NATIONAL ARCHIVES | ERA 2.0

ERA 2.0 Job Aid: Create a Transfer Request for Electronic Records

Purpose

This job aid provides step-by-step guidance on how to create a ***Transfer Request*** (i.e., **TR**) for electronic records in NARA's Electronic Records Archives (ERA) 2.0 System.

Who Should Use This Job Aid?

This job aid is intended for federal agency users with the following ERA 2.0 user roles:

- Transferring Official
- Approving Official

Step-By-Step Instructions: Create a Transfer Request for Electronic Records

The steps for creating a Transfer Request for electronic records in ERA 2.0 have been divided into the following sub-tasks:

1. Create a New Form Type
2. Complete the General Information Tab
3. Review and Update Contact Information/Add a Primary Contact
4. Upload Attachments
5. Preview & Submit

Step 1: Create a New Form Type

1. Select **Create Transfer Request** from the ***Create New Form*** drop-down menu located above the **Dashboard** on your **ERA 2.0 Homepage**. The **Create New Transfer Request** dialog window displays.

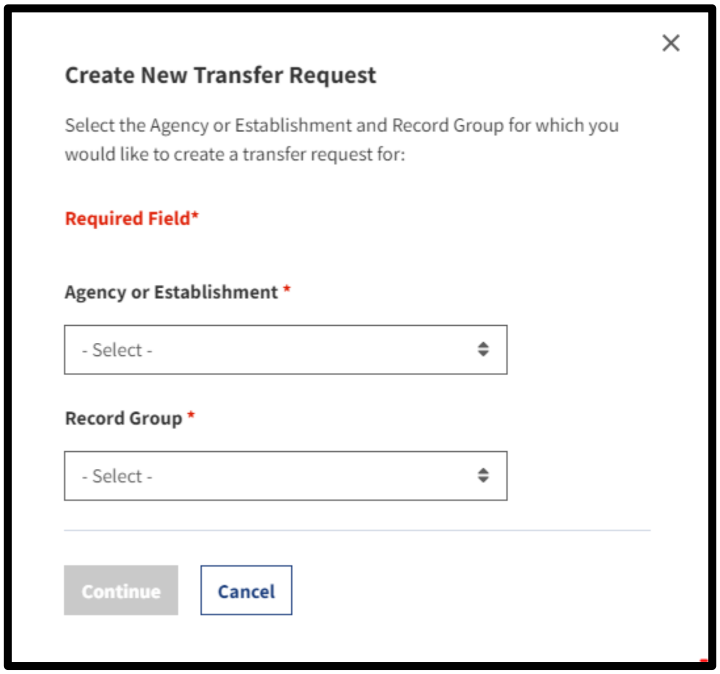

Figure 1: Create New Transfer Request Dialog Window

2. Select your **Agency or Establishment** from the corresponding menu option.
3. Select your agency's **Record Group** from the corresponding menu option.
4. Select **Continue**. The **Create Transfer Request** page displays.

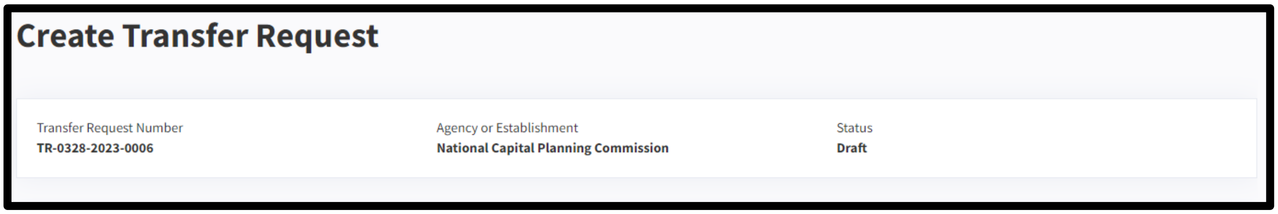

Figure 2: Create Transfer Request Page Headers

The *Record Group* dropdown menu contains a list of auto-populated Record Groups within the selected Agency or Establishment.

If you do not have access to the correct Record Group, contact your ERA 2.0 Account Manager to start the process of having the value(s) added to your profile. *If your user profile has more than one Agency or Record Group available, you must select the correct Record Group AND Agency.*

About the Transfer Request Form in ERA 2.0

The ***Transfer Request*** form auto-generates a **Transfer Request number** based on the **Record Group**, current fiscal year, and sequential number (i.e., TR-0064-2023-0001). It also pulls over your Agency or Establishment information and sets your form to **Draft** status. The status updates automatically as the ***Transfer Request*** progresses through the workflow. **Note:** *The **Transfer Request Number** and the **Agency or Establishment** fields remain constant throughout the workflow.*

The ***Transfer Request*** form contains subsections that are accessible via the following tabs located on navigation menu on the left:

- **General Information:** Contains contextual information that applies to the ***Transfer Request*** (e.g., name of Agency, creating office, etc.). The tab consists of the following subsections:
    a. Series
    b. Tracking Numbers
    c. Access Restrictions
    d. Location
    e. Transfer Details
- **Contact Information:** Provides contact information for the points of contact relating to the ***Transfer Request***.
- **Attachments:** Allows agencies to attach **supporting documentation** related to the ***Transfer Request***.

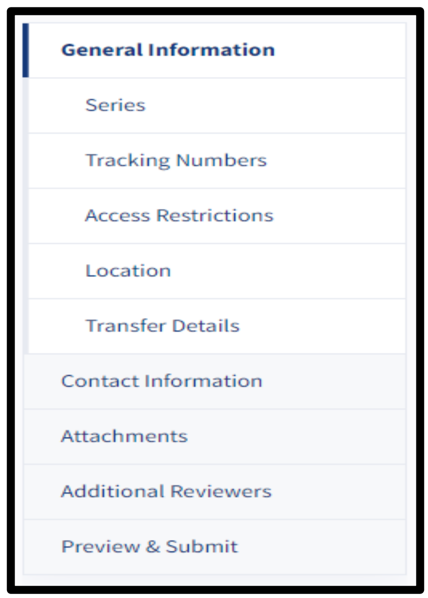

Figure 3: Create Transfer Request Navigation Menu

- **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.

You may select **Save and Exit** at any point to save your in-progress work. You can also select **Reset Form** to reset your form to the last saved version.

Step 2: Complete the General Information Tab

Use this tab to input contextual information relating to the records. The tab displays the following default fields:

- **Agency or Establishment** – This field is auto-populated in the system based on the user's original input in the **Create New Transfer Request** dialog window.

