

Guidelines 2010/1
Transfer of Paper Records to the National Archives
(Court Records)



NATIONAL ARCHIVES

2004 GUIDELINES revised 2010

TRANSFER OF PAPER DEPARTMENTAL RECORDS
TO THE NATIONAL ARCHIVES
(COURT RECORDS)

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1 Introduction

1.1 The National Archives Act and Regulations

The National Archives Act, 1986, provides for the transfer to the National Archives of records of Departments of State that have permanent value when they are 30 years old or more, in order that they can be made available for public inspection. Detailed provisions concerning the transfer of Departmental records to the National Archives are contained in the National Archives Act, 1986, Regulations, 1988. For general information concerning the provisions made by the Act and Regulations with respect to Departmental records, see the circular issued by the National Archives entitled **The National Archives Act and Departmental Records**. The full text of the National Archives Act, 1986, the National Archives Act, 1986, Regulations 1988 and the circular **The National Archives Act and Departmental Records** are available on the National Archives website at <http://www.nationalarchives.ie>. Copies may also be requested directly from the Records Acquisition Division of the National Archives.

1.2 Interpretation of the term ‘Department’

In Section 1(2) of the Act, the term ‘Department of State’ (hereafter ‘Department’ in **Guidelines 2010/1**) is interpreted to mean not only the head office of a Department and its sub-offices, but also the courts and the bodies listed in the schedule to the Act. The term therefore refers to almost all bodies staffed by civil servants, including the Defence Forces and An Garda Síochána and is so used in **Guidelines 2010/1**.

1.3 Definition of the term ‘Departmental records’

The term ‘Departmental records’ refers to records in any form made or received, and held in the course of its business, by a Department, but does not include

- (a) instruments of title relating to property for the time being vested in the state, and
- (b) any part of the permanent collection of a library, museum or gallery.

For the full definition of the term, see Section 2(2) of the Act. For the variety of record formats covered by it, see part 13 of **Guidelines 2010/1**.

1.4 Transfer of records by end of year in which they become more than 30 years old

Regulation 5(1) states that records due for transfer in accordance with the provisions of the Act must be transferred to the National Archives not later than the end of the year in which they become more than 30 years old. That is to say, records becoming 30 years old in a given year are eligible for transfer to the National Archives by 31 December of that year.

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1.5 Determining the age of records

Regulation 4 states that the age of a record shall be determined by the age of the latest substantive entry in it. Consequently, where a record spans a period of several years, the latest substantive entry in that record shall determine the age of the record and, hence, the date due for transfer to the National Archives. In the case of a file, it can be the latest document on file, or latest substantive comment or annotation on a document on file. In the case of a register or other record in bound volume format, it can be the latest substantive entry in the record, or the latest substantive comment or annotation. In the case of an image, such as an architectural drawing, it can be the date of creation or the date of the last amendment to the record.

1.6 Transfer of records that are less than 30 years old

Under Section 8(7) of the Act, the Director of the National Archives may agree to the transfer of records that are less than 30 years old, and under Section 10(6), the Minister responsible for the Department transferring the records may grant access to them even though they are less than 30 years old. In practice, the Director of the National Archives will only agree to the transfer of records that are less than 30 years old, if

- (a) the Department has no objection to their being made available for public inspection, and
- (b) the National Archives has the requisite space to store them.

1.7 Retention of records by Departments and withholding of records from public inspection

Records that are more than 30 years old may, in certain limited circumstances, be retained by Departments or withheld from public inspection (see part 10 of **Guidelines 2010/1**).

1.8 Disposal of records

Section 7 of the Act provides that records may be disposed of only if their disposal has been authorised in writing by the National Archives. Please consult the National Archives before disposing of any Departmental records.

1.9 Responsibilities of Departments

Under Regulation 5, Departments are responsible for the arrangement, numbering, cleaning, packing and labelling of records due for transfer, for the preparation of schedules listing records due for transfer and for their carriage to the National Archives in accordance with **Guidelines 2010/1**. Under Section 8 of the Act and Regulation 7, Departments are also responsible for the identification of records to be retained or withheld from public inspection.

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1.10 Role of Certifying Officers

Certifying Officers, who are appointed in all Departments under Regulation 3(1), are responsible for overseeing the work referred to at 1.9 above. Certificates to transfer records (see part 9 of **Guidelines 2010/1**) or to retain or withhold records under Section 8 of the Act must be signed by a Certifying Officer (see part 10 of **Guidelines 2010/1**).

1.11 Sequence of operations in transferring records

In general, the National Archives recommends that the operations involved in transferring records be carried out in the order recommended in part 15 of **Guidelines 2010/1**, although this may not be appropriate in all cases.

1.12 Scope and application of Guidelines 2010/1

Guidelines 2010/1 apply to paper records of permanent value held by Departments that are due for transfer to the National Archives. As such records tend to consist largely of paper files, **Guidelines 2010/1** has been prepared specifically to address this type of record. While part 13 of **Guidelines 2010/1** addresses steps to be taken with respect to the transfer of paper records other than files, Departments are strongly advised to consult the National Archives before undertaking any work to prepare such records for transfer (e.g. loose documents, volumes, maps, plans, microform, sound or film recordings). Where the records for transfer are in electronic form, contact the Electronic Records Unit of the National Archives.

1.13 Guidelines 2010/1 supersede Guidelines 90/1

Guidelines 2010/1 supersede **Guidelines 90/1** and every Department transferring paper records to the National Archives must follow **Guidelines 2010/1**, unless advised otherwise by the National Archives.

1.14 Consultation with the National Archives

Departments should bear in mind that the National Archives is always available to assist in the interpretation and application of **Guidelines 2010/1** in particular instances and in advising on all matters relating to compliance with the legal obligation to transfer records to the National Archives. Preparing records for transfer to the National Archives is the responsibility of Departments and **Guidelines 2010/1** is intended to provide advice for all stages of the process. The National Archives recognises that Departments might have peculiar needs concerning the transfer of records and considers regular consultation with the National Archives to be a necessary part of the transfer process. Inattention to standard procedures relating to the transfer of records can result in unnecessary work and other problems that might prove difficult and costly to remedy. Any enquiries concerning the transfer of records to the National Archives should be directed to Records Acquisition Division, National Archives, Bishop Street, Dublin 8 (tel: 01 407 2300; fax: 01 407 2333; e-mail: mail@nationalarchives.ie).

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2 Examination of records to determine eligibility for transfer

2.1 General note

In order to prepare records for transfer in any particular year, Departments should start by carrying out an initial examination of records held in order to establish the records due for transfer in that year, i.e. records that will be thirty years old or more on 31 December. In Departments where individual divisions or sections are responsible for the care and custody of their own records, each must examine its respective record holdings.

2.2 Departments, divisions or sections that have not previously transferred records to the National Archives

A Department, division or section of a Department undertaking this work for the first time should consult the National Archives before commencing an examination of its records. If it holds a large quantity of records that are more than 30 years old, or if it holds records of great complexity, the National Archives will consider the feasibility of having the records surveyed on site by an archivist and providing advice on managing the transfer of records.

2.3 Examination of records by record series

The examination of records should normally be carried out at the level of the record series. A record series is the basic unit for organising and controlling files. It is a group of files or documents kept together (either physically or intellectually) as part of a single filing system because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use. The following are examples of record series:

Department of the Taoiseach, Central Registry Files (*S series*);

Department of Education, Primary Education Branch, registers of proceedings concerning national schools;

Mullingar District Probate Office, testamentary records;

Registry of Deeds, Memorials of Deeds;

Valuation Office, Valuation Maps.

2.4 Examination of records by record sub-series

In cases of large complex record series, it may be necessary to carry out the examination at the level of the record sub-series. A record sub-series can be defined as an identifiable record series that exists within a larger record series (i.e., a series that appears in conjunction with another,

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usually more comprehensive, series of which it forms a part or section). For example, the main series of Central Registry files of the head office of the Department of Foreign Affairs for the period 1931 - 36 contains 47 sub-series, of which the following are the first four:

Nationality, flags and arms

Passports and visas

Privy Council

Governor General

2.5 Original order of records

It is essential that records are maintained in their original order, by series or sub-series and according to any referencing numbering system. Disordered records must be put back in their original order, if this is obvious. The National Archives must always be consulted before records are put into a new order (see part 5 of **Guidelines 2010/1**).

2.6 Information to be ascertained concerning records eligible for transfer

The aim must be to establish the following information concerning each record series or sub-series:

- (a) The Department, division or section that created the records. This might not be the same as the Department, division or section transferring the records, but might be a defunct predecessor body or one whose functions were assumed by the Department, division or section now transferring the records.
- (b) The Department, division or section now responsible for the records and for making the transfer.
- (c) Title or description of the record series or sub-series.
- (d) Physical format of the records (files, volumes, plans, etc.) in the series or sub-series.
- (e) Location(s) in which the records are stored.
- (f) Existing finding aids that could be used when preparing schedules of files for transfer, such as registers, indexes, file lists, etc. (see parts 6-8 of **Guidelines 2010/1**). If electronic finding aids exist, such as file tracking systems or inventories, please consult with the National Archives as it might be possible to adapt or make use of these when making schedules of records for transfer.
- (g) Approximate number of items due for transfer in the current year.
- (h) Approximate number of National Archives archival boxes required for the packing of records due for transfer (see appendix 4 of **Guidelines 2010/1** for the dimensions of boxes and calculating the number of boxes required for packing records for transfer).

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- (i) Whether the records include individual items that might be appropriate for retention or withholding from public inspection. (see part 10 of Guidelines 2010/1).

2.7 Requesting archival boxes and box labels for records for transfer

Once the information at 2.6 above has been ascertained, contact the National Archives to request a supply of archival boxes and box labels.

