ERA User Guide for Scheduling Records
Increment 5, August 2011

WHAT IS NEW

A New Electronic Form

The most significant change between the way you have been scheduling records and scheduling records in ERA is that the SF-115 has been replaced with an electronic form. All records schedules will now be submitted to NARA electronically. This new electronic form is much more structured. The old SF-115 had only a few fields and the bulk of the content was free-form. The new form in ERA includes the old required fields (Agency Name, Major and Minor Subdivision, etc.), but also provides fields to guide schedulers to ensure that information required by the CFR for appraisal is included in the schedule.

While the format of schedules has changed in ERA, the methods by which records can be scheduled have not. ERA can still accommodate traditional series-based schedules as well as “big bucket” and flexible schedules, or even a combination of the two.

Please note that while records schedules will be submitted and maintained electronically, appraisal dossiers (including printed versions of schedules) are still maintained in paper. NARA is in the process of developing an automated workflow system for appraisal that should be operational in FY 2012.

New Job Numbers

Job Numbers are now assigned upon records schedule creation. They have a similar format to the Job Numbers that NARA has used in the past: they include a prefix (DAA or DAL, defined below), the Record Group, the Fiscal Year in which the schedule is created, and a sequential number.

The new prefixes indicate the type of Job Number:

DAA=Disposition Authority Agency: This indicates a new “born-in-ERA” records schedule created by an agency.

DAL=Disposition Authority Legacy: This prefix indicates that the records schedule is legacy information, meaning that it is the ERA Records Schedule ID assigned to a previously approved records schedule. NARA is entering previously approved records schedules so that disposition authorities are available for transferring records via ERA. See the section “Legacy Records Schedules” for more information.

Please note: Schedule numbers no longer reflect order of submission to NARA (as they have in the past), but instead order of creation by the agency. If you create a schedule in one fiscal year but do not submit it until the next, the schedule number will reflect the fiscal year in which the schedule was created. Also, if a schedule is created but deleted, that schedule number will not be reused and therefore there could be gaps in job numbers.

Item Numbers

A significant change to scheduling records in ERA is the item numbering scheme. Records schedules have often relied on an outline format with numbers/letters in hierarchical relationship, for example:

1. Audit Case Files

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

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

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

Audit Case Files

0001 Headquarters Case Files
Disposition Instruction: TEMPORARY. Cut off at end of calendar year in which case closed. Destroy 15 years after cutoff.

0002 Field Case Files

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

KNOWN ISSUES AND WORK AROUNDS

General Issues

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

- **"OK" does not save**. The "OK" button is available when creating or editing an item or overview. "OK" does not save your work. It only closes the item or overview you were working on. You must also select "Save" in order to keep what you have done. You can create multiple items and overviews without the system prompting you to save. **If you exit the system without selecting save all of your work will be lost, so save after creating each item or overview.**

- **There are two "Cancel" buttons.** The "Cancel" button on the left side of the screen (both at the top and bottom) applies to the schedule as a whole. If you select this "Cancel" button it will ignore any changes not previously saved on the schedule as a whole. The other "Cancel" button, on the right side of the screen, appears when you create or edit an item or overview. The right-hand "Cancel" button only applies to the item or overview. If you select this "Cancel" button it will ignore anything done on the specific item or overview on which you are working and return you to the hierarchy tree.

- **Make sure you use the correct version of the schedule.** The ERA system captures versions of an individual records schedule at various points along the process. For example, the system keeps the originally submitted schedule (the "Proposed" version) to document the version that was originally submitted to NARA. When you search for a schedule all existing versions in the system will appear. If you intend to make revisions to a schedule you must make sure you select the appropriate version to work from. For example, if a schedule has been returned to the agency for revisions you will see the following options from the search screen: "Proposed," "Returned for Revision," and "Returned for Revision Working Version." You must work from the "Returned for Revision Working Version" to actually make any revisions.

- **To create an item or overview, you must select either the records schedule folder icon or an overview in the hierarchy tree under which the item or overview is to appear.** The item/overview will appear at the bottom of the selected location. Items can be moved between or out of overviews or reordered.

- **Item numbers may not appear in order in Draft.** ERA assigns temporary item numbers at the moment of creation. If you delete an item in Draft state that item number will not be reused. Similarly, if items are moved or reordered they retain their originally assigned item number while in Draft state. Once the schedule is certified, however, all the numbers will be reset so that they are in order with no gaps. Similarly, if changes are made while a schedule is returned to an agency for revision the numbers will be reset when the schedule is returned to NARA.

