



Archival Transfer Procedure

Author/Job title	██████████ / Records Officer
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1.0 PURPOSE

This Procedure describes Midlothian Council's arrangements for selecting and transferring records of ongoing value from its current records management systems to archival control for permanent preservation.

This Procedure should be read in conjunction with the:

- Records Disposal Policy
- Records Disposal Procedure
- Corporate Retention Schedule
- Records Management Policy

2.0 SCOPE

This Procedure covers the selection and transfer of records held as current and semi-current records within the Records Centre, in local offices and schools, and on the Council's electronic file network. Detailed policies and procedures tailored to the special technical requirements for preserving electronic records have yet to be developed; however, the procedural steps, roles and responsibilities outlined apply equally to electronic records as paper. Consideration for more detailed digital preservation methods will be included as part of future archival service improvements.

3.0 INTENDED AUDIENCE

This procedure applies to Records Centre staff, the Local Studies Officer and records-responsible individuals within service areas ('Records Champions').

4.0 DEFINITIONS

Archives: the sub-set of *records* which must be permanently retained and preserved due to their ongoing business and historical value.

Disposal: the final action on a non-current record, normally either destruction or transfer for permanent preservation.

Record: 'information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.' Certain records management procedures, such as registration and official retention periods, only apply to original records, not copies. Copies can be treated as documents, and official retention periods do not apply. **However, all documents have to be handled securely in line with information security and data protection policies and procedures, even if they are not official records.**

Retention schedule: a record which sets out how long particular types of records should be kept, and what disposal action should be taken. See 'Disposal' above.

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5.0 PROCEDURE

5.1 Selection and transfer of records held at the Records Centre

On a monthly basis, records due for destruction or review are authorised for disposal by service managers. Physical destructions are then carried out by Records Centre staff, who also separate out records identified for transfer to the Archives for permanent preservation. See *Records Disposal Procedure* for detailed instructions regarding this process.

To be carried out by Records Officer:

- 5.1.1 Review records separated for transfer to the Archives on a quarterly basis.
- 5.1.2 Perform initial archival appraisal and discard any items of clearly low archival value. Update Records Centre Database to reflect destruction of these records. **NB: this step should only be carried out if the Records Officer holds sufficient knowledge and experience of professional archival appraisal.** Otherwise, include all materials as part of the archival transfer.
- 5.1.3 Complete an LSA Deposit Form for the materials. Contact the originating department for any further descriptive or contextual information required to identify and describe the records.
 - 5.1.3.1 Under 'Deposit type', tick 'Internal transfer'.
- 5.1.4 Save the LSA Deposit Form to the Archives\Accessions folder, currently held at F:\Communities and Support Services\Libraries\Library HQ\DOCS\Local Studies\Local Studies OLD\Archives\Accessioning & Disposal.
- 5.1.5 Enter the transfer on the LSA Accessions Register, held at the location in Step 4 above. Contact the originating department indicated on the Deposit Form if further information is required in order to complete the Accessions Register entry.
- 5.1.6 Physically transfer the records to appropriate archival storage to await further accessioning, arrangement, preservation and in-depth appraisal.

5.2 Selection and transfer of records held in offices and schools

All Council departments are encouraged to send semi- and non-current records to the Records Centre as soon as they are no longer needed

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by office staff on a daily basis. However, in practice it is recognised that historic records may have accrued in offices over time.

To be carried out by Records Champions / Records Officer:

- 5.2.1 The Records Officer, in conjunction with local Records Champions, should carry out record audits (also known as 'record surveys') on an annual basis to identify candidates for transfer to archival control. Refer to the Corporate Retention Schedule to assist in correctly identifying record types which must be retained permanently ('archived').

Once archival records have been identified, proceed as follows.

To be carried out by Records Champion:

- 5.2.2 Complete an LSA Deposit Form for the materials. For assistance, contact the Records Officer or Local Studies Officer.
- 5.2.3 Send the completed LSA Deposit Form to the Records Officer at records@midlothian.gov.uk or to the Local Studies Officer at localstudies@midlothian.gov.uk.

To be carried out by Records Officer/Local Studies Officer:

- 5.2.4 Refer to steps 5.1.4 – 5.1.6.

5.3 Selection of electronic records

- 5.3.1 As in the case of records held locally in offices, Records Champions should carry out regular surveys of the file network to identify archival records. Use the Corporate Retention Schedule to identify record types requiring permanent preservation.

