

Record Transfer Report - Baseline 2012

Date of issue July 2012

Response date by, or before, 6th September 2012, please

Departments have reported their records holdings to The National Archives in the last few years. Additionally, as part of the preparatory work for the 20YR Implementation, ministerial departments have provided submissions twice in 2010 and 2011.

The contents of this workbook have been developed with the 20 YR Stakeholder Working Group, with representatives from all major government departments. The core task was to ensure this reporting suite meets the requirements of reporting to the Lord Chancellor, but is not onerous and can be easily populated from existing data sources within departments. Specific thanks are extended to these departments for their help in the definition of this reporting suite.

This information will be reported to the Lord Chancellor and published on our website. Departments should be mindful that this reporting event may attract interest from external stakeholders and so you may choose to link to this material from your own website and define handling strategies as you see fit.

Guidance Notes:

The first sheet of this workbook contains the minimum mandatory reporting set for the Lord Ch:

The second sheet in the workbook is automatically uploaded with these 12 data points, but also

Finally, the following three sheets are the Healthcheck statement sets. They identify the key ca

Support and assistance:

Please feel free to discuss this matter with your Information Management Consultant (IMC) cor

The 20 Year Rule: monitoring and reporting

This is a mandatory form to be completed and returned with the rest of the workbook by email to recordtransferreport@nationalarchives.gsi.gov.uk by 06/09/2012. Guidance and explanatory notes are provided throughout the form, and you can print a version of the form with the notes. Fields marked with an asterisk (*) are mandatory. Make sure you save a copy of the form for your records.

1. Organisation detail

Department/agency*

Web address*

2. Units of measure

How many files do you usually transfer per metre? files = 1 linear metre

The following are given in*:

3. Records due for transfer

| For the year(s) ending | Up to + inc 1981 | 1982 | 1983/4 |
|--------------------------------------|---------------------|------|--------|
| Total records held for this period* | 0 | 0 | 0 |
| Records selected for transfer* | 0 | 0 | 0 |
| Awaiting Advisory Council approval* | 0 | 0 | 0 |
| Planned total for year-end transfer* | 0 | 0 | 0 |

4. Contact details: not for release or publication

Name*

Email address*

Job title*

Contact number*

Please email this form to recordtransferreport@nationalarchives.gsi.gov.uk when complete

Monitoring and reporting: statistical return

Please also complete this form and email it to recordtransferreport@nationalarchives.gsi.gov.uk by **dd/mm/yyyy**. Guidance and explanatory notes are provided throughout the form, and you can print a version of the form with the notes. The fields marked with an asterisk (*) and highlighted in pink are mandatory questions from the previous worksheet.

All other questions are optional, although you are encouraged to use these fields to provide advance notice of any delays that may impact on timely transfer. These additional questions are also intended to provide us with forecast and planning data, and to give you the opportunity to prioritise any development actions needed. Please save a copy of the form for your records.

1. Legacy records for transfer - all records up to and including 1981

The values given are*:

| Process stages | Number |
|--|-----------|
| a Total records held for this period* | 0 |
| b Awaiting department selection | 0 |
| c Awaiting approval of selection by TNA | 0 |
| d Records selected for transfer* | 0 |
| e Awaiting destruction | 0 |
| f Awaiting sensitivity review | 0 |
| g Awaiting Advisory Council approval | 0 |
| h Awaiting cataloguing | 0 |
| i Awaiting physical preparation | 0 |
| j Other (please specify in Section 8) | 0 |
| k Planned total for year-end transfer* | 0 |
| l Forecast year-end performance | No legacy |

hover over the number fields on the left for more detailed guidance

2. Current year (2012) transfer activity: relating to all records held from 1982 due for transfer

The values given are*:

| Process stages | Number |
|--|-----------|
| a Total records held for this period* | 0 |
| b Awaiting department selection | 0 |
| c Awaiting approval of selection by TNA | 0 |
| d Records selected for transfer* | 0 |
| e Due for destruction | 0 |
| f Awaiting sensitivity review | 0 |
| g Awaiting Advisory Council approval | 0 |
| h Awaiting cataloguing | 0 |
| i Awaiting physical preparation | 0 |
| j Other (please specify in Section 8) | 0 |
| k Planned total for year-end transfer* | 0 |
| l Forecast year-end performance | No legacy |

hover over the number fields on the left for more detailed guidance

3. Forecast activity (2013): relating to all records held from 1983 and 1984 due for transfer

The values given are*:

| Process stages | Number |
|--|--------|
| a Total records held for this period* | 0 |

| | | |
|----------|---------------------------------------|-----------|
| b | Awaiting department selection | 0 |
| c | Awaiting approval of selection by TNA | 0 |
| d | Records selected for transfer* | 0 |
| e | Due for destruction | 0 |
| f | Awaiting sensitivity review | 0 |
| g | Awaiting Advisory Council approval | 0 |
| h | Awaiting cataloguing | 0 |
| i | Awaiting physical preparation | 0 |
| j | Other (please specify at Section 8) | 0 |
| k | Planned total for year-end transfer* | 0 |
| l | Forecast year-end performance | No legacy |

hover over the number fields on the left for more detailed guidance

4. Places of Deposit beyond The National Archives

Each year, what percentage of the files or other categories of record do you or local bodies select for transfer to Places of Deposit other than The National Archives? %

