



the national archives

Spring 2005

RecordKeeping

For all those interested
in archives and records



Inside

Archive consultancy in Bosnia
There be Monsters project

Records Management

Seamless Flow
Compliance Evaluation Workbook

Archives

Arundel Castle
Projects in Yorkshire and the Humber
Spode business archive

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Cover photo

Morris Dancers in Sussex. © Johnathan Smith;
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Note from the Editor

We are very pleased to bring you the Spring issue of *RecordKeeping*, which we hope you will find useful, interesting and relevant, whatever your involvement with archives and records.

Spring is upon us, a time of growth, change and fresh beginnings. As our featured articles on the impact of the Freedom of Information Act, Environmental Information Regulations and the Seamless Flow programme show, the archives and records management communities are adapting to new legislation and increasingly sophisticated methods of record keeping. The National Archives (TNA) too is experiencing new beginnings, with the development of the National Advisory Services to help and support colleagues across the sector, towards which the official launch of our new TNA Standard is a major part.

Elsewhere in this edition of the magazine, we bring you news and stories from The National Archives and from across the sector. Articles on our register of cultural diversity initiatives and the 'There be Monsters' project highlight the new values that can be attached to records and new ways of using archive collections to reflect the diverse society we live in.

We are also delighted to include a number of articles from colleagues outside The National Archives. We feature case studies from the Spode business archive, from the private archive of Arundel Castle, from consultancy experiences in Bosnia and Herzegovina, and from Margaret Snook, Head of Cultural Services at Worcestershire County Council, who is this edition's interviewee. We are also pleased to bring you an introduction to the Archive Lottery Service and a run-down of archive projects sponsored by the Heritage Lottery Fund in Yorkshire and the Humber. We really do value input and feedback from colleagues: please do get in touch if there is anything that you would like to contribute to *RecordKeeping*.

In this time of change and development, we should perhaps take a moment to appreciate the value of more traditional methods of preserving and celebrating our heritage and history. As May Day celebrations abound and customs are passed down through generations, our front cover

shows a different kind of record keeper, but one whose role is no less important.

Mary Wills
Editor
recordkeeping@nationalarchives.gov.uk

Please do contact me with any comments or suggestions for articles.

RecordKeeping is split into sections. TNA Update will give you news on our work and projects; RecordKeeping news contains information from the archives and records world; Case studies are practical examples of specific projects; and Standards and guidance will update you on the latest best practice.

We aim to publish RecordKeeping quarterly.

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TNA update

Update on Strategic Issues

The National Advisory Services at The National Archives (TNA) is continuing to move forward in a number of key areas.

We have completed a consultation draft of our Records Management Compliance Evaluation Workbook. This has been developed to assist public authorities in the development and maintenance of record management systems which comply with the provisions of the Code of Practice on Records Management issued by the Lord Chancellor under section 46 of the Freedom of Information Act.

Completing the questionnaire contained in this workbook will establish the degree to which an organisation complies with the Records Management Code and the supporting model action plans (see page 40).

We are also starting to roll out the new TNA Standard for Record Repositories to our stakeholders. For those who have not yet obtained one, this is available to download and print at www.nationalarchives.gov.uk/archives/framework/repositories.htm and now in a glorious technicolour printed version as well (please contact nas@nationalarchives.gov.uk).

We are testing it out in practice on some helpful repository managers, with a view to making any necessary revisions to enhance its usability – and we will soon be roping in some more fellow archivists and records managers to carry out a peer review of TNA's own services against our own standard, to see how we shape up.

In our annual Accessions to Repositories survey, we are very pleased with the quality and quantity of the responses. Returns are now in and cover some very interesting material (see page 8). This material underpins our advisory work and will greatly benefit all our users and stakeholders, online and onsite.

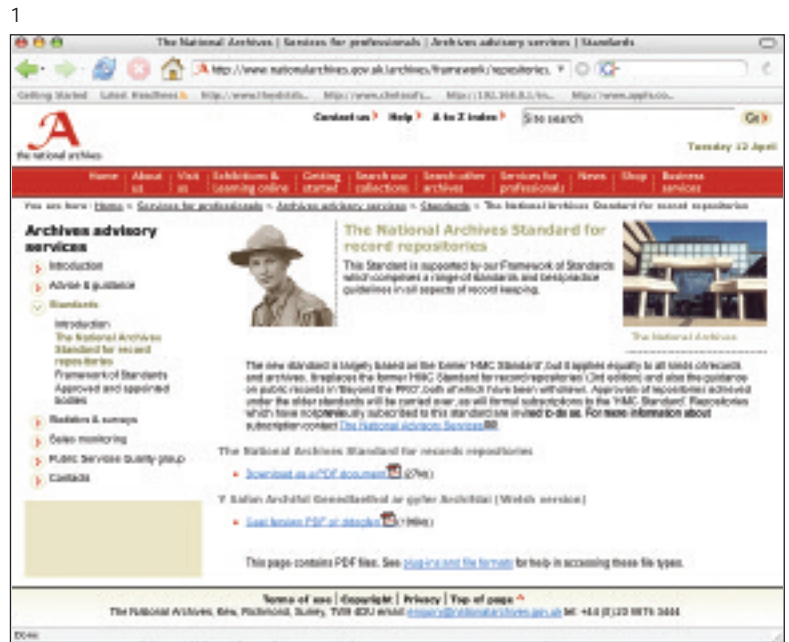
Finally, in early April we said a sad farewell to Steven Jones, Head of Archive Inspection since 2000, who has filled this post with distinction and has gained the liking and respect of internal

colleagues and our many external contacts alike. Steven is leaving TNA for a policy role at the Department for Environment Food and Rural Affairs; we wish him every success in his new role.

