RecordKeeping

For all those interested in archives and records

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Cover photo:
Detail from advertising poster for the 1948 London Olympic Games
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Note from the Editor

Welcome to the Spring edition of *RecordKeeping*.

This issue's cover depicts two highly recognisable, yet contrasting icons: Myron's 5th century BC Discobolos (Discus Thrower) is placed before London's clock tower of Big Ben in a composition that was used in 1948 to advertise the London Olympic Games, in a sense bridging the gap between this contemporary sporting event and its ancient antecedent.

As technology races rapidly on, the modest gap between the present day and the 2012 Games acquires greater significance for records managers. In this issue, the Olympic Delivery Authority introduces us to its challenge of capturing innovative and, to some extent, unforeseeable electronic information assets, while a further case study from Cornwall County Council highlights the fact that business changes go hand-in-hand with these technological advances.

Elsewhere, record-keeping organisations are finding new ways to widen access to their archives. We hear from the organisers of 'Building Histories', a research competition which took place last year in Warwickshire, to heighten local interest. In addition, the

Waterways Trust draws attention to the previously underestimated value of its holdings as a family history resource, and the various channels it is taking to promote this material.

Other topics covered include a heightened awareness since the early 1990s of Broadmoor Hospital's archival requirements, resulting in new strategies to enhance storage and access – Berkshire Record Office reports on this, while we are also given an account of a cataloguing project that has improved access to Chancery Litigation records held by The National Archives.

In this issue, you can also read about new initiatives in the archives and records management professions: the latest developments from the International Council on Archives; two projects from the Museums, Libraries and Archives Council; reports on recent conferences; and our regular Archives 4 All update.

As always, please contact us if you have any comments or ideas for future editions. Catherine Guggiari will return to edit *RecordKeeping*

this summer. As Deputy Editor, I would like to thank Catherine for her support during the development of this edition.

**Nicholas Langston
Deputy Editor
recordkeeping@nationalarchives.
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TNA update

Self-assessment for local authority archive services in England and Wales 2007

Following a successful pilot in 2006, The National Archives will be running its self-assessment scheme for local authority archive services in England and Wales again this summer. Nicholas Kingsley explains how the lessons learned from the pilot will be applied, and how this year's process will be simpler and more outcome-focused.

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Nick Kingsley

As the days lengthen and the countryside takes on its summer mantle of green and gold, staff at The National Archives (TNA) are preparing to issue the 2007 self-assessment questionnaires to local authority archive services in England and Wales. Running a full-scale pilot last year gave us the opportunity to test the methodology and we were generally extremely pleased with both the level of response (115 services out of 126 made returns) and the quality and comparability of the data received. Inevitably, with such a large exercise, the pilot showed up a few areas where questions could have been clearer, or which too many respondents did not have the data to answer. The many comments and the thoughtful feedback we have received from respondents has in most cases suggested better approaches to these issues, and we are most grateful for the work that archivists up and down the country put in, not just in compiling the data requested, but also in commenting on the process and individual questions.

Responding to some of the most frequent comments that were made, we will be making some changes to the 2007 process that should make it quicker and simpler for respondents. We have recognised that not every question needs to be asked every year, and we have therefore decided that each year we will focus on one area of activity; most questions about other topics need only be answered if the situation has changed since the previous year.

In 2007, we shall be focusing on the access sections of the questionnaire. On balance, we felt this was the weakest part of the pilot survey, and we shall be changing some of the questions to try and make the assessment more outcome-focused and more penetrating. All respondents will be asked to tackle these questions.

There are also some questions about levels of activity in the last year, which we need to ask annually. Picking up on suggestions made by respondents, however, we

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have agreed to co-ordinate these questions carefully and share the resulting data with the Chartered Institute of Public Finance and Accountancy (CIPFA), so that respondents don't have to provide the same information more than once in different surveys.

A number of respondents were concerned that the pilot

assessment related only to archives, and not to records management. We feel that these days, it would be difficult for many local authorities effectively to co-ordinate responses to questions on archives and records management, as these services are often sundered by the management structure. We are concerned, however, to encourage local authorities to view their archive service as a key part of their information management arrangements, and to this end we will be asking some questions this year about the role that archives play in relation to the records of their parent authority or authorities.

The 2006 self-assessment exercise provided over 10,000 answers and more than 5,000 comments which we have been working through, digesting and analysing. The data has been immensely revealing and it is our intention soon to be able to publish a document containing the headline findings, which we hope the archive community will find fascinating and useful. At the same time, we are preparing the 2007 questionnaire and guidance notes for approval by the self-assessment panel. We plan to issue the 2007 survey in early to mid-June and, as last year, will be requesting responses by the end of July. Scoring will take place in August and September, and the moderated scores will be released in October. Once any appeals have been dealt with, the final scores will be published – we hope by December 2007.

In another change to the 2006 process, the Museums Libraries and Archives Council (MLA) and its regional agencies will not be involved in commenting on the scores this year, but will undertake a more detailed regional analysis of the data than TNA can undertake. Finally, I should like to mention that with support from the MLA and Museums Archives and Libraries Wales (CyMAL), we shall be commissioning a formal academic evaluation of the 2006 process and the 2007 questionnaire, which we plan to commission once the 2007 survey has been issued. This will inform the further development of self-assessment in 2008 and subsequent years.

Any queries about the self-assessment process should be directed to me at nick.kingsley@nationalarchives.gov.uk.

Nick Kingsley
Head of National Advisory
Services
The National Archives

MI5 secrets uncovered

The National Archives was in the news on 2 March, with widespread coverage in the national press and broadcasting media (including, for the first time, a Channel 4 podcast) for its latest release of Security Service (MI5) records.

The National Archives releases Security Service files twice a year – in early March and early September – and most of these relate to the Second World War or the early years of the Cold War.

The main stories covered by the media this time were about the atom bomb scientist Alan Nunn May, who revealed our nuclear secrets to the Russians, and MI5's watch on the poet WH Auden, who was suspected of having helped the spy Guy Burgess to flee Britain. Both stories were covered extensively in *The Times, Guardian, Daily Telegraph, Independent* and *Daily Mail* and there was also a piece in the *Metro*.

Howard Davies, The National Archives' spokesperson for the event, was quoted in many of the articles and was also interviewed for BBC Radio 4's *Today* programme.

The piece on *Today* was about the coastal watching organisation set up during the War, interspersing quotations from the files with extracts from *Dad's Army*.

You can read more about the files by visiting The National Archives' website at www.nationalarchives.gov.uk and clicking on 'News'.

Robert Smith
Head of Press and
Communications
The National Archives

Seamless Flow gets real

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A successful open day for central government records managers was held at The National Archives in August 2006

Seamless Flow is a major programme undertaken by The National Archives, in collaboration with central government records managers, to automate as far as possible the processes of appraising, selecting, transferring, cataloguing, preserving and making available to the public, digital records. Now entering its final phase, Seamless Flow is soon to move from a programme of individual projects to part of mainstream records management and preservation activity. Appraisal reports are in operation, the transfer application has been shown to work, a standard metadata export/import schema is being worked on, the digital object store is under development and the latest version of the software used to make the records viewable on the internet is being completed.

During the last year or so more and more attention has been devoted to the business change elements of the programme. A very successful open day for central government records managers, their staff and technical colleagues was held at Kew in August 2006. The day was oversubscribed, such was the interest, and a packed house heard presentations on all aspects of the programme, attended workshops of their choice on such subjects as security, cataloguing and digital redaction, and participated in a prize draw. A similar day was laid on for The National Archives' staff in the autumn. Every opportunity is taken to provide updates and

workshops about the programme (e.g. at the annual Records Management in Government Conference and at the twice yearly Records Management Liaison Group meetings in London and Manchester). Postings are frequently and regularly put on The National Archives' website.

The key point is that Seamless Flow is a business solution and not simply a collection of IT solutions. There is an actual Business Change Project within the programme in recognition of the changes to which all are adapting. Its board has external representation from the records management community and includes the Human Resources director of The National Archives. The benefits expected from the implementation of the programme do not derive from the automation of existing processes but from the introduction of new processes using new technology. People both in the originating departments and at The National Archives are beginning to use software and new processes in a way that reflects the aims and objectives of the Seamless Flow Programme. The Business Change Project exists to support people in understanding the new environment and feeling adequately prepared for changes to their working practices.

The Business Change Project's objectives are to:

- Establish communication vehicles to ensure the relevant people are informed of the business change elements of Seamless Flow and its key communication messages at the right time; and establish mechanisms to capture and incorporate feedback received

- Ensure that complete, coherent, and consistent processes are in place to support the business change elements of Seamless Flow

- Ensure that training is delivered to the relevant people as required at the right time in the programme lifecycle

- Assist in embedding the business processes so that they are 'business as usual'

- Realise the declared benefits from the introduction of Seamless Flow

and therefore help to minimise the risk of the Seamless Flow deliverables being rejected as the mechanism for obtaining and managing electronic records at TNA.

The project has a co-ordinating role, seeking to deliver consistent messages, within The National Archives and externally, and to adopt a 'joined-up' approach. Communications take many forms but include, vitally, the keeping of a log of questions and concerns, together with answers.

Training for the records management community and for staff of The National Archives has two parts: (i) considerably before 'go live', initial awareness raising (more open day activities) and training in particular activities required for the transfer of digital records (e.g. on cataloguing); (ii) immediately pre- 'go live', onsite training on cataloguing, metadata, use of the transfer application and the presentation system.

Seamless Flow is ambitious and it is challenging. Thanks, though, to careful planning and the very real engagement of the records management and archival professionals across government it is on track to become mainstream a year from now.

Meg Sweet
Head of Records Management and Cataloguing Department
The National Archives

New online exhibition opens up 300 years of Caribbean history

Gemma Romain, Louise Ellman MP, Dawn Butler MP and Ze'ev Portner, Parliamentary assistant to Louise Ellman, at the House of Commons

Caribbean Histories Revealed, a new online exhibition from The National Archives, was launched on Tuesday 6 March. The exhibition traces the history of the British Caribbean through Colonial Office records from the 17th century to 1926. From maps and photographs, to letters and petitions, it brings to life over 300 years of life in the Caribbean.

The launch of this new resource marks the culmination of 'Your Caribbean Heritage', a three-year cataloguing project at The National Archives, supported by the Heritage Lottery Fund. The project has created 125,000 new online record descriptions relating to the Caribbean, making the documents more easily accessible to a wider audience through The National Archives' Catalogue.

The online exhibition gives an historical overview of the Caribbean through a series of topics including:

- The transatlantic slave trade

- Struggles against slavery and colonialism

- Everyday life

- Political conflicts

- The role of West Indian soldiers in the First World War.

These topics are discussed under six themes, each illustrated by documents carefully selected among the vast amount of newly catalogued records.

The award-winning novelist Andrea Levy, best known for *Small Island*, says:

"It is fascinating, and very gratifying, to see the historical records of the Caribbean becoming more accessible to ordinary people. The online exhibition makes a great starting point for anyone interested in researching this part of Britain's heritage. I hope the archive will grow into a rich and much-used resource."

One of the documents featured in Caribbean Histories Revealed is a letter from G. Jenner, British Minister at Bogota, expressing concern for the treatment of Caribbean workers on the Panama Canal in 1895 (National Archives File reference CO 284/16):

"They number upwards of 6,000 and without their assistance the Panama Canal cannot be proceeded with. Nevertheless, although I have spoken frequently on the subject, I do not see that any steps have been taken by Central Government to secure them better treatment at the hands of the local authorities."

Dr Gemma Romain, researcher at The National Archives, who took part in the project said:

"Your Caribbean Heritage has been an important opportunity for us to investigate a wealth of information held at The National Archives. Throughout this huge project, we have come across thousands of fascinating documents offering significant insights into the history of the Caribbean. The website, Caribbean Histories Revealed, highlights some of the most interesting documents, and is a great online resource for finding out more about this part of world history."

To find out more visit: www.nationalarchives.gov.uk/ caribbeanhistory

Dr Gemma Romain
Researcher
The National Archives

British Army First World War service and pension records go online

The National Archives has launched, with its Licensed Internet Associateship partner Ancestry.co.uk, the first stage of a project to digitise some of its most popular records – the surviving records in the War Office series WO 363 and WO 364. These are the service and pension records for approximately 2.5 million British soldiers who served from 1914 through to 1920.

