ERA 2.0 Job Aid: Propose a Transfer Request

Purpose

The purpose of this document is to provide step-by-step guidance on how to propose a Transfer Request in 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.

Agency partners have a critical role in helping to safeguard and preserve the records of our government; this job aid helps to enable Agencies to be able to perform these activities in the ERA 2.0 system.

Who Should Use This Job Aid?

This job aid is for any ERA 2.0 user who has an Approving Official profile, including those who are dual assigned as both Transferring Official and Approving Official.

If your Agency's business processes accommodate the use of dual roles, the assigned users will acquire all the permissions inherent in each role assigned. Through this use of "stacked permissions," an Approving Official can not only propose a Transfer Request in "Submitted for Agency Approval" status, but they can also create and propose a Transfer Request of their own. In instances where the Approving Official creates a Transfer Request, on the Preview and Submit page they will see the option to *Propose* instead of *Submit for Agency Approval*.

Step-By-Step Instructions for: Propose a Transfer Request

ERA 2.0 provides Federal agency personnel with the tools to perform essential records management activities, such as scheduling records and transferring permanent records to NARA. It also routes the associated forms (i.e., Records Schedules and Transfer Requests) through logical workflows to ensure reviews and approvals occur at appropriate intervals. For example, ERA 2.0 automatically routes Transfer Requests that are in "Submitted for Agency Approval" status from the Transferring Official to the Approving Official. The Approving Official then has the option to either: 1) *propose* it, which automatically routes to NARA or 2) *return* it, which automatically routes to the Transferring Official who created it.

The steps for proposing a Transfer Request have been divided into the following sub-tasks:

1. Locating and/or Reassigning a Transfer Request Requiring Action
2. Review a Transfer Request
3. Propose a Transfer Request
4. Confirm the Status of a Proposed Transfer Request

Instructions for completing each of the above tasks follows.

Step 1: Locating and/or Reassigning a Transfer Request Requiring Action

Apart from Direct Offers and Pre-Accession transfers that are initiated by the agencies, the bulk of ERA 2.0 transfers are accomplished via the FRC Annual Move process whereby NARA assumes legal and physical custody of agencies' permanent records stored at the Federal Records Centers (FRCs).

To facilitate this process, NARA provides agencies with pre-populated Transfer Requests (TRs) in ERA 2.0 for all permanent records stored in FRCs. Agencies are responsible for reviewing and validating the NARA pre-populated Transfer Request prior to the transfer. The Approving Official, working alone or in concert with other Agency Staff, will complete this review and validation.

Locating and/or Reassigning a Transfer Request Requiring Action

ERA 2.0 displays Transfer Requests on the user's Dashboard; either on their My Tasks tab or Unassigned Tasks tab. Where they land depends upon several factors including, but not limited to, the user's role, the number of additional users with that same role, the type of transfer, and the stage in the Transfer Request workflow at the time of display.

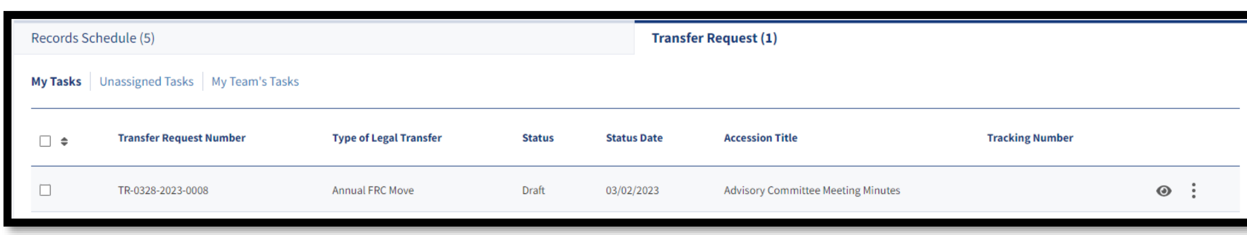

Figure 1: Approving Official Transfer Request Dashboard - My Tasks Tab

After locating Transfer Requests that require action a decision should be made to either move forward with proposing them or to reassign for further review. To reassign a Transfer Request to a Transferring Official or another Approving Official for any reason, use the Reassign function (see guidance below).

To reassign a Transfer Request from wherever it displays on the Approving Official Dashboard:

1. Access the relevant **Approving Official Dashboard tab** (My Tasks tab, Unassigned Tasks tab, and, in some instances, My Team's Tasks tab) as appropriate.