I am pleased to announce that Andrew Rowley has taken over as Head of Archive Inspection and business continues as normal!

Elizabeth Hallam-Smith
Director of National Advisory and Public Services
The National Archives

1
The Standard can be downloaded from our website



Launch of The National Archives Standard and the associated Framework of Standards: promoting standards in partnership with the archival community

2
Colleagues from the archival community join TNA staff for drinks after the launch

Colleagues from the regional agencies and councils, professional bodies and special interest groups joined us for the official launch of The National Archives (TNA) Standard for Record Repositories and the Framework of Standards at the Family Records Centre in London on 27 April.

Published in December 2004 the Framework of Standards and TNA Standard will be used to promote standards for caring for records and providing access to them in partnership with the archival community, and to inform the inspection and advisory visits of the National Advisory Services. The Standard and Framework have come into reality in the last few months, as members of the National Advisory Services team have started inspecting against them.

The reception was opened by Nick Kingsley, the new head of the National Advisory Services, who introduced the key aims and priorities of the department and its role in promoting archival standards.

Further presentations came from Kevin Mulley who looked at the consultation work involved in the formulation of the new Standard, bringing together the former Historical Manuscripts

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Commission Standard and Beyond the PRO, and from Norman James, who discussed the role of standards to support the archival health of the nation.

Andrew Rowley delivered a paper, written in collaboration with Claire Dyson (Archives Officer for Yorkshire Museums, Libraries and Archives Council), on the positive outcomes of working in partnership with our colleagues in the regions.

In a slight departure from the theme but very relevant to the archival community Richard Blake gave an introduction to the Evaluation Workbook and Methodology, designed to assist organisations assess the degree to which their record management systems conform to the Records Management Code.

A vital element of the seminar was to encourage opinions, questions and suggestions about the new advisory service and the roll out of the Standard, to help us develop ways in which we can more effectively engage with our stakeholders.

Many took the opportunity and several themes emerged in the forum and afterwards during informal chats. With

regards the inspection services Deborah Jenkins (London Metropolitan Archives) expressed the belief that the inspection system should be more transparent and Liz Rees (Tyne and Wear Archives Service and Chair of North East Regional Archive Council) asked us to consider the merits of self-assessment along similar lines to MLA Accreditation. Alison Hems (Museums, Libraries and Archives Council) contributed helpful comments to support and clarify this. David Mander (London Archives Regional Council) requested more guidance on aspects of access, such as developing potential audiences, required by grant awarding bodies. Jerry Weber, (East Midlands Museums Libraries and Archives Council) said the Framework of Standards needed further development, as it was not possible for smaller organisations to purchase the variety of standards included.

We will now be looking at all the suggestions and addressing them as we move ahead as the National Advisory Services.

Katie Woolf
Communications and
Advocacy Manager
The National Archives

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The presenters answer questions from attendees



Who Do You Think You Are? – How the series affected The National Archives

Through October, November and December, we saw family history get star treatment in the ten-part BBC TWO series *Who Do You Think You Are?*

As well as being the major source for many of the documents used in the series, The National Archives (TNA) has seen an increase in the number of users visiting both Kew and the Family Records Centre and our websites. As a result, the usage of all our services has risen.

Examples of some of the statistics:

- 400% rise in downloaded documents in November compared to the same month in 2003
- 101% increase in the number of visits to the websites in

November compared to the same month in 2003

- 32% increase in the number of visitors to the Family Records Centre in December compared to the same month in 2003
- 103% increase in the numbers of new readers to Kew in November compared to the same month in 2003
- 95% increase in the number of remote enquiries (letters, e-mails, phone calls) in November compared to the same month in 2003

The trend of family history research is increasing – an online survey of our users in November revealed that 89% of respondents visited our website to pursue family history or a personal interest. 28.7% of respondents were prompted to visit The National Archives' website after watching the series.

You can find details of each episode of the series and view some of the documents the celebrities discovered on The National Archives' website at www.nationalarchives.gov.uk/familyhistory/bbc

The National Archives at Kew hosted BBC London's Family History Day on Saturday 4 December, to tie in with the series.

Over 1,200 people attended, many new to family history. The day was a great success and provided expert advice, talks, tours, demonstrations and exhibitions on how to trace family history and use resources available at The National Archives.

Helen Campbell
Strategic Marketing
The National Archives

Hidden in the archives: permissive Britain uncovered

4
Carnaby Street and the 'Mini'. Mark's book captures the beginning of permissive Britain

Normally I provide advice to government departments on best practice records management issues and select records for permanent preservation, but when the chance came along to actually write about the records, I couldn't resist taking the opportunity.