- **Limitations on "Create from Existing" functionality.** New records schedules can be created in ERA from schedules that already exist in ERA. This is particularly useful if you want to revise and submit a schedule that has been withdrawn. However, schedules can only be created from other schedules with the DAA prefix (those that were initially created in ERA). You cannot create new schedules from legacy schedules (DAL schedules) in ERA.

Issues with Viewing the PDF/print version

- **Issues Viewing the PDF version of the schedule when using Internet Explorer 8.** There is a security setting in Internet Explorer (IE) that disables file downloads, preventing you from viewing PDFs. The setting is called "Automatic Prompting for file downloads" and can be accessed in IE by going to Tools>Internet Options, then hitting the "Custom level" button in the Security tab. Scroll down to the "Downloads" section and the option will be there. It must be enabled.

- **Content must be saved in order for it to appear in the PDF view.** The system does not prompt you to save, so if you open the PDF view and entered content does not appear, first try saving your work and reopening the PDF.

Uploading and Viewing Attachments

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

- **Viewing attachments is not intuitive.** When you want to view an attachment you must select the “View/Download” option. It opens in a separate screen as a zip file with folders. Open the first folder and then the Assets folder (not the Metadata folder). Keep opening folders until you get to the actual file attachment.

Issues with Search Function

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

- **Use Specific Search Language.** You must use complete and correct ERA syntax for Record Groups and Agency Names. Specifically, keep in mind that Record Group numbers should have leading zeroes so that they are four characters in length. If you do not know the exact language, add a "wildcard" character, "*".

Issues with Specific Fields

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

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

ERA SCHEDULING & APPRAISAL WORKFLOW

ERA Roles

There are four system user roles associated with scheduling records using ERA. An individual may have multiple roles:

Agency roles:

Records Scheduler: Agency staff member responsible for preparing records schedules and submitting them to the Certifying Official. An agency may have multiple individuals assigned to this role.

Certifying Official: Usually the agency representative responsible for designating the official status of the records schedule before submitting it to NARA for review and approval. This is the person that currently has the authority to sign paper SF115s and SF258s for the agency.

NARA roles:

Records Scheduler NARA: A NARA staff member authorized to create and submit records schedules for certification on behalf of an agency (this is rare) or who can create legacy schedules behalf of NARA.

Records Appraiser: A NARA staff member responsible for assessing the value of records and recommending which records should be accessioned into NARA's legal custody and which records should be disposed of after a period of retention specified in the records schedule.

Creating a Records Schedule

A records schedule is generally created by an agency Records Scheduler. This person may be the agency Records Officer or any user in the agency that has an account with the Records Scheduler role. Records schedules can also be created by NARA staff on behalf of the agency, but this is rare. Once the Records Scheduler completes the schedule, she or he must submit it for certification by the Certifying Official in order for it to be submitted to NARA.

Internal Agency Vetting

There is no workflow in ERA for internal agency vetting because agencies have different internal review and approval processes. There are only two agency user roles associated with the records schedule: Records Scheduler and Certifying Official. The Certifying Official must be the final approver in the internal agency vetting process because once the Certifying Official certifies the schedule it is officially submitted to NARA and no longer accessible by the agency until the schedule is approved, withdrawn, or returned to the agency for revision. For most agencies the Certifying Official will be the agency Records Officer (some departmental components must submit schedules through their departmental Records Officer depending on their internal procedures).

Options of internal agency vetting:

1) Agencies can print or save a PDF copy of the schedule to distribute for review, similar to current processes for vetting paper SF-115s.
2) Agencies can assign reviewers the “Records Scheduler” role, allowing them access to the system and the ability to make changes prior to the Certifying Official certifying the schedule and submitting it to NARA.

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

Submitting a Records Schedule to NARA

The agency’s Certifying Official, usually the agency Records Officer or whoever has authority to sign SF-115s for the agency, is tasked with certifying a schedule in ERA. This is the same step as when the Records Officer signs a paper SF-115. Whoever currently signs an agency’s SF-115s should be that agency’s Certifying Official. Once the schedule is certified it officially submitted to NARA for appraisal and approval.. If the schedule is not certified, it has not been submitted to NARA.