- **Record Group** – This field is also an auto-populated field.

- **Creating Office** – This field is optional and allows users to provide additional context and enter the creating office for the records included in the transfer.

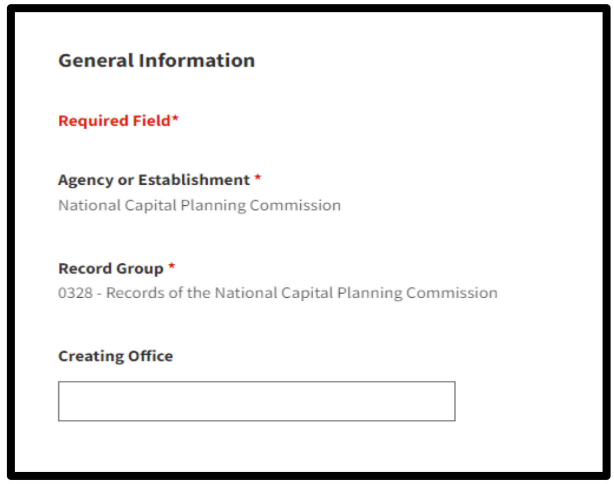

Figure 4: General Information Tab - Default Fields

To complete this tab:

1. Enter the **Creating Office** (if appropriate) in the ***Creating Office*** text-entry field or go directly to Step 2.

2. Select **Next**. The **Series** subsection displays.

Complete the General Information Tab – Series Subsection

Use the **Series** subsection of the **General Information** tab to identify records schedule series/items that will be included in the transfer to NARA.

1. Enter the **Accession Title** in the corresponding text-entry field. This will be a brief name that accurately summarizes the records included in the transfer.

2. Enter the **beginning date** (i.e., the date of the earliest record in the transfer) in the ***Date Span of Records – From*** field. Be as specific as possible; however only the Year is mandatory.

3. Enter the **last date** (i.e., the latest record in the transfer) in the ***Date Span of Records – To*** field.

4. Select the **Disposition Authority Number** button that displays under the ***Disposition Authority List*** header. The **Disposition Authority Lookup** dialog box displays.

   Note: Westrongly recommended that you use the available filters to only see disposition authorities associated with your Agency/Record Group.

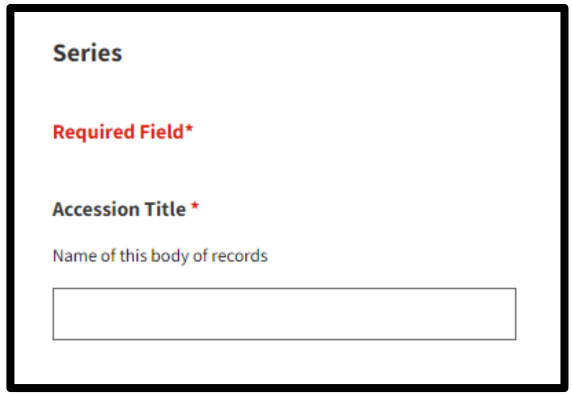

Figure 5: Series Tab - Accession Title Field

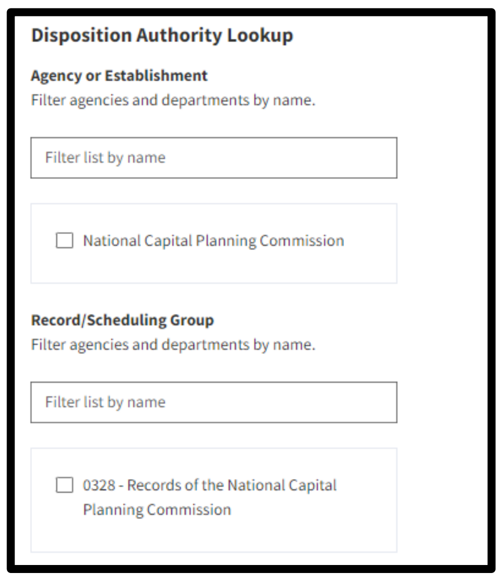

Figure 6: Disposition Authority

If transferring permanent records covered by a GRS, agencies may refer to the **GRS lookup table** for assistance in converting a GRS manual citation (such as GRS 6.2, item 010) to its corresponding DAA disposition authority number

5. Select the **disposition authority number** you want to link to the ***Transfer Request*** by checking its associated box.

6. Select **View More** at any time to see additional items. Otherwise, go to step 7.

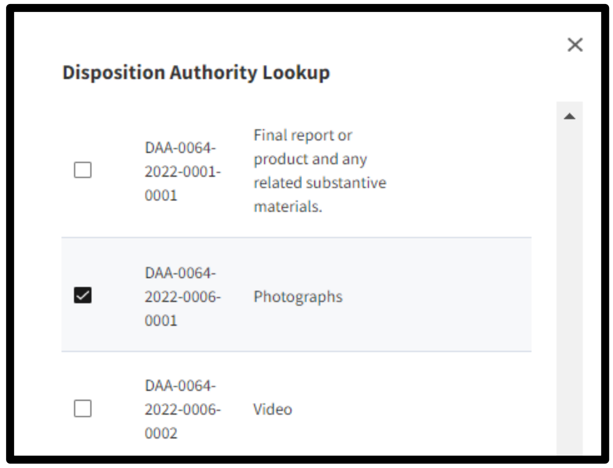

Figure 7: Populated Disposition Authority Lookup Tool

Only ***Transfer Requests*** that have an active disposition authority linked with them can be submitted to NARA. Use the **Disposition Authority Lookup** tool to search and add one or more permanent active Records Schedule Item(s) to the ***Transfer Request***.

7. Select **Add Disposition Item(s)** to add the disposition authorities to your ***Transfer Request*** form.

8. Select the **Direct Offer** from the ***Type of Legal Transfer*** drop-down menu.

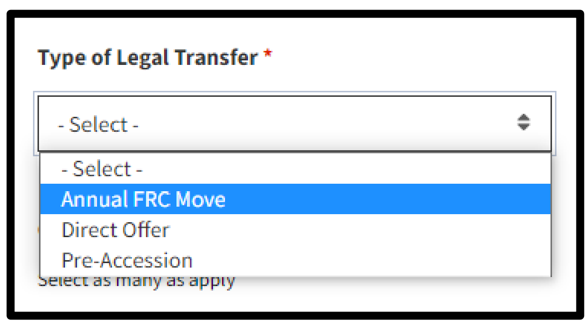

Figure 8: Type of Legal Transfer Drop-down Menu

Direct Offer: Refers to transfers initiated by agencies for records located in agency space. This option applies to electronic records transfers.