2.8 Requesting a transfer number (or numbers) for records for transfer

Once the information at 2.6 above has been ascertained and before beginning work on the transfer of records in any particular series, contact the National Archives to request that a transfer number be allocated to each identifiable series of records being prepared for transfer and release to public inspection. The transfer number allocated to a series of records for transfer comprises two elements as follows:

(a) **Year number**

The year number is a four-digit number representing the year of transfer to the National Archives.

(b) **Transfer number**

The transfer number is assigned by the National Archives from a sequence of release numbers covering all Departments. Each series of records for transfer series must be given a separate release number.

A transfer number can be requested by phone, email, fax or post, using the form contained in appendix 2.

2.9 Use of the transfer number in numbering records for transfer within a series

The transfer number described at 2.8 above must be used as a basis for allocating individual National Archives reference numbers to each record (file or bound volume, etc.) within a series being prepared for transfer. The National Archives numbers to be given to each individual record for transfer will therefore comprise the transfer number allocated to the series and a sequential number, commencing at number 1, given to each record in record series for transfer, as follows:

Year of transfer	Transfer number	Record number
2004/	66/	1
2004/	66/	2

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2.10 Labelling records for transfer with National Archives reference number

When preparing records for transfer, staff of the Department must affix an adhesive label to each record showing its National Archives reference number (see part 11 of **Guidelines 2010/1** for labelling records with National Archives reference number). Templates for the printing of National Archives reference numbers are available from the National Archives.

2.11 Procedures to follow when transferring records

Procedures to be followed in preparing to make a transfer of records to the National Archives are set out in parts 6-9 and in parts 11-15 of **Guidelines 2010/1**. The procedures to be followed in retaining or withholding records are detailed in part 10.



Illustration 1
Boxed records stored on shelving in the National Archives

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3 Storage of records and work to prepare for transfer

3.1 Storage of records while under preparation for transfer

The transfer of records to the National Archives requires a considerable amount of preparatory work. If records are stored in places where staff cannot reasonably be expected to work, they must be transferred to an alternative location that provides more suitable working conditions.

3.2 Minimum requirements for work places

At minimum, a work place must be easily accessible, clean, properly lit and ventilated, and adequately heated by a system of heating that does not give rise to a risk of fire.

3.3 Records stored in sacks, tea chests and other unsuitable containers

In some instances, records may have been stored in sacks, tea chests and other unsuitable containers. Such records must be removed from these containers and placed on shelves or worktables, or in cupboards or cabinets.

3.4 Dirty or disordered records

If records are dirty, they must be cleaned (see part 4 of **Guidelines 2010/1**). If they have become disordered, they must be put back in order (see part 5 of **Guidelines 2010/1**).

3.5 Records in other formats

No preparatory work is to be undertaken on records in other formats, such as loose documents, bound volumes, maps, plans, photographs or on records that are on other media (including sound recordings, film or electronic records) without prior consultation with the National Archives.

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4 Cleaning and care of records for transfer

4.1 Damaged records

If records are damp, mouldy or otherwise damaged, seek the advice of the National Archives before commencing work on them, particularly before undertaking any cleaning work. The National Archives must be made aware of the existence of damaged records as conservation repair work may need to be undertaken and special packing of the records may be required.

4.2 Cleaning equipment and materials

- (a) **Low suction vacuum cleaner:** a Nilfisk vacuum cleaner specially adapted by Nilfisk is suitable, but a normal vacuum cleaner is not.
- (b) **Brush:** a soft brush such as a draughtsman's brush, which are available from graphic materials suppliers
- (c) **Soft clean cloths**
- (d) **Protective clothing:** protective coats or overalls
- (e) **Protective gloves:** such as disposable surgical gloves, which are available from medical equipment shops
- (f) **Protective facemasks:** such as surgical masks, which are available from medical equipment shops

4.3 Care and supervision during cleaning

Records are fragile and require careful handling to avoid damage. Continuous care must be taken during all cleaning operations as it is very easy to damage records. Staff engaged in cleaning records must be supervised by more senior and experienced staff. If in any doubt, seek the advice of the National Archives.

4.4 Method of cleaning

Loose dirt can be removed from the surface of records with a low suction vacuum cleaner or with a soft brush and cloth. However, fragile or flimsy items must only be cleaned with a brush or cloth. Care must be taken not to rub dirt into the records.

4.5 Cleaned records to be kept clean

Once records have been cleaned, care must be taken to ensure that they do not become dirty again, and that the area in which they are stored is kept clean. The cleaning equipment must also be kept clean.

4.6 Handling records

No trimming, cutting, folding, creasing, rolling or stapling must take place, and no repairs of any kind, with sellotape or any other material is to be attempted. Nothing may be discarded except in accordance with Section 7 of the Act.

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4.7 Records in other formats

No work is to be undertaken on records in other formats, such as loose documents, bound volumes, maps, plans, photographs or on records that are on other media without prior consultation with the National Archives.



Illustration 2

Selection of materials used in cleaning archives, including soft brushes and smoke rubbers for surface cleaning of documents. The illustration also shows personal protective equipment, such as protective gloves, facemasks and protective eyewear.

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5. Ensuring records for transfer are in order

5.1 Disordered records

On examination, it may be noticed that records have become disordered. This is especially likely if the records have been moved from one location to another on a number of occasions. Disordered records must be put back into their original order, if this is obvious. Records arranged in their original order must **never** be re-organised into what might be interpreted as a more 'logical' arrangement by staff preparing records for transfer.



Illustration 3
Disordered records awaiting examination and sorting

5.2 Numerical or alphabetical order

If disordered records are numbered, they must normally be put back into numerical order. If they were originally stored in alphabetical order, they must be put back into alphabetical order. However, **if there is any doubt** about the original order, **consult the National Archives** before taking any action.

5.3 Re-ordering

On occasion, it may not be possible to tell how records were ordered originally. In such cases, **seek the advice of the National Archives before arranging records in a new order.**

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5.4 Order of items in files

Where records for transfer are in the form of files containing documents, great care must be taken to preserve the original order of documents within a file. Files must not be taken apart unless it is absolutely necessary. Once disordered, it may be impossible to put documents on a file back in their correct order. Where the contents of a file are obviously disordered and there is uncertainty about the order into which the documents should be put, the National Archives must be consulted.

5.5 Removal of items from files

Nothing may be removed permanently from records in the form of files (e.g. duplicate material, publications), unless this has been specifically provided for in a disposal authorisation issued by the National Archives. It may sometimes be necessary to split files into parts or to abstract items from files temporarily (see parts 10.5, 10.9, 11.4, and 11.6 - 11.8 of **Guidelines 2010/1**), but papers must never be transferred from one file to another.

5.6 Addition of items to files

When preparing records in the form of files for transfer, nothing new should be added permanently to files other than new file covers, where the original file covers are damaged, and loose items that were formerly attached to files. (see parts 11.1 - 11.4 and 11.6 - 11.7 of **Guidelines 2010/1**).

5.7 Records in other formats

No arrangement or re-organising is to be undertaken on records in other formats, such as loose documents, bound volumes, maps, plans, photographs or on records that are on other media without prior consultation with the National Archives.

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6 Schedules of records for transfer

6.1 Requirement to prepare schedules of records

Schedules of records must be prepared in accordance with Regulation 5(2) of the National Archives Act, 1986, Regulations, 1988. Schedules of records must be prepared for records that are to be:

- (a) transferred to the National Archives and release to public inspection;
- (b) retained within a Department under Section (2) of the Act (see part 10 of **Guidelines 2010/1**);
- (c) withheld from public inspection under Section 8(4) of the Act (see part 10 of **Guidelines 2010/1**).

6.2 Schedules of records for transfer to the National Archives and release to public inspection

As **Guidelines 2010/1** is intended primarily to describe procedures to be followed in making transfers of records in the form of files, compliant schedules must list each file for transfer in Departmental reference number order, noting the National Archives reference number allocated to each file, the original Departmental reference number of each file, the file title and the date range of material on each file (see 2.8 to 2.10 above and part 7 of **Guidelines 2010/1**). Schedules of files for transfer and release to public inspection must be sent to the Director of the National Archives **before 1 October of each year**.

6.3 Separate schedules for different series of files

Separate schedules must be made for each identifiable file series that will be transferred to the National Archives and released to public inspection.

6.4 Purpose of making schedules of files for transfer to the National Archives and release to public inspection

The purpose of making a schedule of files that will be transferred to the National Archives and released to public inspection is:

- (a) to enable the National Archives and the Department to know what files have been transferred, and to permit checking;
- (b) to enable researchers in the National Archives to identify files that they wish to inspect;
- (c) to enable Departments to identify files required for recall.

6.5 Transfer numbers to be obtained from the National Archives before the preparation of schedules of files that will be transferred and released to public inspection

Before preparing schedules of files that will be transferred and released to public inspection, Departments must obtain from the National Archives a transfer number for each identifiable record series (see 2.8 above). To allow time for the preparation of schedules, transfer numbers

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must be obtained before 1 June of each year. Transfer numbers may be requested by phone, email, fax or post using the form shown in Appendix 2.

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7 Content of schedules of files for transfer and release to public inspection

7.1 General note

Schedules of files for transfer and release to public inspection must be as simple as possible, containing all the information essential for the purposes outlined in part 6 of **Guidelines 2010/1**. The National Archives must be consulted about the form and content of any schedule of a large quantity of records **before preparation of the schedule begins** in order to ensure that it is compiled correctly.

7.2 Content of schedules of files

Each schedule of files **must** have the following four elements of information in relation to each file listed:

- (a) National Archives reference number
- (b) Departmental reference number
- (c) File title/description
- (d) Date range of documents on file

Illustration 4A is an extract from a typical schedule of files.

