**National Archives Appraisal Request:**

**Application for disposal of records**

**Please complete the questionnaire to provide the National Archives with as much information as possible to support your application for a records disposal certificate.**

# Background

The future research potential of records is the most difficult variable to determine.

What is of relatively low research use today may become of great research use in the future. Perhaps even more important and difficult to predict are the issues and topics that will be considered of significance in the future. Nevertheless, it is important to consider this question in making appraisal decisions. It is necessary to consider the kinds and extent of current research use and to try to make inferences about anticipated use both by the public and by the Government.

Prior to completing and submitting this application to the National Archives, we would ask you to consider the following:

* **How significant is the source and context of the records?**

The significance of the functions and activities performed by the originating agency and the business context within which the records are created are important considerations for the National Archives.

* **Is the information unique?**

Appraisals must be conducted in context with other records. The National Archives must determine whether the records under consideration are the only, or are the most complete, source of significant information. Records that contain information not available in other sources are more likely to warrant permanent preservation than records containing data that is duplicated in other sources.

* **Do the records document decisions that set precedents?**

Do decisions or actions of the originating agency set precedents, or is each decision or action independent of others and merely based on policy set at some higher level? If the former, the records are more likely to warrant permanent preservation. Examples include policy files at the highest level within an agency.

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| Part 1: Context of records series |
| Retention Schedule: |
| Does your Department/Division have a retention schedule which includes the series currently being applied for?   |  |  | | --- | --- | | Yes | No | | If yes, provide details of your retention schedule below and attach as an appendix to this application. | | |  | | |
| If there is no retention schedule, please review our generic retention schedule (insert hyperlink). Is the series listed in this schedule?   |  |  | | --- | --- | | Yes | No | | If yes, provide details of section and page number: | | |  | | | |  | | --- | |  | | | |

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| Part 2: General Information |
| Department/office/body: |
| |  |  | | --- | --- | | Name of department/office/body: |  | | Name and contact of National Archives Certifying Officer: |  | |  |  | |
| Division/section/unit: |
| |  |  | | --- | --- | | Name of division/section/unit |  | | Primary function of division/section/unit |  | |  |  | |
| Policy: |
| Does the division/section/unit **formulate policy** or is its activity primarily focussed on conducting **administrative actions** e.g. processing applications for a specific purpose/grant scheme?   |  |  | | --- | --- | | Policy | Administration | | Please provide details: | | |  | | |  | | |
| Regulations: |
| Are there **laws/regulations/internal procedures** governing the business processes of the division/section/unit?   |  |  | | --- | --- | | Yes | No | | If yes, provide details: | | |  | | | |  | | --- | |  | | | |
| Other departments/offices: |
| Are the business activities of the division/section/unit **shared** with another Department or office or performed as **agents** of another Department or office?   |  |  | | --- | --- | | Yes | No | | If yes, provide details: | | |  | | | |  | | --- | |  | | | |
| Freedom of Information: |
| Are the business processes of the section described in the Department’s **FOI publication scheme**?   |  |  | | --- | --- | | Yes | No | | If yes, provide link: | | |  | | | |  | | --- | |  | | | |

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| Part 2: Overview of disposal application | |
| Title of record series: | |
| |  |  | | --- | --- | | Title of series: |  | | Reference number: |  | | Short description: |  | |  | | | |
| Type of disposal being sought: | |
| **Once off**  If seeking approval for disposal of a finite record series i.e. a series of records with a defined start and end date. | **Ongoing**  If seeking approval for disposal of an accruing series on an ongoing basis i.e. from a defined date going forward. |
| Dates range for disposal: | |
| **Once off applications:**  Please indicate earliest and latest date of records for which disposal authorisation is being sought.   |  |  | | --- | --- | | From (yyyy): |  | | To (yyyy): |  | |  | | | **Ongoing applications:**  Please indicate earliest date of records for which disposal authorisation is being sought.   |  |  | | --- | --- | | From (yyyy): |  | |

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| PART 3: Overview of record series |
| Primary function: |
| |  | | --- | | What is the primary function of the record series/why was the record series created? | |  | |  | |
| Original records: |
| Are the records **original or duplicates** e.g. duplicated in another record series/sub-series or duplicated in published form?   |  |  | | --- | --- | | Original | Duplicates | | If duplicates please give details to include original creator and location of originals. | | |  | | |  | | |
| Relationship to other records |
| Is any of the information in the record series **extracted or used** in another series or recordkeeping system, or does the information **support or complement** information in other series?   |  |  | | --- | --- | | Yes | No | | If yes, provide details: | | |  | | |  | | |
| Case files: |
| Are the records case files?   |  |  | | --- | --- | | Yes | No | | If yes, what process do they illustrate? | | |  | | |  | | |
| Legislation: |
| Are/were the records created and maintained to comply with **legal or other mandatory obligations**?   |  |  | | --- | --- | | Yes | No | | If yes, provide details: | | |  | | | |  | | --- | |  | | | |
| Procedural manuals: |
| Are/were there **procedural manuals or internal policies** governing the creation and/or maintenance of the record series?   |  |  | | --- | --- | | Yes | No | | If yes, provide details: | | |  | | | |  | | --- | |  | | | |
| Access to records: |
| Are there any **access restrictions**? Do the records contain sensitive or confidential information e.g. personal information that identifies living individuals, information of national security?   |  |  | | --- | --- | | Yes | No | | If yes, provide details: | | |  | | | |  | | --- | |  | | | |
| Retention of records: |
| Are there any [[1]](#footnote-1)**retention requirements** (e.g. legal, regulatory, fiscal, internal administrative requirements)?   |  |  | | --- | --- | | Yes | No | | If yes, provide details: | | |  | | | |  | | --- | |  | | | |