9. Select the **record type(s)** for the records being transferred by selecting the corresponding checkboxes under the ***General Records Type*** header. Options include but are not exclusive to:

    a. Photographs

    b. Maps

    c. Textual Records

10. Select **Next**.

    Note: Skip the **Tracking Numbers** subsection.

Complete the General Information Tab – Access Restrictions Subsection

Use the **Access Restrictions** subsection of the **General Information** tab to enter information relating to the restrictions for the records within the ***Transfer Request***, such as security-classification or Freedom of Information Act (FOIA) exemptions. To complete this subsection, select an **access restriction status** for the included records from the corresponding drop-down menu. Options are:

a. **Unrestricted** - records are fully available for public release.

b. **Restricted-Fully** - the entire transfer is restricted from public use, on a file or box level.

c. **Restricted-Partly** - some records are restricted, but others are not, on a file or box level.

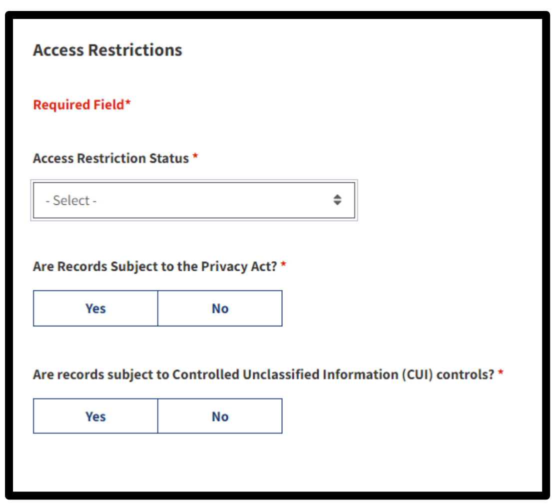

Figure 9: Access Restrictions Dialog

The following provides step by step guidance for each of these options.

Access Restriction Status – Unrestricted

1. Select **Unrestricted** from the ***Access Restriction Status*** drop-down menu.

2. Select **No** in reply to the question: ***Are Records Subject to the Privacy Act?***

3. Select **Yes** or **No** as appropriate in reply to the question: ***Are records subject to Controlled Unclassified Information (CUI) controls?***

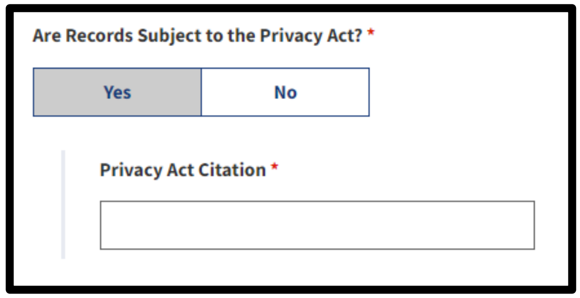

Figure 10: Privacy Act Citation Field

Note: Select **Yes** if the ***Transfer Request*** includes records with markings included in the *ISOO Controlled Unclassified Information (CUI) Registry*. Enter the **Safeguarding and/or Dissemination Authority** office or department.

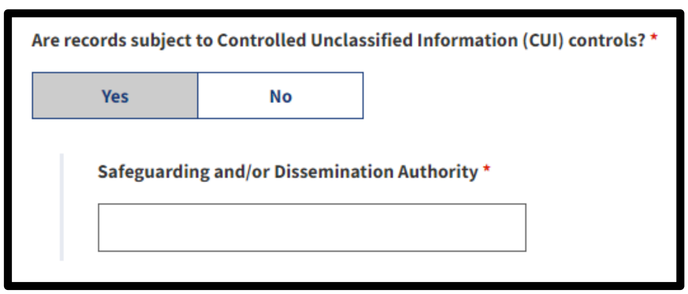

Figure 11: Safeguarding and/or Dissemination Authority Field

4. Select **Next**. The **Location** subsection displays.

Access Restriction Status – Restricted – In Part

1. Select **Restricted - Partly** from the ***Access Restriction Status*** drop-down menu. The ***Specific Access Restriction*** drop-down menu displays.

   Select as many exemptions as apply from the following options. Selecting **FOIA (b)(1)** the **National Security** exemption triggers the ***Security Classification*** and ***Special Markings*** sub-menus correspondingly.

   - FOIA (b)(1) National Security
   - FOIA (b)(2) Internal Personnel Rules and Practices
   - FOIA (b)(3) Statute
   - FOIA (b)(4) Trade Secrets and Commercial or Financial Information
   - FOIA (b)(5) Inter-agency or Intra-agency Memorandums or Letters Not Available by Law
   - FOIA (b)(6) Personal Information
   - FOIA (b)(7) Law Enforcement
   - FOIA (b)(7a) Law Enforcement
   - FOIA (b)(7b) Law Enforcement
   - FOIA (b)(7c) Law Enforcement
   - FOIA (b)(7d) Law Enforcement
   - FOIA (b)(7e) Law Enforcement
   - FOIA (b)(7f) Law Enforcement
   - FOIA (b)(8) Regulation or Supervision of Financial Institutions
   - FOIA (b)(9) Geological or Geophysical Information and Data
   - Freedom of Information Act (FOIA)
   - Other

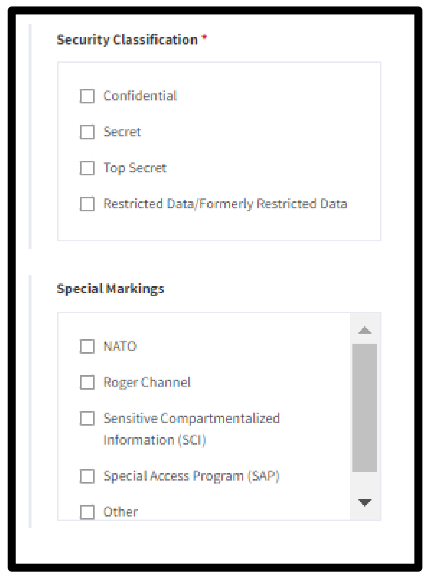

Figure 12: Security Classification and Special Markings Sub-menus for Partly Restricted Access

Selecting **FOIA (b)(3)** exemption triggers the ***Statutory Citation*** sub-menu. Choose all statutes that restrict access to records in the transfer.