Around 60 per cent of the service records for soldiers who fought in World War One were destroyed during a German bombing raid on the War Office in London in September 1940. The originals for all surviving records, many badly damaged during the bombing raid, have been conserved by The National Archives and comprise the two collections to be made available online for the first time, fully indexed and including original images.

The first 5 per cent of the records, covering surnames A to B from the pension series in WO 364, can be searched for free by name index. Pages from the original files are available for viewing on subscription or with Pay per View. The remaining 95 per cent of the records will be released gradually in batches through late 2008. TV presenter and actor, Tony Robinson, was at the launch event, which was held at The Churchill Museum and Cabinet War Rooms in Whitehall.

For more information, please visit The National Archives' website at www.nationalarchives.gov.uk and click on 'News'.

Robert Smith
Head of Press and
Communications
The National Archives

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Case study: John William Ballinger, No: RND/1445

Ballinger, from Manchester, joined the army in 1908 at the age of 19. He served in India, Mesopotamia, Egypt and France, recording his horrific war experiences in a series of detailed diaries. He lived until 1981

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RecordKeeping news

Cultural Property Advice – unique new website launched by MLA

This article provides information on the new Cultural Property Advice website which was launched in February 2007. The website offers useful advice for those involved in the purchase and care of manuscripts, documents and archives.

On 12 February, the Museums, Libraries and Archives Council (MLA) launched the Cultural Property Advice website which contains vital information on collecting and buying items of cultural interest legitimately and with confidence. Those considering the purchase of manuscripts, documents and archives will find the website to be an excellent resource.

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Artifact from the Rothschilds Archive (photographer: Jonathan Goldberg)

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This website is the first of its kind in the world. It provides links to other relevant sites and key documents such as the Department for Culture, Media and Sport Guidelines for Combating Illicit Trade. It also contains a number of useful, easy to follow factsheets, checklists and templates to help private individuals, trade organisations and individuals working in museums, libraries and archives take account of the relevant considerations when deciding whether to acquire items. These will help in the careful examination of items, asking the right questions about their origin, assessing the documentation provided and deciding whether there is enough information about the item to purchase it with confidence. The site also includes information on where to go if independent advice is required, as well as links to databases of stolen art.

The importance of being cautious when considering whether to acquire documents is illustrated by one of the case studies on the website. It tells of an offer made to Christie's in London of a complete set of pages from Audubon's *Birds of America* by a Russian vendor. The vendor claimed to have inherited them from his father and Christie's suspicions were aroused by the lack of provenance. Examination by experts revealed that the pages had come from a set owned by the Russian State Library in St Petersburg. The bindings for the volumes remained in the library, but the pages had been ripped out. Through exercising caution and ensuring the papers were properly examined, Christie's avoided purchasing stolen property and the pages were returned to Russia.

In addition to helping users buy with confidence, the website has information on a number of other items including problem solving when something goes wrong; valuing and caring for objects; restitution and repatriation; and cultural items looted by the Nazis and others between 1933-45. To find out more go to www.culturalpropertyadvice.gov.uk

Helen Loughlin is Deputy Head of the Acquisitions, Export and Loans Unit of the Museums, Libraries and Archives Council (MLA) where she is responsible for Cultural Property matters.

MLA launches a new £250,000 investment programme for archives

In May, Museums, Libraries and Archives Council (MLA) will launch 'Action for Archives', our new development programme for archives. It is funded by £250,000 from our core budget and it will work with 80 archive services across England.

England's archive world is vast. ARCHON lists over 2,000 archive holding bodies, of which we estimate about 400 are 'proper' archives with a mission to develop their collections and make them available to users. It is these whose development we aim to support.

With such a large and varied pool of archives, MLA needs to focus its work carefully so as to make the most effective impact. Crucially, we need to make sure that our efforts lead to sustainable development in the archive services we work with so that they learn new skills and gain confidence to continue strengthening their positions and to help themselves in future.

Action for Archives is a focused programme which channels our available budgets into a small number of schemes that will work directly with archive services. The programmes are based on successful projects that have been tested by the MLA regional agencies, and in 2007/8 our aim is to develop them as national programmes. If successful this year, we plan to expand them over the next three years.

We have consulted archivists to identify four key development areas that need to be addressed:

1. Fund-raising
2. Strategic thinking and influencing
3. Learning programmes
4. Leadership and workforce development

The separate schemes within Action for Archives have been designed to respond to these four key areas.

1 Sustainable Fund-Raising Programme

In a climate in which core budgets are squeezed, and the competition for lottery funding intended for cultural projects is high, MLA's Sustainable Fund-Raising Programme will help archives to develop an active approach to fund-raising and inward investment. It builds on programmes run by MLA regional agencies, including MLA Yorkshire and MLA South East, and on the successful approach of the National Council for Voluntary Organisations.

Our fund-raising programme will be run by a consultant who will provide coaching and advice tailored to the specific needs of each archive service. The programme will begin with an audit of each archive, to assess its existing expertise and the new skills it needs to create a strong fund-raising strategy. The consultant will then support each archive to create an action plan to develop the relevant skills and confidence, and to put systems in place to support their development beyond the term of the programme.

The programme has been designed in consultation with Louise Ray, the National Council on Archives (NCA) Archive Lottery Adviser, who says, "Sustainable funding isn't just about money: it's an approach that requires thorough planning to determine which fundraising methods might be right for your organisation. MLA's programme will help archives develop the key skills to diversify their funding streams and hopefully increase their income."

2 Strategic Thinking and Influencing: Development Programme

The majority of archive services are a small part of a much bigger body and many feel marginalised and unable to access all the resources they need.

Our Development Programme aims to improve the position of archive services within their larger parent organisations. This programme will provide mentoring and training to help the archives learn how to plan strategically and to convince senior managers of the importance of the archive, in order to increase their resources and make the most of new opportunities.

The programme is very much about putting theory into practice, so each participating archive will tackle a real-life challenge. The programme will also work with small teams from each service. Our experience has shown us that it is much easier for small teams to introduce change rather than lone individuals, as they can all pull together to pool their strengths.

The programme was piloted in London last year and proved very

effective in supporting participants to develop new skills and confidence and to improve the position of their service. The London programme has also established a network for the participating services, who are keen to stay in touch to support each other's on-going development.

Elaine Penn, archivist at the University of Westminster, participated in the London programme. Elaine explained, "Our small team of two is responsible for archive and records management throughout the university – so it's very challenging to find time to plan ahead and to make sure our vital role is fully supported. The programme allowed us to step out of our day-to-day work to see the bigger picture. We are now better prepared to argue our case within the institution, having spent time thinking about what we really hope to achieve and the best way to do this."

3 Learning programmes: Young Cultural Creators

Young Cultural Creators (YCC) will support archives services to develop learning programmes, without the need for in-house learning expertise. Our YCC programme will run in 15 archives and we will provide all the training, funding and coordination.

YCC is based on partnership working, where each partner contributes his or her own specific expertise. Archive staff bring their knowledge of and enthusiasm for the archive collections, while the educational expertise is provided by the teacher, supported by a writer or illustrator.

YCC brings school groups together with an archive, local library and authors or illustrators of children's books. It provides creative learning opportunities, linked to specific programmes of study in the National Curriculum. It has been running in London and the South West for five years, and has had a big impact with a wide range of children – including primary and secondary, gifted and talented, pupils at risk of exclusion and with English as a second language. The children have produced very

impressive creative projects such as plays, stories, poems, illustrations, web pages and even working models of volcanoes.

YCC has also been bringing children into direct contact with archives for the first time, with very striking results, despite the initial fears of archivists and conservators. The children enjoy the theatrical experience of wearing white gloves and handling original documents, and comment that the archives are "fun" and "exciting"; they want to learn more about them. The hope is that this experience will stay with them to encourage them to become the archive-users of the future.

In 2006, Joanna Corden, archivist at the Royal Society, participated in MLA London's YCC programme. Joanna says, "YCC supported us to deliver a really enjoyable programme to a local boys school. We introduced them to first-hand accounts of the eruption of Krakatoa in 1883, which inspired them so much that they worked through their lunch-hour and missed football practice in order to complete their creative projects. Two of the boys even came back to do more research during their holidays! Senior staff from the Royal Society were really impressed by the work and the way we had made a very strong connection between the Society and these scientists of the future."

To find out more about the success of YCC in London archives please see the MLA London web pages: www.mlalondon.org.uk/sector/index.cfm?NavigationID=332

4 Leadership and workforce development

A strong workforce is essential if archives are to flourish – we need to attract the best people, and then support them to develop the right skills.

This year, our Action for Archives programme will include two workforce development strands: working with school careers services and supporting leadership development.

We will work with school careers services through the 'Untold

Riches' scheme, which aims to inspire young people to think of archives as an exciting career option. This year, the scheme will run as a pilot in three regions and will provide good quality advice to school careers services and run a series of placements supported by practical online guides.

We will continue to offer fully funded places on our Leading Archives and Museums Programme for future leaders and senior managers, and a fully funded place for an archivist on the prestigious Clore Leadership Programme. Both these programmes support individuals to build leadership skills that are vital for the long-term development of the archive sector as a whole.

A participant in the course said, "I came away with much greater confidence but also greatly increased enthusiasm for the management and leadership elements of my job. I would definitely recommend it, both for the quality of the training and for the excellent opportunities to mix with colleagues from across the sector."

New for this year is the establishment of Archive Learning Sets, to support the on-going development of the graduates from the Leading Archives and Museums Programme. The Archive Learning Sets will draw on MLA's experience of running learning sets for library and museum staff – which have proved a successful way of supporting emerging leaders and sharing best practice across the wider workforce.

To get involved
To find out more about Action for Archives in your region and what is on offer for you, please contact your MLA Regional Agency, or Emma Stagg, Archive Manager, MLA Council.
020 7273 1421,
emma.stagg@mla.gov.uk

We look forward to working with you over the coming year!

Isobel Siddons
Archives Manager
Museums Libraries and Archives Council

National Advisory Services hosts Somerset conference

The National Archives (TNA) and the Museums, Libraries and Archives Council (MLA) South West recently hosted a successful and well-received conference on information management for local authorities in the South West.

Breakout groups discussed questions associated with the Workbook

Local government officers with information management responsibilities from 28 different authorities attended the day of seminars and workshops. The conference was held in the grand surroundings of Dillington House, an Elizabethan mansion in Somerset.

Supporting best practice

Supporting local authorities to follow best practice in records and information management is a key part of the work of the Records Management Advisory Service (RMAS), part of our National Advisory Services (NAS) department. RMAS recently put together a Workbook for public authorities, *Complying with the Records Management Code,* which is a vital tool to help authorities meet the demands of the Freedom of Information Act 2000. NAS is also working with colleagues in Public Sector Information (PSI) to make local government aware of their PSI obligations and the conference was also designed to support this agenda.

Feedback on Workbook

Delegates at the conference looked at the Workbook and gave feedback on its content and style. They were also encouraged to consider taking part in a self-assessment exercise using the Workbook, with support from TNA. As well as helping each participating authority to identify any gaps in its information management arrangements, this exercise will mean that TNA staff will increase their understanding of information management in local government and improve the services we offer to this sector. The South West was chosen for the conference because it is a very diverse region, and we hope that practice and experience there will reflect practice and experience across England and Wales.

Dillington House,
run by Somerset
County Council,
served as the
venue for the
event

Case study

The Workbook has been used in convenient electronic form in Dorset County Council. The Council's Records Manager, Richard Kirby, presented the approach taken which was to complete the workbook to identify gaps. An action plan was developed confirming and addressing these and the plan was taken to the senior management team to gain corporate support.

Great success

Speakers at the conference included Nick Kingsley and Richard Blake from TNA and also a keynote speaker from the Audit Commission. The support of the Audit Commission for this event is especially significant as our strategy for promoting information management in local government is dependent upon the help of such key players. Richard Blake said, "A number of delegates have already indicated that they are very keen to take part in our self-assessment exercise, and the conference was also a success in terms of raising our profile and building good relationships."

In fact, it was so popular that NAS is now considering holding similar events in other regions.

