

Developing procedures to transfer born digital records to NRS

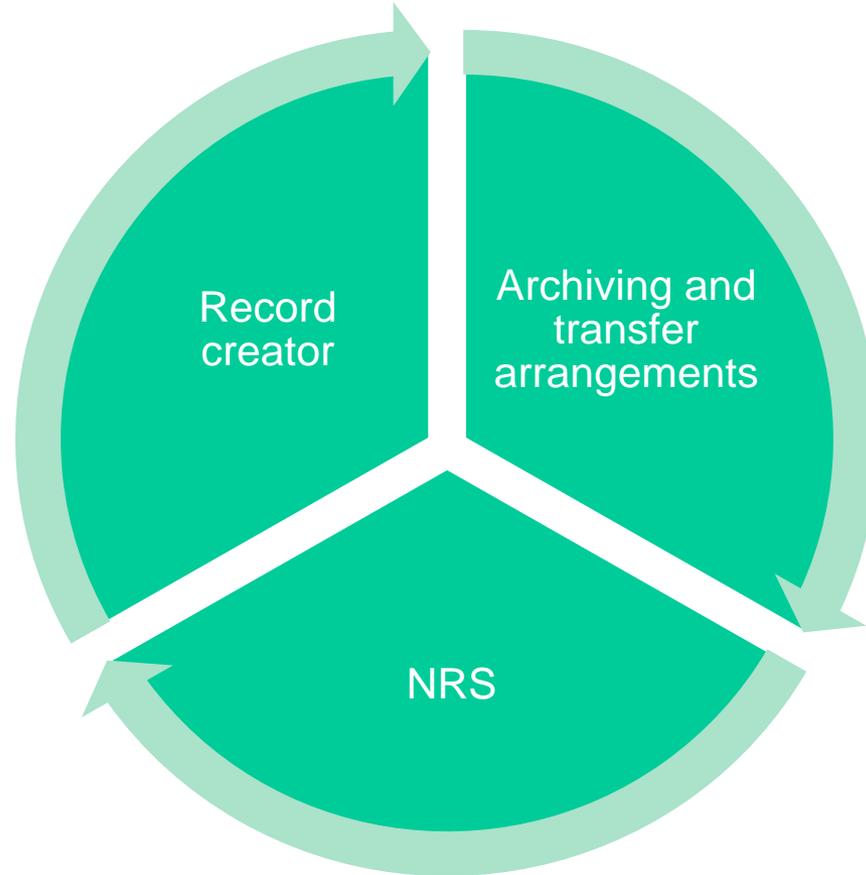
Susan Corrigall

12 May 2015

PRSA 2011 Archiving & Transfer

- Compulsory element
- ‘records will normally be removed from operational systems and transferred to an archive . . . Applies to records in all formats, although the procedure for transfer will vary’
- ‘The nature and content of the records being selected for permanent preservation . . . is a matter for the authority and the archive to consider’.