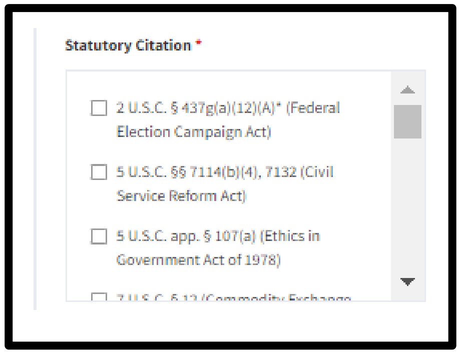

Figure 13: Statutory Citation Sub-menu for Partly Restricted Access

Selecting **Restricted-Partly** activates the optional ***Restriction Note*** sub-field. This sub-field will display at the bottom of the page. You may enter any appropriate contextual information about this access restriction in this field.

2. Select **Yes** or **No** as appropriate in reply to the question: ***Are Records Subject to the Privacy Act?***

   Note: Select **Yes** if a ***System of Record Notice (SORN)*** has been published in the Federal Register for the records included in the ***Transfer Request***. Enter the specific **Privacy Act Citation** in the corresponding sub-field that displays.

3. Select **Yes** or **No** as appropriate in reply to the question: ***Are records subject to Controlled Unclassified Information (CUI) controls?***

Note: Select **Yes** if the ***Transfer Request*** includes records with markings included in the [*ISOO Controlled Unclassified Information (CUI) Registry*]. Enter the **Safeguarding and/or Dissemination Authority** office or department in the corresponding sub-field that displays.

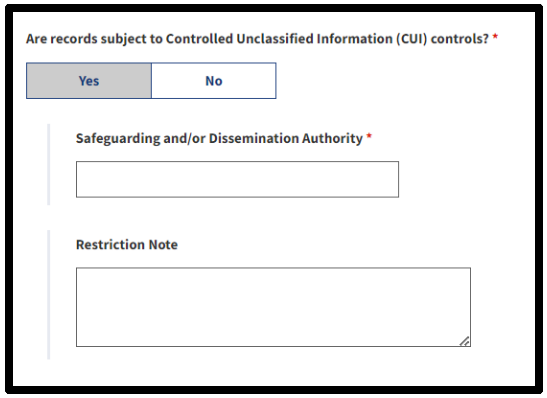

Figure 14: ISOO CUI Registry-Related Sub-fields

4. Select **Next**. The **Location** subsection displays.

Access Restriction Status – Restricted – Fully

In ***Security Classification***, select the highest standard national security classification level present in the transfer. Indicate whether the records contain Restricted Data/Formerly Restricted Data. Under ***Special Markings***, select any applicable national security special handling restrictions.

- Select **Restricted - Fully** from the ***Access Restriction Status*** drop-down menu.
    - The ***Specific Access Restriction*** drop-down menu displays.
- Select as many exemptions as apply from the following options.
    - Selecting the **FOIA (b)(1) National Security** exemption triggers the ***Security Classification*** and ***Special Markings*** sub-menus correspondingly.

- FOIA (b)(1) National Security
- FOIA (b)(2) Internal Personnel Rules and Practices
- FOIA (b)(3) Statute
- FOIA (b)(4) Trade Secrets and Commercial or Financial Information
- FOIA (b)(5) Inter-agency or Intra-agency Memorandums or Letters Not Available by Law
- FOIA (b)(6) Personal Information
- FOIA (b)(7) Law Enforcement

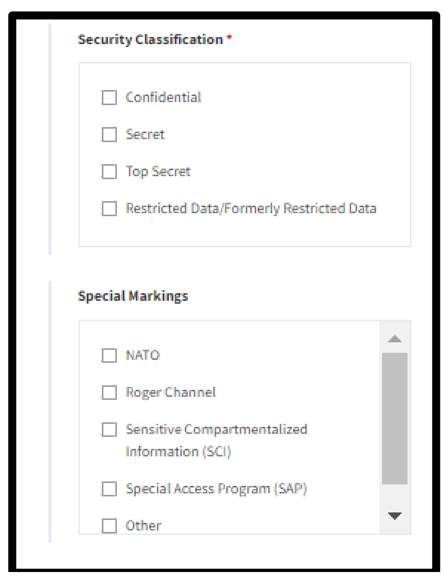

Figure 15: Security Classification and Special Markings Sub-menus for Fully Restricted Access

- FOIA (b)(7a) Law Enforcement
- FOIA (b)(7b) Law Enforcement
- FOIA (b)(7c) Law Enforcement
- FOIA (b)(7d) Law Enforcement
- FOIA (b)(7e) Law Enforcement
- FOIA (b)(7f) Law Enforcement
- FOIA (b)(8) Regulation or Supervision of Financial Institutions
- FOIA (b)(9) Geological or Geophysical Information and Data
- Freedom of Information Act (FOIA)
- Other

Selecting the **FOIA (b)(3)** exemption triggers the ***Statutory Citation*** sub-menu. Select all statutes that restrict access to records in the transfer.

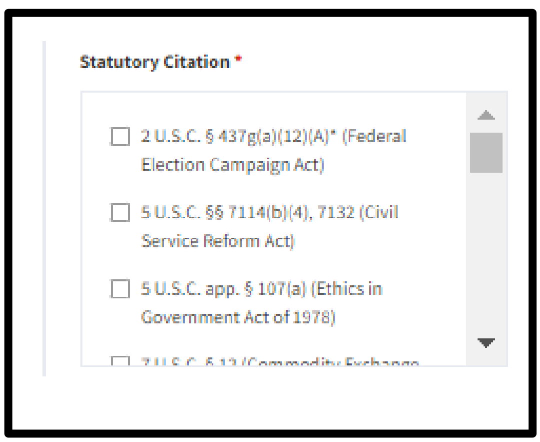

Figure 16: Statutory Citation Sub-menu for Fully Restricted Access

Selecting **Restricted - Fully** activates the optional ***Restriction Note*** sub-field. This sub-field displays at the bottom of the page. Enter any contextual information about the access restriction in this field.

- Select **Yes** or **No** as appropriate in reply to the question: ***Are Records Subject to the Privacy Act?***

- **Note**: Selecting **Yes** indicates that a *System of Record Notice (SORN)* has been published in the Federal Register for the records included in the ***Transfer Request***. The specific **Privacy Act Citation** must be entered in the corresponding sub-field that displays.

- Select **Yes** or **No** as appropriate in reply to the question: ***Are records subject to Controlled Unclassified Information (CUI) controls?***

  Note: Select **Yes** if the ***Transfer Request*** includes records with markings included in the ***ISOO Controlled Unclassified Information (CUI) Registry***. Enter the **Safeguarding and/or Dissemination Authority** office or department in the corresponding sub-field that displays.

