

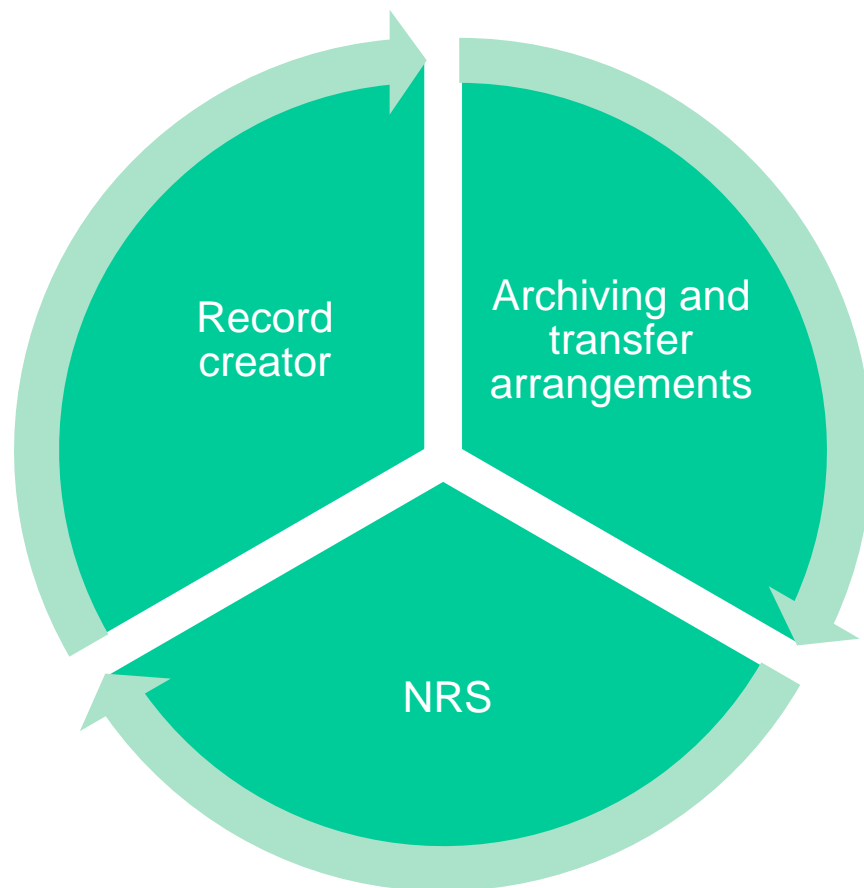
Developing procedures to transfer born digital records to NRS

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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 arri	100+	Hybrid	Yes		DO NOT TR	DO NOT TRAN	DO NOT T	
21	Bord na Gaidhlig	Yes	Yes	Yes	Never	Never	Functional business arri	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 metac	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 record	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.

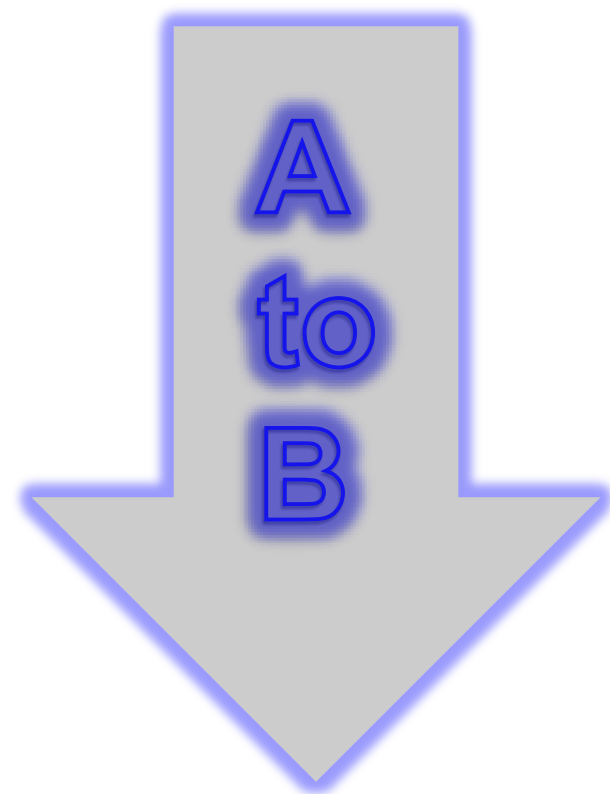
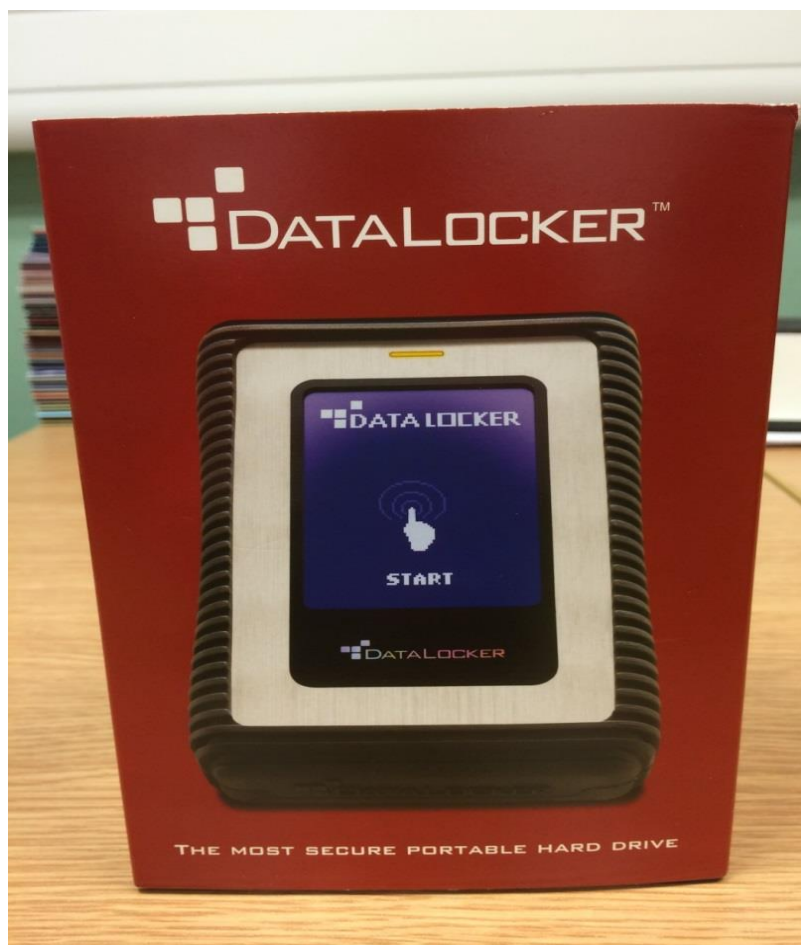
I know there is software on the market for the migration of documents and their metadata but since budget allocation is not confirmed yet, I would like to know if we have any other options. Should we take the 'risk' of migrating information and fill in from the start the mandatory categories such as 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