Appraisal Workflow

Currently, ERA is only for drafting, submitting, and final approval of records schedules. The appraisal process occurs outside of the system.

Correspondence between the appraiser and the agency, internal NARA stakeholder review, and the Federal Register process, and the final appraisal memo are not captured in ERA but in the appraisal dossier, which is still a paper record not currently part of ERA. NARA does not currently make appraisal dossiers available to agencies except upon request. The only part of the appraisal workflow that presently occurs in ERA is approval of the schedule. All signatory information (Certifying Official to Archivist) appears on the Signatory Tab.

Access to schedules after approval

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

DEFINITION OF FIELDS

General Information Tab: This tab contains information that applies to all items in the Records Schedule.

Records Schedule Number: This field appears above the General Information section on this tab. This field corresponds to the Job Number field on the paper SF-115. It contains a system-generated number. The Records Schedule ID includes a prefix (DAA or DAL, see page 1), the Record Group, the Fiscal Year in which the schedule was created, and a sequential number.

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

Agency or Establishment: This field corresponds to box 1 on the paper SF-115. It contains the immediate agency or establishment for which the schedule applies. If your agency is a component agency of a larger Department, you should use your agency's name and not the Department's name. The field is auto-populated based on the user's profile. If a user has more than one agency associated with her or his profile, she or he will have a drop-down menu to select the appropriate agency. This is a required field.

Record Group/Scheduling Group: This field contains the NARA Record Group or Scheduling Group associated with the Agency or Establishment. A Scheduling Group is an alpha code used only by Department of Defense agencies for department-wide schedules. Scheduling Groups include NU, AU, AFU. If there is more than one Record Group/Scheduling Group associated with a particular Agency or Establishment the user must select the appropriate Record Group/Scheduling Group from a drop-down menu of selections. This is a required field.

Records Schedule applies to: This field indicates the schedule's scope, whether it applies to only a specific office or subdivision within the agency or to records created anywhere in the agency (agency-wide). Options for agency Records Schedulers include "Major Subdivision," "Agency-wide," or "Department-wide." If you are creating a schedule to be used by only one program office within the agency, select "Major Subdivision". If you are creating a schedule that is applicable across all program offices in an agency, select "Agency-wide." "Department-wide" is a new option available for Records Schedulers within a Department to create schedules that apply to all component agencies within the Department. ***Please note: Only Records Schedulers at the Department level should use this option when creating Department-wide schedules. Records Schedulers in component agencies have this option available, but should not use it.*** NARA Records Schedulers also have the option of "Government-wide" for creating General Records Schedules.

Major Subdivision and **Minor Subdivision**: These fields correspond to boxes 2 and 3 on the paper SF115. The Major Subdivision field is required if "Major Subdivision" has been selected in the "Records Schedule applies to" field. These fields are used to identify the program office that creates and/or maintains the records. These fields should not be used to enter the name of a component agency that has its own Record Group (such agency names should be used in the Agency or Establishment field). Similarly, as a Records Scheduler you should only enter your own program office name if you are specifically writing a schedule to cover records created or maintained by your office.

Schedule Subject: This is a field for entering a short title for the records schedule. For example: "Office of the Inspector General Records" or "Bio-Medical Research Records." This is a required field.

Internal agency concurrences will be provided: This field allows an agency to indicate whether or not internal agency concurrences will be provided to NARA for the schedule. A yes or no response is required. Internal agency concurrences may be uploaded to the schedule as an attached document or may be sent in hardcopy.

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

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

Item Count: These fields identify the number of items on the schedule, the number of permanent and temporary items, and the number of items that have been withdrawn. These numbers are system generated and change as items are created or withdrawn from the schedule. “Withdrawn” items are those removed from a schedule after its certification and submission to NARA. They should not be confused with items deleted from a schedule during initial drafting by the agency. Items deleted before a schedule is submitted are not included in the item count.

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

General Revision Notes: (NARA only) This field is for NARA staff to enter comments related to modifications to the general information on the Records Schedule after approval (formerly known as pen-and-ink changes). This field should be used to note what change was made, the appraiser’s initials, and the date.