- Select **Next**. The **Location** subsection displays.

Complete the General Information Tab – Location Subsection

Use the **Location** subsection to identify where the records are currently being stored.

The menu items that display on the **Location** subsection are dependent on the type of legal transfer selected for the records on the **Series** subsection of the **General Information** tab.

Location Instructions for Direct Offer Transfers:

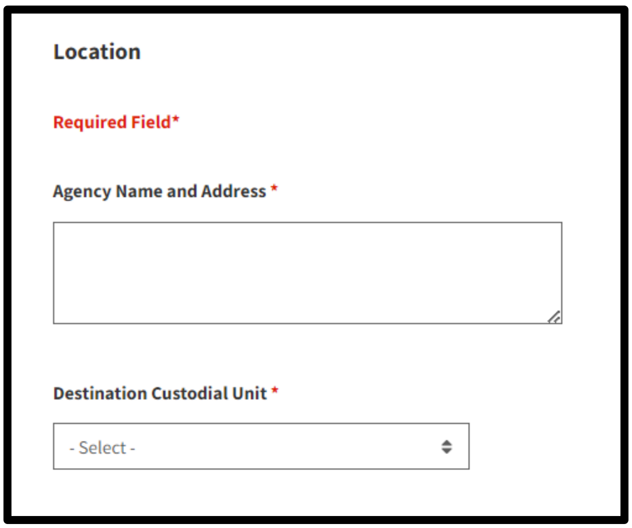

Figure 17: Location Menu for Direct-Offer

To complete this subsection:

1. Enter your **Agency Name and Address** in the corresponding text field.

2. Select a **NARA Custodial Unit** from the ***Destination Custodial Unit*** drop-down menu.

3. Select **Next**. The **Transfer Details** subsection displays.

Complete the General Information Tab – Transfer Details Subsection

Use the **Transfer Details** subsection of the **General Information** tab to identify how the records will be transferred. For electronic records, select one of the following options:

- **Electronic Records on Physical Media** (for records stored on physical media (e.g., CD-ROM) for transfer to NARA)
- **Electronic Records by Electronic Means** (for records transmitted to NARA via an electronic transfer method (e.g., SFTP)). If you select this option, complete the sub-field of **Estimated Electronic Volume**.

Completion of this subsection is dependent upon the transfer method(s) selected. The instructions for each transfer method are provided below. Multiple transfer methods may be used to support a ***Transfer Request.***

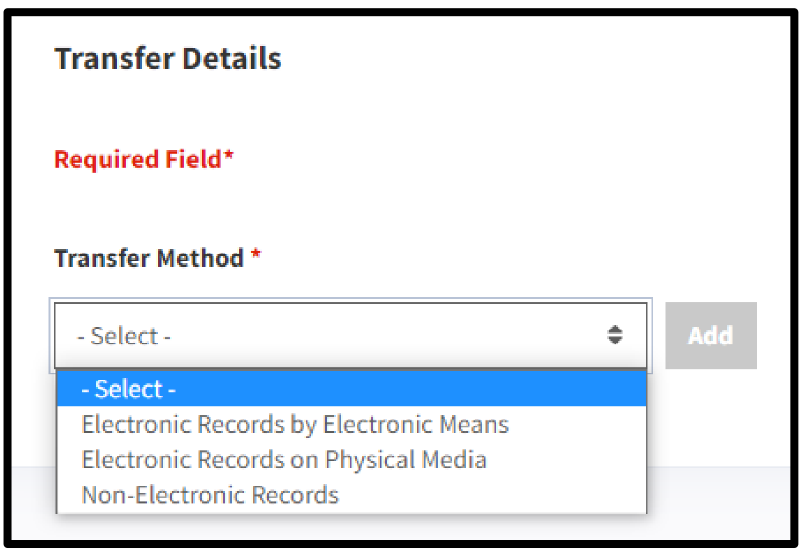

Figure 18: Transfer Method Drop-Down Menu

Transfer Details Instructions for Electronic Records by Electronic Means Transfer Method

1. Select **Electronic Records by Electronic Means** from the ***Transfer Method*** drop-down.

2. Select **Add**. A dialog window displays.

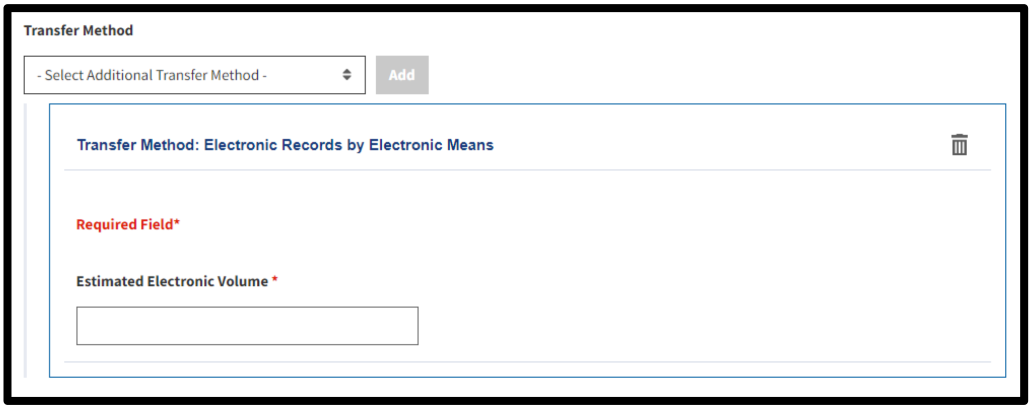

Figure 19: Electronic Records by Electronic Means Sub-menu

3. Enter the **Estimated Electronic Volume** *(in MB, GB, TB)* of the records.

4. Add **transfer method(s)** as appropriate. Otherwise go to Step 5.

5. Select **Next**. The **Contact Information** tab displays.

Transfer Details Instructions for Electronic Records on Physical Media Transfer Method