Key messages

Key messages from the day were:

- The importance of local authorities being aware of their state of play on information management and to be informed of their own internal planning

- The increased role of the National Archives and the Audit Commission as advisers and assessors in information management in local government

- The role of the RM Code Workbook in improving information management

- Value in sharing the results of the Workbook

- Linking the archival and information management agendas is a prominent need.

Complying with the Records Management Code: Evaluation Workbook and Methodology is available at www.nationalarchives.gov.uk/electronicrecords/advice

**Ian Macfarlane
National Advisory Services
The National Archives**

Managing Business Archives: a global perspective

Robert Brown

A one-day conference took place on 17 November 2006 to debate the threats and opportunities that globalisation and the advent of digital records pose to the management of business archives. Held at The Royal Bank of Scotland's new conference centre at Gogarburn, near Edinburgh, it was jointly organised by the Business Archives Council, the Business Archives Council Scotland, the Business Records Group of the Society of Archivists, and the Section for Business and Labour Archives of the International Council on Archives. There were some 85 delegates from at least 12 countries.

The impact of globalisation on large corporate archives was the first theme of the day. Speakers included Helen Swinnerton, who described setting up a new Asia Pacific archive for the HSBC group in Hong Kong and increasing awareness of its long history in the region. Didier Bondue demonstrated how records were managed across the world by St.Gobain, the French glass and materials group. The importance of archives in enhancing the 'equity' inherent in brands was outlined by Becky Haglund Tousey of Kraft Foods Inc and Jennifer Birnie of Diageo plc.

The second session was devoted to the preservation of the digital records of business. Peter Emmerson, director of Emmerson Consulting Ltd, delivered a dire warning about the inadequacy of current initiatives. Prof Seamus Ross summarised more positive developments including Digital Preservation Europe, built on the Electronic Resource Preservation and Access Network (ERPANET).

A fascinating comparison of different national strategies for collecting business records comprised the third session. Christian Jansen, the director of the Danish National Business Archive, explained that since 1992, the Danish State had taken responsibility for the identification and preservation of business records. Karl-Peter Ellerbrook, director of the regional business archive at Dortmund in Westphalia, discussed the pattern in Germany, where business records are preserved by a loose network of regional and single-industry archives.

The UK's 'pluralistic' system for preserving business records was described by Robert Brown. Recent crises over the future of large company archives indicated the need, not only for better mechanisms, but also for a more formalised national strategy for the sector. By contrast, Matti Lakio noted that Finland has had an independent national business archive, dating back to 1981. Located in Mikkeli, Finland's second-largest city, it is funded by a wide range of commercial and educational bodies. The business archive has to persuade firms to deposit their records, as there is no legal obligation on them to do so.

The final session dealt with access to business archives, and especially with the diverse communities that use them. Clare Wood talked about the difficult balance that the Sainsbury archive has to maintain between fulfilling corporate requirements and satisfying public demand for access. Sian Wynne-Jones outlined the ways in which BT's Connected Earth and Connected Earth Memories

websites sprang from a commitment to heritage and to digital inclusion. David Carter, the final speaker of the day, showed how Prudential plc was making large amounts of its business archive available on its intranet. The intention was that it should be used as a corporate information and research tool.

The conference's global perspective was widely appreciated. The delegates greatly benefited from the networking opportunities the day offered and the realisation that many of the problems facing business archives are universal rather that country specific.

Robert Brown
Business Records
Development Officer
The National Archives

International Council on Archives (ICA): representing the global archival community

In this article, David Leitch describes his position as Senior Programme Manager for the International Council on Archives (ICA) and provides an informative overview of ICA's current programme and latest developments.

Introduction

My secondment from The National Archives to the post of Senior Programme Manager in the International Council on Archives (ICA) Secretariat in Paris started in July 2006. Before my secondment I had been working as a volunteer for ICA for about 13 years, mainly in the area of publications. I had also attended the Congresses in Beijing (1996), Seville (2000) and Vienna (2004) – all of them huge gatherings attended by more than 2,000 archivists. My strong personal conviction is that the main archival challenges of our time cannot be met in national isolation but require strong of international co-operation, and that is why I was so keen to work for ICA.

An overview of ICA

Before I joined the Secretariat, I thought that I knew a little bit about ICA, but in fact I found myself on the steepest of 'learning curves', as I tried hard to understand how the organisation actually works. The organisation has 13 geographical branches covering the entire globe, all of whom have different perspectives and work in sharply contrasting political and cultural contexts. In practice, the branches have considerable freedom of manoeuvre to meet the needs of members in their area. ICA also has nine specialist sections (four others are currently being set up) representing a wide range of archival interests, including professional archival associations, municipal archivists, university archivists and archivists in charge of parliamentary and political party archives. There are many ICA projects, involving members of branches, sections and committed individuals, on our books at any one time.

On top of all this, I had to understand how the Executive Board and Management Commission, which are responsible for high-level governance and for setting the general strategic direction of the organisation, actually work in practice. However, this necessarily complex structure gives internationally-minded archivists several possibilities to serve in the organisation and allows them to find the role which suits them and ICA best.

The organisational structure provides the framework for the voluntary activity of about 1,400 institutional and individual members based in 190 countries and territories. ICA's worldwide network is a great source of strength – it enables archive professionals from different cultures to come together to discuss common problems and to find solutions that can be generally applied. There is no other organisation in the world that carries out this essential role. I have been constantly impressed by the willingness of ICA volunteers, especially those colleagues who are based in developing countries, to find time in their already busy lives to take forward ICA projects.

A small Secretariat in Paris has to co-ordinate and keep track of all ICA activities. My arrival increased the staff complement by 25% – in other words, there are now five of us! We are, however, ably supported by key volunteers, without whom it would be quite impossible to carry out the current range of functions for which the Secretariat is responsible. The Secretariat is based in Paris partly in order to be close to the HQ of the United Nations Educational, Scientific and Cultural

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Cover of CD-ROM of ICA Publications 2005-06

Organisation (UNESCO), which was instrumental in the foundation of ICA in June 1948. Today it runs several programmes, such as 'Memory of the World' and 'Information for All', which are potentially highly relevant to archivists. We spend quite a lot of time persuading UNESCO to give a higher profile to archives and to fund archival projects, sometimes with good results.

The Directorate of the Archives of France has been consistently supportive of ICA since its inception in 1948 and provides the ICA Secretariat with accommodation in the National Archives' building in central Paris. Our presence there symbolises the considerable importance attached to the international dimension of archival practice in France, where archives play a significant role in cultural diplomacy.

Development of Programme Manager role

At the outset my remit was to ensure that the Secretariat worked closely with the Programme Commission (PCOM), to keep the membership up to date with the progress of projects, to apply a little 'light touch' co-ordination, and to contribute to the development of the programme for our next Congress in Kuala Lumpur. It was quite a task to collect all the widely dispersed information about the many exciting projects that are moving forward under ICA auspices, but in the end it proved to be rewarding. The programme report published in the current issue of *Flash* (no.11, January 2007) – the newsletter which we distribute to all ICA Members three times a year – provides a wealth of information about some of our larger projects. Copies of *Flash* can be downloaded from the ICA website (www.ica.org).

The need to multi-task

My services are also in frequent demand as the only member of staff in the Secretariat with mother tongue English. There is a constant stream of documents which have to be translated into English and French as the two official languages of ICA. Before I arrived in Paris, I thought that I had a decent command of French. However, my French colleagues have shown themselves keen to practise their English, which I suspect is a clever ploy to prevent me from speaking French – I've recently been told that my accent remains very heavy. When I tell them that this is true of my native language as well (I'm from Scotland), they remain distinctly unimpressed!

I've also been asked to help with the running of the Executive Board, for which I've written papers on strategy and communications, as well as the annual activity report for the year 2006. I attended the most recent meeting of the Board in Reykjavik, Iceland, at the beginning of April, when important decisions about shortening the governance cycle were taken, in particular the reduction of periods in office for ICA's senior elected post-holders. This decision was taken in the light of the Curaçao Consensus 2006, a document that was approved unanimously at the last Annual General Meeting and provides a useful framework to ensure that improvements in organisational performance continue to take place quickly.

A flourishing programme

The Vienna Congress in 2004 approved a new system for the management of the ICA Programme, with the replacement of the old system of committees by a project-based approach under PCOM. In the light of a survey of ICA membership, four main areas of activity were identified as high priority – advocacy and promotion; electronic records and archival automation; preservation and disaster preparedness; and education and training.

The UK is currently most active in the electronic records priority area, which is led by George Mackenzie, Keeper of the Records of Scotland. Both The National Archives (TNA) and the National Archives of Scotland are involved in the major project to develop functional requirements for Electronic Document and Records Management Systems (EDRMS) which are relevant both in the most advanced economies and in developing countries. TNA has also joined another high-level project, which enjoys the backing of the United Nations/CEFACT (Centre

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The small but perfectly formed ICA Secretariat

for Trade Facilitation and Economic Business), to develop appropriate models for the exchange and transfer of data held in electronic form.

It is also worth mentioning that ICA's Committee on Best Practices and Standards is carrying out important new work. Consultation on a new draft standard ICA-ISAF (International Standard for Activities/Functions of Corporate Bodies) closed at the end of March, and work is well underway on developing a new standard for archival institutions, including a reference code element (ICA-ISIAH). Amy Warner, of TNA's National Advisory Services, has just joined the group working on this standard.

Although ICA's programme is now moving into top gear, there are still plenty of opportunities for UK institutions to become more involved. If you would like to know more about the programme and how you might participate, please get in touch with me and I will be happy to suggest options.

2008 Congress in Kuala Lumpur

Projects in the current programme will provide much of the content for the next International Congress on Archives, which will take place in Kuala Lumpur, Malaysia, between 21 and 28 July 2008. The theme of the Congress will be 'Archives, Governance and Development'. The Congress will be a splendid opportunity to give a boost to colleagues in Asia, particularly in the areas of education and training. At the same time it will be essential to make further progress on issues of worldwide concern, including the importance of good records and information management for transparency and accountability, the need for archives to be factored into the development programmes of international organisations, and the role of archives in nation-building. In early February this year we went to Kuala Lumpur and had several days of highly productive discussions on the Congress programme and the practical organisation with colleagues from the National Archives of Malaysia and archivists from the Asian and

Pacific regions. We also visited the state-of-the-art Congress Centre in the heart of Kuala Lumpur.

Communications and publications

The development of our new website will play a crucial part in ICA's strategy of improving communications among the membership and with our external stakeholders. The existing website has a lot of good content, but it has an old fashioned look, highlights information about governance and structures at the expense of news and events, has comparatively little material that is not in English or French, and can only be updated at the Secretariat. In October 2006 we commissioned Development Seed, a company based in Washington DC, to design our new website which will have a fresh, modern appearance, will display the latest news and events on the front page, and will enable authorised ICA members throughout the world to load new content directly onto particular pages. We will encourage the formation of groups working in other languages so that content is regularly translated to and from these languages. When the new website becomes fully operational in a few weeks' time, ICA will indeed be well on the way to becoming the information hub of the international archival community.

Historically, ICA has produced a steady stream of high quality publications in paper form. New publications will henceforth be loaded onto our website as a matter of course, and we will also launch a programme to make our stock of paper publications progressively available online, starting with the most recent first. Although paper publications will now diminish, they will not completely disappear. The newsletter *Flash* will still be distributed in print (and electronically), as well as some sponsored paper publications.

All ICA members will also receive on an annual basis a CD-ROM which will contain all ICA publications for the previous year: issues of *Comma* (ICA's

professional journal) including the proceedings of the International Conference of the Round Table on Archives (CITRA) annual conference, all numbers of *Flash*, recently published ICA Studies and any new standards that have been finalised. This list is not exhaustive and further additions to it (for example, publications of sister organisations) may be made.

Membership drive

Later in the year we intend to organise a campaign to recruit new members to ICA. Nearly all national archive services and many professional associations already belong to the organisation, so the main growth areas are institutions of all kinds with archival interests and individuals. We intend to offer membership to individuals who choose to pay by credit card at a very reasonable rate – possibly even as low as 20 euros. I hope that those of you still reading this article will seriously consider the many advantages of belonging to an international organisation that facilitates the exchange of information among archive professionals of different cultures, plays a major role in developing new standards when these are needed, stimulates training and educational opportunities throughout the world and speaks up for the archival community at the international level.