Sir Winston Churchill described writing a book as 'an adventure. To begin with, it is a toy and an amusement. Then it becomes a mistress, then it becomes a master, then it becomes a tyrant. The last phase is that just as you are about to be reconciled to your servitude, you kill the monster, and fling him to the public.' Well, I'd have to agree with Sir Winston on this, although perhaps not the mistress part.

Writing is a passion for me, so when the opportunity came to write a book, I was only too glad to start creating. Alas, after the initial buzz of excitement as I proclaimed myself an author, the grim reality of the task became clear. So, after my day job as a records manager, I started writing about the records that we preserve. The words are now in a coherent order, and I think the book's interesting (although I'm obviously completely biased) but I

await the verdict as I fling it out into the public arena.

The book is about the dilemma faced by Harold Macmillan's Tories: he encouraged affluence and presided over a Britain that had more money to spend on pursuing pleasure, but how could government manage this demand while still conserving traditional social bonds?

I have included a selection of the most controversial social issues faced by the Tories at the time: from hanging, flogging, gambling, drinking, homosexuality, prostitution and pornography, to Sunday observance and the challenges imposed by the medium of television and pirate radio.

It's been fascinating to find that although most of the records I used are fifty years old, the issues remain hugely contentious and relevant today. So go on, why don't you buy a copy?

Mark Jarvis
Records Management
Department
The National Archives

Conservative governments, morality and social change in affluent Britain, 1957-64 is published by Manchester University Press, ISBN 0-7190-7082-1



Visit from the North Yorkshire County Record Office

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TNA's Norman James (far right) and Andrew Rowley (far left) welcome staff from North Yorkshire County Record Office, from l-r, Stephen Allen, James Towe, Vicky Stretch, Ian Walker, Carol Stevens, Linda Turnbull and Keith Sweetmore

A group of seven staff from North Yorkshire County Record Office in Northallerton visited The National Archives (TNA) on 26 and 27 January to find out more about TNA's functions and the ways in which services are delivered.

Over the best part of two days the group had an opportunity to take tours of both the Family Records Centre and The National Archives at Kew, meet staff from a number of departments and hear about recent developments.

Though contact between The National Archives and the Record Office has a long history, this was the first organised visit by staff from North Yorkshire County Council's archive service. The trip was made possible by the support of the Yorkshire Museums Libraries and



Archives Council. The National Archives is always happy to welcome group

visits from other archive services and record offices.

Electronic Document, Content and Records Management Conference, 24-25 May 2005

The National Archives (TNA) Records Management Advisory Service has again joined with Cimtech Ltd to organise a spring conference for record and information managers within central and local government, police authorities and other public sector bodies.

This event, jointly sponsored by TNA and Cimtech Ltd, is dedicated to promoting best practice for records and information management. This year's theme focuses on how to ensure user buy-in and how to realise the vital

business benefits from implementing effective records and information management solutions.

The event includes plenary sessions in the mornings and parallel tracks in the afternoon, which focus on the different requirements and environments faced by central and local government.

The conference also includes discussion groups, keynote presentations and case studies covering procedures and systems, evolving appropriate

procedures informed by practical experience of FOI requests, and how to conduct an audit, review and benchmark your records management policies and develop a corporate file plan.

This year's event is again being held at the Fielder Centre, the University of Hertfordshire's prestigious conference venue. For details of the conference programme and how to register please see the Cimtech website at www.cimtech.co.uk/Main/CourseEvents_Government.htm

New Head of Archive Services

The National Archives is pleased to announce that Adrian Brown has been appointed Head of Archive Services from April 2005. He will be responsible for the management of the Digital Preservation team and for leading on the technical developments within The National Archives' Seamless Flow programme.

The programme aims to ensure a secure, managed, seamless, automated flow of electronic records from creation

in government departments through their eventual preservation at The National Archives and delivery to the public over the internet (see the article on page 37).

Adrian takes over as permanent Head of Department from David Ryan, who was appointed Director of Records at the Royal Household late last year.

Highlights of 'Accessions to Repositories' 2004

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From Durham University's Sudan Archive. Health workers testing a Fulani leprosy patient for sensory loss, Darfur 2003. Photographer: Jan Coebergh

Now that the deadline has passed for repositories to submit returns for The National Archives' annual 'Accessions to Repositories' exercise, we can begin to take stock of the results.

For us, in gathering intelligence about repositories' holdings, 'Accessions' is an annual highlight, a real 'spike' in terms of volume of information received for the indexes of the National Register of Archives (NRA), and unique in the sheer volume of uncatalogued material covered.

The purpose of the accessions exercise has always been two-fold; to underpin the advice we give with the very latest information on collections and also to guide researchers. To this end the results will be published on the accessions pages of our website in subject digests, some of which will be sent to appropriate interested journals for publication. It will also be possible to search for the accessions of an individual repository via its ARCHON page. Further announcements will be made when these pages go live in the summer.

Accessions that have been added to the NRA so far are already searchable via the online indexes. Since the indexes are searchable in the normal way (by personal, corporate and family name) but not by accession date we thought we would take the opportunity in *RecordKeeping* to focus on a few highlights revealed by the accessions process so far this year.