2. Locate the **Transfer Request you want to reassign** and then select the **vertical ellipsis** on the far right to reveal additional functions.

3. Select **Reassign** from the menu that displays.

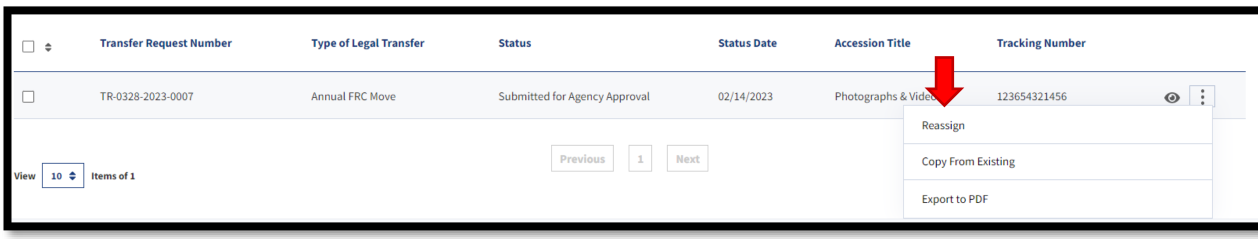

Figure 2: Approving Official's Dashboard w/ Reassign Function Visible

4. Select **your name** (or the name of another Approving/Transferring Official if you are reassigning the Transfer Request to someone else) from the *drop-down menu* that appears in the Review Reassignment dialog window that displays.

5. Enter **comments**, as appropriate in corresponding field.

6. Select **Confirm** to confirm your choice.

The Transfer Request should now appear on the My Tasks tab of the user to which it was assigned.

Locating and/or Reviewing Transfer Request Updates from the Notifications Page

The first indicator that a Transfer Request has been submitted for agency approval may appear in the *Notifications* header (i.e., the "bell" icon) on your ERA 2.0 Homepage toolbar. A red exclamation point overlaying the icon indicates a new action has been taken on a Records Schedule or Transfer Request.

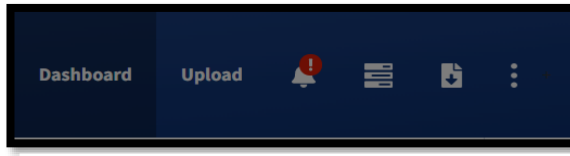

Figure 3: Notifications Active on Toolbar

To access and review *Notification* details:

1. Select the **Notifications icon.** The Notifications page displays.

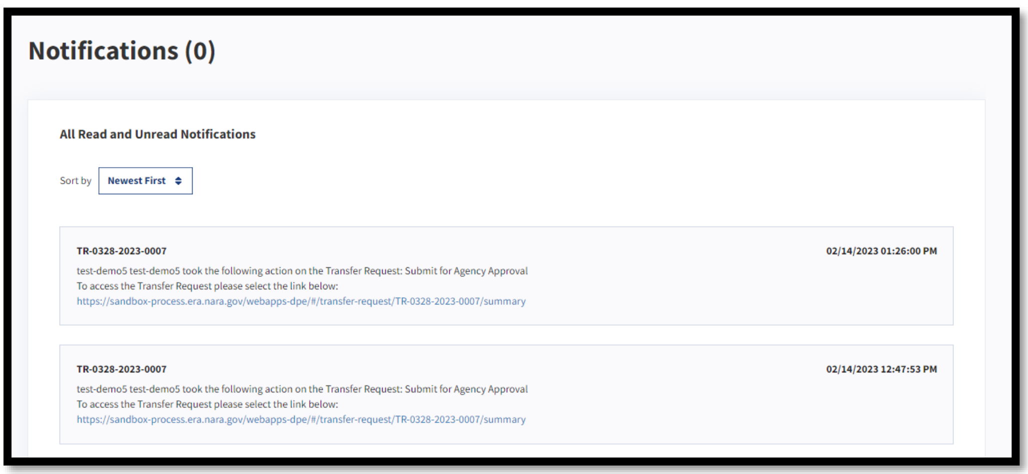

Figure 4: Notifications Page

2. Select **the link provided** to access the additional details.

Figure 5: Notifications Update

For an individual Transfer Request that is being managed as a Direct Offer or Pre-Accession, the Transfer Request Summary Page displays. For FRC Annual Move transfers, a CSV file listing all included transfers displays.