We also need more of our members to become active participants and volunteers in the ICA network. If you would like to know more about what the possibilities are, please do not hesitate to contact me (email: leitch@ica.org).

David Leitch
Senior Programme Manager
International Council on Archives

Archives 4 All and education

Archives 4 All, the fourth phase of the Access to Archives (A2A) programme, began in September 2005 and is set to run until March 2008. The aim is to develop and manage partnership projects between archive holders and users.

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Margaret Strickland-Constable's children, Marmaduke (who inherited Wassand Hall), Hilary and Robert

In order to establish and reinforce connections between archives and the local community, repositories are being encouraged to work with community groups. The catalogues, digital images and other resources from the projects will be available via the A2A website www.a2a.org.uk

Several of the Archives 4 All projects are creating education packs for schools to encourage pupils and teachers to use the records held in their local repositories. It has been a fundamental requirement that the projects adhere to the National Curriculum for history and citizenship and that project co-ordinators work closely with local teachers to ensure the learning packs are relevant.

The project 'Letter in the Attic' is using a Teachers' Advisory Group to help guide the creation of an education pack, which will be targeted at key stage 2 and 3 pupils. The education pack, which will be made available to every secondary and primary school in Brighton and Hove, will offer pupils the opportunity to engage with the reminiscences, thoughts and writings of elders from their own city, therefore offering an important inter-generational exchange. The link with the National Curriculum will enable pupils to achieve educational outcomes alongside an enhanced knowledge of their own community's multi-cultural heritage.

'Cotton Threads: Bury's Industrial Links to Slavery', led by Bury Museum and Archives, already fits into the current national heritage

focus with campaigns such as 'Remembering Slavery 2007' and 'Archives Awareness 2007 "Liberty and Freedom"'. The project will cover key aspects of the key stage 3 curriculum for citizenship, an area on which archives are increasingly being encouraged to focus in their work with children. The key stage 2 workshop will have a cross-curricular focus which is essential

for primary school teachers when looking at activities to be involved in. Children from ages 7-14 will actively engage with archives documents and museum artefacts, particularly those from the Hutchison family papers and family home (1820-1850) to illustrate key themes of transatlantic slavery, the local cotton industry and domestic consumption.

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The crowded launch platform on 20 September 1906 – an original magic lantern slide. (TWAS Ref: 2931.ML.14) from the project Mauretania: Pride of the Tyne

'Mauretania: Pride of the Tyne' is a project that will commemorate the centenary of the launch of the Mauretania in September 1906 and will also celebrate local pride in shipbuilding. Schools from the area will be invited to attend the Mauretania exhibition and to take part in online classroom activities. Teachers of key stages 2 and 3 are assisting in the design of learning materials based on a range of exciting primary sources.

Likewise the project 'Rural Roots' will initiate and support the creation of local history groups in three rural communities in the East Riding of Yorkshire while the project 'Blood, Thunder and High Society' will create detailed catalogues of two large collections of records of the Strickland-Constable family and of Wassand Hall. They contain significant items for the study of naval, maritime and women's history, the home front during wartime, London society in Victorian England and country house studies. Both projects are led by East Riding Record Office and are developing education packs in collaboration with local teachers which, once completed, will be used in schools to demonstrate how archival resources can be used in education.

For further information about these and other Archives 4 All projects please go to the new Archives 4 All website at www.nationalarchives.gov.uk/partnerprojects/a4a

The A2A database can be found at www.a2a.org.uk

Rosie Logiudice
Regional Liaison Co-ordiator
for A2A
The National Archives

The project 'Using Police Records in Education', led by the Open University, is preparing two learning packages for CD ROM and online access. The first pack will concentrate on social history as seen through the eyes of Second World War serving officers. The second will be based on the values of citizenship using material from the Association of Chief Police Officers deposit. The CDs will contain additional background information and selected high quality images suitable for printing as display material. The packages will target pupils studying History and Citizenship at key stage 3 and You and the Law in Years 10 and 11. The learning material will illustrate to pupils how archive records can be used to better understand the participation of everyday people in history and some of the complexities of responsible citizenship among different social groups. The material will encourage young people to investigate their own families' experiences in wartime and their personal understanding of citizenship today.

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A policewoman is seen helping evacuees – from the project 'Using Police Records in Education'

'What's Beneath Your Feet?' and 'Explore North Devon' are projects that will both provide learning opportunities for pupils at primary school and onwards. 'What's Beneath Your Feet?', led by Gloucester Record Office, is a project that aims to preserve and increase access to 18th and 19th century Gloucestershire enclosure awards and maps, recording the physical landscape and

landownership of the area. Pupils will then use the records to help them learn about their heritage through IT, data analysis, map-work, observation and investigation. 'Explore North Devon' is a project to develop five community archive collections in the North Devon area. The project will enable the participating communities to collect and research information about their local heritage. Organised activities using the archive collections will help to develop children's sense of identity and introduce them to ways of understanding and interpreting the past. Possible subject areas to benefit from such involvement include what life was like for children in Victorian Britain and World War Two, and how life in their local area has changed since 1948.

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Case studies

Time flies when there's an Olympics to host!

London became the host city for the 2012 Olympic Games on 6 July 2005. With just over five years to go (at time of writing) and with a huge amount of work to do, the London 2012 programme has been set up to deliver infrastructure, venues, transport, athletes' accommodation, the Games themselves in August 2012, and the regeneration of the area in and around the Olympic Park.

John Davies is the Interim Records Manager at the Olympic Delivery Authority (ODA). He is charged with putting in place a framework for records management and an electronic document and records management (EDRM) system. One of his first tasks was to help recruit a permanent successor and Angie Rizakos joined the ODA in April. Angie was a records manager at the Sydney Olympics in 2000 and spent some months with the International Olympic Committee (IOC) in Switzerland.

London 2012 is an organisation of several parts:

- The London Organising Committee of the Olympic Games and Paralympic Games (LOCOG) has overall responsibility for the preparation and staging of the London Games. This was the group led by Lord Coe that managed and won the bid. LOCOG works closely with UK Government and with the International Olympic Committee (IOC) and British Olympic Association (BOA).

- The Olympic Delivery Authority is the public body responsible for ensuring delivery of the new venues and infrastructure for the Games and the legacy that will follow. The ODA was established in 2006 so is a very new Non-Departmental Public Body (NDPB) reporting to Parliament through the Department of Culture, Media and Sport.

- CLM (a consortium of CH2M HILL, Laing O'Rourke and Mace) is the ODA Delivery Partner that will project manage the construction programme for the infrastructure and main venues for the 2012 Games.

The ODA was established by the London Olympic Games and Paralympic Games Act, which received Royal Assent in March 2006. This Act allows the ODA to:

- Buy, sell and hold land and act as the local planning authority for the Olympic Park

- Make arrangements for building works, and the installation of transport and other infrastructure

- Develop the Olympic Transport Plan

which means, in practical terms, that the ODA has responsibility for:

- All Olympic Park infrastructure and site preparation including the Olympic Village

- Building new permanent venues

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Advertising poster for the 1948 London Olympic Games [TNA(PRO)INF1 3-224(3)]

- The building of relocatable arenas

- Olympic transport projects

- Permanent works to existing sports venues

- Olympic Park venue legacy conversion after the Games.

In terms of record keeping, the ODA is a Public Records Body and is currently putting a records management framework in place following the Lord Chancellor's guidance from the Code of Practice.

As a first step, a records management policy has been approved by ODA's Executive Management Board. The policy defines high-level responsibilities for records management in ODA and provides for further detailed work on appraisal and disposal policies, retention scheduling, detailed guidance to specific ODA groups, and on training.

In many ways, ODA operates in much the same way as every other NDPB with Finance, HR, Procurement, Communications and Corporate Services functions working in a standard office environment. The one big difference is that the organisation is barely a year old and may not exist in ten years' time! So, there is little or no legacy of paper files (although documents are accumulating at a great rate!) but instead, a strong management directive to work electronically and reduce paperwork as part of London 2012's environmental commitment.

ODA's record keeping challenge

The huge quantity of records emerging from the design and construction of infrastructure and venues presents the biggest records management and preservation challenge. Designers, engineers and architects from a wide variety of practices and companies are working with the latest IT tools. 3-D design has been offered to the design community as a standard while there will be many "conventional" 2-D drawings as well, not to mention the complex

series of documents accompanying them. A large quantity of this information will only exist digitally throughout its working life and much will be required by legacy owners and custodians of the venues after the Games are over. We also anticipate transferring born-digital records to The National Archives (TNA) as well as providing snap shots of the London 2012 website on a regular basis.

EDRM

ODA has contracted the implementation of back office systems including EDRM to a third-party integrator. After an extensive review of ODA requirements and with due regard for TNA's guidance, an EDRM application has been selected and we are now planning

a pilot within the ODA legal department. The pilot will test the core functionality of the product and will enable us to fine tune a file plan and access model that have been developed over the past few months. There are complex interfaces to manage between other collaborative tools for the design community and between finance and HR systems. The project as planned will run to October when all ODA staff will have access to the application.

John Davies
Interim Records Manager
Olympic Delivery Authority

Unlocking the secrets of Broadmoor's past

Broadmoor Hospital was opened in 1863 and was originally known as the Asylum for the Criminally Insane, in the parlance of the times. It has always provided highly secure psychiatric care for patients who are transferred from the judicial system.

Background to the project

Although Broadmoor was not the first hospital to take defendants and prisoners recognised to be mentally ill, it was the first dedicated hospital to do so in the UK. Its name has become synonymous with the care of high-profile patients who have exerted a continuing fascination for the public, and as such it holds a unique place in the national consciousness that few other hospitals do.

The hospital first became interested in its own archives as an historical resource in 1991, when the Broadmoor History Society was formed to encourage staff to preserve items relating to the hospital's history and to share and disseminate their own memories. The History Society held an exhibition of artefacts and records in the old Medical Superintendent's office, a panelled and suitably historic room within the original 1863 block, and then turned the space into a museum and archives

store with a small permanent display. The collection was boxed, and volunteers began creating the first lists of it.

Next, the hospital made contact with The National Archives (then the Public Record Office), whose liaison officer visited Broadmoor in 1992. They held joint discussions with the hospital about its plans and obligations under the Public Records Acts, and drafted a plan to convert the original hospital gatehouse into a museum and

2
Broadmoor's main entrance, built in the 1980s to replace the old gatehouse

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3
Broadmoor Hospital's annual reports from 1886-1914 in their original bindings

apply for place of deposit status. At the same time staff from Berkshire Record Office (BRO) were also invited to visit, and provided practical assistance and advice with the boxing and storage of the collection.

The museum and archives remained in the Superintendent's office throughout the 1990s, but it gradually became apparent that funding the conversion of the gate-house, and providing public access in a secure environment, meant that the plan was unlikely to be realised. Broadmoor's new managing body, West London Mental Health NHS Trust, confirmed this view when it set up a museum and archives review group to decide the best way forward.

At the end of 2002 the hospital asked the former Public Record Office to visit again. This visit resulted in a report suggesting for the first time that the archives might be deposited offsite with an existing repository. The review group concluded that transferring the entire archive collection to a local place of deposit would be their preferred option. As Broadmoor's local county record office we were the obvious choice, and in February 2004 we met together with representatives from both the hospital and TNA to discuss the practicalities of the transfer.

two loads – one which comprised the boxed material, the other of material received subsequent to the completion of the boxing programme. By the time this was complete we had taken in 125 boxes, 387 volumes and 110 other items. Subsequently we have also begun to transfer the older patient files from the medical records unit at the hospital, and another 239 boxes have arrived.

The size of the collection, which we predict to be around 10.5 cubic

metres once the transfer is complete, meant that the cataloguing and repair work it required was far too much for us to contemplate as part of our routine work. After surveying the bulk of the archives we designed a project that would encompass the creation of a detailed catalogue of the thousands of documents in the collection, and the completion of conservation work to ensure researchers could use everything in the collection safely.

We decided to approach The Wellcome Trust's Research Resources in Medical History scheme for funding. We put in a bid to fund the recruitment of an archivist for two years, and a conservator for nine months. Subsequently we have revised these timings upwards in the light of further deposits from the hospital. We enjoy a very supportive relationship with The Wellcome Trust, who also gave us a grant to complete a very successful similar project for Fair Mile. The Wellcome Trust very graciously gave us a grant to cover the Broadmoor work, and we are now undertaking this as phase 2 of a Berkshire Historic Mental Health Records Project.