Sometimes accessions can give us confirmation of the outcome of cases in which we have had an advisory or liaison role as in the case of the privately-held papers of the Maud Heath Causeway Trust, an ancient Wiltshire charity featured in a recent issue of *Ancestors*, which joined the rest of the Trust's papers at Wiltshire and Swindon Record Office after advice on deposit and a surveying visit by The National Archives in January 2004.

Accessions can also give researchers the detail behind the headlines in high profile cases of possible dispersal at auction such as the papers of Sir Arthur Conan Doyle acquired by the British

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Library or the Marconi Company collection by the Bodleian Library.

The real heart and value of the accessions exercise to researchers is in pointing up the unexpected. For repositories too, particularly university archives and others who have scope to develop specialisms beyond their bread and butter collections, accessions can be a real opportunity to highlight the breadth and interest of their holdings.

Southampton University Library has added strongly to its collections relating to Anglo-Jewry including the papers of Dr Gerhard Kaufman, translator and interpreter at the Nuremberg War Crimes Trials: these papers include material relating to his work at the trials of Alfred Krupp and the directors of IG Farben.

Exeter University Library strengthened its impressive literary collections and acquired the theological and music manuscript collections of the nuns of Syon Abbey, South Brent, Devon. Durham University acquired further contemporary material for its Sudan

archive including photographs taken during a leprosy programme in Darfur in 2003.

'Accessions' is not all about the latest records though. The editor's own early modern interests have been well served; Trinity College Dublin acquiring a letter of Thomas Wentworth, 1st Earl of Strafford, to the Earl of Leicester 1633 and Tyne & Wear Archive Service a politely worded invitation to leave from the citizens of Newcastle to the Scottish Army in 1640.

My overall favourite I think was from the National Library of Wales which now boasts among its Dylan Thomas collections a unique manuscript map of Llareggub. Now at last we can all find our way to The Sailors Arms for a pint when, like today and all days, it is 'too rough for fishing'

No doubt others will find their own interests equally well represented.

James Travers
Accessions Editor
The National Archives

OPERA project – Online Publications and Electronic Resources in Archives

The Resource Centre and Library at The National Archives is providing a new, electronic service to its public and staff customers from April.

The service will offer seamless, onsite access to a range of electronic publications on CD-Rom and online. Users will be able to go to any reading room computer, and access over five hundred electronic publications relevant to researchers using the archives. They include a large number of trade directories, census indexes and major reference works such as the Index to Parliamentary Papers, indexes to The Times, Soldiers Who Died in the Great War, the Oxford Dictionary of National Biography and many more.

Up to now there have been numerous ways of accessing electronic publications and customers have needed to know what resources are available and what format they are in, for example CD-Rom or online, so they know which route to take to access them. This has also proved complex and time consuming for both Library and IT staff to manage.

For several years the Family Records Centre has been able to provide access to CD-Rom publications via a local server, which has made using such resources quicker and easier for the public. However, for technical reasons, The National Archives at Kew was unable to link to the same network.

This meant that anyone wishing to use a publication on CD-Rom at Kew had to physically visit the Library and request it to be loaded on to a stand-alone computer.

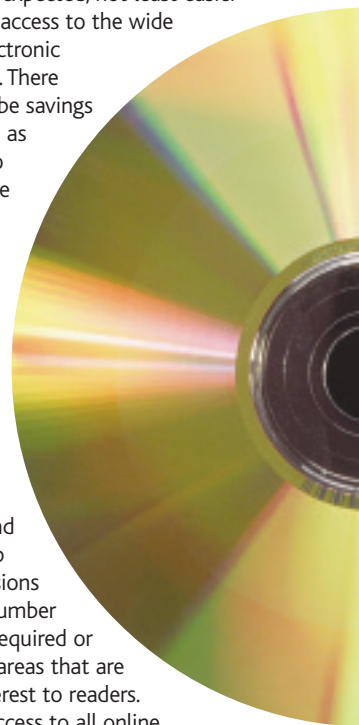
The two sites also had different resources that it was not possible to share. Additionally the local network at the Family Records Centre required a lot of technical support, and the long-term management and support of it was of increasing concern.

The project, known as OPERA (Online Publications and Electronic Resources in Archives) was established two years ago to address these problems. After some research into networking CD-Rom publications and visiting other libraries offering such a service, it was decided to procure a system from a commercial supplier. A specification of requirements was drawn up and, following a tendering process, a system was selected and purchased. At the same time permission to network the CD-Rom publications was sought from publishers, not all of which were willing to give permission.

Following the installation of the software, the CDs were loaded and tested, and it was found that some could not be networked. As a result access will continue to be provided to a few resources on stand-alone machines, although in some cases online alternatives are available.

Following an upgrade to the software and intensive testing, the system is now ready to go live to the public at Kew. It will be available at the Family Records Centre soon. A number of benefits are expected, not least easier and quicker access to the wide range of electronic publications. There should also be savings in staff time as there will no longer be the multiple methods of access to maintain. In addition statistical information on the use of resources will be significantly improved and this will help inform decisions about the number of licences required or the subject areas that are of most interest to readers. Managing access to all online subscriptions will be much more straightforward than before.

For further information on this project please contact **Helen Pye-Smith, Head of Resource Centre & Library** at The National Archives.