If you do deposit records beyond The National Archives, please provide details of the categories of records and locations below.

| Record category | Location |
|---|----------------------------|
| Guidance issued by The Pensions Regulator | The Pensions Archive Trust |
| | |
| | |
| | |
| | |
| | |

5. Record transfers in non-paper formats

Are you planning any record transfers in non-standard formats this year or next?
If so, please provide details below

No

Are you planning any digital transfers this year or next? If so, please provide details below

No

Do you know the current (mid-2012) size of your total digital record holdings?
If so, please provide details below

Approximately 500,000 documents

Do you have an Information Asset Register that lists system name, system type, size and file format?

8. Commentary: please include any other information to expand on your answers as required

The legacy holdings for which The Pensions Regulator is responsible were created by:

- The Occupational Pensions Board (1955 to 1997)
- The Occupational Pensions Regulatory Authority (1997 to 2005).

The records of the Occupational Pensions Board that were selected for transfer to TNA have already been transferred, under classes DM1-3.

Please email this form to recordtransferreport@nationalarchives.gsi.gov.uk when complete

Policies and governance for record selection and appraisal

The following statements of capability all have reference either to the Lord Chancellor's Section 46 Code of Practice or guidance published on The National Archives' website (nationalarchives.gov.uk/information-management). This full range of policies and governance provide an essential foundation for successfully meeting the expected rate of record transfer under the Public Records Act and the revised obligations under the 20 Year Rule.

Tick all statements that apply below - you should be confident that the statement applies across your organisation.

| | |
|--|---|
| Policy | |
| The department has a written policy to determine its approach to the selection and transfer of records to The National Archives. | <input checked="" type="checkbox"/> Check |
| | Code Part 1, 5.1b) |
| Governance and compliance | |
| The department has the governance, organisation, roles and responsibilities clearly defined and in place to meet processes to support the rate of records transfer required to meet the Public Records Act. | <input checked="" type="checkbox"/> Check |
| | Code Part 1 5.1a), i) |
| Knowledge | |
| The department has all the information about the records they hold, where and how they are stored and is able to retrieve them for processing | <input checked="" type="checkbox"/> Check |
| | Code Part 1 5.1 d), e) and f) |
| Understanding | |
| The department understands the records it holds in context and content and is able therefore to make appraisal and selection decisions appropriately. | <input checked="" type="checkbox"/> Check |
| | Code Part 1 Chapter 5 c) |
| Selection | |
| The department has a defined process for the timely appraisal and selection of its records for transfer to The National Archives. This includes the presentation of selection lists for sign-off by The National Archives. | <input checked="" type="checkbox"/> Check |
| | Code Part 1 Chapter 5 5.1 g) |
| Sensitivity | |
| The department has a defined process for the timely sensitivity review (where appropriate) of its records for transfer to The National Archives. | <input checked="" type="checkbox"/> Check |
| | Code Part 2 Chapter 18 |
| Disposal | |
| The department has a timetable and plan for the disposal of records not selected for transfer. | <input checked="" type="checkbox"/> Check |
| | Code Part 1 Chapter 5 5.1 g) |
| Inherited records | |
| Where the department either inherits or relinquishes records to other public bodies, they are handled (or will be) meeting all the above policies. | <input checked="" type="checkbox"/> Check |
| | Code Part 1 Chapter 5.1 h) |
| Requisition | |
| The department has clear and written policies and control mechanisms to assure that all records accessioned at The National Archives and requisitioned by the department will be securely stored, with controlled access in any location and a timetable for return. | <input checked="" type="checkbox"/> Check |
| | Code Part 1 Chapter 11 |
| Total | 9 |

Transfer practices for effective records transfer

The following statements of capability all have reference either to the Lord Chancellor's Section 46 Code of Practice or guidance published on The National Archives' website (nationalarchives.gov.uk/information-management). The following competencies should indicate the capability to meet the required rate of records transfer under the Public Records Act and the revised obligations under the 20 Year Rule.

Departments should be able to meet all the requirements of the Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act, 2000. This is enshrined in Part 2 Section 19: Transmission of Public Records, as below:

19.1 It is the responsibility of authorities transferring records to ensure that those records are adequately prepared and are transferred with the level of security appropriate to the confidentiality of the information they contain.