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

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

Overviews: "Overview" is just a new word for an old concept. Overviews have always been an option when creating records schedules, just not with that name. They are simply descriptive information used to group items under common descriptive headings. There are no sub-items in ERA, just items. An item is the level of description that contains the actual disposition instruction. Descriptive information that relates to multiple items is captured in an Overview. For example, a schedule with sub-items looks like the following:

> 1. Inspector General Audit Files. Records accumulated by the Office of the Inspector General (OIG) relating to audits.
>
> > a. Final reports. Final report as issued by the OIG.
> >
> > b. Substantive background papers. Drafts submitted to audited offices for review, comments by audited offices, approvals and concurrences and related records.

In ERA, the hierarchy tree for this example is:

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

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

There are two fields associated with overviews:

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

It is possible to have overviews nested within other overviews. The only requirement is that each overview set must terminate in at least one item. In other words, there cannot be an “empty” overview containing zero items. Items do not have to have an overview. The example below shows how overviews could be used. Disposition items are identified with numerals. Note that ERA does not use a hierarchical numbering scheme (e.g. 1a, 1b, etc.). Overviews are identified by the folder icon and items by the document icon.

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

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

Status: This field identifies the status of an individual item. Item statuses include “Pending” while the schedule is in Draft and Proposed states; “Active” once the schedule is approved; “Withdrawn” if the item is withdrawn prior to approval; or “Inactive” if the item is no longer in use or has been superseded by another authority. This field pre-populates in all states except for “Withdrawn” and “Inactive,” which must be changed manually.

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

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

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

Is this item media neutral?: This field allows the user to indicate if the item is media neutral or not. Since December 17, 2007, all schedule items are considered media neutral unless specifically stated otherwise, so this field defaults to "Yes." If the records being scheduled are media-specific, select "No."

Explanation of limitation: If "No" is selected for "Is this item media neutral?" (indicating the item is NOT media neutral) then this free-text field appears for the user to indicate the limitation of the applicability of the disposition instruction. This explanation can be expressed in either the positive or the negative (what it does apply to or what it does not apply to). For example, if a disposition instruction only applies to paper records enter "Applies only to paper records." For a disposition instruction that excludes databases, enter "Does not apply to electronic databases." This field is required if the schedule is not media neutral.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?: This field allows the user to indicate whether the records currently exist in an electronic format other than e-mail or word processing files. This information is used during appraisal. Indicate "Yes" or "No." This field is required.

Do any of the records covered by this item exist as structured electronic data?: If "Yes" is selected for "Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?" then this field appears. The user must indicate if the records exist as electronic structured data, or in other words, as a database or fielded data.

Manual Citation Fields (Repeatable)
Manual Citation: This field is an optional field for agencies to enter the manual citation they have assigned to the disposition item.
Manual Title: This is an optional field for entering the title of the agency's records disposition manual.
Format: (NARA only) This field is for Federal Records Center staff to indicate the format of the records disposition manual (i.e. paper or electronic) that the FRC program uses for reference.
Location: (NARA only) This field is for Federal Records Center staff to note the location (e.g. url of web version) of the records disposition manual that is used for FRC reference.
Verification Date and Verifier's Initials: (NARA only) These fields are used by Federal Records Center staff to indicate that the manual information has been verified.

This item supersedes Disposition Authority Number: (Repeatable) This field is used to indicate if the item supersedes a previously approved authority and to enter the superseded authority number(s). Only one authority may be entered per data entry field. If the item supersedes multiple authorities then use the “add” function to add additional fields for data entry.
NOTE: When a new item supersedes a previously approved item it is the responsibility of the Records Appraiser to see if the previously approved authority exists in ERA and if so to mark the superseded authority as inactive if appropriate.

Inactive Status Explanation: (NARA only) This field is for NARA staff to indicate why an item has been marked as Status: Inactive. If the user selects Inactive in the Status field one of the options available under Inactive Status Explanation must be selected. The options are “This item is inactive because it was superseded by” in which case the user must enter the new item (a search option is available to look up authorities in the system); “This item is inactive because it was rescinded”; and “Other”.

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

Final Disposition: This field indicates the disposition of the records. Select Permanent or Temporary as appropriate. (The system defaults to Temporary.) If you select Permanent, the screen will reset to a different set of fields that concern scheduling permanent records.

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

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

Retention Period: (Temporary Items only) Select one of the options as appropriate. Please try to use the options provided rather than the "Other" field.

GAO Approval: (Temporary Items only) Whether or not GAO approval of a retention period is required for a temporary item is indicated in ERA at the item level rather than at the schedule level (as is done on the paper SF115). Select whether GAO approval is required or not required for the item.