Archiving and transfer flow



NRS Capacity Planning

| | A | M | AF | AG | AH | AI | AJ | AK | AL | AM | AN | AO | AP | AQ | |
|----|---|------|--------------------|---------------------------|----------------------|-----------------------------------|---------------------------|---------------------------|------------------|-----------|--------------------------------------|--|--|---|-------------------|
| | Name of Body | PRSA | Scottish Ministers | Definitely deposit in NRS | Last transfer to NRS | Latest date of record transferred | Quirks | Estimated number of staff | First BDR - Year | Estimate? | Born digital accessions to date (mB) | Paper transfer to NRS - LAST 20 YEARS (m) (covering years in brackets) | Paper transfer to NRS - LAST 5 YEARS (m) | Paper Transfer Volume Last Year - No Of Files | Last Year - Paper |
| 1 | | | | | | | | | | | | | | | |
| 18 | Board of Trustees for the National Galleries of Scotland | Yes | No | Yes | Never | Never | Last record in NG fond d | 300+ | NK (1985) | Yes | | | | | 0 |
| 19 | Board of Trustees for the National Museums of Scotland | Yes | No | Yes | Never | Never | Last record in NG8 sub-fi | 300+ | NK (1985) | Yes | | | | | 0 |
| 20 | Board of Trustees of the Royal Botanic Garden, Edinburgh | Yes | No | No | NA | NA | Functional business arr | 100+ | Hybrid | Yes | | DO NOT TR | DO NOT TRAN | DO NOT T | |
| 21 | Bord na Gaidhlig | Yes | Yes | Yes | Never | Never | Functional business arr | 20+ | 2007 | Yes | | 0 | 0 | 0 | |
| 22 | British Waterways Board (Scottish Canals) | Yes | No | Yes | Never | Never | Records may come via S | 100+ | 2012 | Yes | | 0 | 0 | 0 | |
| 23 | Cairngorms National Park Authority | Yes | | | | | | | 1999 | Yes | | | | | 0 |
| 24 | Caledonian Maritime Assets Ltd | Yes | | | | | | | 1999 | Yes | | | | | 0 |
| 25 | Central Scotland Joint Board | Yes | No | Yes | NK | NK | Leanne working on list c | NK | 1999 | Yes | | | | | 0 |
| 26 | Certification Officer, Scotland (Trades Unions and Employers' Associations) | No | | Yes | | | | | | | | | | | |
| 27 | Chief Dental Officer of the Scottish Administration | Yes | | | | | | | | Yes | | | | | 0 |
| 28 | Chief Medical Officer of the Scottish Administration | Yes | | | | | | | | Yes | | | | | 0 |
| 29 | Children's Hearings Scotland | Yes | | Yes | Never | Never | NRS has had no contact | 11 to 20 | 2011 | Yes | | 0 | 0 | 0 | |
| 30 | Civil Aviation Authority | No | | Yes (UK E | 2001 | 1997 | | 300+ | NK | Yes | | 3.3 (35) | 0 | 0 | |
| 31 | Clackmannanshire Licensing Board | Yes | | | | | | | | | | | | | |
| 32 | Clackmannanshire Council | Yes | | | | | | | | | | | | | |
| 33 | Commissioner for Children and Young People in Scotland | Yes | | | | | | | 1999 | Yes | | | | | 0 |
| 34 | Commissioner for Ethical Standards in Public Life in Scotland | Yes | | | | | | | 1999 | Yes | | | | | 0 |
| 35 | Companies House | No | No | Yes (UK E | 2014 | 1993 | Loose 20 year transfer tc | NK | 2000 | Yes | | 333.1 (33) | 15.5 | 3.6 | |
| 36 | Court of Session | Yes | No | Yes | | | | | 1999 | Yes | | | | | 0 |
| 37 | Court of the Lord Lyon | Yes | No | No | NA | NA | Mainly paper-based. | 1 to 10 | Hybrid | Yes | | DO NOT TR | DO NOT TRAN | DO NOT T | |
| 38 | Creative Scotland (formerly Scottish Arts Council) | Yes | No | Yes | 2011 | 2005 | Used to be Scottish Arts | 100+ | Hybrid (2010 | Yes | | 79.2 (65) | 46.5 | 0 | |
| 39 | Crofting Commission (formerly Crofters Commission) | Yes | No | No | NA | NA | CC aim to develop meta | 50+ | Hybrid (2012 | Yes | | 1.8 (20) | 0.1 | 0 | |
| 40 | Crown Estate Commissioners | No | No | Yes (UK E | 2014 | 2010 | ACC2010/1/126 contains | NK | | Yes | | 28.1 | 3.1 | 0.1 | |
| 41 | Crown Office and Procurator's Fiscal (COPFS) | Yes | No | Yes | 2015 | 2004 | NRS C&L also take recor | 500+ | Hybrid | Yes | | 1644.6 (105 | 897.8 | 317.5 | |
| 42 | David MacBrayne Ltd (registered number SC015304) | Yes | Yes | Yes | NK | 2005 | | 1000+ | NK | Yes | | 1.3 (20) | 0 | 0 | |
| 43 | Disclosure Scotland | Yes | Yes | Yes | Never | Never | | 100+ | NK (2002) | Yes | | 0 | 0 | 0 | |
| 44 | Drinking Water Quality Regulator for Scotland | Yes | No | Yes | Never | Never | | 1 to 10 | NK (2002) | Yes | | 0 | 0 | 0 | |
| 45 | Dumfries and Galloway Assessor | Yes | No | Yes | NK | NK | Keeper has informed the | NK | Hybrid | Yes | | | | | 0 |
| 46 | Dumfries and Galloway Licensing Board | Yes | No | No | NA | NA | Keeper has informed the | NK | Hybrid | Yes | | | | | 0 |