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This 1977 cartoon from the patients' magazine, the *Broadmoor Chronicle*, shows the kind of black humour often used inside the hospital. The magazine was written and published by patients from 1944-1990 and included articles, poems, stories, art, and news from around the hospital

Even before we met we had been keen to receive this prestigious collection, as the hospital was within our collecting area, and we knew that the archives had been largely unsorted since their creation. The transfer of the collection was agreed and we began to plan how we would organise it. We considered creating a detailed accession receipt in situ, as we had done for the records from Fair Mile Hospital, the old County Asylum, but quickly rejected this idea after visiting the hospital. Although we would have liked to process the material before transfer, the nature of the hospital's environment presented too many obstacles.

It was agreed to transfer the contents of the existing museum in

"I'd love to, but my boyfriend is so terribly jealous."

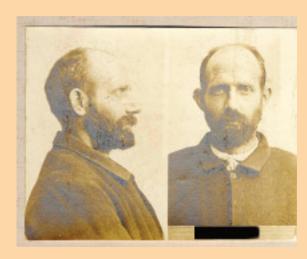THE CHRONICLE   5   APRIL 1977

5
Photographs of
patients in the
1890s, taken
from case books

Cataloguing the records

The Fair Mile project provided useful background information on the history of mental health care and its governance in Britain. Broadmoor and Fair Mile's core records are very similar, especially the patients' records such as admission registers and casebooks, which meant we could sort through them very quickly. However, the Broadmoor collection is about four times the size of the Fair Mile collection, and includes a much broader range of material. This has made appraising and arranging the records much more difficult.

We began the project by sorting through all the records and creating a spreadsheet listing the location and contents of each accession number. We used this to create several possible arrangement schemes for the records, and then considered the advantages and disadvantages of each. The usual way to arrange a collection is by provenance (grouping the records together according to the person or department that had created them) but in this case it proved rather difficult. The records cover the period 1863-2004, and during that period there have been many changes to job titles and functions, the functions of departments, and management structure. The management of the hospital by central government has also changed several times, particularly since it was incorporated into the NHS in 1948. Keeping track of these changes can be difficult, especially as there has been very little secondary material written about special hospitals.

We looked through the catalogues of other mental hospital archives to help us come up with an arrangement scheme. Each catalogue that we looked at had taken a slightly different approach. Eventually we decided to arrange the records primarily by function, but within this to try to keep items with the same provenance together. This is not ideal, but we felt it would have been confusing for the researcher if records relating to the same function, for example personnel, could be found in two different places. Our arrangement

scheme is clear and user-friendly and also reflects the structure of the hospital.

The next stage is to appraise the records. Broadmoor is one of only four special hospitals in Britain: Rampton, Ashworth and Carstairs are the others. None of the others has yet deposited its records with a record office for cataloguing. We are therefore inclined to be more generous when appraising which records should be kept for posterity than we would be with other hospital collections, because of the rarity of the collection. Broadmoor's administrative records are patchy, so we are also preserving other types of record if they can shed light on the hospital's administrative activities.

Public access to the records

Public access to the collection has presented us with a major challenge. The Broadmoor collection contains records about individual patients that can include extremely sensitive information such as detailed case histories describing their family life and background, their relationships, and sometimes the complex circumstances leading up to their crimes. Many family historians are excited or intrigued to discover prisoners or asylum patients in their ancestry, but sensationalist press reporting means that the name 'Broadmoor' still carries a stigma.

We met with hospital staff and TNA to discuss this issue. From Broadmoor we learnt that the hospital has always been cautious about giving access to records. Previously they have given limited access to original documents to medical professionals and historians. Family historians who could prove that they were related to a former patient were given a summary of the patient's records for a fee. Security restrictions at the hospital and a lack of staff available to supervise researchers made it difficult for them to visit and use the collection. Hospital

staff felt that it was their ethical duty to protect not just patients, but also their relatives, from any distress that could arise from disclosures of records to a third party, even if the patient concerned had since died. These concerns meant that very few people had ever been allowed to access any original records at all.

We agreed to create an access protocol, which would be adopted by both BRO and the hospital. This would state how we would grant access to the records and meet our statutory obligations. TNA advised us by explaining the complex legislation governing access to medical records. The Society of Archivists publication *After the hundred year rule: guidance for archivists' and records managers on access to medical records under the Freedom of Information Act* (Best Practice Guideline 8, 2004) notes that:

"From January 2005, the Lord Chancellor's Instrument (LCI 92), which currently closes medical records from general public access for 100 years, will cease to have legal force. Archivists will be able to refuse to disclose information in medical records to third parties only if Freedom of Information Exemptions apply."

This suggests that medical records should usually be considered in the same light as other personal information under the Data Protection Act 1998, and open after the data subject's death. Where the date of death is not known they can be assumed to be dead 100 years after their assumed date of birth. However, the Freedom of Information (FOI) Act 2000 contains a number of exemptions that could apply to the medical records of deceased patients, for instance if access is likely to cause severe distress to

members of patients' or 3rd parties' families (section 38 exemption).

The Information Commissioner has not yet issued any guidelines specifically about medical records but appears to be of the opinion that the FOI Act was about public accountability, rather than providing access to personal information. Recent cases suggest that he is inclined to be sympathetic to those imposing tight access conditions for personal or medical records. In view of this we decided it would be acceptable to use the old hundred-year rule as a guide. The hospital is likely to agree to this as it would be long enough to protect patients and their immediate relatives, and we felt it would provide an adequate level of public access. However, under FOI records can no longer be considered definitively closed, so records that would previously have been 'closed for 100 years' will now be considered 'subject to FOI restrictions.' They will be subject to FOI requests, and access to them will be then decided on a case-by-case basis.

After this fruitful initial meeting, we continued to work with the hospital to polish the access protocol. The protocol sets out the practical details of how we will liase with the hospital when we receive requests for access to restricted records, and what exemptions we might apply. Requests must be referred on to the hospital, and they will decide whether or not the required information can be disclosed – as the holding body but not the owner of the records, we do not have the authority to make these decisions.

The access protocol is also likely to include a statement that the hospital is happy for us to continue with their previous system of providing privileged access to records for some researchers by conducting paid research and providing a summary of certain records. This information would be given outside the terms of the FOI Act, and once again it will remain the hospital's privilege to permit this kind of access.

We are currently eight months into the Broadmoor project and making good progress with the cataloguing. We have also just appointed a conservator to work on the project, undertaking cleaning, packaging, paper repair and preparing items for re-binding.

By Christmas 2008 the project will be completed and the collection will be open for public access. Prior to that we will continue to generate publicity to ensure that our hard work on this project results in high levels of interest in the collection. We have now made significant progress towards providing greater access to Broadmoor's history and shedding some light on one of Britain's most fascinating institutions.

Kate Tyte
Mental Health Project Archivist

Mark Stevens
Senior Archivist

Berkshire Record Office

For more information about the project contact arch@reading.gov.uk.

To read about the history of Fair Mile Hospital visit www.berkshirerecordoffice.org.uk/collections/fairmile.htm

Cataloguing Chancery litigation, 1714-2007

Records created in lawsuits brought before the equity Court of Chancery (from 1875, the Chancery Division of the High Court) form one of the largest discrete holdings of The National Archives. They occupy nearly 11 kilometres of shelving – equivalent to the holdings of a good-sized county record office. Most of these records are identified solely by the short title of the lawsuit – such as Smith v Jones. This article sets the background and describes an ongoing project to catalogue a small part of the archive: the lawsuits filed in this court between 1801 and 1860.

Between the 1820s and the 1920s, the Record Commission and the former Public Record Office (PRO) catalogued some parts of the early material (1383 to 1714) in some detail. The records were known to be of huge evidential value for historians and genealogists. For example, the first issue of *The Ancestor* in 1902 claimed that "everybody's pedigree lies somewhere in these great deeps of parchment".

Very little further cataloguing was done between the early 1930s and the 1990s, when the PRO, interested academics, and the Friends of the PRO got together to create the Equity Pleadings database: this was intended to cover not just equity suits in Chancery, but in similar courts such as Exchequer, Star Chamber, Requests and the Palatinates of Lancaster, Durham and Chester. This database was one of the first

attempts to use IT on a large scale, and just predated the creation of the online catalogue. One of the problems that emerged later was that, despite exhaustive discussions on what should be included, no-one had identified document type as significant, and so a virtual refilling of scattered documents in a suit was not possible. However, only a small part of the records for c1650-1714 were actually entered in the database (from a mixture of

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Chancery bundle
unrolled

existing finding aids and from the actual documents) before funding ran out. The database can still be accessed at www.nationalarchives.gov.uk/equity

In the late 1990s, a partnership bid with Professor Penelope Corfield of Royal Holloway College to the Economic and Social Research Council (ESRC) proposed using Chancery lawsuits as part of a study of women in business in the 18th century. The then-current state of ignorance about how Chancery suits were filed meant that no-one could construct a meaningful sample from the 'indexes' of suit titles on the reading room shelves. Instead, the proposal was to catalogue a sample of Chancery suits in C 11 and C 12 in full, in order to identify suits brought by women. The bid failed, because the sampling technique (looking at all documents for plaintiffs whose surnames began with specified letters) was rightly judged insufficiently robust.

The creation of the online catalogue then took precedence over any further equity cataloguing. The catalogue did not initially include many Chancery records, as it was based on the typescript A4 lists which could be sent off to Mauritius for keying into the catalogue. Most of the Chancery finding aids were unique manuscript lists or indexes, or were rare books in themselves. However, the decision was made to add any further details to the catalogue, not to the Equity Database.

When I was given responsibility for early modern and equity records in 2002, the 'indexes' for C 11 and C 12 had just been keyed onsite at Kew. Unfortunately responsibility came without resources, so I could do little except write research guides explaining the hugely complicated arrangement of the records. Advice to potential users was effectively that, unless you knew the short title of any suit and had ample time to read manuscript volumes of finding aids, you may as well give up.

However, the closure of our offsite storage at Hayes, and transfer of little-used series from Hayes to Winsford, brought with it an

opportunity and funding to tackle not the relatively popular C 11 and C 12, but their almost unused sister series for 1801-1852, C 13 and C 14. Any series going to Winsford needed an inventory, so resources were found to create a listing of each series, from the existing manuscript finding aids.

We started on C 14, covering Michaelmas 1842 to 1852, simply because it was relatively small, the manuscript list (an alphabetic entry book kept up in Chancery itself) was quite easy to read, and pilot inputting could take place while on a quiet duty in the reading room.

We soon discovered that 1842 marked the introduction of a well-thought out reform of Chancery filing and archival practices, ten years before the known major reform of the court's legal practices. We do not as yet know much about the details of this introduction of decent records management, but are hoping to find out more. A new official, the Clerk of the Records, replaced the previous six-split responsibility. He gave each suit a unique code, consisting of the year of filing, the first letter of the plaintiff's surname, and a running number – such as 1843 S39. Any later documentation for the first (pleading) part of a suit was filed with the original bill of complaint; any documentation for the subsequent (investigative) part was marked with the code, as were any registered decrees or orders. The inclusion of each lawsuit's unique code as a searchable part of the catalogue description should eventually make it infinitely easier to find related material.

The code is in addition used by the also-reformed Cause Books in C 32, which give the full name of the first plaintiff, and of all defendants, plus cross-references to any decrees or orders. It would have been good to have used these for cataloguing, but this could not be done in the time available. Instead, the time was used to catalogue C 15 in the same way, making suits in Chancery searchable by short title up to 1860.

The contrast was absolute when we started to look at C 13,

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Index book

covering suits filed between 1801 and 1842. Here was the Chancery described by Dickens in *Bleak House*, "with bills, cross-bills, answers, rejoinders … mountains of costly nonsense" – and all filed in almost total confusion by the underling clerks of the Sixty Clerks, themselves deputising for the Six Clerks. Here were over 120,000 sets of parchment pleadings identified in the 11-volume finding aid only by short title, type of document and a year – *Smith v Jones: bill, three answers: 1814*.