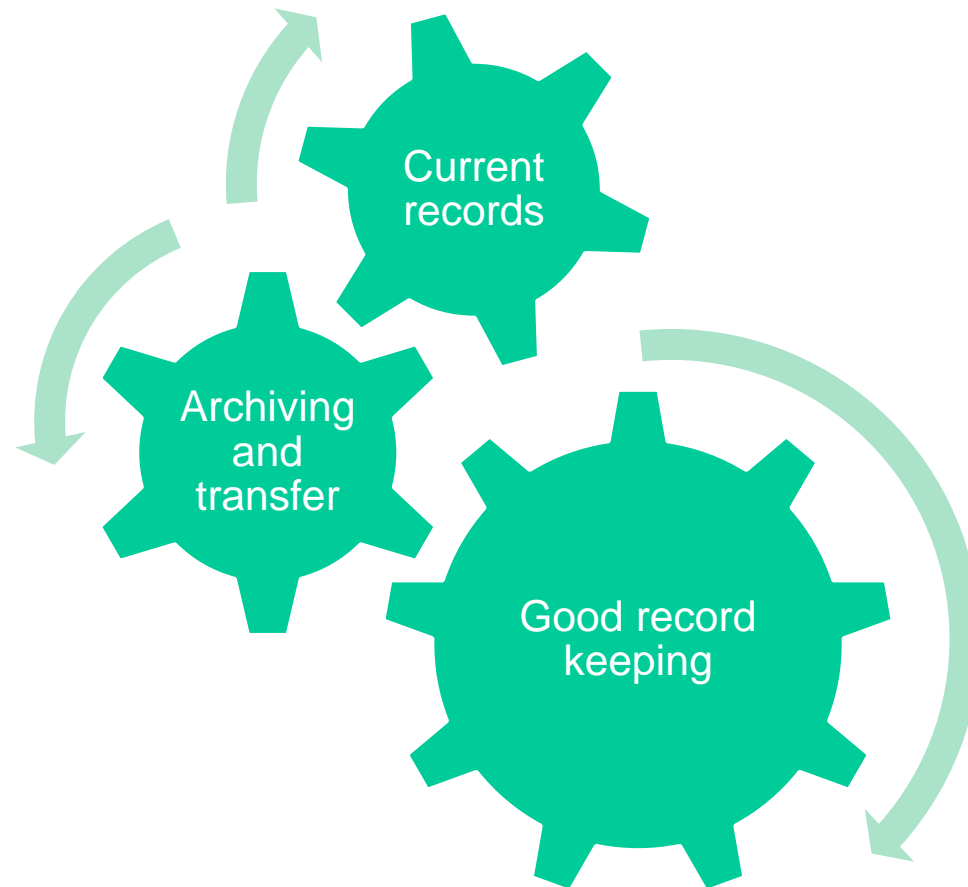
- Archive processes transfer
 - May be halted if any issues
 - Or returned to record creator
- Once archive confirms safe custody of records, can be deleted
- Deletion
 - cf RMP requirements

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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