RecordKeeping news

Husbands swapped in favour of archives



The BBC family history series *Who Do You Think You Are?* proved more popular than *Wife Swap* but the turnout at last year's Archive Awareness Campaign events shows that it is husbands who are taking the back seat.

Research conducted by Archive Awareness Campaign at 80 archive events last autumn showed that the typical participant was female, white

and aged around 52. She may well not have visited an archive before but she's a dab-hand on the Internet. And this is pure hedonism: 78% of archive visitors described the purpose of their visit as recreational. A whopping 45% of participants enjoyed themselves so much that they vowed to start researching their family history as a result of an Archive Awareness Campaign.

This year Archive Awareness Campaign will target a much younger audience with activity aimed at school children. Watch this space for more details soon.

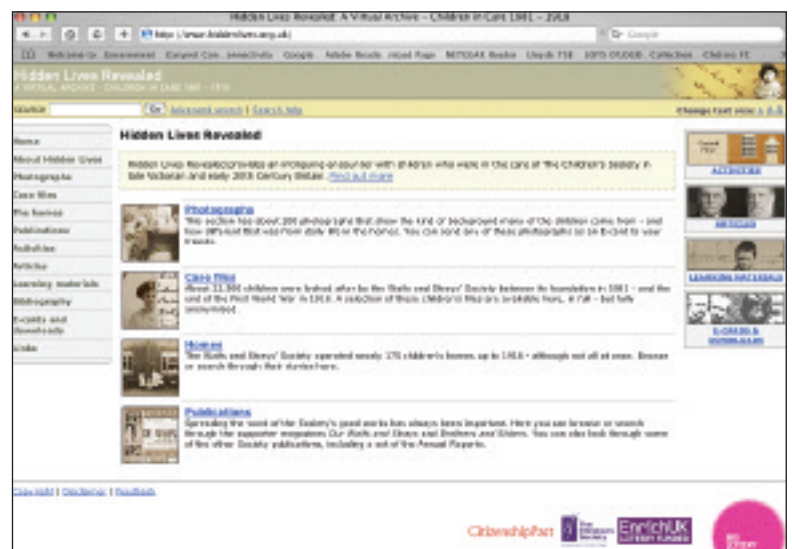
If you would like to find out more about Archive Awareness Campaign please contact Lucy Fulton on 020 8392 5237 or email lucy.fulton@nationalarchives.gov.uk

Phillimore Prize 2004

This year the annual Society of Archivists Phillimore prize focused on web content designed to promote archives as learning tools. The judges said they were impressed by the innovative entries, the range of themes that were covered and the variety of organisations that participated, including record offices, business archives and regional agencies. They had a challenging task: this topic attracted a good number of entries "of excellent quality" with four short-listed sites "all being worthy winners".

Special mentions were made for *The Churchill Era* by the Churchill Archives Centre for the content designed especially for A Level students; the *Learning Zone*, created by Durham County Record Office, for the excellent use of documents to illustrate historical topics; and *Shropshire Routes to Roots* by Shropshire Archives and Oswestry Library, for its new approach to presenting local history and for the use of resources that key into the National Curriculum.

Despite the merits of these contenders, the judges unanimously agreed that the Children's Society site *Hidden Lives* (www.hiddenlives.org.uk/) was the winner "for its wealth of information and ease of access". The site is an illuminating combination of case studies, photographs, worksheets, games and articles telling the story of the lives of Victorian children that were cared for by the then Waifs and Strays' Society. The educational



material is presented in an accessible way and will be sure to stimulate debate in the classroom with questions such as 'how would working for three hours early in the morning affect your school work?' Furthermore, its reach is even wider as no one can visit the site without being fascinated by the collection of photographs and stories.

The Managing Director of Phillimore, Noel Osborne, said of the entries "We were very impressed with the quality of all the shortlisted entries, and the

winner in particular shows what can be achieved by a small archive in the charitable sector." The judges also took the opportunity to agree that next year's prize will be awarded for publicity and promotional literature in all formats. Liz Rees, judge and Chair of the Society of Archivists said "The Society of Archivists is very pleased to continue to be involved in this prize so generously offered by Phillimore and I hope that next year's call for archive publicity materials will provide the judges with an equally pleasant though challenging task."

The archives of the Royal English College, Valladolid

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The college building, situated in the heart of Valladolid

The National Archives (TNA) currently operates in the sphere of private records under the Historical Manuscripts Commission warrant which extends to promoting the care and preservation of records relating to British history wherever they are kept.

Our knowledge of material held abroad is distinctly uneven. While there is a good deal of information in the National Register of Archives (NRA) and on our files about material in the English-speaking world, our coverage of British archives held in Europe is much more sparse and is often derived largely from secondary printed sources.

It was particularly interesting therefore, to receive an invitation from Father Peter Harris, archivist at the English College in Valladolid, to give advice on the future listing of the records and the development of the archive, as well as to learn more about them. Although the College registers and a selection of other records in the archives at Valladolid have been published by the Catholic Record Society, a full catalogue to make them better known is only now in progress.

The origins of the College can be traced back to 1589. Valladolid is the sole survivor of four English seminaries founded in the Iberian peninsula during the time of Elizabeth I and James I to train Catholic priests for the English mission. Similar institutions were also created at Rome and in the Spanish Netherlands. The moving spirit behind the college at Valladolid was the Jesuit Robert Persons. Along with papal approval, Persons secured the sanction of Philip II of Spain for his seminary

and it remains constituted as a royal foundation. Many of Persons' books remain in one of the two historic college libraries and there is also material relating to him in the archives.