Instead of using this multi-volume alphabetised 'index' as the source for creating catalogue entries for C 13, we wanted to investigate a bit further among the original archives of the court itself. I had always been puzzled as to why the description of Chancery Proceedings in the 1963 *Guide to the Contents of the Public Record Office* mentioned such things as study matters, single bills and sorts, when I could find no trace of them in the finding aids. (I naturally assumed it was my ignorance and incapacity!)

We found that the 'index' had been created in the late 1920s from the volumes of original listings created by the junior clerks of Chancery, now in OBS 1 (Obsolete Lists and Indexes). These numerical listings restored the archival data lost on alphabetisation for each bundle of

40 or so suits. These bundles had been created when the records were archived by the clerks, usually after six law-terms of active life. For most, this actually gave little more than whether the bundle was of cases that had proceeded beyond the initial bill or not, but finding this lost information about study matters, single bills and sorts certainly gave a boost to my self-esteem! On investigation I discovered that the definitions of study matters etc. had been repeated word for word from original 18th century archival lists, through edition after edition of the various PRO *Guides*, although any trace of that arrangement had disappeared from the reading room finding aids.

Over 1,000 bundles were identified in the archive lists as misplaced documents 'sorted' from the various Six Clerks' Offices as part of general spring-cleaning every few years. The date of sorting had been given in the 'index' as the date of the document: this led to errors such as the lawsuit Jackson v Woolley being dated to 1808 when it was in fact from 1776. To correct this, we went through all the 'sorts' bundles extracting the correct dates. Doing this allowed us to work out how the 'archive lists' in OBS 1 had been created by the Chancery clerks or records managers in the early 19th century

(and back to the 17th century). They worked in pairs, taking as many sets of records as would make a bundle of standard size. One clerk went through the documents, reading out the surname of the plaintiff and the surname of the first defendant named in the first answer, to create the short title – Smith v Jones. The other clerk wrote down what he heard – and often made errors such as Read for Reid, Simmons for Symons.

Quite often there were answers with no bills (each defendant had the right to answer separately, and although in theory the answers should have all been filed with the bill, in practice this often did not happen). These were given a different short title from the bill, based on the plaintiff and the name of the person answering. So a single lawsuit with scattered documentation could end up being known by several short titles (Smith v Jones, Smith v Brown, Smith v Taylor etc). So much for our previous advice that you had to know the short title in order to be able to find anything! We later discovered, much to our chagrin, that this was not a new discovery but a rediscovery of the advice given by the PRO before the alphabetisation in the 1920s: Scargill-Bird's *Guide* of 1896 notes that "the difficulties of searching

are also increased by the title of the suit being often varied according to the name of the particular defendant making answer".

However, before starting work on the 'archive lists' we also investigated the cause books before 1842, all now in IND 1. Unlike the post-1842 cause books in C 32, these earlier cause books are almost illegible, with entries in a different order from the current arrangement of the records. Despite these problems, we decided that proper cataloguing of C 13 required data from both sources. The archive lists provided a brief description in numeric order of the records as archived: the cause books gave data about the suits as they were administered as active records. So struggling with entries written by clerks in haste in appalling crabbed handwriting and using their own abbreviations and conventions, allowed us to get the full name of the first plaintiff, the existence of any others, the full names of all defendants, and – for the first time – the number, type and date of documents created in each suit.

Data from the OBS 1 archive lists from one of the Six Clerks' Offices went into the catalogue first, followed by extra data taken from the cause books of the same Office. It had to go in this order because we needed to use the search facility of the catalogue to identify related but scattered documentation from a single suit. There is no way this could have been done without the existence of the online catalogue database.

Initially, when we were able to reunite scattered documents we simply copied the list of litigants from one to another. However, as we began to come across regular litigants we realised that if it had taken us twenty minutes to disentangle one case involving Sir Coutts Trotter from a similar case, we should not lose that labour and expect a researcher to replicate it. The answer emerged from a fit of insomnia: how about extending the 1842 coding system back in time? We would need to adapt it because there were six offices filing instead of one.

Rise in demand for C 13 since cataloguing began

Fortunately the standard archival way to describe the Six Clerks' Offices was semi-set for the mid-18th century by using the names of the Six Clerks then in post – Bridges, Collins, Hamilton, Mitford, Reynardson, Whittington. These provided six different initials to add to the code. We are just completing the coding for the Whittington division, which looks like W1805 W3. Now each separated part of the same suit can be easily identified by this virtual re-filing (see box).

- C 13/3065/7 [W1805 W3]. Walker v Broker. Bill and answer. 1805
  – *Plaintiffs: William Walker and others. Defendants: Thomas Wild, Luke Broker and William Wild. Amended by an order dated 9 Aug 1805: Sarah Wild widow, John Wild, Ann Wild, Frederick Wild, William Wild, Sarah Wild junior, Charles Wild, Charles Matthews and wife (answered as Sarah Matthews widow), John Munday otherwise Young Munday and wife, Sarah Godallier widow and William Godallier added as defendants.*

- C 13/60/37 [W1805 W3]. Walker v Wild. Two answers. 1805

- C 13/486/25 [W1805 W3]. Walker v Wild. Depositions. 1805

- C 13/72/50 [W1805 W3]. Walker v Matthews. Two answers. 1806

This coding allows for the first time an easy way to identify all suits filed (started) in a particular year (search by W1805 AND bill) – and thus met one of the ESRC's objections to the Corfield proposal. (A search by W1805 AND 'bill only' brings up cases started in 1805 but not proceeded with.)

We decided at the same time to help academic researchers further by introducing another code, based on type of plaintiff, and settled on:

SFP = sole female plaintiff.
SMP = sole male plaintiff.
JFP = joint female plaintiff plus others (e.g. Susan Jones plus others).
JMP = joint male plaintiff plus others (e.g. Robert Jones plus others).

and so on. This means that anyone trying to set up a research project, say to investigate cases brought in Chancery by women 1805-1825 but not proceeded with, can identify a suitable sample within minutes.

The process outlined above can be applied to all Chancery suits from 1714 to 1842. It is really valuable in that it creates a virtual re-filing of scattered and wrongly described documents, and provides a proper and searchable framework for the records of this supremely important court. What it does not do, of course, is name all plaintiffs or give any idea of the subject of a suit: these have to be taken from the actual documents. We are asking the increasing number of users of C 11-C 14 to supply us with any extra data they can, and are entering it into the catalogue as 'supplied by a reader'. Many people have supplied data already, and have said that they are very pleased to contribute. (To find them, try a search restricted to C 13 using 'subject' as the search term.)

We are now at the stage of applying for funding to continue this work for the rest of C 13 and for C 11 and C 12, with the added labour of getting all plaintiffs and subjects from the bill at the beginning of each suit. A proposal called *Inaccessible Evidence* was put to the Arts and Humanities Research Council's (AHRC) Strategic Resource Enhancement Consultation in 2006, for a funding stream to be devoted to legal records: if it is accepted, then this will be the first bid to go forward. If not, then we will have to proceed over the next few decades to complete the opening up of Chancery for effective use rather more slowly than we (and Chancery's many patient devotees) would like.

What general lessons can be learnt?

- That advances in archival practice (such as the alphabetisation of suit titles) can be helpful for a generation of researchers, but can lead to the loss of real archival knowledge about how records are arranged

- That 'obsolete' finding aids can be of real value if kept

- That remnants of archival knowledge can linger in general guides

- That far more of TNA's current online catalogue comes direct from the work of 18th and 19th century (and perhaps earlier) records managers than we had ever suspected

- That unpopular records can become popular when catalogued – especially if they contain large numbers of names from a period where huge numbers of researchers are hunting for names. Productions of C 13 have risen from about 70 a year before entry into the online catalogue, to nearly 1,000 a year, and are still rising.

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A strategic approach to information and records management at Cornwall County Council

Cornwall County Council had, until ten years ago, a devolved departmental approach to managing information. While having the advantage of local engagement, the practices across the Council were inconsistent. The Enterprise Information Unit (EIU) was created to provide a centre of expertise to improve all aspects of managing information.

Background

In order to locate more staff in existing offices, the Council outsourced the storage of semi-current records, while the County Records Office maintained the archived material.

In 2004, in the run up to introducing Freedom of Information (FOI), the Council agreed a Records Management Policy based on the Lord Chancellor's Code of Practice for Managing Records. At the same time the Council agreed to create the post of Corporate Records Manager and to employ records staff as and when the business case could be made.

The County Council entered an e-Government partnership with the six District Councils in Cornwall. One of the projects was a joint exercise to purchase an electronic document and records management system (EDRMS) with e-Government funds. Each Council has its own contract and implementation.

The direction

Recognising that more and more information was being generated electronically, the Council's thrust was to invest in managing records in an electronic environment. The Council viewed the EDRMS as the central core on which to build other information management initiatives, and the e-Government funding available encouraged the Council to invest at that time.

This initiative enables the Council to:
- Minimise changes to information structures due to organisational changes
- Improve processes and make efficiency savings
- Manage the flow of paper into processes better
- Destroy incoming paper while having confidence in electronic records
- Consistently apply retention/disposal schedules
- Embed the security classification system
- Support national and departmental quality approaches
- Define roles for staff working with records
- Build a network of staff trained to manage information.

To reduce the changes to information structures due to organisational changes the Council has fully embraced ISO15489. The Business Classification Scheme (BCS) is based on function activity and business process, rather than organisational structure.

This will become even more important as Cornwall has submitted a proposal under Local Government Reorganisation,

merging the County and six Districts.

Information management is fundamentally related to the management of processes. To determine what information is needed to support a process and develop an appropriate file-plan, the process must be mapped. Just discussing processes with 'process owners' and having the process maps has opened up opportunities to improve processes, not just through EDRMS but through integration of front and back office systems.
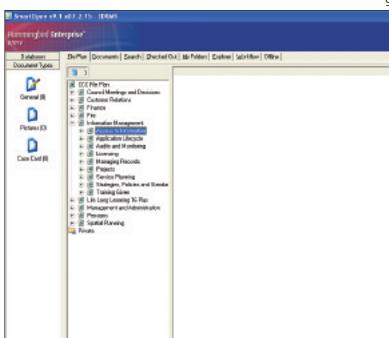
The Council is keen to monitor the benefits of the recent Process Improvement Programme (which encompasses the EDRMS roll-out). Since the start of the programme there have been benefit reviews and forms to complete later regarding the nature of potential benefits. These tie into the Gershon Efficiency returns that the Council makes.

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Cornwall County Council's Business Classification Scheme (BCS), based on Function Activity and Business Process, rather than organisational structure

To manage the flow of paper information into the processes better, the Council has created a centralised scanning unit to scan incoming mail which is then directed to the appropriate business process. The mail is kept in the unit for 30 days and then boxed and sent to the dedicated off-site storage facility. This is a temporary arrangement until the Council self certifies to the BIP 0008 standard.

Reaching the BIP 0008 standard will allow the Council to destroy the majority of mail that has been scanned after 30 days. For example, the Council manages about 300,000 invoices per year and reaching this standard will provide the Council with an opportunity to change the invoicing process and ultimately save on the storage of the records.

The Council has used the roll-out of EDRMS as a vehicle to embed its security classification scheme to the unstructured information identified in the mapping. There are also close links between the BIP

0008 standard and the ISO 17799 information security standard and this project is supporting the security aspects of the Council's Information Management Strategy.

A key part of the roll-out is to establish retention/disposal schedules for unstructured information. Every folder now contains an appropriate schedule based on the Records Management Society Local Government Guidelines.

The Council was audited last year on Data Quality. The results were positive and it is felt that the process-driven approach to the roll-out will place the Council in a good position to reduce duplication, ensure the right information is collected and outputs are timely.

The Treasurer's Department, responsible for the County finances, information management, ICT and audits has adopted the European Foundation of Quality Management as a quality regime. EDRM will support this, as one of

the main enablers of a business is better management of processes.

The IT staff have automated the publishing of information in the EDRMS to the website and are developing an application to transfer multiple documents from the shared drive to the EDRMS with the necessary metadata.

For the next phase, Social Care (Children) and Education functions, all the processes will be developed for a complete activity, including structuring the metadata before the activity goes live. This is a challenging area as the Council has just purchased a new Care Management Package which is being integrated with the EDRMS.

