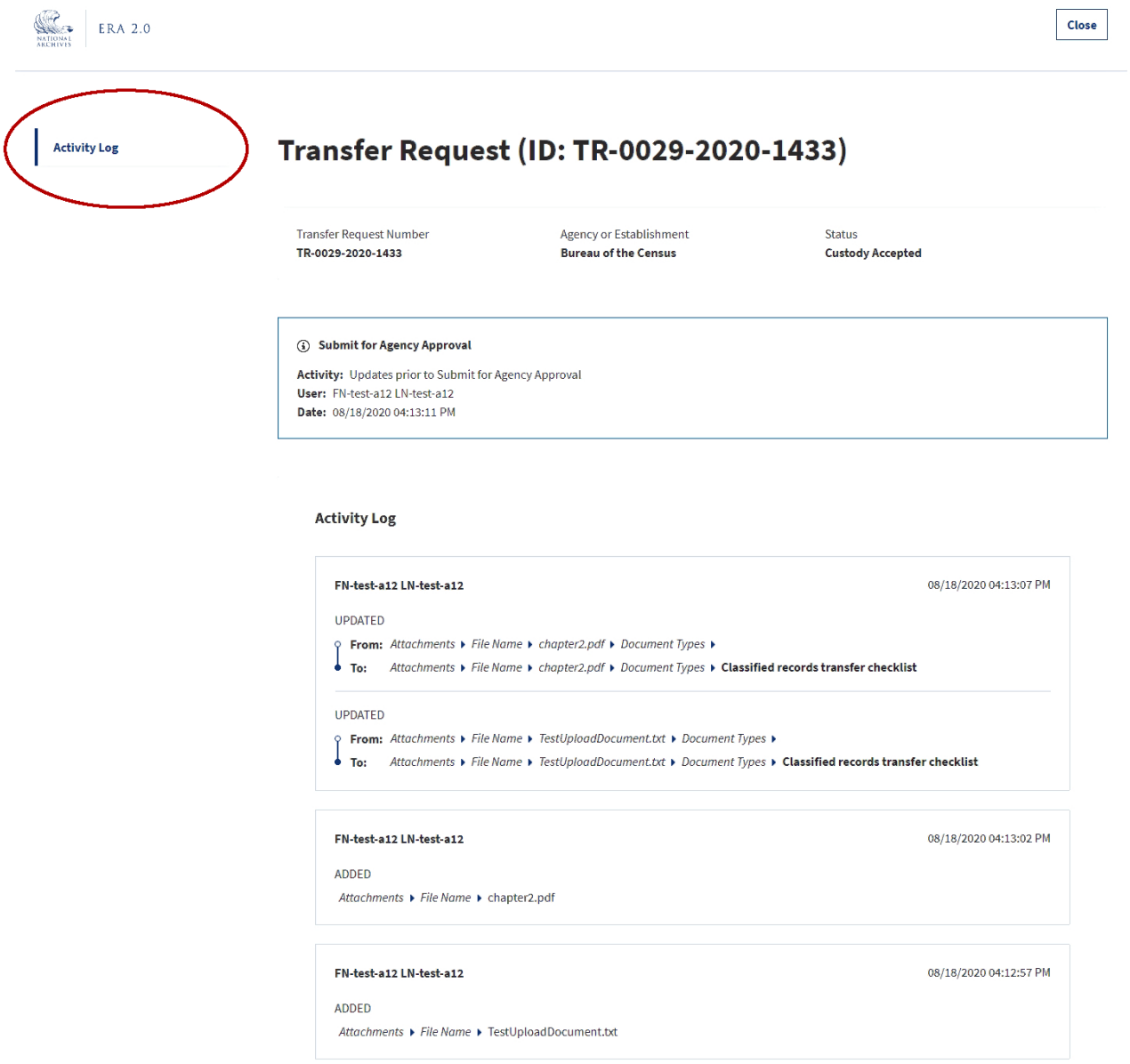
- *Submit for Agency Approval*
- *Propose*
- *Return*
- *Approve*
- *Accept Physical Custody (Only for pre-accession legal type of transfer)*
- *Accept Custody*
- *Reject*



The figure above shows the "eye" icon on the "History & Activity Log" page.

Activity Log Tab

Once the user selects the "eye" icon next to a specific **Action**, a new browser tab containing "Activity Log" appears.