7.3 Schedules based on file titles

In many cases it is possible to make a schedule based on the file titles as they appear on the file covers or in a file register. However, the file titles do not always give an accurate or adequate description of file contents, so the description must be corrected or supplemented when necessary.

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Illustration 4A

Extract from a typical schedule of file (in the form of a Microsoft Excel spreadsheet) to be emailed to the Records Acquisition and Description Division of the National Archives

High Court										
Central Office										
Reference Code	Original Reference code	Original reference code type	Series	Title	Date	Date (Early)	Date (late)	Extent	Creator	Scope and Content
2010/156/1	1971/1 P	Original High Court number	Plenary Summons	Patrick Hughes versus Robert Riordan	1971	1971	1971	1 file	High Court	
2010/156/2	1971/2 P	Original High Court number	Plenary Summons	Anne Dargan an infant suing by her uncle and next friend David Dargan versus Patrick Dargan	1971	1971	1971	1 file	High Court	Documents abstracted from this file
2010/156/3	1971/3 P	Original High Court number	Plenary Summons	Bridget Dunne versus Peadar (otherwise Peter) Dunne	1971	1971	1971	1 file	High Court	
2010/156/4	1971/4 P	Original High Court number	Plenary Summons	Edward O'Brien versus Kitty Jordan	1971	1971	1971	1 file	High Court	No file present
2010/156/5	1971/5 P	Original High Court number	Plenary Summons	Margaret Johnston versus Micheal Wilson	1971	1971	1971	1 file	High Court	
2010/156/6	1971/6 P	Original High Court number	Plenary Summons	Michael Smith versus Premier Cream Ices Limited	1971	1971	1971	1 file	High Court	
2010/156/7	1971/7 P	Original High Court number	Plenary Summons	Joseph O'Sullivan versus Breda Hartnett and David Hartnett	1971	1971	1971	1 file	High Court	
2010/156/8	1971/8 P	Original High Court number	Plenary Summons	Sidney Wallace versus Mary Lowe and Peter Duffy	1971	1971	1971	1 file	High Court	Documents abstracted from this file
2010/156/9	1971/9 P	Original High Court number	Plenary Summons	Ballymahon Quarries Limited versus Raymond O'Donoghue	1971	1971	1971	1 file	High Court	

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Illustration 4B

Extract from a typical hardcopy printout schedule of files (in the form of a Microsoft Excel spreadsheet), to be attached to the certificate for release accompanying the records to the National Archives

High Court			
Central Office			
Reference Code	Original Reference code	Title	Date
2010/156/1	1971/1 P	Patrick Hughes versus Robert Riordan	1971
2010/156/2	1971/2 P	Anne Dargan an infant suing by her uncle and next friend David Dargan versus Patrick Dargan	1971
2010/156/3	1971/3 P	Bridget Dunne versus Peadar (otherwise Peter) Dunne	1971
2010/156/4	1971/4 P	Edward O'Brien versus Kitty Jordan	1971
2010/156/5	1971/5 P	Margaret Johnston versus Micheal Wilson	1971
2010/156/6	1971/6 P	Michael Smith versus Premier Cream Ices Limited	1971
2010/156/7	1971/7 P	Joseph O'Sullivan versus Breda Hartnett and David Hartnett	1971
2010/156/8	1971/8 P	Sidney Wallace versus Mary Lowe and Peter Duffy	1971
2010/156/9	1971/9 P	Ballymahon Quarries Limited versus Raymond O'Donoghue	1971

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8 Preparation and format of schedules of records for transfer and release to public inspection

8.1 Preparing schedules using ICT software applications

A schedule **must** be prepared using ICT software applications. The National Archives has produced a template schedule in the form of a Microsoft Excel spreadsheet. This template schedule containing full inputting instructions, will be provided to each Department on request. A printout of the schedule must be made available to the National Archives (see part 9 of **Guidelines 2010/1** for format), but Departments **must** also transfer an electronic copy of the schedule to the National Archives.

8.2 Format of schedules prepared using ICT software applications

The Microsoft Excel template schedule prepared by the National Archives contains all the content and formatting information necessary for listing records. Simple and comprehensive instructions are included in the document.

The schedule must have the minimum four elements of information specified in 7.2 above and each element must separated into four fields or columns as follows:

- National Archives reference number
- Original reference number
- Description / title
- Date/s

In addition where relevant, the following elements for each file should also be included:

- Series
- Extent
- Scope and content

If a Department is unable to access or use Microsoft Excel they should contact the National Archives.

8.3 Uniqueness of entries in schedules

Each file must have a unique entry in the schedule in respect of description and date span in order to distinguish it from other files listed. Where a file has several parts or annexes, each part or annex must have a separate entry in the schedule. In cases where files have the same description, care should be taken to distinguish each file by identifying its volume or part number and the date of documents contained on file.

8.4 Format of dates in schedules

Decades must be typed in full (e.g. 1935-1939). In cases where months are to be specified in the schedule, use abbreviations as follows:

Months of the year:

Jan	May	Sep
Feb	Jun	Oct
Mar	Jul	Nov

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Apr Aug Dec

Single dates should be rendered as follows: 1 Jan 1973

8.5 Use of 'and' and 'V' in schedules

The word 'and' must be typed in full. The word 'versus' must also be typed out in full.

8.6 Use of capitals in schedules

Capitals should be used with caution, usually only for proper names. Care should be taken not to copy the capitals used on file covers or in registers.

8.7 Punctuation in schedules

The minimum number of punctuation marks must be used. Colons, semicolons and commas should be used where necessary for clarity. There should be no full stop at the end of each file title.

8.8 Abbreviations in schedules

Abbreviated words and terms should be extended.

8.9 Acronyms and non-English language terms in schedules

Where acronyms or non-English language terms form part of a file title, a clarification or translation should be included in brackets.

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9 Printing of schedules of records for transfer and release to public inspection

9.1 Printing of schedules of records for transfer

Schedules should be printed on A4 paper, on one side only (see illustration 4B at 7.2 above for a sample page from a typical schedule). Full instructions for the printing of schedules are included in the National Archives Excel spreadsheet listing template document.

9.2 Layout in schedules

The content of schedules should be laid out in columns (see illustration 4B at 7.2 above for the layout of typical schedule. The National Archives Excel spreadsheet listing template document is pre-formatted to this configuration.

9.3 Schedules to be prefaced by certificate releasing records

Each printed schedule must be prefaced by a certificate releasing the records signed by the relevant Certifying Officer or by an officer of the Department working under the direction of the Certifying Officer. A blank certificate to release records is to be found in appendix 3 of **Guidelines 2010/1**.

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10 Records to be retained by the Department or withheld from public inspection under Section 8 of the National Archives Act

10.1 General note

Before undertaking work on a record series eligible for transfer to the National Archives, a Department should also consider whether it will be necessary to retain or withhold from public inspection some or all of the records in the series in accordance with certificates made under Sections 8(2) and 8(4) of the National Archives Act, 1986, and Regulations 7 and 8 of the National Archives Act, 1986, Regulations, 1988. Where such certificates are made, the appropriate Departmental Certifying Officer must sign them.

10.2 Retention of records in regular use by making of certificates under section 8(2)

If records are still in regular use in the Department or are required in connection with its administration, it might be necessary to make certificates under Section 8(2) of the Act to enable them to be retained in the Department. Certificates of this kind must be made on the form reproduced in appendix 3, and may be made only if the transfer of the records to the National Archives would seriously interfere with the administration of the Department. Before making a certificate under Section 8(2), it should be remembered that records that have been transferred to the National Archives may be inspected there by officers of Departments, and that they may be temporarily requisitioned if it is necessary to consult them in the Department's own premises (see Section 8(9) of the Act and Regulations 11 and 12). It may therefore be deemed more appropriate to transfer such records to the National Archives and to temporarily requisition them when required for administrative purposes. If it is intended that a certificate should relate to an entire class of records, see 10.1 above.

10.3 Copying the record as an alternative to making a certificate under Section 8(2)

If it is necessary to make a certificate under Section 8(2), the possibility of making copies of the records should be considered. The originals could then be transferred to the National Archives and copies retained by the Department. Such copy records must be clearly marked as copies of originals transferred to the National Archives. Where required, the National Archives will be happy to advise on the most appropriate method of copying records.

10.4 Splitting record as an alternative to making a certificate under Section 8(2)

If it is necessary to make a certificate under Section 8(2), the possibility of splitting the record into a number of parts and transferring one or more parts to the National Archives should also be considered. It may be that

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only the more recent papers or documents of particular legal significance contained in a record must be retained by the Department. However, not all records lend themselves to such a practice and **Departments must contact the National Archives before splitting records.**

10.5 Certificates under Section 8(2) to be sent to the Department of the Taoiseach and to the National Archives

Copies of certificates made under Section 8(2) must be sent to the Consenting Officer in the Department of the Taoiseach and to the Director of the National Archives as required by Regulation 7(2).

10.6 Withholding records from public inspection by making a certificate under Section 8(4)

If the Department considers that making particular records available for inspection by the public -

- (a) would be contrary to the public interest, or
- (b) would or might constitute a breach of statutory duty, or a breach of good faith on the ground that they contain information supplied in confidence, or
- (c) would or might cause distress or danger to living persons on the ground that they contain information about individuals, or would or might be likely to lead to an action for defamation,

a certificate under Section 8(4) must be made on the form reproduced in appendix 3. The completed certificate must be sent with a schedule of the records to the Consenting Officer of the Department of the Taoiseach for consideration and action in accordance with Regulation 7(1). If it is intended that a certificate should relate to an entire class of records, see 10.2 above.