The project approach

The project consists of a range of skilled people from several disciplines, project management, IT, Business Analysis, Records, Change management and Training. The size of the team has grown over time but the same skill set is still in place and the methods of rolling

out the system are continually improving.

The business analysis element was very time consuming. When the number of analysts increased it became apparent that a better mapping tool was required. The Council has recently purchased Triaster. This is a graphic tool which displays the maps on the intranet and also captures other process-based information such as Process Owner name.

The processes were reviewed and, where they could be improved, redesigned. This aspect of the work ties into the efficiency agenda and has opened up opportunities to purchase workflow and middleware as a way of creating further improvements to processes.

The mapping element included identifying all the information related to the process. The Records Analyst works with the Process Owner and Regulator to determine the security requirements and metadata requirements and to create the file plan structure.

Having gathered all the information, the file plan design, including metadata, is tested with the Process Owner and Regulator before being approved for Go Live. For 30 days the analysts are available for support and tweaking before a handover to the live environment is signed off by the Corporate Records Manager. In the event of issues remaining there is an escalation procedure.

Implementation

Six processes were selected from across the organisation to test out some of the facilities. Five out of the six processes were completed in the first year.

Documents and records can only be stored in folders below each business process.

Each process must have a folder for process documentation. This contains as a minimum the Process Manual, which describes the steps of the process and how the information is to be stored. Work instructions, and other material

supporting the process will also be stored in that folder.

As an example, the Individual Access Requests (IAR) process under FOI legislation was one of the initial processes. The team use a tracker in Excel to capture the management information needed for the requests e.g. start date, due date, request number etc. Any paper requests were scanned locally and placed in a specific folder for that request. E-mail requests were transferred using a button in the e-mail system. The file plan was later changed to a "virtual folder" style, which means there are now only three folders for all requests each year: one for external correspondence (security level 2), one for released information (security level 0) and one for internal/exempt information (security level 3). Each request is collated using the IAR number in the metadata.
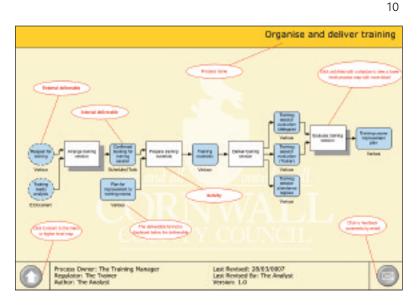
This has proved very popular and the same approach is also used for Subject Access Requests (SARs) under the Data Protection Act and in a number of other areas of the file plan.

Although much was learnt technically about the configuration and limitations of the system in the first year, the users found it difficult to work with just one of their processes in EDRM and the rest of their information in the shared drive. It was agreed that in future whole functions needed to be rolled out rather than prioritising individual processes across the organisation. It was also agreed that the Council would implement a centralised scanning unit as the devolved scanning introduced for the five initial areas was not sustainable.

The centralised scanning has been a great success with steadily increasing volume and the local scanner used for IARs and SARs has been removed. 'Back-scanning' was frequently requested and assessed on a business benefits basis.

However, there were issues with consistency of metadata, approving

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The process-mapping tool

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areas to go live within the project timescales and ensuring efficiencies were driven out. The project was again reviewed. The engagement was further enhanced, and involves a top down engagement with senior mangers, workshops for mapping, meetings for file plan development, project user forum, and formal sign-offs.

The project scope was expanded to include more rigorous business process re-engineering to deliver the efficiencies and to procure further supporting IT in the form of workflow initially, and potentially middleware and a new Customer Relationship Management System. Each functional area now also has a Business Change Manager assigned from the senior management team to champion the process changes and deliver the benefits.

Ongoing maintenance

As part of the roll-out, each process is assigned a Process Owner an Information Regulator and an EDRMS Regulator. These staff have specific roles and are trained in them during the roll-out.

But that's not the end of the story. We intend to continue working with this network of people and provide on-going training, advice and guidance. The first Process Owner/Regulator Forum has been arranged in June.

One of the responsibilities of a Process Owner is to continually improve their process which may mean changing the file plan, amending security etc. These are dealt with by the records analyst, seconded to the project at present. The volume of maintenance work in the live system is being monitored to develop a business case for permanent records staff.

The technical elements of maintaining the system have been documented and are about to be handed over from the project team to the IT team. It will then be managed via the Help Desk in line with other IT assistance.
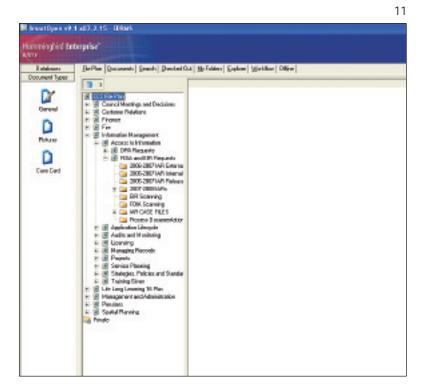
Conclusion

The budget was significantly increased (£8m) and the project re-badged as the Process

Improvement Programme (PIP). The project is complex and will take several more years to complete but we keep improving the roll-out by learning from our experiences. The Council sees information as a strategic resource which needs to be well managed and is supporting this by expanding the scope and increasing the budget.
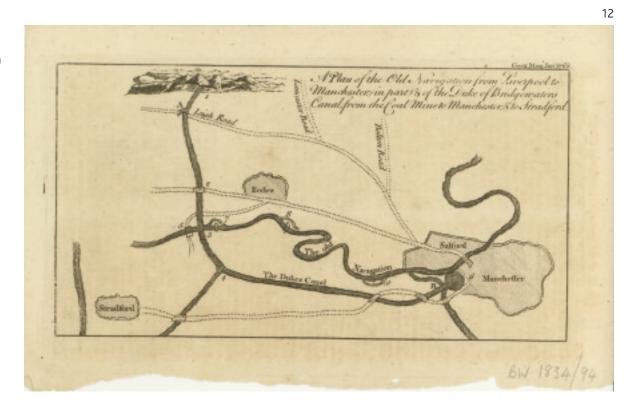
Pam O'Hanlon
Enterprise Information Manager
Cornwall County Council

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Filing the Individual Access Requests (IAR) made under the Freedom of Information Act 2000

Opening up access to waterways archives

Plan showing the Old Navigation from Liverpool to Manchester and the Duke of Bridgewater's Canal, 1766

Archive staff at The Waterways Trust are taking advantage of current trends to help raise awareness of the wealth of information that can be found in the Waterways Archives.

An estimated 3,000 miles of inland waterways criss-cross the United Kingdom, and the Waterways Archives houses thousands of documents from the 17th century to the present day detailing this pivotal period in our history and its ongoing development.

Canals were once the industrial arteries of the nation. Creating transport links and opening up trading opportunities, they literally transformed Britain into the world's first industrial superpower.

Sophie Fowler, Head of Collections, said: "Many people are completely unaware of this pivotal period in our nation's history and amateur and professional researchers alike often don't realise the wealth of information contained within the Waterways Archives and how it can benefit their work."

Looking for new opportunities to raise awareness of the Waterways Archives, Sophie and her team are taking advantage of the current passion for family history research and have developed a month-long programme of talks, workshops and exhibitions to capture the public's imagination.

"Even people who are aware of the Waterways Archives sometimes incorrectly believe it is only useful for engineering research," said Sophie. "The thousands of documents that we hold can provide useful facts, clues and background information on a variety of subject areas including family history.

"Our inland waterway network helped to shape modern settlement patterns and today more than 50% of the UK population live within 5 miles of a canal. Many of the documents contained within the Archives hold a tremendous amount of information useful for genealogical research."

- Gauging books can be used to locate relatives who worked as boatmen

- Share records document the sale, purchase and transfer of shares from one holder to another, often from parents to children

- Rental records relate to property let by the canal company often given names of tenants and properties rented

- Wage sheets and workmen's timetables can provide the name of the employee, job title and age of employee

- Boat inspector registers detail the name and address of the boat owner and master in addition to the number of people living aboard.

The month-long 'People – who are we?' programme (which is part of Museum & Galleries month) takes place in May and is just the latest endeavour by the Archive team at The Waterways Trust to open up access to the inland waterways collection.

In February last year, the Trust launched a new Waterways Archive website – www.virtualwaterways.org.uk – which provides details of more

than 60,000 records held within the Archives. The website has brought together information on records held at 14 different repositories across Britain, enabling previously inaccessible records to become accessible.
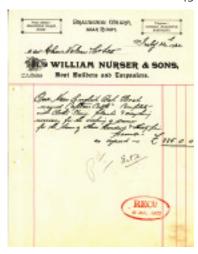
The website, which continues to grow, with details of a further 5,000 documents added over the past 12 months, forms a pre-eminent historical resource, not just in a UK national context but also as an element of an international body of comparable inland waterways archives.

"Detailed information from the archives can be researched by anyone from wherever they live, while the actual records are retained in the localities to which they relate." explained Sophie. "By having the catalogues available on-line it opens up the history of the waterways, making it accessible to a much greater audience."

To encourage more people to use the Waterways Archives, a special 'features' section on the website provides information on how to use the site for family history and local historical research, and a series of curriculum-linked educational worksheets is also available on the website, opening up the collection to a younger audience.

The online catalogue enables local access to remotely held information for topics including histories of local communities on and around waterways, vessel histories, enhanced family history information from canal workers' records, local environmental and habitat studies of waterways corridors, heritage and listed building studies and archaeological investigations.

Since its launch, the website has proved to be very popular with people researching a host of subject areas from waterways to Victorian life and genealogy, and has attracted visits from people living in Canada, Poland, Italy, the USA, Israel, Ireland, the Netherlands, Australia and New Zealand. Sophie said: "Maps, plans and diagrams within the Waterways

Archives are used by engineers and planners today, particularly those involved with waterway restoration and regeneration. Through the website and programmes such as 'People – who are we?' we are pushing this information into the public domain so many more people are able to benefit from our history."

For information on 'People – who are we?' and to search the online Waterways Archive catalogue visit www.virtualwaterways.co.uk

The Waterways Archive team can be contacted on 01452 318224.

**Justine Lee
Communications Manager
The Waterways Trust**

Building memories

"Have you ever wanted to know more about a local Warwickshire building? Now's your chance to find out by entering this exciting competition."

With these words, Warwickshire County Record Office, together with the Shakespeare Birthplace Trust Record Office, launched a competition last September to encourage local residents to produce display boards on the subject of a house history. This is the first time that these two bodies have run a competition of this kind. Its organisers, Rob Eyre and Robert Bearman, explain more about the competition.

This was the culmination of our contribution to 'Pay and Power', a regional project launched in 2004, managed by the West Midlands MLA (Museums Libraries and Archives Council) and supported by the Heritage Lottery Fund to catalogue unlisted collections held in the 14 regional archive repositories and make them available online through the Access to Archives (A2A) website. The title referred to the themes of work and politics prevalent in many of these collections.

The difference between this project and similar A2A projects was the greater emphasis on a second phase that involved promoting archives to new audiences and partnership working. Having successfully negotiated the first phase and armed with our shiny new catalogues the partner record offices from Warwick and Stratford together with colleagues from the West Midlands MLA began the process of deciding what form the promotion would take. It is fair to say that what emerged after a somewhat lengthy process was something that was quite a bit removed from how we initially envisaged promoting the new catalogues.

We agreed that a novel way of promoting interest in our resources would be to tap into the growing fascination with old properties, which has been noticeable in the media over the last few years. This is a subject that may require

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Grove Farm, the subject of the winning entry

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searchers to use a wide range of archival resources. We decided to encourage this interest in the form of a competition. We would persuade people (teams of up to six) to research the history of a local building and then to produce exhibition panels. To entice them to enter, we offered the prospect of having the winning entries professionally redesigned so that they could tour the county and also free entry to some of the historic buildings of Stratford and Warwick. We decided early on to enlist the assistance of the library service because this gave the competition the countywide dimension we thought it needed, both in terms of promoting the winning entry but also because the larger branches contain local studies resources that could assist the teams.

