

# Archiving Arrangements

March 2013

## Purpose

This policy guidance outlines the agreed process for transferring National Records of Scotland (NRS) records of enduring value, in all formats, from operational records management systems to the NRS archive. This includes records of NRS predecessor bodies, the General Register Office for Scotland (GROS) and The National Archives of Scotland (NAS), formerly the Scottish Record Office (SRO).

## Person responsible for archive

Custodial responsibility for archived records transferred falls to Government Records Branch (GRB), Records and Archives Services Division, under the management responsibility of the Deputy Keeper of the Records of Scotland.

## Process

- **Appraisal:** the NRS Records Manager in conjunction with the Information Asset Owner (IAO) identifies records which may be suitable for permanent preservation for their enduring historical, cultural and research value, and informs GRB. This identification is based on:
  - NRS retention schedules;
  - selection criteria supplied by GRB;
  - pre-transfer discussion with GRB (and E-Records Unit in the case of electronic records).
- **Selection:** the IAO and GRB will agree mutually which records should be permanently preserved and placed in the NRS archive. This may involve pre-transfer discussion of individual files and records between the IAO and GRB, and inspection by GRB, Conservation staff and E-Records Unit where relevant. The IAO may be required to provide further contextual information about the records to permit GRB to assess suitability for permanent preservation.
- **Sensitivity Review & other information issues:** the IAO in conjunction with the NRS Records Manager must identify any information which cannot be released under Freedom of Information (FOI), Environmental Information Regulations (EIR), Data Protection (DP), or for any other reason. Any classified information must be declassified by the IAO in accordance with NRS security policies prior to transfer to the archive. Confirmation of exemptions/exceptions or other restrictions on the release of information must be supplied to GRB before records are transferred to the archive. GRB will provide schedules for confirmation of FOI/EIR exemptions and exceptions which must be completed by the IAO prior to transfer to archive. The IAO must inform GRB whether the records are subject to Crown copyright, and if any private copyright material is present. In the case of private copyright material, where possible, details of the copyright owner should accompany the transfer.

- **Preparation of records for transfer:** to ensure the long-term preservation of records, the IAO will:

for paper records:

- carry out basic housekeeping (e.g. prepare paper files for transfer by removing paperclips, elastic bands and post-it notes etc.);
- inform GRB of any preservation issues or special requirements (e.g. mould, physical damage, the presence of photographs etc.);
- provide GRB with administrative information about the original record creator;
- provide GRB with a description of records to be transferred (e.g. a list of files with original operational record references, or a box list).

for digital records:

- follow the requirements of the NRS Digital Deposit Agreement.

- **Delivery/transfer:** secure transfer arrangements must be agreed between the IAO and GRB. This will be determined by record format and type and any sensitivity issues affecting the records.
- **Accessioning:** on transfer of records to the archive, GRB will check against the list supplied by the IAO and issue a receipt for records transferred. GRB will create an Accession entry on the NRS electronic catalogue confirming basic details of records received.
- **Cataloguing:** GRB will sort, arrange and catalogue accessioned records. If any are identified as not worthy of permanent preservation at the post-transfer stage, these will be de-accessioned, weeded and destroyed with the agreement of the IAO, or returned to the custody of the IAO. GRB will arrange for catalogued records to be placed into archive storage and made available for wider public inspection, unless access restrictions apply.

## Timing and frequency of transfer

The timing and frequency of transfer to archive will be agreed between the IAO and GRB. These will take into account retention periods and current business needs. Records will not be transferred to the archive if they are still required for regular future business use.

## Retransmission

Archived records which are required by the IAO for business purposes will be retransmitted by the NRS Retransmissions Officer under the Public Records (Scotland) Act 1937, or otherwise made available through use of surrogates (e.g. digital images).

## Review of arrangements

These arrangements will be reviewed in the light of experience, and all parties are encouraged to suggest refinements.

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### Flowchart