The golden age of Valladolid as a seminary was during the late sixteenth and early seventeenth centuries when a number of its alumni were martyred for their faith when they returned to England. Later Titus Oates was a student there for a brief time before his expulsion for various misdemeanours. This event, precipitating his return home, set in chain disastrous consequences for the Catholic community through his involvement in the fabrication of the 'Popish Plot' of 1678.

The other English colleges in Spain at Madrid and Seville did not survive the suppression in 1767 of the Jesuit order which controlled them. But Valladolid continued because it was handed over to secular English clergy at the request of the English bishops and it inherited the archives and (eventually) the property or other assets of its sister seminaries in the country. These combined archival resources, with those of the other English seminaries established abroad, form an important body of evidence for the history of English Catholicism in the era of the penal laws and beyond.

The archive is not confined to the history of the English mission. The material from Valladolid provides an interesting commentary on many areas of Anglo-Spanish relations over four centuries in the context of much turbulent change. There is material on



19th century commerce as the College survived to a large extent in this period on the profits of shipping communion wine to England. There also exist correspondence and papers relating to the Spanish Civil war and attempts by Edwin Henson (rector from 1924-61) to detach the Spanish church and Spanish public opinion from a generally pro-German stance during the Second World War. Football fans in England may derive satisfaction from the records of sporting activities. In 1907, the College team took up a challenge to all comers from Real Madrid, the Spanish champions, when Madrid suffered a resounding 6-2 defeat.

It is pleasing that the College authorities are looking at how, with limited resources, these records can be better preserved and scholarly access provided for. Hopefully, in conjunction with other initiatives from within the Catholic archival community, this will contribute to the continuing development of archives generated by such institutions and wider interest in material created by the British abroad.

Norman James
Director of HMC Advisory Services
The National Archives

An introduction to the Archive Lottery Service

The Archive Lottery Advisory Service was established under the aegis of the National Council on Archives (NCA) in 1997.

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Volunteers at the Carpet Archive Centre, Kidderminster, sorting and listing carpet designs from the Tomkinsons archive. L-r: Richard Pugh-Cook (chairman of the Carpet Museum Trust), Roy Bullock (seated) and Heather Goodwin (carpet designer)

The aim was to assist the archive sector in taking advantage of the new funding opportunities opened up by the creation of the National Lottery.

The post of Archive Lottery Adviser was initially jointly funded by the Society of Archivists and the Public Record Office and is now funded by The National Archives (TNA) and the Museums, Libraries & Archives Council (MLA).

The Archive Lottery Advisory Service has assisted more than 100 archive projects to gain lottery funding. Of the projects reviewed by the Archive Lottery Adviser and submitted subsequently as applications to the Heritage Lottery Fund over 90% were successful.

Grant Programmes

Currently the most appropriate grant schemes for the majority of the archive sector are those run by the Heritage Lottery Fund (HLF). In particular the 'Your Heritage' scheme for grants between £5,000 and £50,000 and the 'Heritage Grants' scheme for grants of over £50,000. Within these grant schemes all applications are assessed on their own merits, and there is no set allocation to archives, or any other part of the heritage sector.

Despite competition for funding, archive projects are still achieving good success rates at gaining HLF funding, particularly 'Your Heritage' applications (grants from £5,000 to £50,000). Projects can include both capital and revenue costs but any project needs to address the Heritage Lottery Fund's key priorities.

Projects must either:

- Conserve and enhance our diverse heritage; or
- Encourage communities to identify, look after and celebrate their heritage.

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Projects must also:

- Increase opportunities for learning about heritage; and
- Open up heritage resources and sites to the widest possible audiences.

What this means in practice is that a project might include funding towards conservation work or cataloguing an archive collection, but projects are unlikely to be successful in gaining funding unless they also include elements of publicising the collection and making it available through education or outreach activities.

The Heritage Lottery Fund is also keen to fund projects which actively involve the public as volunteers or include training elements.

Why apply for lottery funding?

Lottery funding can allow you to develop new types of services or activities, or highlight particular collections. It can enable you to bring in project staffing with different expertise or extra skills to support your work. For example in 2004 over 60 jobs that were advertised via the Society of Archivists ARC recruitment newsletter and the ARCHIVES-NRA mail list highlighted the support of the Heritage Lottery Fund. The HLF can also fund projects involving a range of organisations thus allowing you to develop new partnerships, both within the heritage sector and beyond.

So who has been successful recently? The Heritage Lottery Fund has made grants to over fifty projects that have

contributed to the Access to Archives (A2A) online catalogue. In the current A2A Phase 3 these range from regional projects such as 'South West Access all Areas' (£103,000) to Grimsthorpe and Drummond Castle Trust Ltd's 'Accessing the Ancaster Archive' project (£37,200).

The following examples of projects, that were all awarded grants in 2004, demonstrate the range of organisations and projects that are receiving funding from HLF.