10.7 Role of the Department of the Taoiseach in consenting to certificates under Section 8(4)

A certificate under Section 8(4) cannot take effect without the consent of the Consenting Officer of the Department of the Taoiseach. If the Consenting Officer is not satisfied that the retention and/or withholding of a record is justified, the record will have to be transferred to the National Archives and made available for public inspection.

10.8 Abstracting parts of records as an alternative to making a certificate to withhold the record under Section 8(4)

If the reasons for withholding a file or other record from public inspection apply to only one or two items within the record, these items may be abstracted from the record, so that the remainder of the record can be made available for public inspection. For details of the procedure to be followed in such cases, see Regulation 8.

10.9 Retention or transfer of records withheld from public inspection

When making certificates under Section 8(4) withholding records from public inspection, the Department should decide whether it wishes to

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retain the records or to transfer them to the National Archives, as provided for in Section 8(5). If the Department wishes to transfer the records, it must ask the National Archives whether this will be possible before taking any further action. For the foreseeable future, the National Archives will be unable to accept any substantial quantity of closed records.

10.10 Making schedules of records for retention under Section 8(2) or withholding under Section 8(4)

Schedules of records for retention under Section 8(2) or withholding under Section (8) must be made in a manner similar to that described in part 6 of **Guidelines 2010/1**, with the following exceptions:

- (a) it will not be necessary to obtain a transfer number before listing of the records commences;
- (b) it will not be necessary to assign a National Archives reference number to each record and to include reference to this number in the schedule.

This is because records for retention under Section 8(2) and for withholding under Section 8(4) will not be transferred to the National Archives.

10.11 Certificates relating to entire classes of records

Certificates made under Sections 8(2) or 8(4) must specify each individual file or other record, either in the certificate or by the attachment of a schedule to the certificate listing each individual file or other record, except in cases covered by orders made by the Taoiseach under Section 8(11) to prescribe entire classes of records to which certificates may relate. Departments intending to make certificates relating to entire classes of records in any particular year must submit brief descriptions of the classes in question to the National Archives not later than 1 September in any given year, so that an order may be prepared for signature by the Taoiseach. Where classes of records are prescribed under Section 8(11), certificates under Sections 8(2) or 8(4) referring to the class of record (as opposed to listing individual records) must still be made by a Departmental Certifying Officer.

10.12 Review of records retained or withheld from public inspection

Under Section 8(6) of the Act, records covered by certificates under Sections 8(2) and 8(4) must be reviewed by the appropriate Certifying Officer once every five years with a view to deciding whether or not they should be transferred to the National Archives and made available for public inspection. Similarly under Section 10(5) of the Act, archives that were formerly Departmental records and are covered by certificates under Section 8(4) must be reviewed by the appropriate Certifying Officer once every five years with a view to deciding whether or not they should be made available for public inspection. In accordance with Regulation 9, the form reproduced appendix 3 must be completed on the occasion of each such review.

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10.13 Right of the Taoiseach to direct that records and archives be made available for public inspection

Notwithstanding the provisions of Sections 8(2), 8(4), 8(6), 10(l)(b) and 10(5) of the Act, the Taoiseach has the right under Section 11 to direct that Departmental records that are more than 30 years old be transferred to the National Archives to be made available for public inspection, and that archives that were formerly Departmental records and are more than 30 years old be made available for public inspection.

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11 Physical preparation of files for transfer and release for public inspection

11.1 File covers

All records in the form of files that are being transferred must be inside file covers. If the original file cover is no longer present or is damaged, a new archival quality cover must be used. The contents of the file must be attached to the new file cover with a plastic-ended treasury tag, and the original Departmental reference number written in full in felt pen in the top right hand corner of the new cover. Where the old cover records archival information (e.g. file circulation markings), the portion of the old cover bearing that information must be attached to the file inside the new cover.



Illustration 5

Damaged file cover requiring replacement. When replacing the file cover, the front portion of the old file cover must be attached to the file inside the new replacement cover.

11.2 Labelling with National Archives reference number

The National Archives reference number of each individual file must be affixed to the front cover of the file. In most cases, the label should be affixed to the top centre of the front cover, but if this would obscure the original Departmental reference number or any other manuscript writing or annotations on the cover, it should be affixed elsewhere on the front of the file cover. Where necessary, pre-printed labels or a template for the production of labels can be supplied by the National Archives.

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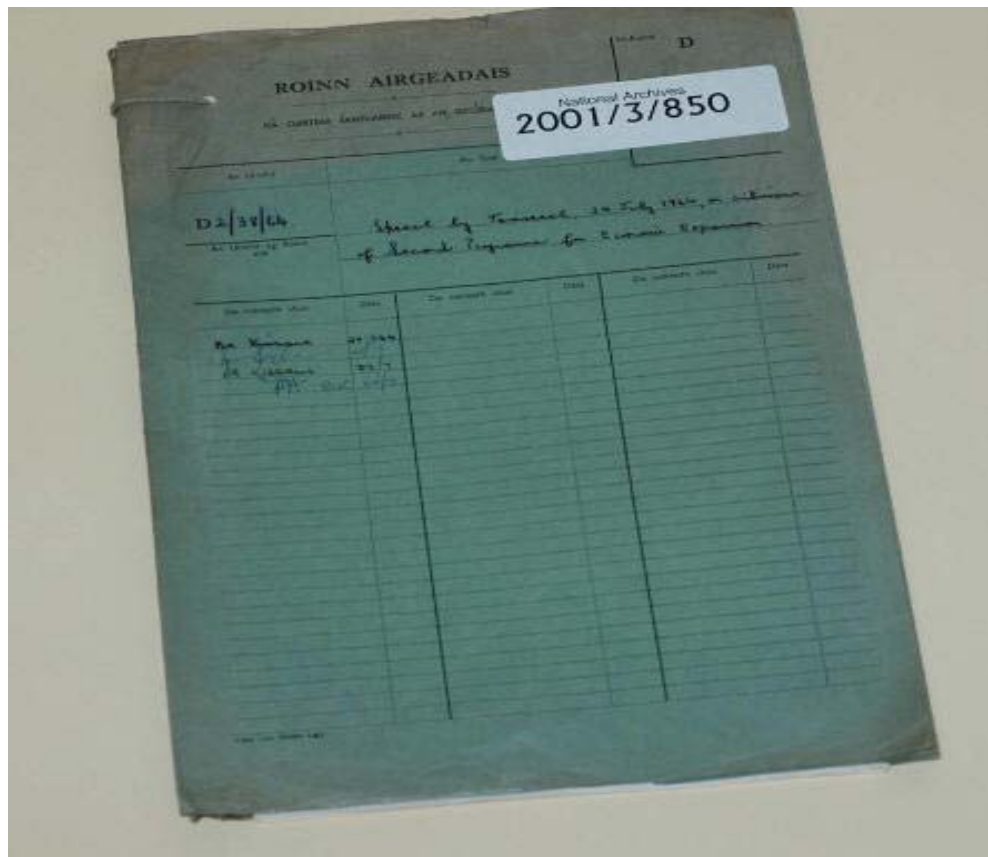
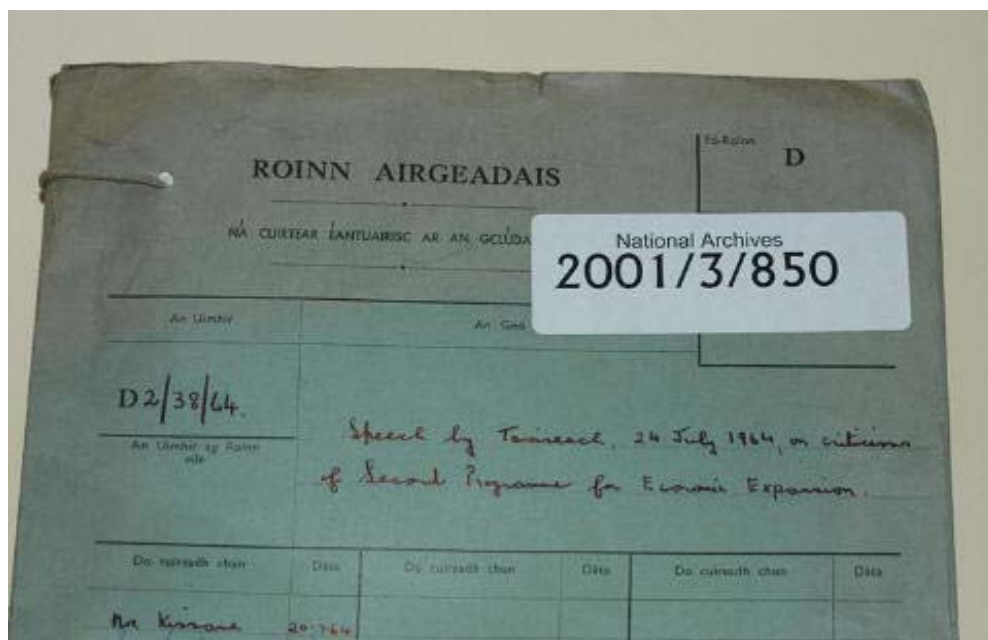


Illustration 6 (above) and 7 (below)
 File with correctly placed National Archives reference number



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11.3 Allocation of National Archives reference numbers to files in several parts or volumes

In the case of a file that exists in several parts or volumes, each should be given an individual National Archives reference number. For example, in the case of a file in several parts bearing original Departmental reference numbers as listed below:

Original reference number	File title	Date
A94/12/1, part A	Transport: policy on railway development	1934 - 1946
A94/12/1, part B	Transport: policy on railway development	1947 - 1953
A94/12/1, part C	Transport: policy on railway development	1954 - 1968

each part must be allocated an individual National Archives reference number as follows:

National Archives reference number	Original reference number	File title	Date
2004/28/6	A94/12/1, part A	Transport: policy on railway development	1934 - 1946
2004/28/7	A94/12/1, part B	Transport: policy on railway development	1947 - 1953
2004/28/8	A94/12/1, part C	Transport: policy on railway development	1954 - 1968

11.4 Physically large files

A file over 5 centimetres (2 inches) in thickness is too bulky for the file cover to provide adequate protection. It should be divided into approximately equal parts not more than 2.5 centimetres (1 inch) thick, taking account of the content of the documents at the point of dividing. All parts should be placed in new covers, with the full original Departmental reference number and a letter (A, B, C, etc.) written in the top right hand corner to denote the parts into which it has been split. The old file cover should be attached to part A. If a file already exists in several volumes or parts marked with letters A, B, C, etc and some or all of these have to be further split, the new parts should be marked with numbers (e.g. A/1, A/2, B/1, B/2, C/1, C/2 etc.) as follows:

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National Archives reference number	Original reference number	File title	Date
2004/28/6	A94/12/1, part A/1	Transport: policy on railway development	1934 - 1937
2004/28/7	A94/12/1, part A/2	Transport: policy on railway development	1938 - 1942
2004/28/8	A94/12/1, part A/3	Transport: policy on railway development	1943 - 1946

11.5 Removal of old pins, clips, treasury tags, etc.

Old pins, metal paper clips, staples, elastic bands or other means of attachment must be removed because their deterioration will damage the papers on file. If metal-ended treasury tags have corroded, they must be replaced by plastic-ended treasury tags. Work of this kind must be done very carefully to avoid yet further damage. Consult the National Archives if in doubt. Do not attempt to remove any metal fastenings if significant damage to the document will be caused.

11.6 Loose items

Items that have become separated from a file must be re-attached to the file. Consult the National Archives in the case of oversized items attached to files, such as maps, plans or drawings. Where possible, papers of reasonable size should be punched and attached in the normal way, but small items may be attached with plastic paper clips. Loose items that are damaged must be placed inside archival quality envelopes marked '**Damaged**', with the original Departmental reference number and National Archives reference number clearly written on the envelope. These envelopes must then be attached to the file.

11.7 Items annexed to files

In general, items previously left loose in a file, such as plans, publications and samples, must now be attached to the file. However, if this cannot be done without causing damage, they must be placed in an archival quality envelope, which must be treated as a file part in itself. The original Departmental reference number of the file and the word '**Annex**' must be written on the envelope. This new annex must also be given an individual National Archives reference number on a label affixed to the envelope and must be listed in the transfer schedule as follows:

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National Archives reference number	Original reference number	File title	Date
2004/28/6	A94/12/1, part A	Transport: policy on railway development	1934 - 1946
2004/28/7	A94/12/1, part B	Transport: policy on railway development	1947 - 1953
2004/28/8	A94/12/1, Annex to part B	Transport: annex containing report of Inter-departmental committee on policy on railway development	1950

11.8 Abstraction of documents to be withheld from public inspection under Section 8 of the National Archives Act

Where a file contains individual documents that are being withheld from public inspection under Section 8, these should be removed so that the file itself can be transferred to the National Archives. An abstraction form must be inserted in the file in place of the withheld document. Documents abstracted from files must be retained within the Department and placed in file covers bearing the original Departmental reference number and clearly indicating that the papers have been withheld from public release under Section 8 of the National Archives Act. See part 10 of **Guidelines 2010/1** and Regulation 8 for details of the procedure. Appendix 3 includes an example of a completed abstraction slip.

11.9 Materials required

- (a) **Labels bearing National Archives reference numbers:** to be discussed with the National Archives.
- (b) **Archival quality file covers:** to be discussed with the National Archives.
- (c) **Archival quality envelopes:** to be discussed with the National Archives.
- (d) **Plastic-ended treasury tags:** to be purchased by transferring Department.
- (e) **Plastic paper clips:** to be purchased by transferring Department, size approximately 25 millimetres. If large quantities are required, discuss with the National Archives.
- (f) **Felt pens:** to be purchased by transferring Department. Felt pens containing permanent light-fast black ink. This quality of pen is available only from very large stationers or graphic supplies shops. Ordinary quality felt pens are not suitable, as the ink fades very quickly. Two sizes are required:
 - (1) **for writing on new archival quality covers:** felt pens with tips between 1.5 millimetres and 3 millimetres thick;

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(2) **for writing new reference numbers on labels to be affixed to file covers:** felt pens with tips between 1.5 millimetres and 3 millimetres thick.



Illustration 8

Some materials required for physical preparation of files for transfer, including surgical gloves and masks, cotton gloves, reels of linen tape for tying records, webstraps, plastic-ended Treasury tags, and plastic paper clips.

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12 Boxing files for transfer and release to public inspection and labelling boxes

12.1 Placing files in archival boxes

Files should be placed in standard National Archives archival boxes in numerical order by National Archives reference number with the front cover facing upwards. In order to maximise space when placing files in a box, half of the quantity of files can be rotated to lie at the opposite end of the box (ensuring that the front covers still face upwards) as in illustration 9. Boxes should be filled to the top, **but must not be overfilled**. For outsize items, see part 13 of **Guidelines 2010/1**.



Illustration 9
Rotating files in an archival box to permit the optimum use of space

12.2 Extraction of files to be retained

Before listing and boxing files, Departments should check that all files covered by certificates under Sections 8(2) and 8(4) of the Act and intended for retention in the Department have been extracted and not are listed in the schedule of files for transfer.



Illustration 10
Files packed correctly in an archival box

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12.3 Box labels

Box labels should contain the minimum amount of writing, i.e. **the first and last National Archives reference numbers of the files in each box**, which must be written in full. Nothing else need be written on the label, unless the box contains damaged files, in which case the word '**Damaged**' should be written. All writing should be legible, neat, and large enough to be read easily at a distance of one metre. The lower part of labels should always be left blank. This is to enable the National Archives to write in the storage location reference of the box in the National Archives. The name of the Department need not be written on the label.

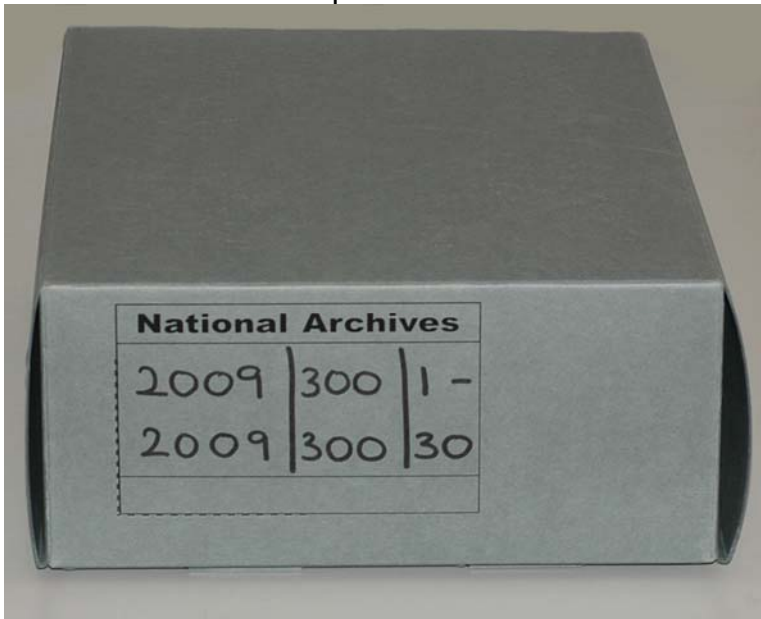


Illustration 11

Archival box with correctly placed box label bearing National Archives reference numbers

12.4 Materials required

- (a) **Standard National Archives boxes:** to be discussed with the National Archives.
- (b) **Felt pens:** to be purchased by transferring Department. Felt pens containing permanent light-fast black ink with tips between 1.5 millimetres and 3 millimetres thick should be used. This quality of pen is only available from very large stationers or graphic supplies shops. Ordinary quality felt pens are not suitable, as the ink fades very quickly.

12.5 Stages in making an archival box

Archival boxes consist of two parts: a box base and a box lid. As the boxes come flat, they must be assembled for use. Stages in the assembly of the base of an archival box are demonstrated in illustrations 12 to 19 below and stages in the assembly of the box lid are demonstrated in illustrations 20 to 31.

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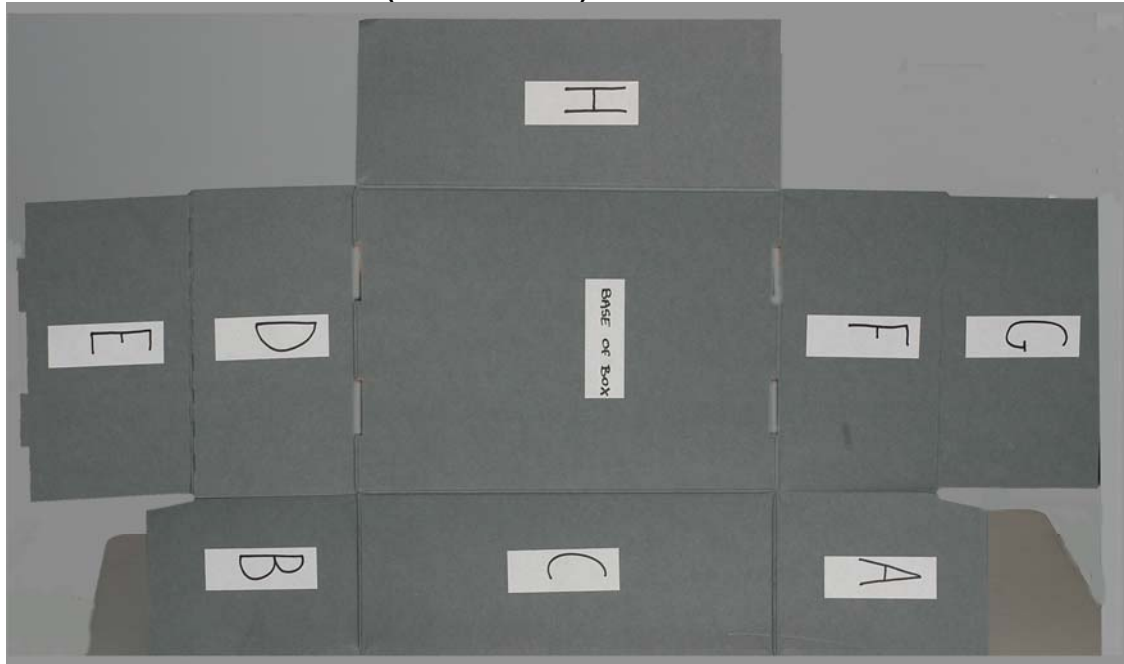