Tick all statements that apply below - you should be confident that the statement applies across your organisation.

| | |
|--|---|
| Policy The department has internally approved plans and resource allocation to support the required rate and control of records transfer, complying with The National Archives' standards. | <input checked="" type="checkbox"/> Check |
|--|---|

| | |
|---|---|
| Selection The department has secured and trained the appropriate resources to undertake the record selection decisions, with a planned timetable to secure approval from The National Archives. | <input checked="" type="checkbox"/> Check |
|---|---|

| | |
|---|---|
| Sensitivity The department has secured and trained the appropriate resources to undertake sensitivity review and the annual transfer process meets the Lord Chancellor's Advisory Council timetable for approval. | <input checked="" type="checkbox"/> Check |
|---|---|

| | |
|--|---|
| Access Arising from the Lord Chancellor's approvals, the department can implement the proper access categorisation, redaction and preparation of accurate dummy cards. | <input checked="" type="checkbox"/> Check |
|--|---|

| | |
|---|---|
| Destruction The department has a planned destruction timetable (approved by The National Archives) with the facility to confirm completion (audit trail). | <input checked="" type="checkbox"/> Check |
|---|---|

| | |
|--|---|
| Catalogue The department has an appropriate and sustainable number of catalogue staff (or third-party arrangement), with the correct skills with planned events for sign-off by The National Archives. | <input checked="" type="checkbox"/> Check |
|--|---|

| | |
|---|---|
| Preparation The department has an appropriate and sustainable number of packaging staff (or third-party arrangements), with the correct skills with planned events for sign-off by The National Archives. | <input checked="" type="checkbox"/> Check |
|---|---|

| | |
|---|---|
| Logistics The department has a secure and trackable logistical chain for record movements, both on the original transfer and any subsequent requisition and return. | <input checked="" type="checkbox"/> Check |
|---|---|

| | |
|--|---|
| Requisition Should the department need, at any time, to retrieve records from The National Archives or another Place of Deposit, there are clear processes and controls, audit trail and agreed timetable for return to the permanent archive. | <input checked="" type="checkbox"/> Check |
|--|---|

| | |
|--------------|----------|
| Total | 9 |
|--------------|----------|

Digital records: readiness for transfer

Departments which met the 2004 Modernising Government target for digital records management will start transferring those records to The National Archives by the end of the 20-year rule transition period. Though this is some years away, many departments were early adopters of digital working, and others will wish to benefit from the option of transferring digital records early. All will need to develop their capability in this area in line with the 20-year rule transfer timetable.

The following statements of capability reference guidance published on The National Archives' website (nationalarchives.gov.uk/information-management). The full range of capabilities described below will be required to successfully transfer digital records to The National Archives.

Tick all statements that apply below - you should be confident that the statement applies across your organisation.

| | |
|---|--------------------------------|
| Data handling The department has proven procedures for digital records handling, which maintain the confidentiality and integrity of records and metadata throughout the transfer process. Additionally, each transfer will contain checksum data which can be used to verify that the files received at TNA are identical to those sent by the department. | <input type="checkbox"/> Check |
|---|--------------------------------|

| | |
|--|---|
| File formats The department is able to accurately identify the file formats (and format versions) of its records using DROID (or similar). All formats to be transferred are economically preservable as defined in The National Archives' guidance on suitable file formats for transfer. | <input checked="" type="checkbox"/> Check |
|--|---|

| | |
|---|--------------------------------|
| Records and metadata The department is able to export records and associated metadata, including the six minimum mandatory metadata fields specified in The National Archives' digital transfer guidance (title, identifier/context, creator, date created, copyright, protective marking/closure). | <input type="checkbox"/> Check |
|---|--------------------------------|

| | |
|---|---|
| Technical environment The department understands the technical environment and characteristics of their records, including the IT systems and platforms used to store and manage them, the software originally used to create them, record types and volumes. | <input checked="" type="checkbox"/> Check |
|---|---|

| | |
|---|--------------------------------|
| Plans The department has created a high-level transfer plan which identifies digital records series due for transfer and includes agreed timescales for transfer. | <input type="checkbox"/> Check |
|---|--------------------------------|

| | |
|---|--------------------------------|
| Sensitivity The department has a proven mechanism for conducting digital sensitivity review on its own records, which is consistent with the sensitivity of the information and includes a mechanism for indicating any applicable FOI exemptions. Where required, the department is able to redact digital records in line with The National Archives' digital redaction guidance. | <input type="checkbox"/> Check |
|---|--------------------------------|

| | |
|---|---|
| Selection The department understands how its selection policies relate to digital records and has a process for selecting digital records for permanent preservation in line with these policies. | <input checked="" type="checkbox"/> Check |
|---|---|

| | |
|---|---|
| Availability The department's digital records are available for use. The records are free of malware or corruption; the department is able to remove password protection, encryption, digital rights management and similar access restrictions before transfer; the department has the required software and can open the records. | <input checked="" type="checkbox"/> Check |
|---|---|

| | |
|---|---|
| Knowledge and understanding The department understands the full extent of its digital records, irrespective of their format or the systems in which they are held. Digital records are included in the department's Information Asset Register and What to Keep schedule. | <input checked="" type="checkbox"/> Check |
|---|---|

| | |
|--------------|----------|
| Total | 5 |
|--------------|----------|