Heritage Grants

The partnership that developed the Moving Here website (www.movinghere.org.uk), which was

launched in 2003 with money from the New Opportunities Fund, was recently awarded £772,000 by the Heritage Lottery Fund. The Routes to the Future initiative, led by The National Archives, will be working with Turkish, Yemeni, Chinese, Eastern European, Ugandan, Asian and Portuguese migrants in Yorkshire, Liverpool, East and West Midlands, and London.

Welcoming new partners from the heritage sector to work with Moving Here, new material on the experience of migration and settling in England will be collected from these community groups both for local deposit and for the website. Routes to

the Future will also enable existing partners to create online education material from the wealth of digitised content in the Moving Here catalogue. Presented on a new schools part of the website these will cover National Curriculum topics in History, Geography and Citizenship.

Another recent collaborative project supported by the HLF is 'Documenting the Workshop of the World'. This project, which received £442,000, is a partnership between Dudley Archives and Local History Service, Sandwell Community History and Archives Service, Walsall Local History Service, and Wolverhampton Archives and Local Studies to promote access to their collections of business and industrial records through cataloguing, digitisation and outreach.

'Your Heritage' Grants

Following an earlier successful bid to the Heritage Lottery Fund, Manchester Cathedral has recently received further funding for a project entitled 'Learning for Life' which involves a range of projects to promote and develop the Cathedral's archives including creating education packs, workshops and lectures for adult learners, and an oral history programme.

The Carpet Museum Trust in Kidderminster received £49,600 from the Heritage Lottery Fund. The Museum was set up to preserve the memory of Kidderminster's once dominant industry and the Archive Centre holds the records of several of the town's major carpet manufacturing companies and extensive collections of photographs, carpet design papers and ephemera relating to the industry. The grant will enable a consultant archivist to train volunteers to catalogue their archives, create a website, develop teachers packs and exhibitions.

The West Yorkshire Archive Service received three separate grants in 2004 for projects developing links with the community and promoting the service to new audiences. One of these projects, entitled 'This is Our History', is working with partners to encourage and assist both South Asian and traditional Yorkshire communities to produce their own digital archives.

The Digswell Arts Trust received a grant of £47,855 to catalogue and preserve its archive, deposited at Hertfordshire Archives and Local Studies, collect further materials from artists and others who have been involved with the Trust, and promote the significance of the Trust's impact on Twentieth Century British Art through a range of educational activities focused on the collection.

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'Documenting the Workshop of the World' project. Cover illustration from Walsall Council and Walsall Chamber of Commerce, 1930s



7
From the Carpet Archive Centre collection. An illuminated testimonial from the workforce at Severn Valley Mills, Stourport, and Ham Mills, Stroud, presented to E.B. Worth on his return from a sales trip to Australia in April 1905



What support can you receive when developing a project?

The HLF has development teams in each English region, Scotland, Wales and Northern Ireland who are happy to give advice to potential applicants, either informally or as part of a pre-application advice interview. For further details see the HLF website www.hlf.org.uk.

The Archive Lottery Adviser is able to provide the following services for archives across the UK:

- Advice on funding in general, and

lottery funding in particular via phone, email, mail or face to face contact

- Attendance at internal meetings if required to assist you in gaining the support of your parent body or senior management to apply for lottery funding
- Regional workshops organised by the Archive Lottery Adviser to assist in completing the HLF application forms
- One-to-one consultation visits to complete the HLF application forms
- Review HLF applications prior to

submission and provide comments and feedback

More details of these services are available from the NCA website at: www.ncaonline.org.uk/lottery.html. The website also has information about other funding sources.

For further information please contact **Louise Ray, Archive Lottery Adviser**
T: 020 8392 5347

Read about the work of HLF Yorkshire on page 32.

The National Archives research project to assess the impact of the Freedom of Information Act (FOI) on archives services

As The National Archives prepared for full implementation of the FOI Act in January 2005, the questions most frequently put to the implementation team related to the scale of the impact of FOI.



How many requests were we likely to receive? How radically would FOI affect our responses to enquiries? What kind of an impact would FOI requests have on the other services we offered? We were aware that other archives offices had similar concerns.

In order to assess the impact of FOI on archives services, including our own organisation, we decided to undertake a small 'before and after' research project to gather factual information and to match expectations to reality. Twenty three archives bodies volunteered to participate in the research, of which nine were local authority archives, eight were university archives, and six were bodies operating at a national level.

The project is based on completion of three questionnaires. The first was distributed in November 2004 to gather baseline information against which comparisons could be made. We asked about the volume of enquiries usually handled by the archive service in a month, about preparations for FOI and expectations of how it will affect the participant's institution, including significant risks and issues.

The second questionnaire was sent out in February 2005. It gathered data on the participants' experiences of the first full month of FOI, asking about the volume of enquiries received, and

whether the participants' expectations of FOI had been matched by the reality.

The third questionnaire will be circulated in February 2006, by which time FOI will have become routine rather than new. It will revisit many of the same areas as the second questionnaire, as well as exploring any new issues which have arisen in the first year of full compliance.

Although it is too soon to make conclusive statements about trends and patterns, the responses to the first two surveys have been illuminating, and will provide an excellent basis for comparison in 12 months time. The picture that has emerged to date is encouraging. All respondents said that their preparations had, so far, proved adequate. Some issues which had been of great concern to the archives sector, such as requests for information in unsorted, uncatalogued or unfit material, had not yet arisen.