3. Take **next steps as appropriate**; depending on the scenario, available actions may include, but are not limited to, reassigning (see guidance above), reviewing, or proposing the Transfer Request.

Step 2: Review a Transfer Request

The View/Open (i.e., "eye" icon) is available throughout ERA 2.0 and is used as your primary access point for viewing additional information when it appears.

To review a Transfer Request:

1. Select the **View/Open** icon to the right of the Transfer Request you would like to review. *Alternatively, you may select an associated link if it is available on the Notifications page*. The Transfer Request Summary page displays.

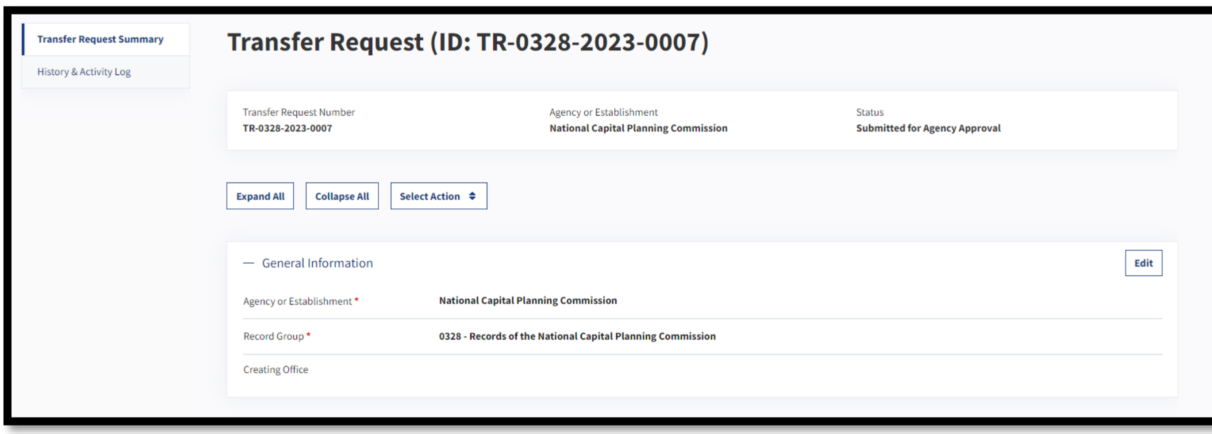

Figure 6: Transfer Request Summary Page

2. Expand or collapse each section by selecting the **plus** (+) or **minus** (-) **symbol** as appropriate. Alternatively, you can expand or collapse all sections by selecting the **Expand All** and **Collapse All** buttons that appear below the page header.

3. Scroll the **Transfer Request** to review all sections.

4. Select the **Edit** button, to edit any section directly.

See **Step 3: Propose a Transfer Request** for the steps to provide Agency approval and *propose* the Transfer Request to NARA.

Step 3: Propose a Transfer Request

Upon completion of your review, you will have the option to **propose** the Transfer Request or **return** it. Selecting *Propose* routes the Transfer Request to NARA. Selecting *Return* routes the Transfer Request back to the person who submitted it for agency approval.

A user will not be able to propose a Transfer Request until they accept NARA's Terms of Agreement.