If this item has multiple sections, indicate here the records to which this section applies: (Permanent Items only) ERA allows for multiple transfer instructions to be created for a single permanent item to accommodate flexible scheduling and different instructions based on the format of the record. For example, you can create an instruction such as "Accession electronic records to the National Archives 3 years after cutoff. Accession paper records to the National Archives 20 years after cutoff." To do this in ERA you create multiple sections of the Disposition Instruction using the "Add" function. The Records to which this section applies field is used to define the records to which the particular Disposition Instruction section applies. Standard format options are available as a free-text option (other). *Please note: This field should only be used if you need to write multiple transfer instructions. If there is only a single instruction for the item, DO NOT use this field.*

Transfer Electronic Records to National Archives for Pre-accessioning: (Permanent Items only) These fields are optional and used only if the agency intends to transfer physical custody of permanent electronic records prior to transferring legal custody to NARA. (This is commonly known as "pre-accessioning.")

Transfer to NARA for Accessioning: (Permanent Items only) Select an option as appropriate. Please try to use the options provided rather than the "Other" field if at all possible. This instruction should literally only state when the records are eligible for transfer to NARA. Any additional instructions about cutoff or maintenance of the records should either go in the Cutoff Instruction or in the Description field as appropriate.

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

First Year of Records Accumulation (Permanent Items only): This is a mandatory field where the user indicates when the agency began to accumulate the records described by the item.

End Year of Records Accumulation (Permanent Items only): In most cases the records are still being created, so the user can leave this field on the default setting, “Records are still being accumulated”. If the records are no longer being created select “Records ceased accumulation in:” and enter the year the records ceased accumulation.

What will be the date span of the initial transfer of records to the National Archives?: (Permanent Items only) This is a new field that captures information that will eventually be used to predict when accessions are due and the date span of records expected in those accessions. This field is used to indicate what will be the date span of the initial accession. Appraisers should review this information against the disposition instruction and the first year of records accumulation to verify that the information provided by the agency is correct. In some cases the initial date span may be unknown. In these cases the “Unknown” option should be selected and an explanation provided in the associated text field.

How frequently will your agency transfer these records to the National Archives?: (Permanent items only) This new field captures information that will eventually be used to predict when accessions are due and the date span of records expected in those accessions.   This field is used to indicate how often records will be transferred. Appraisers should review this information against the disposition instruction to verify that the information provided by the agency is correct. Generally, if records are cut off annually and not transferred in blocks the interval will be every 1 year. If records are transferred in blocks the interval will correspond to the block. If the records are transferred at the end of a Presidential administration the interval would be every 4 years. In some cases the interval will be unknown. In these cases the “Unknown” option should be selected and an explanation provided in the associated text field.

Estimated Current Volume and Annual Accumulation: This section allows the user to identify record formats and current volume and annual accumulation of the records covered by the item. This information is optional.

Revision Notes: (NARA only) This field is for NARA staff to enter comments related to modifications to the item on the Records Schedule after approval (formerly known as pen-and-ink changes). This field should be used to note changes made, the appraiser's initials, and the date.

__**Executive Summary Tab:**__ (NARA only) This tab replaces form NA13133. It contains the same fields currently available on NA13133.

Summary: This field correspondence to the summary section on the NA13133 and should be used to enter a brief summary of the schedule per NARA Appraisal SOPs.

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

Permanent Item Numbers: This field contains a system-generated list of the permanent items on the records schedule.

Federal Register Notice
(Required/Not Required): These radio buttons are used to indicate whether a Federal Register Notice publication is required for the schedule.
Publication Date: If a Federal Register Notice is required, this field is for entering the publication date.
Copies Requested: This field is for indicating the number of Federal Register requests for the records schedule.
Comments Received: This field is for indicating the number of comments received on requests for copies from the Federal Register notice.

__**Contact Information Tab:**__ This tab contains information relating to contacts within the agency including the person who created the schedule and anyone the agency wants to identify as a contact person for records appraisal purposes.

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

Contact Persons: These fields are available to enter contact information for persons who can provide additional information during the appraisal process. At least one contact must be provided, however, this person can be the Records Scheduler or Certifying Official (in which case the information still needs to be provided even if it exists elsewhere in the schedule). Required data fields include "Last Name," "Phone," and "E-mail" for at least one contact person. The "First name" and "Title" fields are optional. Multiple contact persons can be added via the "Add" button. To delete a contact person, check the box before the person's name and click on the "Delete" button.