The brief from the 'Pay and Power' co-ordinators was that a training event organised by the partners and an outreach activity to launch the project was required. This, held in May, focused on training people who would be in a position to help the teams including librarians, record office volunteers and staff from the sites and monuments office. We discussed the range of documents available at record offices for house history research and took the opportunity to show them our online catalogues as well as the A2A website. This also provided an opportunity to exchange ideas with colleagues; the local studies librarians were keen for their details to be passed on to teams from their particular patch. This was a good idea as we were keen to attract interest across the county and so provide teams with a contact from a nearby library which we hoped would encourage cross-county participation.

The launch followed on a Saturday in September at two sites, the Shakespeare Birthplace Trust Record Office in Stratford and the library in Nuneaton. Each site had a display on house history and members of the team clutching starter packs to hand out to interested parties containing entry forms, leaflets, useful addresses and £5 vouchers towards the cost of

reprographics. We were slightly apprehensive about this launch as we really had no idea if the competition would grab people's attention. It would after all require a certain degree of commitment and organisation to undertake research and then present the findings on exhibition panels. We were giving them four months to complete the work with Christmas to negotiate as well.

Pre-publicity for the launch was going to be important; we spent a fair bit of our budget on flyers and posters. We targeted groups such as local history societies and the Women's Institute and got our posters out to parish councils. Press releases are also important, though

take up can be quite unpredictable. The local press turned up to take pictures of the launch in Nuneaton (packs were left at the big libraries for any latecomers wishing to join in) and I (Rob Eyre) found myself with a five-minute spot on Coventry and Warwickshire Radio.

In the end we handed out about 40 packs to groups or individuals and although not all of these people entered the competition, many of them had never used a record office and so we were in that respect still reaching out to new audiences. We then waited to see how many panels, if any, were to be handed in at the end of January. A webpage was added to the Warwickshire County Record site

with handy links to other sites and a list of rules and frequently asked questions. We were asking for one or two panels and we kept our definition of a building as broad as possible: a dwelling, a bridge or even a monument would count as long as it was in Warwickshire. We also asked the contestants to produce a logbook or diary to indicate how they had undertaken their research, with the intention of retaining this information as a record for future researchers.

The competition closed at the end of January, by which time 11 teams had presented their panels to us. We were pleased that we managed to get into double figures and that we had a good geographical spread

A full list of the competition entries is included below:

- Grove Farm, Warmington
- Stratford Library
- Regent Hotel, Leamington Spa
- Corn Exchange, Warwick
- Midland Counties Home, Leamington Spa
- Warwick Constabulary H.Q, Leek Wootton
- Water Tower, Bedworth
- The Plough Inn, Galley Common, Nuneaton
- Mortuary Chapel, Dyers Lane Cemetery, Wolston
- Leamington College, Binswood Avenue, Leamington Spa
- Broom Hall, Lapworth

of entrants. The standard of work was very high and there was evidence of both record office and online resources having been used.

A panel of independent judges battled their way through the heavy February snowfall to view the competition entries. We asked them to look for an appealing mixture of text and images that could be transformed into a professionally designed travelling exhibition. We also asked them to take the content of the logbooks into account as we wanted to see evidence that a range of resources had been consulted.

The judges found the task of choosing a winner a difficult one:

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Lady Hamilton (centre), who presented the prizes, with the winning team from Warmington

there was a lot of content to absorb and, if we had received many more entries, they would have been struggling to reach a decision in one day.

The winning entry was an early 17th century farmhouse located in the village of Warmington; produced by some members of the local history society. They had provided two well researched panels that used a wide range of archival resources both locally and from The National Archives including deeds, maps and photographs. By involving the owners of the property they were also able to contribute some more unusual features, particularly examples of some 19th century wallpaper.

It also transpired that the winning team had used material from the Holbech of Farnborough collection, which was Warwickshire County Record Office's contribution to the cataloguing part of the 'Pay and Power' project thus neatly tying the two parts of the project together.

The prize giving provided all the teams that were able to attend with an opportunity to view each other's work and also promote our services to directors and local councillors. Indeed we have now received an invitation to display

the panels in the County Council anti-chamber later this year.

Running a competition of this sort is certainly time consuming but it provided an opportunity for good partnership working between the two record offices and the library service. The people who entered the competition were a mixture of representatives from organised groups and enthusiastic individuals, some of whom were familiar already with our record offices, while others were complete novices. We would like to thank them all for the time and effort they put in to make this project a

success. The winning entry will tour the libraries of Warwickshire over the rest of this year, details are available on the Building Memories website. The panels and logbooks will be deposited at Warwickshire County Record Office.

Rob Eyre
Senior Archivist
Warwickshire County Record Office

Robert Bearman
Head of Archives and Local Studies
Shakespeare Birthplace Trust Record Office

Standards and guidance

Guide to the Retention of Modern Records on Landed Estates

The Historic Houses Archivists Group is pleased to announce that a revised and substantially enlarged edition of its *Guide to the Retention of Modern Records on Landed Estates* has just been published at the price of £48. Copies may be ordered from Hall-McCartney Ltd, Heritage House, PO Box 21, Baldock, Hertfordshire SG7 5SH (01462 896688).

The Guide is essential reading for estate owners, archivists and records managers. Its earlier sections provide general guidelines for the compilation of a retention schedule and set the general legal framework while later chapters deal with legal and archival issues relating to the records generated by specific functions or departments within the overall estate organisation.

Amongst the topics covered are: the management of estate properties; commercial activities, such as farming, forestry, sports and public access; records relating to employment, pay, pensions and health and safety; and matters connected with archives, collections and insurance. The Guide's appendices have been much expanded and include an example of a records management policy, sample procedures, examples of forms and questionnaires for the production of a retention schedule and an information asset register, a summary of retention recommendations and a helpful contact list.

The Guide has been edited by Elizabeth Lomas (Records Manager at Buckingham Palace) and builds on the well-received first edition of 1992, which was compiled by Peter McKay. There is a short foreword by The Marques of Salisbury, who writes that the Guide is "destined to be much used."

The Historic Houses Archivists Group welcomes individual members who are or have been responsible for the care of privately-owned archives of historic estates that are administered and maintained privately. The Group, whose members represent many houses and estates in England and Scotland, also maintains links on matters of common concern with the wider archival world, including the National Advisory Services of The National Archives, where Dr Anthony Smith has responsibility for liaison with the Group.

Dr Anthony Smith
National Advisory Services
The National Archives

Recently released useful publications

Publications from The National Archives

New finalised Operational Selection Policies:

Operational Selection Policies (OSPs) apply the criteria set out in the Acquisition Policy for the records of individual government departments and agencies or for records relating to a cross-departmental theme.

OSP41: Records created in the Ministry of Agriculture, Fisheries and Food between 1945 and 2000, inherited by The Food Standards Agency

www.nationalarchives.gov.uk/ documents/osp41.pdf

OSP44: Records of UK Government involvement in the development and implementation of European Community secondary legislation
www.nationalarchives.gov.uk/ documents/osp44.pdf

OSP45: English Partnerships, 1999 - 2006
www.nationalarchives.gov.uk/ documents/osp45.pdf

Appraisal toolkits

The National Archives has recently developed a set of toolkits for the appraisal of digital records. They are ideally suited for digital records created in agencies, non-departmental public bodies (NDPBs) etc., but may be adapted to apply to a function or division of a central government department, or to agency and NDPB paper records.

www.nationalarchives.gov.uk/record smanagement/selection/appraisal-toolkits.htm:

How to compile an Appraisal Report, published November 2006
www.nationalarchives.gov.uk/ documents/appraisal_report_v2.pdf

Appraisal Report template
www.nationalarchives.gov.uk/ documents/appraisal_report_ template.rtf

Finalised Acquisition and Disposition Strategy, published March 2007

The Strategy sets out The National Archives' overriding objectives for acquisition and collection of public records for permanent preservation, and for the distribution of these records across the UK system of archival repositories.

www.nationalarchives.gov.uk/ documents/acquisition_strategy.pdf

Information management assessments

The Information Management Assessments are a cross-government programme developed to assess the level of risk central government bodies face through poor information management and non-compliance with the Code. The basis for the assessment is the Lord Chancellor's Code of Practice on the Management of Records under section 46 of the Freedom of Information Act 2000.

www.nationalarchives.gov.uk/ recordsmanagement/code/ section46.htm

For an overview of the aims of Information Management Assessments and methodology, please see the programme launch document, available at:

Part 1: Strategic assessment
www.nationalarchives.gov.uk/ documents/assessments-part1.pdf

Part 2: Record creation and management
www.nationalarchives.gov.uk/ documents/assessments-part2.pdf

Part 3: Appraisal and disposal
www.nationalarchives.gov.uk/ documents/assessments-part3.pdf

Part 4: Transfer to The National Archives
www.nationalarchives.gov.uk/ documents/assessments-part4.pdf

Assessment procedures
www.nationalarchives.gov.uk/ documents/s46procedures.pdf

Pre-assessment questionnaire
www.nationalarchives.gov.uk/ documents/s46questionnaire.xls

Contacts and staff news

Staff changes

National Advisory Services:

As part of an on-going internship at The National Archives, **Marine Mondelot** is currently working with the Records Management Advisory Service.

Records Management and Cataloguing Department:

Karen Grannum has joined the department as a Freedom of Information Assessor

From the Cataloguing Team, **Annaig Boyer** and **Mohibur Rahman** have left.

We wish them well in their new jobs.

Contacts

Tel: 020 8876 3444
Fax: 020 8392 5286

All staff email addresses are of the format firstname.lastname@nationalarchives.gov.uk

National Advisory Services
General enquiries to nas@nationalarchives.gov.uk

Advice on places of deposit and public records
Including disposal, legislation, standards for storage and access:
Andrew Rowley, Head of Archive Inspection Services x 5318

Advice on non-public records
Including standards for storage of and access to private archives, advice to grant awarding bodies, sales monitoring and liaison with regional archive councils and regional agencies:
Norman James, Principal, Archives Advisory Services x 2615

Regional archival liaison

Scotland	–	Alex Ritchie
Wales	–	Michelle Kingston
Eastern Region	–	Anthony Smith
South East Region	–	Melinda Haunton
Yorkshire and the Humber Region	–	Andrew Rowley
North West and Northern Ireland	–	Catherine Guggiari/Kevin Mulley
East Midlands and West Midlands	–	Liz Hart
North East Region	–	Catherine Guggiari/Kevin Mulley
South West Region	–	James Travers
London	–	Melinda Haunton

Robert Brown, Business Records Development Officer x 2616

Electronic Records Management
General enquiries to e-records@nationalarchives.gov.uk

Ian Macfarlane, Head of Electronic Records Management Development Unit x 5366

Records Management outside central government
Enquiries to rmadvisory@nationalarchives.gov.uk

Advice on developing effective information and records management systems for paper and electronic records:
Richard Blake, Head of Records Management Advisory Service x 5208

Records Management and Cataloguing Department

Enquiries to records.management@nationalarchives.gov.uk

Meg Sweet, Head of Records Management and Cataloguing Department x 5315

Kelvin Smith, Head of Accessions Management Unit x 2303

Howard Davies, Head of Inspection and Client Management Unit x 5340

Rose Ashley, S46 Programme Manager x 2254

Stuart Abraham, Access Manager x 5346

Louise Craven, Head of Catalogue Unit x 5232

Teresa Bastow, Head of Freedom of Information Unit x 2407

Key contacts in other National Archives departments

Information legislation

- Advice on Freedom of Information and its impact on records management and archives, including the current review and revision of the *Code of Practice*
- Guidance on data protection and its impact on records management and archives

Susan Healy, Information Policy Consultant, Public Sector Information Division x 2305

Digital Preservation issues

Enquiries to digital-archive@nationalarchives.gov.uk

Adrian Brown, Head of Digital Preservation x 5257

Conservation and preservation of traditional materials

Enquiries to collectioncare@nationalarchives.gov.uk

Mario Aleppo, Head of Collection Care x 5283

Copyright and intellectual property issues

Tim Padfield, Information Policy Consultant, Public Sector Information Division x 5381

Advisory Council on national records and archives

Lale Ozdemir, Secretary x 2649

Archives awareness initiatives

Ruth Savage, Policy Development Officer x 5376

Education, learning and access, schools and universities

Tom O'Leary, Head of Online Services and Education x 5298

Academic publications and development of material for the higher education and lifelong learning sectors

Vanessa Carr, Head of Research, Knowledge & Academic Services x 5224

£2.00

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