



Transfer Guidelines: Electronic Records

The following methodology will be used for the selection, transfer, and processing of electronic records for the purpose of this project.

Selection Criteria

1. Staff person is judged to be a good source of electronic records based on the program and/or business processes in which they are involved.
2. Electronic records are of official or historical value.
3. Electronic records are appraised as “office of record” material.
 - This serves to reduce the transfer of duplicate copies
 - Person is the creator of the file
4. Records age: neither recent nor regularly accessed
 - Records accessed less than five times annually
 - Retention periods suggested by records disposition schedule, if one exists for the depositing organization or subunit
5. There is a staff departure or reorganization.

Record Handling by the Smithsonian Institution Archives

1. All records transferred to SIA can be placed under permanent restricted access during the project, if desired by the testbed. Access will be granted to SIA staff and testbed staff only unless authorized by the testbed in writing.
2. Records transferred for the purpose of this project will be managed according to an agreement between the two parties. *See addendum.*
3. Transferred records are physically stored at SIA according to standard procedures.

Testbed Staff Involvement

1. Electronic records holders
 - CERP staff will meet with the approved depositor staff to become familiar with the organization of their electronic files in order to determine desired files for transfer to SIA. The extraction itself will not require any intensive involvement on the part of the electronic records holders.
2. CERP and electronic records holders
 - Copies of the selected electronic records will be transferred to SIA on a secure server or copied to media. Files stored on a PC, network drive, or shared server can be sent to SIA through a network transfer, FTP, or media transfer (CD+/-R, or DVD+/-R) If a CD already exists, a copy will be made.
 - Electronic record holders are strongly encouraged to provide a list of folders/files that will be transferred. This step provides the means to verify a complete transfer. Please indicate if there are duplicate paper records or paper records that are part of the series. If

desired, the CERP project archivist will create a list of folders/files with the records holder's assistance for the transfer. *Please see example below.*

- Documentation will be created for the transferred electronic records by the CERP project archivist. This will be shared with the testbed participant for verification. *Please see example below.*
- Follow-up communication to review successes, obstacles, and opportunities for fine-tuning will be conducted with interested parties in the testbed organization as desired.

Post-Transfer

1. Virus checking will be done on the transferred records.
2. Electronic records will be assessed to determine the degree of digital preservation required; appropriate preservation data formats will be selected. *Document on preservation formats available.*
3. Transferred records will be appraised.
4. Targeted records will be migrated to the prescribed preservation formats. Preserved records will be stored according to the recommendations of digital preservation best practices.
5. Any disposal of records received for this project requires the approval of the project's principal investigators and the depositing organization. The nature of these events will be documented and proper destruction of transferred copies will occur following the testbed's written approval.

Files/folders for transfer

Title of records	Also in paper form
Bird Nest Photos folder	
Education Department Brochures folder	Yes
Camp Fair pics folder	
Proceedings file	Yes

Documentation (to be done by project archivist)

Title of records and date range:	Education Department Brochures
Record series:	Publications
Unit or office creating the record:	Education
Staff person transferring records:	Lynda Schmitz Fuhrig from SIA for xx from XX
Transfer date:	August 14, 2006
Transfer delivered to:	SIA
Transfer method:	Network transfer
Record format(s):	Publisher
Source of transferred records:	My Documents folder on XX's PC
Important notes:	NA