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

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

STEP-BY-STEP INSTRUCTIONS

The following information is also available in the ERA system itself.

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

Creating a Records Schedule

Creating a New Blank Records Schedule

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

1. In the main window at the top of the screen, select **Create -- Records Schedule**.
2. Enter and select all required and any optional information to complete the Records Schedule **General Information** screen.
3. Select the **Save** Button.
4. Select the **OK** Button in the resulting popup window.

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

Creating a Records Schedule from an Existing Schedule

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

1. In the main window at the top of the screen, select **Search -- Business Object.**
2. Enter search criteria and/or select the **Search** Button.
3. Select the **Records Schedule ID** link in the **Search Results List**.
4. Select the **Create from Existing** option.
5. Modify the existing information as necessary to complete the Records Schedule **General Information** screen.
6. Select the **Save** Button.
7. Select the **OK** Button in the resulting popup window.
8. Select the **Item Information** tab.
9. Select the **+** symbol to expand the Records Schedule.
10. Select the **Overview** or the **Records Schedule Item** to view the details.
11. Modify the **Overview** or the **Records Schedule Item** information, accordingly.
12. Select the **OK** Button.
13. Select the **Save** Button to save the Records Schedule.
14. Select the **OK** Button in the resulting popup window.

Creating Disposition Overviews and Items

Create a Disposition Overview

1. Select the **Item Information** tab**.**
2. Select the location in the hierarchy tree below where you want the **Overview** to appear.
3. Select the **Add Overview** Button.
4. Enter all required and any optional information to complete the **Add Records Schedule Overview** screen.
5. Select the **OK** Button.
6. Select the **Save** Button to save the Records Schedule.

7. Select the **OK** Button in the resulting popup window.

Create a Records Schedule Item

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

1. Select the **Item Information** tab**.**
2. Select the **Add Item** Button.
3. Enter and select all required and any optional information to complete the **Add Records Schedule Item** screen.
4. Select the **OK** Button**.**
5. Select the **Save** Button to save the Records Schedule
6. Select the **OK** Button in the resulting popup window

Add Records Schedule Item(s) and Overview(s) to an Existing Overview

Add a Records Schedule Item:

1. Select the **Item Information** tab.
2. Select an existing **Overview**.
3. Select the **Add Item** Button**.**
4. Enter and select all required and any optional information to complete the **Add Records Schedule Item** screen.
5. Select the **OK** Button.
6. Select the **Save** Button to save the changes to the Records Schedule.
7. Select the **OK** Button in the resulting popup window.

Add a Records Schedule Overview:

1. Select the **Item Information** tab.
2. Select an existing **Overview**.
3. Select the **Add Overview** Button.
4. Enter all required and any optional information to complete the **Add Records Schedule Overview** screen.
5. Select the **OK** Button.
6. Select the **Save** Button to save the changes to the Records Schedule.
7. Select the **OK** Button in the resulting popup window

Adding Multiple Transfer/Accessioning Instructions to a Records Schedule Item

1. Within the Records Schedule item, scroll down to the Disposition Section.
2. Select the **Add** Button to add an additional Disposition Section.
3. Enter and select the required fields to complete the Disposition Instruction and Additional Information.
4. Repeat steps 4 and 5 for every addition Disposition Instruction.
5. Select the **OK** Button.
6. Select the **Save** Button to save the Records Schedule.
7. Select the **OK** Button in the resulting popup window

Moving a Records Schedule Overview or Item

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

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

Move an Overview

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

Move a Records Schedule Item

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

Reordering Disposition Overviews and Items

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

Reorder a Records Schedule Overview

1. Select the **Item Information** tab
2. Select the **Overview** that will be re-ordered.
3. Select the **Re-order** Button.
4. Select either the **up** or **down** arrow, to the right of the Disposition Items List, until the **Overview** is in the desired position.
5. Select the **OK** Button.

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

Reorder Records Schedule Items

1. Select the **Item Information** tab.
2. Select the **Records Schedule Item** that will be re-ordered.
3. Select the **Re-order** Button.
4. Select either the **up** or **down** arrow, to the right of the Disposition Items List, until the **Records Schedule Item** is in the desired position.
5. Select the **OK** Button.