1. Select **Electronic Records on Physical Media** from the ***Transfer Method*** drop-down.

2. Select **Add**. A dialog window displays.

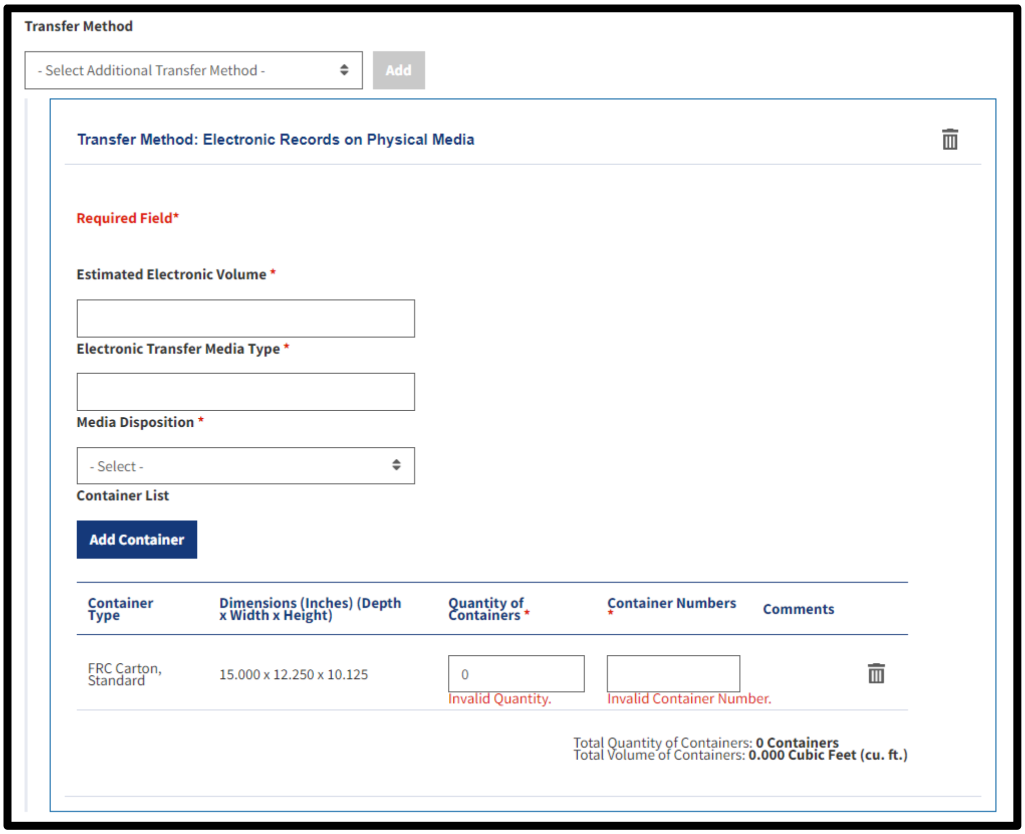

Figure 20: Electronic Records on Physical Media Sub-menu

3. Enter the **Estimated Electronic Volume** *(in MB, GB, TB)* of the records.

4. Enter the **type of physical storage device** (e.g., CD / DVD, hard drives, computer tape., etc.) to be used in the *electronic* ***Transfer Media Type*** text-entry field.

5. Enter the **Media Disposition** (the Agency's preference for what happens to the original physical storage device after the records are accepted into the legal custody of the National Archives) in the corresponding text-entry field. Options are **Destroy** or **Return to Agency**.

6. Add **Container details**.

    a. **For Container Types:** Select the **Add Container** button that displays under the *Container List* header. The **Search Container Type** dialog window displays.

    Select the **container code** for the container type(s) (if applicable) that best correspond to the container(s) that will be used for the ***Transfer Request***.

    Select **Add**. The **Electronic Records on Physical Media** dialog window displays the selected container type.

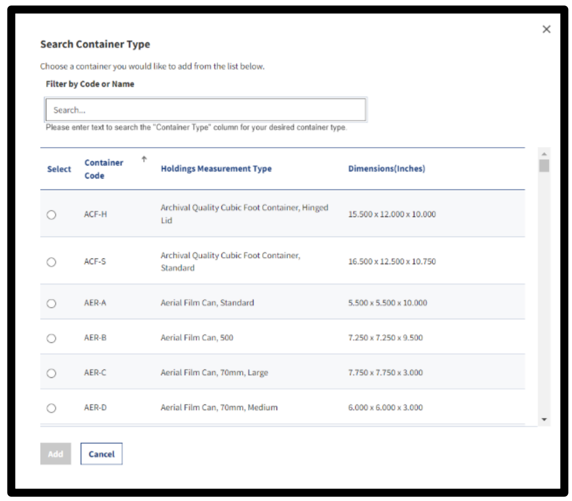

Figure 21: Add Container Search Tool

    Enter the **quantity and number of containers**. ERA 2.0 automatically calculates the quantity and volume of containers.

7. Add **transfer method(s)** as appropriate. Otherwise go to step 8.

8. Select **Next**. The **Contact Information** tab displays.

Step 3: Review and Update Contact Information

ERA 2.0 automatically associates the user who creates the form with the form that is generated. It also assigns the user as the Primary Contact for the ***Transfer Request***. Review the auto-populated contact information for your user profile. To update the system-generated contact information, follow your Agency guidance on updating user profiles in ERA 2.0.

If you are not the primary contact for the ***Transfer Request*** and you would like to add a primary contact, follow the steps below. You have the option of selecting from existing contacts or adding a new contact. To add a new contact, you will need the contact's first and last name, email, and phone number to complete the steps below.

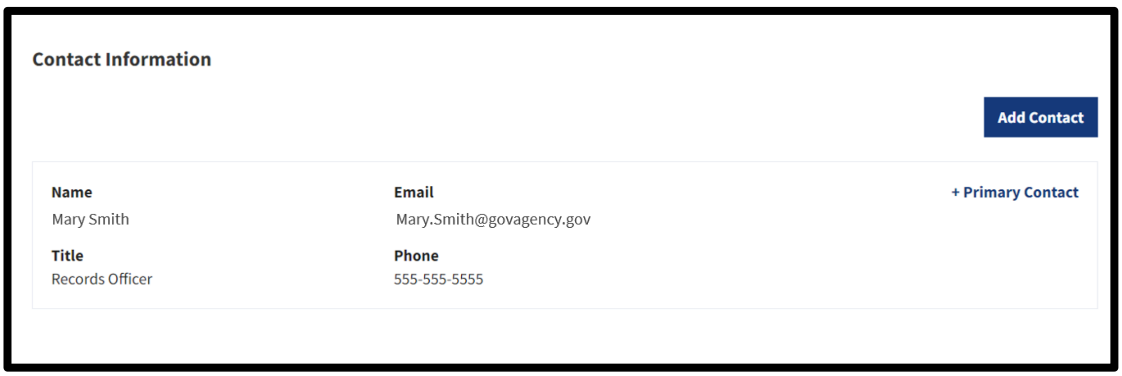

Figure 22: Contact Information Tab

Add a Primary Contact – Selecting an Existing Contact

1. Select **Add Contact**. The ***Add Contact*** dialog window displays. The **Select Existing Contact** tab displays by default.