1. Scroll to the Terms of Agreement section of the **Transfer Request Summary**.

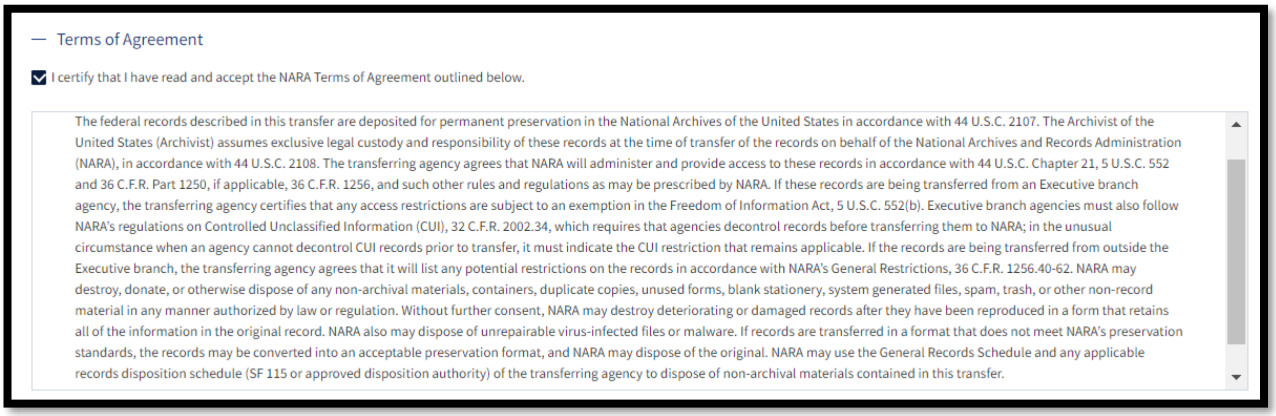

Figure 7: Transfer Request Summary: Terms of Agreement Section

2. Select the **checkbox** certifying your agreement with the terms.

3. Scroll to the Approving Official Review section of the **Transfer Request Summary**.

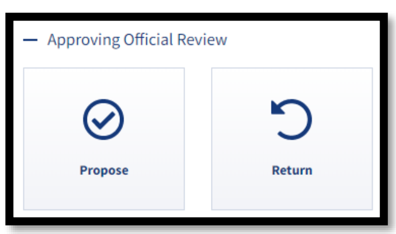

Figure 8: Approving Official Review Functions

4. Select **Propose** to provide Agency approval for the Transfer Request and propose the records transfer to NARA. A confirmation window displays.

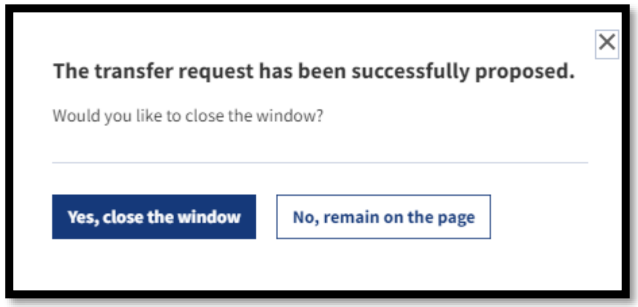

Figure 9: Transfer Request Agency Approval Confirmation Window

5. Select **Yes, close the window** and exit out of the screen. Once the Approving Official selects *Propose*, the Transfer Request is sent to NARA.

Once the Transfer Request is in "Proposed" status, it is no longer visible on the Approving Official's Dashboard. To check the status of a Transfer Request that has been proposed to NARA, use the Search function. See Step 4: Confirm the Status of a Proposed Transfer Request for additional instructions.

Step4: Confirm the Status of a *Proposed* Transfer Request

To check on the status of a *Proposed* Transfer Request at any time:

1. Navigate to the **Search** function located at the top of your Homepage.

   Note: You may conduct a simple search by combining a keyword search with the selection of default parameters. You also have the option of conducting more advanced searches. The below instruction provides the steps for a simple search.

2. Expand the **RS-All Fields** drop-down menu to access the additional options. The default parameters for searching Records Schedules displays.