Submit a Records Schedule for Certification

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

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

Note: Selecting the **Submit for Certification** option and the **Go** *Button (you must do both) initiates verification and validation processes that are performed by the ERA System. The system verifies and validates that all required fields requiring data have been specified and that the data values entered are legitimate (for example, Date fields are present and are entered correctly in the MM/DD/YYYY format). If errors are found, the user is notified. The errors must be corrected before proceeding. The status of the Records Schedule transitions to "Submitted for Certification". If the Records Schedule was previously submitted and returned for revision, either the Records Scheduler (Agency) or Certifying Official would perform the* **Submit for Certification** *option on the "Returned for Revision Working Version". In this case,* *the status of the Records Schedule transitions to "Submitted Revision for Certification". A task is sent to the Certifying Official belonging to the record group found on the Records Schedule.*

Certify a Records Schedule

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

1. Upon logging in to the workbench, select the link to the Records Schedule from the Business Objects Task List.
2. Select **Certify** from the **Select Next Action** dropdown.
3. Select the **Go** Button.
4. Select the **OK** Button in the resulting popup window.

*Note: Selecting the **Certify** option and the **Go** Button (you must do both) initiates the verification and validation processes that are performed by the ERA System. The system verifies and validates that all fields requiring data have been specified and that the data values entered are legitimate (for example, Date fields are present and are entered correctly in the MM/DD/YYYY format). If errors are found, the user will be notified. The errors must be corrected before proceeding. The status of the Records Schedule transitions to "Proposed/Appraiser Working Version". A task is sent to the Records Appraiser belonging to the record group found on the Records Schedule.*

Deleting Records Schedules or Parts of Records Schedules

Delete a Records Schedule

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

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

9. Select the **OK** Button in the resulting popup window.

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

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

Delete a Records Schedule Overview

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

1. Select the **Item Information** tab.
2. Expand the **Records Schedule** folder by selecting the "**+**" symbol.
3. Select the **Overview** that will be deleted.
4. Select the **Delete** Button which appears under the **Re-order** Button.
5. Confirm desire to delete the **Overview** by selecting **Yes** in the resulting popup window.
6. Select the **OK** Button in the resulting popup window.

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

Delete a Records Schedule Item

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

1. Select the **Item Information** tab.
2. Expand the **Records Schedule** folder by selecting the "**+**" symbol.
3. If appropriate, expand the **Disposition Overview** that contains the **Records Schedule Item** that will be deleted.
4. Select the **Records Schedule Item** that will be deleted.
5. Select the **Delete** Button which appears under the **Re-order** Button.
6. Confirm desire to delete the **Overview** by selecting **Yes** in the resulting popup window.
7. Select the **OK** Button in the resulting popup window.

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

Printing a Records Schedule

A Records Schedule can be printed only after it has been saved. Upon saving, a Records Schedule can be printed at any point during its drafting, review, and approval.

1. In the top highlighted Records Schedule menu bar, click the **View PDF**.
2. Within the **Adobe Reader** window, click on file and select **print** or "**save a copy**" to save the PDF.

Note: Either the entire Records Schedule or selected Records Schedule Item can be printed. To print the selected Records Schedule Item, select the specific pages of the PDF.

Attachments

Viewing Attachments

With all applicable Business Objects, including Folders, the procedure is the same:

1. Once a Business Object has been located, any Attachments may be added, viewed, modified or deleted from it, by selecting the 'Attachments' tab on the Business Object Display page. **Select** the 'Attachments' tab.
2. Beneath an option to Add an Attachment, any and all Attachments currently attached to the Folder or any other Business Object will be displayed , and can be Selected by **Clicking** the Attachment Name to view. The user is then presented with the choice of viewing the Attachment itself and its Metadata (**Select** 'View download Asset') or viewing only the ACE of the Attachment, (**Select** 'View Ace'), at the user's discretion.
3. Follow the prompts to '**Open**' OR '**Save**' the Attachment. 'Open' will open the Attachment for viewing, while 'Save' provides the user the option to save a copy of the Attachment to their local machine. **Select** 'Open' to view the Attachment and its metadata or contents.
4. Because all files are zipped after virus checking, the Attachment is unzipped and the user is presented with two typical folders, (not ERA Folders). **Selecting** the Attachment by file name will transfer control of opening it to the

operating system, and the Attachment will be displayed. (If the file-type is unknown, the user will be presented with a choice to **select** a tool to open it.)