Based on testing, we observed that when we migrate (drag & drop) documentation from our shared drives and/or old SharePoint sites to the new EDRMS the metadata does not 'travel' with them. Every document looks like it was created the day and time of the migration. Although we have applied specific retention periods for every department and case, all these will start from scratch.

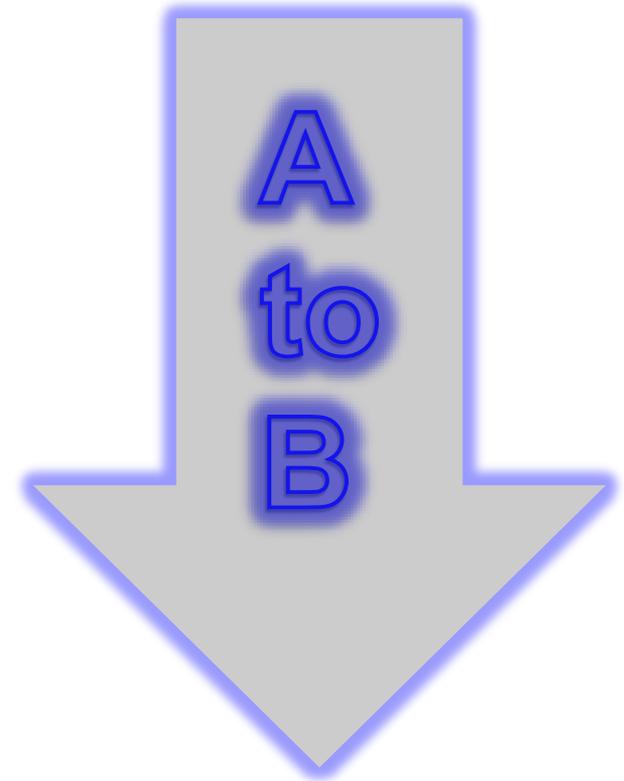
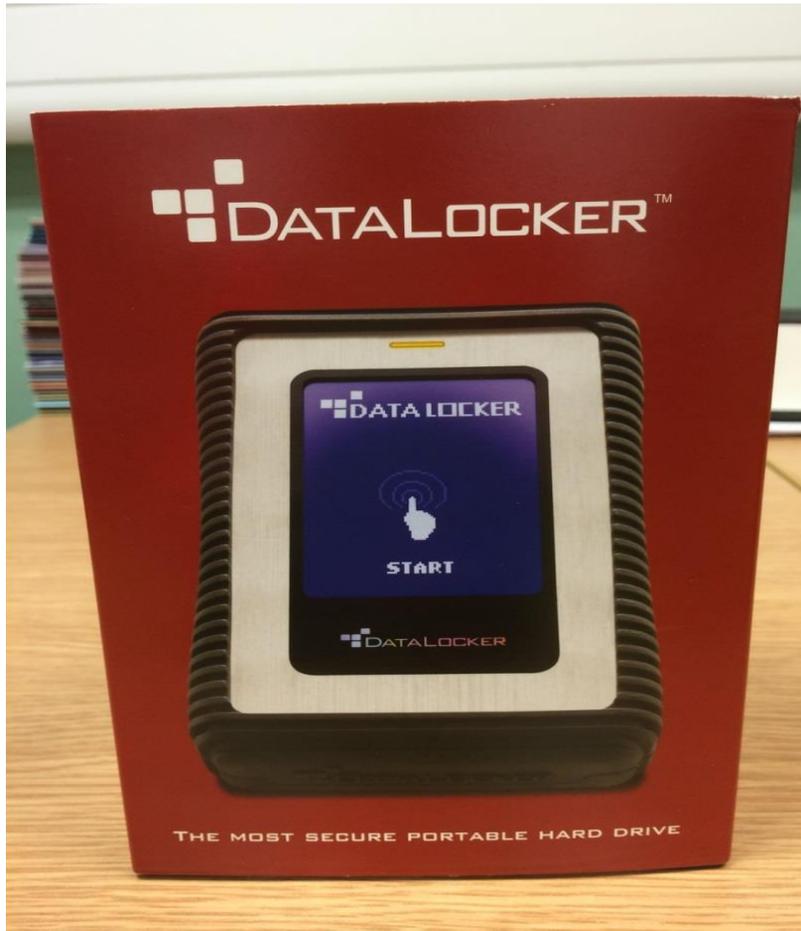
I know there is software on the market for the migration of documents and their metadata but since budget allocation is not confirmed yet, I would like to know if we have any other options. Should we take the 'risk' of migrating information and fill in from the start the mandatory categories such as retention, disposal, ownership, classification etc or would there be a compliance issue so we need to put the purchase of such software as a priority?