2. Select the **button** next to the name of the person you would like to add as a contact. You may use the search filter that displays at the top of the window to narrow your results.

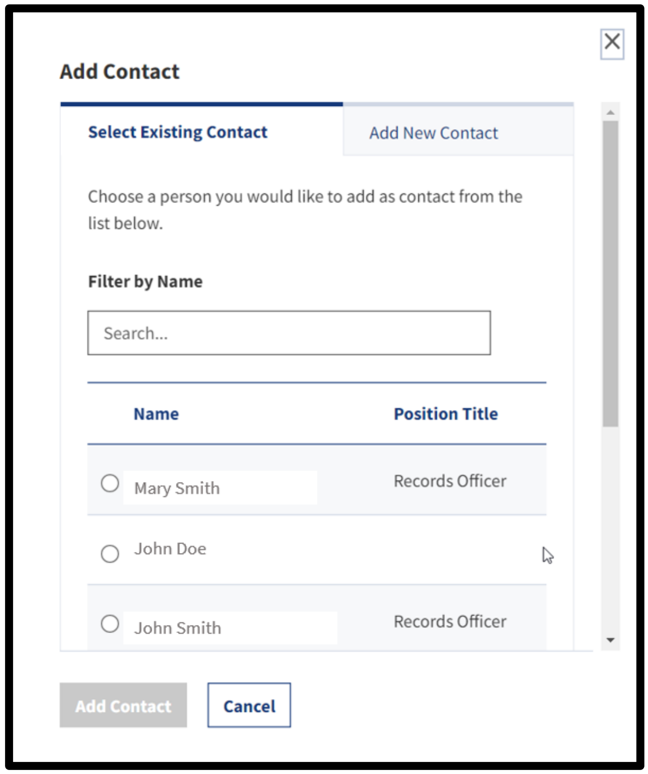

Figure 23: Select Existing Contact Menu

3. Reply **Yes** to: ***Make this person the primary contact?***

4. Enter **comments** in the *Comments* field as appropriate.

5. Select **Add Contact**. The **Contact Information** tabs displays the updated Primary Contact information.

6. Select **Next**. The **Attachments** tab displays.

If the contact is not selected as the Primary Contact during the adding process, you must delete the contact and add the person again.

Add a Primary Contact – Adding a New Contact

1. Select **Add Contact**. The ***Add Contact*** dialog window displays. The **Select Existing Contact** tab displays by default.

2. Select the **Add New Contact** tab. The **Add New Contact** tab displays.

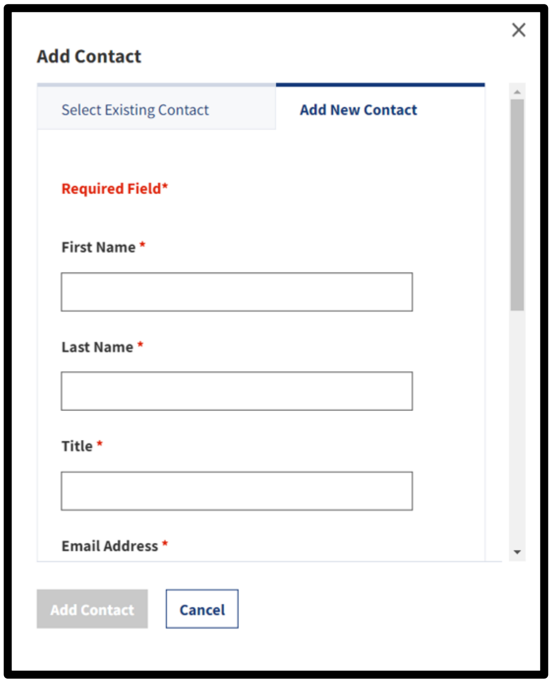

Figure 24: Add New Contact Menu

3. Enter the **contact's information** – i.e., First Name, Last Name, Title, Email Address, and Phone Number in the fields provided.

4. Reply **Yes** to: ***Make this person the primary contact?***

5. Select **Add Contact**. The **Contact Information** tabs displays the updated Primary Contact information.

6. Select **Next**. The **Attachments** tab displays.

Step 4: Upload Attachments

Use the **Attachments** tab to upload supporting documentation related to the ***Transfer Request***. The system supports uploading documents of any type (e.g., pdf, .docx, .xlsx, .csv, etc.) and you can upload more than one document.

Note: Do **not** upload ***Federal records*** as attachments in ERA 2.0.

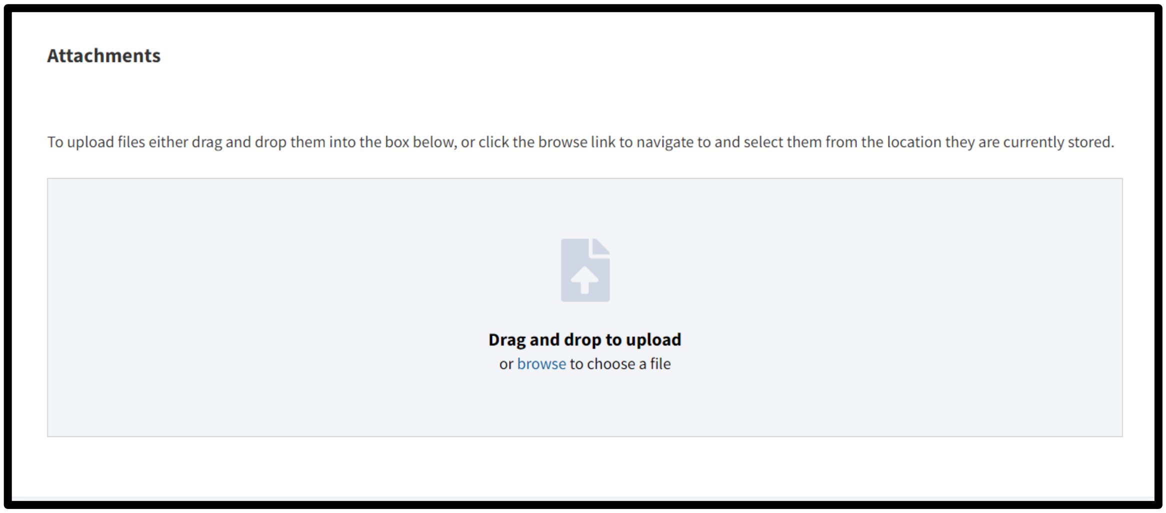

Figure 25: Attachments Feature Dialog Window

1. Follow the instructions on the **Attachments** tab for uploading your documents by either: 1) dragging and dropping them into the dialog window or 2) browsing your system to upload the file from a network location. The ***Document Type*** drop-down menu displays.