Illustration 12
Base of archival box before assembly, marked A-H

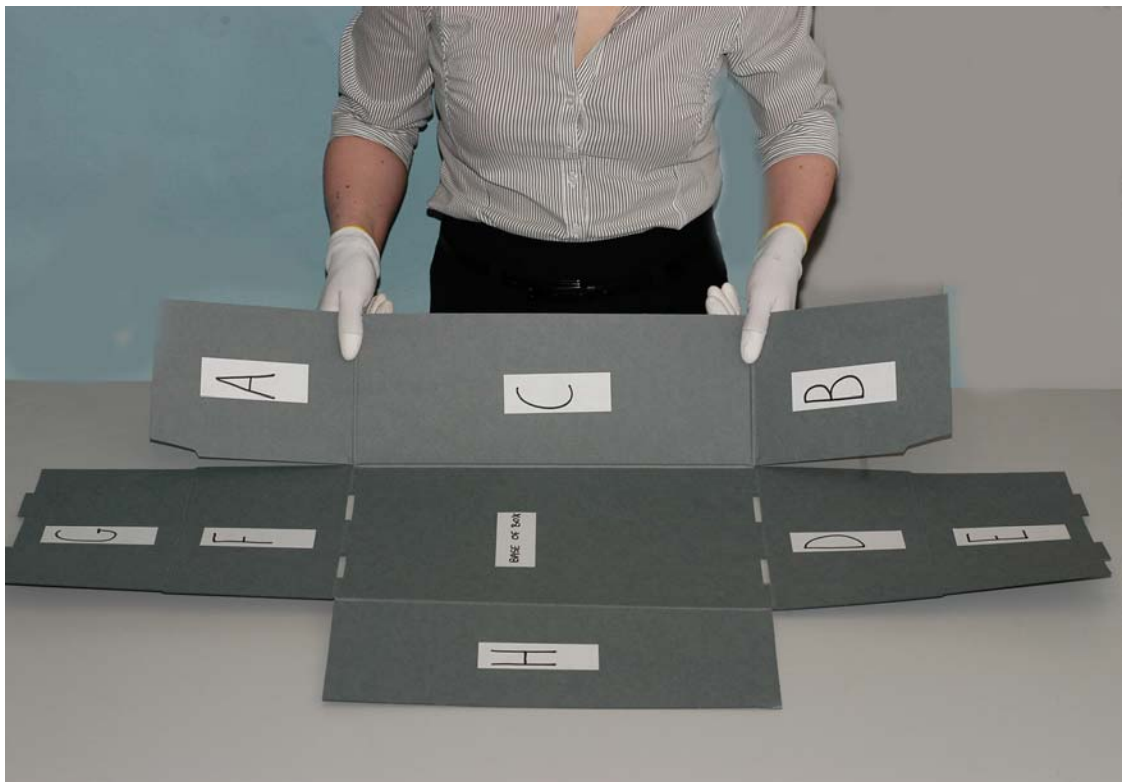


Illustration 13
Folding base of archival box along marked fold lines

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Illustration 14
Folding over section C, and sections A and B



Illustration 15
With sections A, B and C folded, lift sections D and E

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Illustration 16
Fold and tuck sections D and E into place over section B



Illustration 17
Folding sections F and G

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Illustration 18
Fold and tuck sections F and G over section A



Illustration 19
Assembled box base

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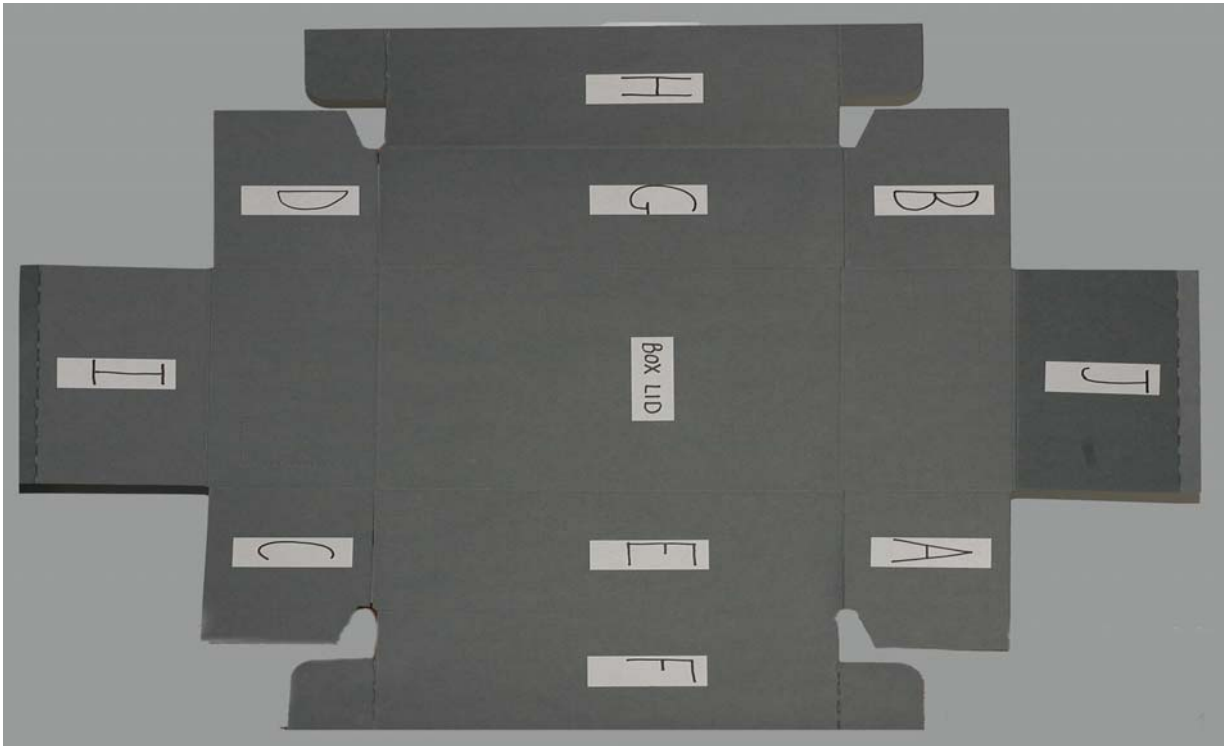


Illustration 20
Lid of archival box before assembly, marked A-J



Illustration 21
Fold sections A and B along fold lines

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Illustration 22
Position sections A and B

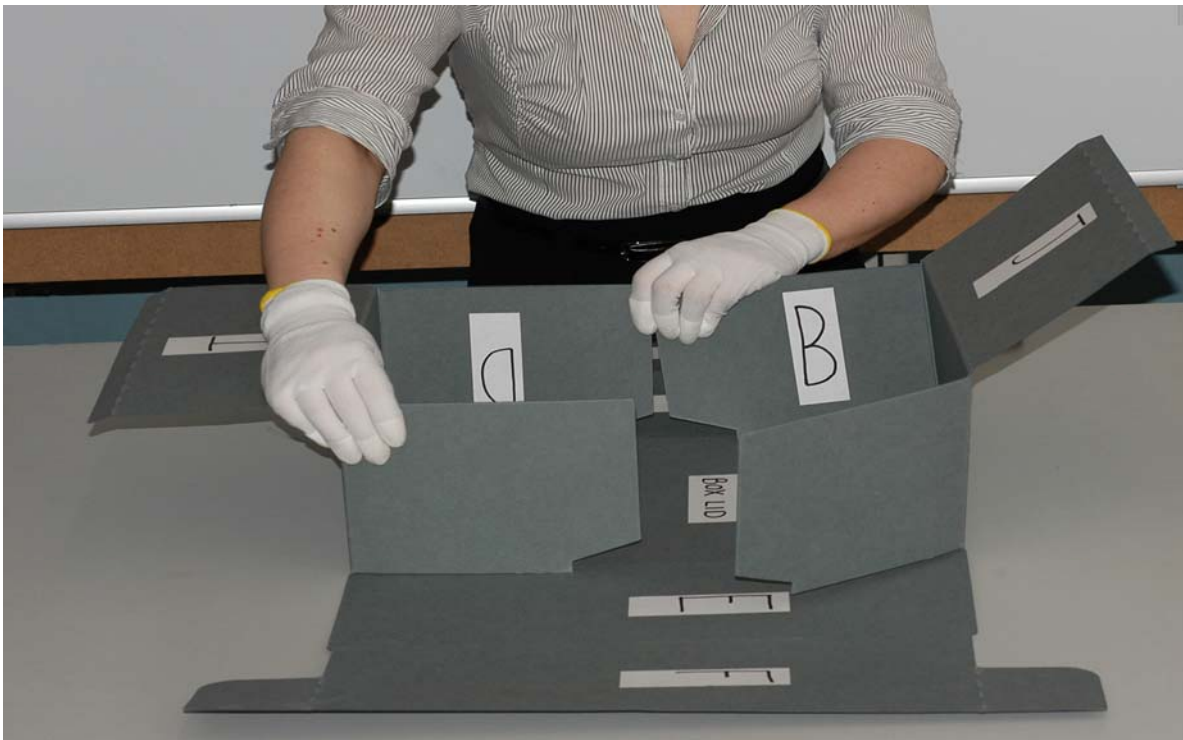


Illustration 23
Fold and position sections C and D

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Illustration 24
Lid with sections A, B, C and D folded and in position