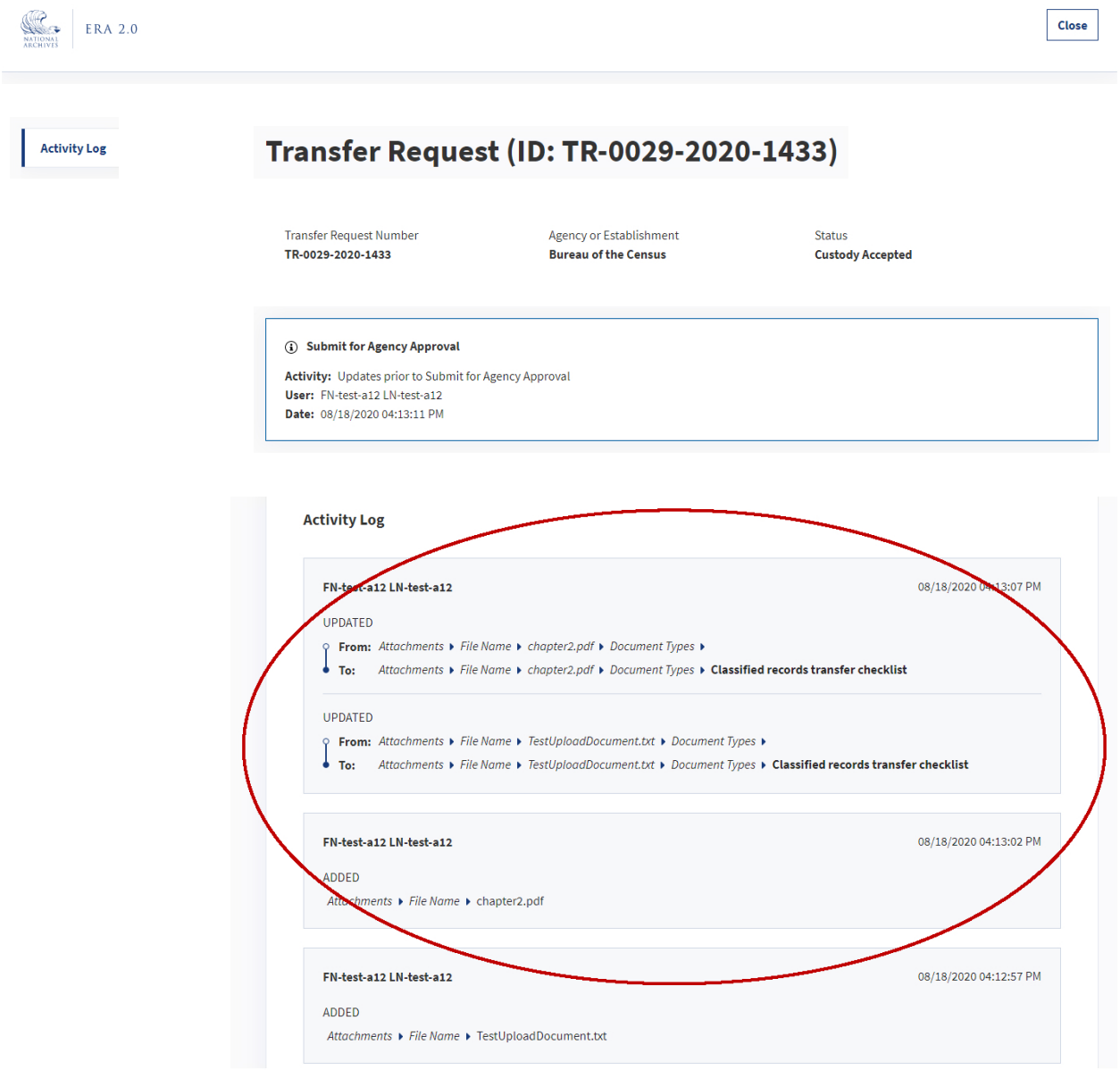


The figure above shows the "Activity Log" page with the tab highlighted.

This tab contains a list of all updates to the form preceding the **Action** that the user selected (e.g. everything leading up to **Submit for Agency Approval**).

The sections and fields within the "Activity Log" tab include:

- The first section orients the user by featuring the selected **Action** (e.g. **Submit for Agency Approval** in the figure above) and the following fields:
    - **Activity**: Always says "Updates prior to [selected milestone]"
    - **User**: Features the name of the user who updated the Transfer Request
    - **Date**: Features the day, month, year, and time of the **Action** update.
- The **"**Activity Log" section features the list of activities that were completed.



The figure above shows the "Activity Log" section of the page.