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| PART 4: Format and content of records |
| Record format: |
| What is the **format** of the record?   |  |  |  | | --- | --- | --- | | Paper records only | Electronic records only | Both paper and electronic records (hybrid) | |  |  |  | |
| Physical description (paper records): |
| What is the **physical** **format** of the record series (Please be as specific as possible)?   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Numbered files | Loose paper files | Loose sheets in box files/boxes | Forms or other printed documentation | Other (please specify) |  |  | | --- | | Details | |  | |  | |
| Outsized (large) items: |
| Does the series include any **outsize items** e.g. maps, plans, posters)?   |  |  | | --- | --- | | Yes | No | | If yes, provide details e.g. are they stored separately or within the file? | | |  | | | |  | | --- | |  | | | |
| Other formats: |
| Does the series contain any of the following **non-textual** formats?   |  |  |  | | --- | --- | --- | | Photographs | Photographic images e.g. .jpeg; .png; .gif; .tif | Film reels/cassettes | | Video recordings e.g. .mp4; .mov; .avi; .wmv | Audio reels/cassettes/magnetic tape | Audio recordings e.g. .wav; .flac; .mp3; .aac; .ogg; .wma | | Disks e.g. Floppy; CD; DVD; Blu-ray | Objects e.g. sample items | Other (specify below) | | Details: | | | |  | | | | |  | | --- | |  | | | | |
| Relationship (paper and electronic records) |
| If the series contains both paper and electronic records, indicate the **relationship** between the two formats   |  |  | | --- | --- | | The paper and electronic records are **mirrors** | All information is mirrored between the two formats:   * all paper information created/received is scanned to the electronic file   AND   * all electronic information created/received is printed to the paper file | | The electronic record is considered the **master record** | All processing is done on the electronic record:   * all electronic information created/received is uploaded/stored to the electronic file   AND   * all paper information created/received is scanned/uploaded to the electronic file | | The records are in **different parts** | Information is processed/stored in separate formats:   * Some information is in electronic form and some in paper form * not all electronic information is printed and not all electronic information is scanned/uploaded | |  |  | |

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| Part 5: Extent and storage of records | |
| File volume (paper and electronic): | |
| For **finite series** or once off applications:   |  |  | | --- | --- | | Number of files: |  | | For **accruing series** or ongoing applications:   |  |  | | --- | --- | | Number of files: |  | | [[2]](#footnote-2)Rate of accrual |  | |
| Series volume (paper and electronic): | |
| What is the volume of the series?   |  |  | | --- | --- | | Storage type | Choose an item. | | Number: |  | |  | | | |
| Arrangement | |
| How are the records **arranged**?   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | Numerically | Chronologically | Geographically | By subject | Other (please specify) | | | Details: | | | | | |  | | | | | |  | | | | | | |
| Storage location (paper records): | |
| Where are the paper records stored?   |  |  |  |  | | --- | --- | --- | --- | | Office storage | Local (building) storage | Offsite storage | Other (please specify) |  |  | | --- | | Details: | |  | |  | | |
| Storage location (electronic records): | |
| Where are the paper records stored?   |  |  |  |  | | --- | --- | --- | --- | | External servers | Local servers | Email servers | Other (please specify) |  |  | | --- | | Details: | |  | |  | | |
| Record/document/content management systems (electronic records): | |
| Is the record series created/maintained on a specific record/document/content management system e.g. SharePoint/Edocs?   |  |  | | --- | --- | | Yes | No | | If yes, provide details: | | |  | | | |  | | --- | |  | | | | |

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| Part 6: Additional information |
| Relevant information |
| |  | | --- | | Is there any other information, notes, comments you feel are relevant to your application? | |  | |  | |
| Submission of application |
| |  |  | | --- | --- | | Name of applicant |  | | Date submitted to National Archives |  | |  |  | |

1. Common requirements include but are not limited to: Data Protection Acts 1988 and 2003; National Archives Act 1986; Comptroller and Auditor General requirements; Public Accounts Committee requirements; Freedom of Information Acts; Potential litigation requiring documentary evidence; Internal Audit considerations; internal records retention schedule [↑](#footnote-ref-1)
2. Approximate number of files created per year [↑](#footnote-ref-2)