Illustration 25
Folding sections E and F into position

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Illustration 26
Tucking section F into place



Illustration 27
Folding sections G and H

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Illustration 28
Tucking section H into place



Illustration 29
Tucking sections I and J into place

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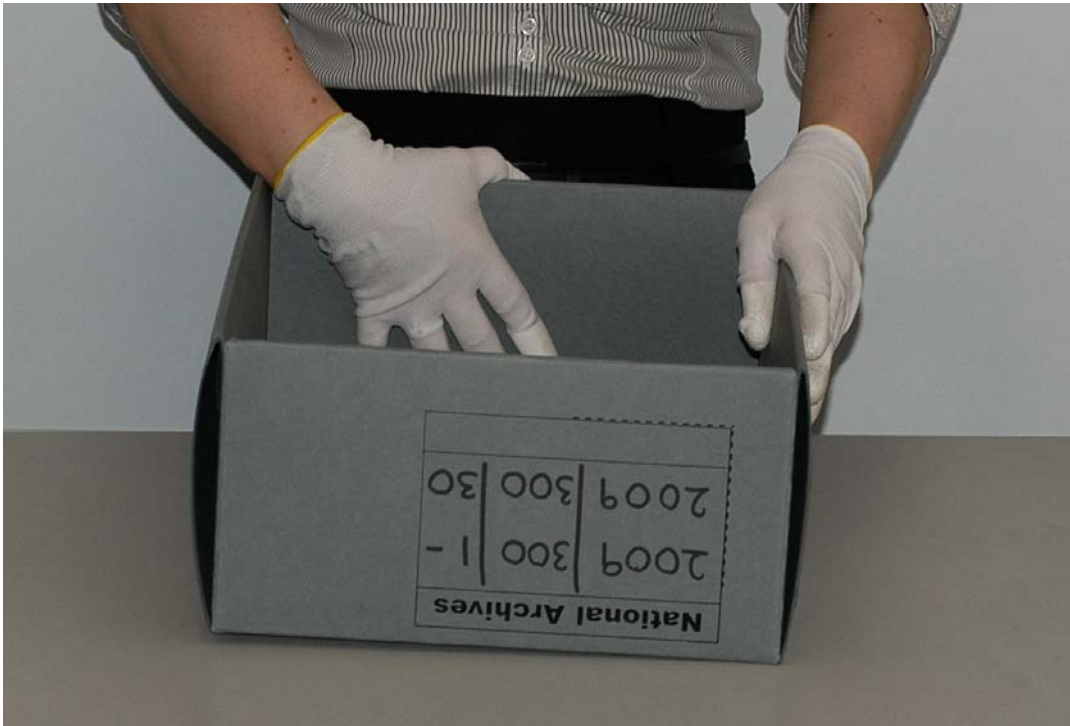


Illustration 30
Assembled box lid



Illustration 31
Assembled box lid and base

13 Physical preparation of other paper records for transfer and release to public inspection

13.1 Variety of record formats

The definition of 'Departmental records' given in Section 2(2) of the National Archives Act, 1986, includes records in any of the following formats:

books, maps, plans, drawings, papers, files, photographs, films, microfilms and other micrographic records, sound recordings, pictorial records, magnetic tapes, magnetic discs, optical or video discs, other machine-readable records, and other documentary or processed material.

13.2 Records other than files

The vast majority of paper records take the form of paper files, but most Departments have some records in other formats. These records comprise many different sizes, shapes and materials, so it is impossible to give precise recommendations for their preparation for transfer. Once paper records other than files are identified, early consultation with the National Archives is essential, to ensure both that the most suitable packing is used, and that the particular type of shelving or storage space required is organised in advance within the premises of the National Archives. If required, the National Archives will provide specialised boxes for the packing of records of non-standard dimensions. The recommendations contained in parts 11 and 12 of **Guidelines 2010/1** must be applied when appropriate. In addition, the following points must be borne in mind:

(a) **Vulnerability**

Many of these records are especially vulnerable to physical damage because of their large size (e.g. maps and plans), fragile paper or marking media (e.g. drawings and pictorial records) and sensitivity to environment (e.g. photographic and magnetic formats). Also, because of their vulnerability, some may have suffered damage in the past. Particular care is required at all stages of the transfer procedure, in order to avoid causing further damage.

(b) **Handling records**

No trimming, cutting, folding, creasing, rolling or stapling must take place, and no repairs of any kind, with sellotape or any other material must be attempted. Nothing may be discarded except in accordance with Section 7 of the Act.

(c) **Damaged records**

The National Archives must always be informed about such records, as special packing may be required. Damaged records must be noted in all schedules and on box labels.

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(d) **Retention of existing method of storage**

In so far as possible the method of storage used to date must be retained. For example, flat records must not be folded or rolled, and rolled records must not be unrolled or put inside cardboard cylinders. Environmentally sensitive records must not be moved from the room in which they have been stored in the Department until after consultation with the National Archives to discuss the preferred method of transfer to the National Archives.

13.3 Bound volumes including Schedules of Assets and Grant Books

Registers, letter books, ledgers and other bound volumes are probably the most common form of records other than files. The National Archives must be consulted at an early stage, giving the dimensions and quantities of the volumes concerned, so that a decision can be made about the most suitable packing, labelling and shelving. The following points must be borne in mind:

(a) **Labelling volumes**

Regardless of the packing used, every volume must have two National Archives labels affixed to it giving its new reference number, one outside at the lower end of the spine, and the other on the right hand page immediately inside the front cover. These volume labels for use must be obtained from the National Archives.

(b) **Packing volumes**

In many cases, volumes can be packed in one or other of the different sizes of National Archives box, which must be labelled as outlined at 12.3 above. If they cannot be packed in boxes, they must be wrapped in National Archives wrapping paper and tied with tape and a tie-on label. Volumes with loose boards must be secured with a web strap before packing. Volumes that have not been packed in boxes must be carried to the National Archives in plastic crates (see 14.1 above and 15.3 below).

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Illustration 32 (above) and 33 (below)
Grant Book with correctly placed labels



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13.4 Testamentary Envelopes:

(a) Labelling testamentary envelopes

The National Archives reference number of each individual records must be affixed to the front of the envelope. In most cases, the label should be affixed to the top left-hand cover of the envelope, but if this would obscure the original reference number of any other manuscript writing or annotations on the envelope, it should be affixed elsewhere on the front of the envelope. Where necessary, pre-printed labels or a template for the production of labels can be supplied by the National Archives.

(b) Placing the testamentary envelopes in archival boxes

Envelopes should be placed in standard National Archives archival boxes in numerical order by National Archives reference number with the front cover of the envelope facing forwards. Boxes should be filled, **but must not be overfilled**.



*Illustration 34
Testamentary envelope with correctly placed label*

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Illustration 35
Correctly packed testamentary envelopes in an archival box

13.5

Materials required:

- (a) **National Archives boxes in various sizes:** to be discussed with National Archives.
- (b) **Archival quality folders, envelopes and wrapping paper:** to be discussed with the National Archives.
- (c) **National Archives tie-on labels and adhesive labels in various sizes:** to be discussed with the National Archives.
- (d) **Unbleached cotton tape for tying bundles:** available in 12 millimetre width from the Government Supplies Agency, or to be purchased commercially from haberdashery shops, or consult the National Archives.
- (e) **Web straps:** available from the Government Supplies Agency
- (f) **Plastic paper clips:** to be purchased commercially, size approximately 25 millimetres. If large quantities are required, discuss with the National Archives.
- (g) **Felt pens:** to be purchased commercially. Felt pens containing permanent light-fast black ink with tips between 1.5 millimetres and 3 millimetres must be used. This quality of pen is available only from very large stationers or graphic supplies shops. Ordinary quality felt pens are not suitable, as the ink fades very quickly.
- (h) **Plastic crates for use during transfer:** to be discussed with National Archives.

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14 Carriage of records to the National Archives

14.1 Initial organisation

When the work outlined in sections 3 - 13 is completed and the records are ready for transfer, hauliers must be contacted about carriage of the records. The date and precise time of arrival must be **agreed in advance** with the National Archives. A period of at least one week must be allowed between agreement with the National Archives and delivery of the records.

14.2 Costs

Payment of the haulier and any other costs associated with the transport of the records to the National Archives is the responsibility of the transferring Department. It is not necessary to insure records.

14.3 Specification to haulier

The following matters must be specified to the haulier:

- (a) The physical protection of the records must be secured at all times.
- (b) Records must not be left unattended at any time.
- (c) Records, including boxed files, are fragile and require careful and clean handling.
- (d) The vehicles used must be clean, enclosed and secure.
- (e) The transfer must be completed without breaks or stopovers, or other collections or deliveries. Most transfers need to be arranged for early in the working day, in order for delivery to take place the same day.
- (f) The records must be removed in order, and must be placed in order in the National Archives. This needs to be emphasised to the haulier, as the amount of work involved is often underestimated.

14.4 Carriage of records other than files

The National Archives must be consulted before arrangements for carriage are made. It is sometimes difficult to ensure the physical protection of large or awkward items, and to maintain them in order. Volumes or other regularly sized records must be transported in plastic crates, available from most hauliers or the National Archives. Crates must not be overfilled in order to permit stacking.