NRS minimum metadata

- title – meaningful, descriptive file and folder titles, e.g. “2013-11-22 Minutes – Health and Safety Committee” (file) or “2012-2013 Budget” (folder);
- identifier – which places the object in context, e.g. folder or file path, file plan classification or uniform resource locator;
- date of creation – the date on which the record was first created;
- date last modified – the date the record was most recently modified, not the date on which the record was copied to its current location;
- folder or file – specify whether the digital object is a folder or file;
- checksum – checksum algorithms for each object can be used to verify that the records received by us are identical to those you transferred;
- rights – copyright and any other intellectual property rights conditions must be explicitly stated for each file;
- closure status / protective marking – if any metadata, files or folders are for example exempt under freedom of information legislation or closed under specific conditions this must be indicated;
- linked copies – to indicate where an object is linked to another object and why.

I received a call today from XX about XX. XX hold these as .pst files, held on disks. Currently they can no longer access nor read them as [the organisation] won't support such files.

The Transfer



Vale of Leven Hospital Inquiry

- Shared drive
 - 375 MB
 - MS Word manifest

- Content database
 - 16 GB
 - Records received by inquiry
 - DAT file with metadata for each record

Archiving and transfer: checklist 1

- Files must be readable
- No encryption
- No accompanying software
- Uncompressed
- Manifest
 - List of all files
 - Number of files & folders
 - Total transfer size

Archiving & Transfer: checklist 2

- Archive may ask for test data (esp if complex records, or first time transfer)
- Put all of transfer into one top level folder with agreed name
- One drive per transfer if possible
 - Any splits should be meaningful

Archiving & Transfer: checklist 3

- Archive processes transfer
 - May be halted if any issues
 - Or returned to record creator
- Once archive confirms safe custody of records, can be deleted
- Deletion
 - cf RMP requirements

Archiving and Transfer: summary

- ISO 20652:2006
Space data and information transfer systems – Producer-archive interface – Methodology abstract standard

1. Discuss transfer
2. Formalise transfer
3. Transfer
4. Check what has been transferred
5. Confirm receipt of transfer
6. **NO SURPRISES**

Conclusion



Thank you

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