The fields within the "Activity Log" tab are as follows:

- In the top left corner, users will see the first and last name of the owner of a particular action. Below the name, users will see the description of a particular action categorized as one of the following:
    - **Added**: Applies when a value is added to a field for the first time, a new Attachment is added.
    - **Updated:** Applies when the existing value of a field is updated.
    - **Removed:** Applies when an existing Attachment is deleted.
- All changes are displayed in the following format: [Section] > [Field] > [Field Value]
- For fields that have been **Updated**, the following information is included:
    - **From:** Shows the original value.

    - **To:** Shows the new value, which is in bold.
- In the top right corner, users will see the date and time stamp for that particular action.

Track a Transfer Request

Once the Transfer Request has been proposed by the Approving Official, it will be sent to NARA for review and approval.

Returned by NARA

Similar to how the Approving Official can return the Transfer Request for revision, the NARA Archivist can return a Transfer Request that has been proposed if it has significant errors. If the Transfer Request has small errors, the Archivist reviewing it will typically address those by communicating with the agency. However, if there are errors that cannot be addressed without significant agency input, NARA will return the Transfer Request back to the agency for revision.

When NARA returns the Transfer Request, the system sends a **Notification** to the agency's Approving Official. The **Notification** includes a comment explaining the reason for the return. When this occurs, the Transfer Request's status is updated to "Returned;" it is assigned to the Approving Official, and it will appear under the Approving Official's "My Tasks" **Dashboard** category.

Once the Transfer Request is in "Returned" status, the Approving Official has the option to propose the Transfer Request again after making the necessary updates, or the user can return the Transfer Request back to the Transferring Official who initially submitted it for agency Approval.

To propose the Transfer Request once more, the Approving Official would open it from the **Dashboard** or the **Notifications** page and select the preferred option from the bottom of the "Transfer Request Summary" tab.

Rejected by NARA

When a Transfer Request that is sent to NARA for review does not meet acceptable standards or has an incorrect Agency or Record Group selected for it, NARA will reject it.

When NARA rejects it, the system terminates the Transfer Request workflow and sends a **Notification** to the agency's Approving Official. The **Notification** includes a comment explaining the reason for the rejection. When this occurs, the Transfer Request's status is updated to "Rejected."

Note: *When the Transfer Request is in "Rejected" status, the user needs to start over with the Transfer Request by creating a new Transfer Request.*

Approved by NARA

Once a Transfer Request has been sent to NARA for review, and all necessary reviews have been completed, the Archivist will approve the Transfer Request. When the Transfer Request is approved, its status is updated to "Approved," and the system sends the agency's Approving Official a **Notification** informing them of the approval.

Note: *Approved Transfer Requests can still be found by performing a keyword or advanced search. For information on how to perform these searches, see the "Search" section in Part III.*

Track Transferred Records

Once the agency has transferred records to NARA, NARA can take a number of actions on those records. The action depends on the type of legal transfer that the agency outlined in the Transfer Request: **Direct Offer**, **Annual Move**, or **Pre-Accession**. The primary difference between these types is the timeline for transferring physical and legal custody of the records.

The following information outlines the possible actions that NARA can take on transferred records, as well as the **Notifications** that the Agency will receive as a result.

Note: *Users can review the* ***Type of Legal Transfer*** *in the "Series Tab" section of the "Transfer Request Form" in Part V.*

Direct Offer and Annual Move Transfer Requests

NARA accepts physical and legal custody of records within Direct Offer and Annual Move Transfer Requests at the same time.

Custody Accepted By NARA

When NARA accepts custody of the transferred records, the Transfer Request's **Status** is updated to "Custody Accepted," and the system sends the Agency's Approving Official a **Notification** of the acceptance.

Custody Rejected By NARA

When NARA rejects custody of the transferred records, the Transfer Request's **Status** is updated to "Custody Rejected," and the system sends the Agency's Approving Official a **Notification** of the rejection.

Physical Custody Accepted By NARA

When NARA accepts physical custody of the transferred records, the Transfer Request's **Status** is updated to "Physical Custody Accepted," and the system sends the Agency's Approving Official a **Notification** of the acceptance.

Physical Custody Rejected By NARA

When NARA rejects physical custody of the transferred records, the Transfer Request's **Status** is updated to "Physical Custody Rejected," and the system sends the Agency's Approving Official a **Notification** of the rejection.

Legal Custody Accepted By NARA

When NARA accepts legal custody of the transferred records, the Transfer Request's **Status** is updated to "Custody Accepted," and the system sends the Agency's Approving Official a **Notification** of the acceptance.

Legal Custody Rejected By NARA

When NARA rejects legal custody of the transferred records, the Transfer Request's **Status** is updated to "Custody Rejected," and the system sends the Agency's Approving Official a **Notification** of the rejection.