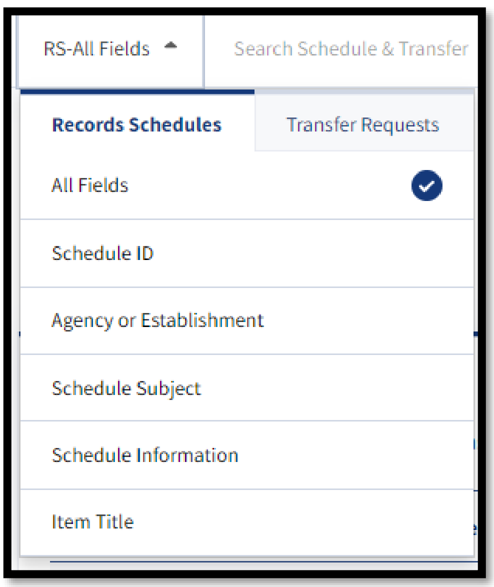

Figure 10: Records Schedule Default Search Parameters

3. Select the **Transfer Requests** tab. The default parameters for searching Transfer Requests displays.

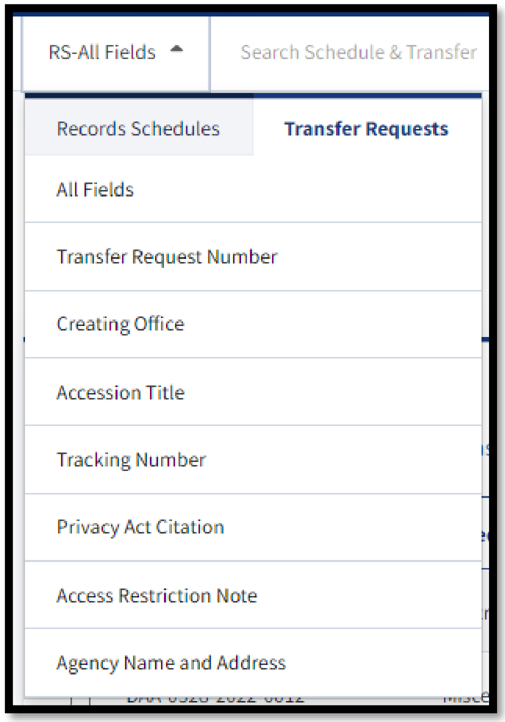

Figure 11: Transfer Requests Default Search Parameters

Any of the listed items may be used as a parameter for your keyword search. *The following instructions assume the user is searching on the Transfer Request Number field.*

4. Select **Transfer Request Number** from the drop-down menu options and ensure that a check mark displays next to the selected field. "TR-Transfer Request Number" should display to the left of the *Keyword* text-entry field.

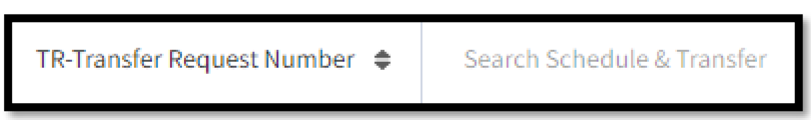

Figure 12: Transfer Request Number Parameter Search Selection

5. Enter the **Transfer Request number** in the *Keyword* text-entry field.

6. Select the **magnifying glass icon** to execute your search. Details,

including status, for the Transfer Request display in the Search Results table.

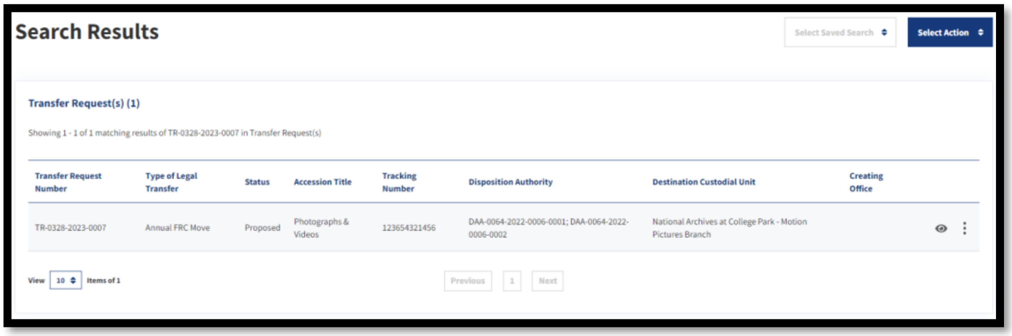

Figure 13: Keyword Search Results for TR-0328-2023-0007

On Approved Transfer Requests, the NARA archival unit may communicate with the Agency by placing comments in the History and Activity log. To view these comments:

7. Access the Transfer Request Summary page for the approved Transfer Request.

8. Select **History & Activity Log** to view the history of actions taken on the Transfer Request. The History and Activity log displays.

9. Select the "**eye**" icon to the right of the "*Approve*". The details for the *Approve* action display. Comments will display in the Additional Comments field under the Activity Log header.

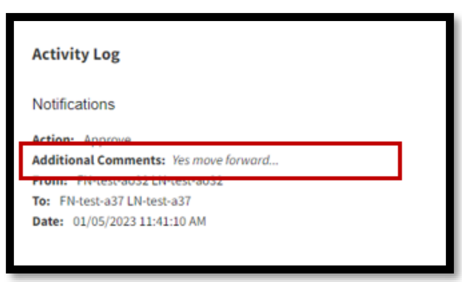

Figure 14: Comment for an Approved Transfer Request

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