*Multiple documents may be attached simultaneously. ERA 2.0 adds the following metadata to the uploaded document(s): 1) File Name, 2) Uploaded By, 3) Uploaded Date, 4) File Size, and 5) Status (which will be set as **In-Progress**).*

2. Select the **document's type** from the ***Document Type*** drop-down menu. Options are:
    - Classified records transfer checklist (NA-14130 b)
    - Correspondence

- Finding Aid (e.g., file list, metadata)
- Kyl-Lott Certification
- Memorandum
- SF-115
- Other

3. Enter **comments** into the ***Comments*** text-entry field as appropriate.

4. Repeat **Steps 1 through 3** as appropriate until all the attachments are added.

5. Verify that your document was successfully uploaded by selecting the **Attachments** tab and confirming that the metadata updates the status of the document to **Complete**.

Figure 26: Attachments Meta-data & Completion Status Fields

6. Select **Next** OR **Preview & Submit** to access the **Preview & Submit** tab.

Once a Transfer Request has been proposed and sent to NARA, agency users cannot add attachments to it.

Step 5: Preview & Submit

The **Preview & Submit** tab (from the main navigation menu) aggregates all the information you provided for your ***Transfer Request*** across multiple tabs and displays them on one page. Use this overview to review/check your entries and make edits as appropriate. You can also submit the ***Transfer Request for Agency Approval*** from this tab.

1. Review the information displayed on the **Preview & Submit** tab. Notice that each tab from the main navigation menu is represented.

2. Select the **minus (-) symbol** to collapse any section.

3. Select the **plus (+) symbol** to expand any section.

4. Select **Edit** located to the right of any section header to access and edit information on the corresponding tab.

    a. Enter your **edits**.

    b. Select **Save Changes**. The **Preview & Submit** tab displays.

5. (Optional) Select **Download All** to the right of the ***Attachments*** header. (Downloading attachments is ***optional***.) The ***Generate Package for Download*** dialog window displays.

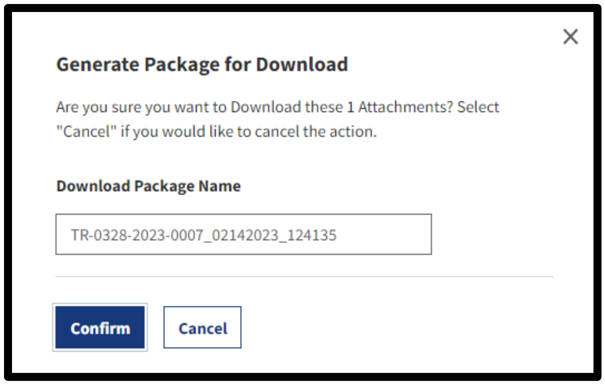

Figure 27: Download All Feature Dialog

a. Select **Confirm** to confirm the download or **Cancel** to cancel the action. A confirmation message appears that states you will be notified (via the ERA 2.0 **Notifications** function available on your ***Homepage*** task bar) when the processing is complete. Alternatively, you may check the status through the **Task Progress** function, also available on your ***Homepage*** task bar.

b. Confirm the download is complete **prior to** submitting the ***Transfer Request*** for certification, to avoid triggering an error on your submission.

6. Select **Submit for Agency Approval** to submit the ***Transfer Request*** to the Approving Official.

7. Verify that the following message displays: **The *Transfer Request* has been successfully submitted for Agency Approval**.

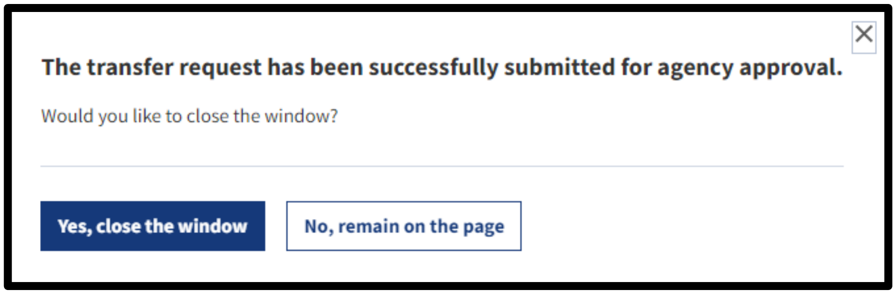

Figure 28: Submission Confirmation Message

8. Select **Yes, close the window** to close out of the ***Transfer Request*** and go to your ***Dashboard***; select **No, remain on page** to go to the **Transfer Request Summary** tab. This tab replaces the **Preview & Submit** page after the ***Transfer Request*** is submitted for agency approval. If you remain on this page, notice that the document's status changes to **Submitted for Agency Approval**.

Step 6: Review the History & Activity Log

After submitting the ***Transfer Request*** for agency approval, the form is routed to the Approving Official(s). The Approving Official(s) will review the form and edit it as appropriate. The Approving Official(s) will then take actions to either propose the ***Transfer Request*** to NARA or return it to the initial requestor for additional action. For additional information, please review the support materials for the **Propose a Transfer Request** task available on the ERA 2.0 Training page.

To track the status of actions taken on the ***Transfer Request***, review its **History & Activity Log** which generally becomes available after the ***Transfer Request*** is no longer in **Draft** status.

The **History & Activity Log** appears in the left navigation of the ***Transfer Request*** form after it has been submitted to the Approving Official. It provides an overview of each milestone, or action taken, on a given ***Transfer Request***. In addition to reviewing the list of actions, you can access more detailed information regarding the specific milestones by selecting the **eye** icon that displays to the right of the milestone's header.

Figure 29: History & Activity Log

1. Select **History & Activity Log** from the navigation menu on the left. The **History & Activity Log** displays.

2. Verify that the **status** of the ***Transfer Request*** is consistent with where you believe it should be within the **Transferring** workflow. By checking the status listed in the upper-left side of the log.

Figure 30: History & Activity Log Status Field

3. Review the **table entries** to confirm:

   a. Latest actions taken on the ***Transfer Request***

   b. Users who have taken the actions

   c. Date (and time) of each action

4. Select **Open** (the **eye** icon) to review details about specific milestones as well as activity at the more granular level if it is available.

5. Select **Close** to return to the **History & Activity Log.**

END.