Midlothian Council Archives do not currently have the ability to transfer electronic records to a dedicated digital repository. However, Records Champions should take steps where possible to assist in the preservation of these records until such time as they can be transferred to proper digital archival management and storage.

- 5.3.2 Where possible, save archival files in standard formats:

Type of Document	Save in Format
Text (e.g. Word documents)	PDF, PDF/A
Pictures	TIFF, JPEG, JPEG2000
Audio	WAV

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5.3.3 EDRMS

The Council is currently rolling out a corporate Electronic Document and Records Management System (EDRMS). Once within the system, archival records will be selected for transfer as part of the regular disposal process (see Records Disposal Policy section 7.4).

6.0 RESPONSIBILITIES

6.1 The *Records Officer* is responsible for:

- Selecting records held within the Records Centre for transfer to the Archives;
- Overseeing the physical transfer of archival records to archival storage;
- Completing archival transfer documentation, including the LSA Deposit Form and Accessions Register;
- Assisting Records Champions in performance of record audits in both office space and on the file network.

6.2 The *Records Champions* are responsible for:

- Carrying out regular audits of local office space and the electronic file network to identify potential archival records, using the Corporate Retention Schedule;
- Completing archival transfer documentation, including the LSA Deposit Form and providing further information to the Records Officer as needed;
- Ensuring archival electronic records are saved in standard file formats.

6.3 The *Local Studies Officer* is responsible for:

- Receiving archival transfer documentation from Records Champions and other service staff;
- Providing advice and guidance to staff on how to complete archival transfer documentation;
- Ensuring archival transfer documentation is centrally managed and properly preserved.

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7.0 RECORDS MANAGEMENT

7.1 Records generated/used by this process

Record Name	Format (paper/electronic)	Retention rule	Retention Schedule ref.	Location
LSA Deposit Form	Paper or electronic	Retain permanently	19.002.004.001	F:\Communities and Support Services\Libraries/Library HQ\DOCS\Local Studies\Local Studies OLD\Archives\Accessioning & Disposal
LSA Accessions Register	Electronic	Retain permanently	19.002.001.001	F:\Communities and Support Services\Libraries/Library HQ\DOCS\Local Studies\Local Studies OLD\Archives\Accessioning & Disposal
Records Centre Database	Electronic	Retain permanently	19.002.002	J:\Access\CommunityServices\Records

8.0 FINANCIAL REPORTS

There are no financial reports generated by this process

9.0 PERFORMANCE REPORTS

Output from this procedure forms part of the IMG KPI quarterly reporting.

Appendices

Appendix 1 – LSA Deposit Form

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Midlothian Council Archives Service – Record Deposit Form

Midlothian Council Archives, Library HQ, 2 Clerk Street, Loanhead, Midlothian, EH20 9DR, Tel: 0131 271 3976, E-mail: local.studies@midlothian.gov.uk

Accession number:		Fonds:	
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Owner details:	
Name:	
Address:	
Telephone number:	E-mail:

Depositor details:	
Name:	
Address:	
Telephone number:	E-mail:

Copyright owner:	
Name:	
Address:	
Telephone number:	E-mail:

Deposit type:													
Charge & Superintendence	<input type="checkbox"/>	Gift deposit	<input type="checkbox"/>	Indefinite loan	<input type="checkbox"/>	Internal transfer	<input type="checkbox"/>	Purchase	<input type="checkbox"/>	Temporary loan	<input type="checkbox"/>	Loan period	<input type="checkbox"/>

Description and item history [include provenance, date range, number of items and any damage details]

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Continue on a separate sheet if necessary

Restrictions [Detail any restrictions outlined on the reverse of this form e.g. closure periods, reprographic restrictions etc.]

Continue on a separate sheet if necessary

Gift deposit and purchase

I confirm that I am the owner (or acting on the owner's behalf), that the details given here are correct and that I have read and agree to the conditions detailed on the reverse of this form. I hereby transfer ownership of the items described above as an outright, unfettered gift to Midlothian Council.

Signature:		Name [Capitals]		Date:	
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Other deposit types

I confirm that I am the owner (or acting on the owner's behalf), that the details given here are correct and that I have read and agree to the conditions detailed on the reverse of this form.

Signature:		Name [Capitals]		Date:	
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Received on behalf of Midlothian Council Archives

Signature:		Name [Capitals]		Date:	
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Data Protection Act 1998: The personal details recorded on this form will be permanently retained by Midlothian Council Archives Service solely in connection with the items deposited and will not be disclosed to a third party without the consent of individuals concerned

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