

NATIONAL ARCHIVES APPRAISAL REQUEST

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

Indicate if you are seeking permission to destroy a finite series of records on a once-off basis, or an accruing series on an ongoing basis.

Please tick relevant box:

Once-off

Ongoing

GENERAL INFORMATION	
1. Name of Department or office :	
2. Name and address of division, section or unit :	
3. Name, telephone and email details of Certifying Officer :	
4. What is the section's primary function and responsibility ?	
5. Does the section formulate policy or is its activity primarily focussed on conducting administrative actions such as processing applications for a specific purpose/grant scheme?	
6. Are there laws, regulations or internal procedural rules governing the business processes? If so, please state the primary legislation, Statutory Instrument, Grant scheme etc. Please provide a link to statutebook.ie where relevant.	

7. Are the business activities of the section shared with another Department or office or performed as agents of another Department or office? If yes, please provide details.
8. Are the business processes of the section described in the Department's FOI publication scheme ? If so, please give the link.
OVERVIEW OF THE RECORD SERIES/SUB-SERIES
9. What is the title of the record series? Provide a description, not just a series reference number.
10. Why was the record series created? What function does it perform?
11. Are the records in this series created and maintained specifically to comply with a legal or other mandatory obligation? If yes, then please provide details.
12. Are there (or have there ever been) procedural manuals governing the creation and maintenance of the records in the series?
13. What are the covering dates for the series?
14. How are the records arranged ? (e.g. registered files arranged alpha-numerically/numerically; chronological, geographical, by subject etc.)

15. What are the **typical document types** found in this series?
(e.g. official or copy minutes; forms; correspondence between whom?; orders accounts etc.)

16. If they are **case files***, describe the process they illustrate.

DUPLICATION

17. Is information in the record series **duplicated or aggregated in another** series or sub-series? If so, provide details.

18. Is information in the record series **duplicated or aggregated in published form?** If so, provide details.

19. Are the records in the series **originals or duplicates?**

20. If duplicates, please identify **official creator** and **location** of originals.

PHYSICAL DESCRIPTION

21. What is the physical **format** of the record series?
(e.g. numbered files, loose paper files, loose sheets in box files, printed/form documentation). Please be as specific as possible.

22. Does the series include any **outside items?**
(e.g. maps, plans, posters) If so, are they stored separately or are they tagged / folded in envelopes within the associated files?

23. Does the series contain any other records in **formats** other than paper?
(e.g. photographs, film, cassette tapes, video recordings, microfilm, microfiche, CD ROMs etc.). If so, provide details.

24. Does the series comprise paper records only?
25. Where are the paper records stored ?
26. Are there electronic records* ? If so, what is the relationship between the paper files and the electronic records?
27. Is the ' electronic file ' regarded as the ' master record '? Is everything 'printed to file' for example; are paper forms etc. scanned to form a complete digital file or are documents scanned as part of an 'ingest' system and other electronic documents created?
28. Provide details of the electronic management system , if appropriate (seek input from IT unit, if necessary).
29. Where are the electronic records stored ? (e.g. are there local / external servers?)
VOLUME OF RECORDS
30. How many files does the record series contain?
31. What is the volume of records in the series? (i.e. express in terms of number of bankers / storage boxes / lockspring box files / crates / filing cabinets / metres of shelving, etc. as appropriate)

32. If finite, what is the **date span** of the records in the series?

33. If accruing, what is the approximate **annual rate of accrual**?
(i.e. approximate number of records generated each year)

RELATIONSHIP TO OTHER RECORD SERIES

34. Is any of the information in the record series extracted or used in another series or recordkeeping system?

35. Does information in the series **support or complement** information in other series?
If so, provide details.

ADMINISTRATIVE REQUIREMENTS FOR THE RECORD SERIES

36. Is the record series in **current** use?

37. Are there any **access restrictions**? Do the records contain sensitive or confidential information? If so, provide details.

38. Are there any **retention requirements** (e.g. legal, regulatory, fiscal) and if so, what are they?

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
- Freedom of Information Acts.

39. Are there **internal administrative requirements** with respect to the retention of the records, and if so, what are they?

Common requirements include but are not limited to:

- Potential litigation requiring documentary evidence
- Internal Audit considerations

SIGNIFICANCE AND PRECEDENCE

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.

40. 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.

41. 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.

42. 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.

43. Any other notes, comments, details that you consider relevant?

Name, signature and designation of applicant

Date submitted to the National Archives