5. The Attachment will be opened with the appropriate tool and its contents will be displayed. After viewing close the Attachment, and close the download page.
6. Alternatively, to view the Metadata of the Attachment, (which is the full ACE of the Downloaded Attachment), **Select** the Metadata.xml file, and the ACE of the Attachment will be displayed.
7. Close out any files and file folders to be returned to the List of Attachments page on the Attachments tab. Close the page and Attachments tab to be returned to the Business Object.

Adding Attachments

With all applicable Business Objects, including Folders, the procedure is the same:

1. Once a Business Object has been located and the user has appropriate permissions, any Attachments may be added to it, by selecting the last tab – the 'Attachments' tab - on the Business Object Display page. **Select** the 'Attachments' tab to open it.
2. Above the 'List of Attachments' that contains a list of any and all Attachments currently attached to the Business Object, an option will exist – only for authorized users – to 'Add an Attachment'. To do so, **Select** the 'Add an Attachment' option, and locate the Attachment to upload from the 'Browse' screen. Once the Attachment is selected, it is loaded into temporary storage and remains there until the 'Upload' button is selected, or the user elects to cancel the operation.
3. (If 'Cancel' is **Selected**, the user is prompted for a confirmation, prior to aborting the upload).
4. Optionally enter an Attachment description, with the option to edit or spell-check the entry.
5. **Select** the 'Upload' option, and the system automatically initiates a virus scan of the Attachment, to prevent the introduction of any malicious files from potentially corrupting the system.
6. If the file passes virus scanning, a confirmation message of the initiation of the upload process is presented to the user, and the file upload process is begun. **Select** the 'Refresh' button to refresh the list of Attachments that have been successfully added to the Folder or other Business Object.

7. If the file fails virus scanning, a message is presented to the user stating that ‘The file has failed virus scanning’. Immediately **Isolate** the file and **Remove it from you local system. Report** the infected file to your System Administrator, and do not attempt to upload it again!
8. Only one file at a time may be uploaded to any Business Object, so **Repeat** Step 4 until all of the desired ‘clean’ files have been checked and uploaded. Notification of success will be sent to you.
9. When finished, **Select** the ‘Refresh’ button to update the list of successfully attached files .All Attachments will be listed, and next to each will be either a blank or an optional description. This Attachment description may be modified at any time, although the name cannot be changed.

Deleting Attachments

With all applicable Business Objects, including Folders, the procedure is the same:

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

Search for a Records Schedule

Note: If there are no Records Schedules found that meet the entered search criteria, the system will inform the user.

*Selecting the **Reset** Button clears all fields.*

Users with appropriate privileges can search for and retrieve a Records Schedule.

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

Basic Search Instructions

1. Select the **Select Business Objects** radio Button.
2. Select the Records Schedule check box.
3. Enter the **Keyword(s)** (or leave blank) and select the **Search** Button.
4. Search results are returned.
5. Select the Records Schedule ID of the desired Records Schedule.
6. Select the **View** Button on the floating menu.

Advanced Search Instructions

1. Select the **Advanced Search** tab.
2. Select Records Schedule from the **Search for:** drop down menu.
3. Enter any **Keyword(s)** and/or enter/select search parameters.
4. Select the **Search** Button.
5. Search results are returned if a Records Schedule (s) includes the search criteria entered.
6. Select the Records **Schedule ID** link of the desired Records Schedule
7. Select the **View** Button on the floating menu

Wildcard Search Instructions

The **Wildcard Search** allows users to execute a search without knowing the complete set of search criteria.

1. Select the **Advanced Search** tab
2. Select Records Schedule from the **Search for:** drop down menu
3. Enter data into the **Keyword(s)** field and place an asterisk to represent the unknown data
4. Select the **Search** Button
5. Search results are returned if a Records Schedule includes the data entered.

6. Select the Records **Schedule ID** link of the desired Records Schedule
7. Select the **View** Button on the floating menu

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

Show Related Instructions

The Show Related functionality allows users to review other objects associated with the Records Schedule.

1. Perform a **Basic**, **Advanced** or **Wildcard** search (instructions above)
2. Select the Records **Schedule ID** link of the desired Records Schedule
3. Select the **Show Related** option in the floating menu
4. The **Search Results** are reloaded with all related business objects and system objects.