14.5 Transfer note

Each transfer must be accompanied by a copy of the relevant schedule, prefaced by a certificate releasing the records for public inspection (see part 9 of **Guidelines 2010/1**).

14.6 Packing of records by haulier

Hauliers must be instructed to refrain from taping or otherwise securing the contents of the National Archives boxes. If it is feared that National

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Archives boxes may become damaged in transit, they must be further packed into plastic crates or encased in cardboard packing.

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15 Recommended sequence of operations

15 In general, it is recommended that the operations involved in transferring records to the National Archives be carried out in the sequence shown below, although this may not be appropriate in all cases. It may of course be possible to carry out a number of operations simultaneously.

- (a) Initial examination of records due for transfer
- (b) Cleaning records
- (c) Putting records in order, if necessary
- (d) Identification of records for:
 - (1) transfer
 - (2) retention and withholding
- (e) Obtaining transfer number(s) and reference number labels for records for transfer from the National Archives **(this must be done by 1 June)**.
- (f) Compiling schedules of records for:
 - (1) transfer
 - (2) proposed for retention and withholding
- (g) Sending copies of schedules of records proposed for retention or withholding to both the Director of the National Archives and the Consenting Officer of the Department of the Taoiseach **(this must be done by 1 September)**.
- (h) Physical preparation of records for transfer, including labelling files with new reference numbers
- (i) Boxing and/or wrapping records for transfer
- (j) Sending schedules of records for transfer to the Director of the National Archives **(this must be done by 1 October)**.
- (k) Carriage of records to the National Archives **(this must be done by 14 November)**.

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Appendix 1

Contact information

Information and guidance on making a transfer of records and disposal of records:

Records Acquisition Division,
National Archives,
Bishop Street,
Dublin 8.

Tel: 353-1-407 2300
Fax: 353-1-407 2333
E-mail: mail@nationalarchives.ie

Helen Hewson: hhewson@nationalarchives.ie
Jenny Moran: jmoran@nationalarchives.ie
Kevin Forkan: kforkan@nationalarchives.ie

Information and guidance on electronic records transfers and disposal of electronic records:

Electronic Records Unit,
National Archives,
Bishop Street,
Dublin 8.

Tel: 353-1-407 2300
Fax: 353-1-407 2333
E-mail: mail@nationalarchives.ie

Tom Quinlan: tquinlan@nationalarchives.ie
Micheál Ó Conaire: moconaire@nationalarchives.ie

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Appendix 2
Application for a National Archives transfer number
 (Details to be provided in respect of each series to be transferred)

Name of transferring Department	
Address	
Contact name	
Tel number	
Fax number	
E-mail	
Name of Certifying Officer	
Name of agency that created the series of records *Note: this might not be the same as the Department now transferring the records	
Name of division and, if relevant, section that created the series of records *Note: this might not be the same as the Department now transferring the records	
Format of the series of records (e.g. registered files, unregistered documents, loose documents; account books, ledgers, registers, etc.)	
Date span in years of the records in the series	
Is the record series an accruing series (i.e. are records still created in this series)?	
Have there been previous transfers of records in this series?	Yes/No/Not known
What is the overall condition of the records in the series (torn documents/file covers; damaged binding on volumes; wet, damp or mouldy)?	
Transfer number application form completed by (please print name)	
Signature	

(When completed, this form can be emailed, posted or faxed to the Records Acquisition Division of the National Archives.)

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Appendix 3

3.1 Certificate to release records for public inspection under Section 8

National Archives Act, 1986, Regulations, 1988

**TRANSFER OF DEPARTMENTAL RECORDS TO THE NATIONAL ARCHIVES/
RELEASE OF DEPARTMENTAL RECORDS TO PUBLIC INSPECTION.**

Form for use by Certifying Officers and officers working
under the supervision of Certifying Officers

CERTIFICATE

I hereby certify that the attached/record(s)/in the attached Schedule* is/are in order for transfer to the National Archives to/ which is/are already with the National Archives may* be made available for public inspection immediately/on 1 January_____(Year)

Records referred to above:

Name:
Grade:
Department/Office/Court:

Date:

* Delete as appropriate (this form may be used for either a single record or a number of a number of records, and for records which either are still in a Department or are already with the National Archives, as convenient).

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Appendix 3

3.2 Certificate to retain records under Section 8(2)

National Archives Act, 1986, Regulations, 1988

RETENTION OF DEPARTMENTAL RECORDS OR PART(S) THEREOF
PURSUANT TO SECTION 8(2)

Form for use by Certifying Officers

CERTIFICATE

I hereby certify that, pursuant to section 8(2) of the National Archives Act, 1986, the record(s) (or class(es) of records) described below or the attached schedule is/are in regular use in this Department or is/are required in connection with its administration and that its/their transfer to the National Archives would seriously interfere with the administration of this Department/Office/Court.

Records referred to above:

Certifying Officer,
Department/Office/Court:

Date:

REVIEW DATE

Date not later than which the record(s) must be reviewed (day, month, year, 5 years hence)

Notes:

1. This form may be used in connection with a class or classes of records only if the class or classes have been prescribed by an order made by the Taoiseach under section 8(11) of the National Archives Act, 1986.
2. This/these record(s) must be reviewed at least once in every period of five years commencing on the 1 January on which they would otherwise have been made available for public inspection, with a view to their being transferred to the National Archives and/or made available for public inspection.

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Appendix 3

3.3 Certificate to retain or withhold records under Section 8(4)

National Archives Act, 1986, Regulations, 1988

RETENTION OR WITHHOLDING FROM PUBLIC INSPECTION OF
DEPARTMENTAL RECORDS PURSUANT TO SECTION 8(4)
Form for use by Certifying Officers

CERTIFICATE

I hereby certify, pursuant to section 8(4) of the National Archives Act, 1986, that to make the record(s) or part or parts thereof or class or classes of records described below in the attached schedule available for public inspection would

(Quote one or more of the reasons for not making records available specified in section 8(4).)

Records referred to above:

Certifying Officer
Department/Office/Court:

Date:

CONSENT

I consent to the making of this certificate.
I do not consent to the making of this certificate.

(delete as appropriate)

Consenting Officer
Department of the Taoiseach
Date:

REVIEW DATE

Date not later than which the record(s) must be reviewed (day, month, year, 5 years hence):

Notes:

1. This form may be used in connection with a class or classes of records only if the class or classes have been prescribed by an order made by the Taoiseach in accordance with section 8(11) of the National Archives Act, 1986.

2. This/these record(s) must be reviewed at least once in every period of five years commencing on the 1 January on which they would otherwise have been made available for public inspection,

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with a view to their being transferred to the National Archives and/or made available for public inspection.

Appendix 3

3.4 Certificate to retain or withhold records under Section 8(4) of the National Archives Act, 1986

National Archives Act, 1986, Regulations, 1988

RETENTION OR WITHHOLDING FROM PUBLIC INSPECTION OF
DEPARTMENTAL RECORDS PURSUANT TO SECTION 8(4)

Form for use by Certifying Officers of the
Department of the Taoiseach

CERTIFICATE

I hereby certify, pursuant to section 8(4) of the National Archives Act, 1986, that to make the record(s) or part(s) thereof or class(es) of records described below or in the attached schedule available for public inspection would:

(Quote one or more of the reasons for not making records available specified in section 8(4).)

Records referred to above:

Certifying Officer
Department of the Taoiseach

Date:

REVIEW DATE

Date not later than which the record(s) must be reviewed (day, month, year, 5 years hence):

Notes:

1. This form may be used in connection with a class or classes of records only if the class or classes have been prescribed by an order made by the Taoiseach in accordance with section 8(11) of the National Archives Act, 1986.
2. This/these record(s) must be reviewed at least once in every period of five years commencing on the 1 January on which they would otherwise have been made available for public inspection, with a view to their being transferred to the National Archives and/or made available for public inspection.

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Appendix 3

3.5 Abstraction slip to be used for portions of records withheld under Section 8(4)

National Archives Act, 1986, Regulations, 1988

ABSTRACTION OF PART(S) OF A RECORD PURSUANT TO REGULATION 8

Form to be completed and inserted in the original record

in place of each part abstracted

(i) Reference number of the separate cover under which the abstracted part has been filed: _____

(ii) How many documents have been abstracted: _____

(iii) The date of each such document: _____

(iv) The description of each document:

[Where appropriate, a composite description may be entered in respect of two or more related documents]

(v) Reason(s) why the part has been abstracted for retention:

[These will be the reasons given on the certificate under section 8(4)]

Name:

Grade:

Department/Office/Court:

Date:

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Appendix 3

3.6 Certificate to retain records under Section 8(2) of the National Archives Act, 1986

National Archives Act, 1986, Regulations, 1988

REVIEW OF DEPARTMENTAL RECORDS UNDER SECTIONS 8(6) AND 10(5)

Form to be completed on every review

The record or part(s) thereof or classes of records described below in the attached schedule below must be reviewed at least once in every subsequent 5 year period with a view to their being transferred to the National Archives and/or made available for public inspection.

Records referred to above:

Due for review not later than	Date reviewed	Outcome of reviews: Release/Retain
----------------------------------	------------------	---------------------------------------

_____	_____	_____
_____	_____	_____
_____	_____	_____

Notes:

1. If following review it is decided that the record may be transferred to the National Archives and/or made available for public inspection, this should be done immediately.
2. If following review it is decided that the record may not be transferred to the National Archives and/or made available for public inspection, a date of a further review should be set. This should be done on a continuing basis until the record is transferred and/or made available for public inspection.
3. This form may be used for single records or attached to a schedule of records which are to be reviewed simultaneously.