However, none of the respondents felt their preparations in these areas had been wasted and several noted that things might change in the coming months.

Some issues were identified as longer term concerns, including whether acquisitions would be affected by private depositors' reluctance to lose

control over access to their records, or by public authorities wishing to pass on responsibility for handling FOI requests to the archives service.

Most of our respondents had identified large volumes of requests as a potential risk in response to the first questionnaire, because there might not be the staff resources to answer all the enquiries or because staff resources would be diverted to answering requests at the expense of other crucial functions such as cataloguing projects. However, the responses to the second questionnaire did not indicate that archives services have been flooded with requests that can be directly attributed to the public's new rights under FOI. Some archive services found that the number of requests received in January was significantly above or below their monthly average for the previous year, but no clear pattern has emerged. Since enquiries received in January for the most part continued to ask about the same 'popular topics' as those identified in the December returns, it does not appear that the FOI Act has had an immediate effect of widening the user base of archive services.

This is supported by the fact that no participant recorded a significant increase in the number of requests for information that might be classified as 'corporate'; users of archives seem to

remain unaware of, or uninterested in, information about how their archive service is being run. It remains to be seen whether a gradual increased awareness of FOI by the general public will lead to more of this type of request being made.

Another interesting issue emerged from our questions about the volumes and types of enquiries received in January 2005. We asked our respondents to classify the enquiries received as FOI requests, Environmental Information Regulations (EIR) requests, Data Protection subject access requests, requests for advice and guidance, or 'other'. We also asked how each organisation identifies requests which should be handled formally under FOI, EIR or Data Protection legislation.

The responses showed a variety of approaches. For those respondents who are not required to provide exact figures of types of enquiry for external monitoring, this division into categories was seen as artificial. The responses revealed that several organisations have taken a 'business as usual' approach. Where an enquiry would have been answered in a straightforward manner before January 2005, then it continues to be answered in the same manner, without reference to FOI.

In some cases this means that enquirers are referred to a paid research service or to an independent researcher, rather than being provided

with information directly. This approach usually means that the exemption at section 21 has been claimed, but few archive services said that they stated this explicitly to the enquirer. Some archive services continue to treat the majority of enquiries as requests for advice and guidance; provision of the details of the paid search service is seen as meeting the duty under the FOI Act to provide advice and assistance.

Several respondents said that since they regularly met the 20 working day deadline set under FOI they saw no reason to alter their practices. In many cases enquiries went into a formal FOI process only where information had not yet been released, the enquirer mentioned the FOI Act, an extensive search would be required or the enquirer clearly expected the archives service to provide the information. It will be interesting to see whether practices will alter in the next year, either voluntarily or as a result of regulatory activity.

The National Archives intends to publish a full report of its findings at the end of the research project. In the meantime, if you would like further information about the project, please email information.legislation@nationalarchives.gov.uk

Joanne Kirkham
Information Policy and
Legislation Unit
The National Archives

Announcement of the DLM Forum Conference 2005

The fourth multidisciplinary European Union DLM (document lifecycle management) Forum Conference on electronic records will take place in Budapest on 5-7 October 2005.

The DLM Forum Conference will welcome specialists and executives representing a range of interests: public administration, archives, research, the ICT industry and other private and voluntary sector organisations. A large number of participants from the 25 EU

Member States, regions and other countries are expected.

The DLM Forum Conference 2005 will be organised by the Hungarian Prime Minister's Office and the Hungarian Archives with the support of the DLM Forum chaired by Sarah Tyacke, Chief Executive of The National Archives.

Further details can be found at www.dlm-network.org/

A Register of Cultural Diversity Projects and initiatives

Over the past few months I have been collecting material on cultural diversity projects, initiatives and resources, which focus on the archives sector, with the aim of providing a single resource on this theme.

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Using the Moving
Here website

These have included digital archives, oral history projects, workforce development initiatives and the resources to support such work. In collecting this material the initial criteria expanded as I came across more and more interesting and exciting projects.

This meant, however, that I began to cover the entire learning and access agenda and whilst this was fascinating in its own right it was too general and unfocused for the purposes of this article.

Accordingly, I have focused the criteria on cultural diversity only and by that I mean projects, initiatives and resources that seek to develop, support and encourage the collection of material that reflects the culturally diverse society we live in and that broaden the use of archives amongst Black, Asian and ethnic minority communities. Moreover, in this article I have only included projects, initiatives and resources that are electronically available.

The issue of sustainability has been central to this work; how the register could develop with the creation of new projects and respond to the evolving cultural diversity agenda. Accordingly, I have added projects on to the Archives Portal where references can be kept up to date. This is a database, maintained by The National Archives, of projects and initiatives that are taking place within the archive sector.

With its broader criteria I have been able to incorporate projects onto the Portal that are not referred to in this article. If you have a project you would like to be included, please see: www.portal.nationalarchives.gov.uk/portal/

Digital Archives

There are a range of digital archives that contain a wealth of information and provide superb ways of developing audiences, providing learning experiences and fostering a sense of community identity.

The New Opportunities Fund (NOF) can, in part, be credited with stimulating the creation of digital archives as it invited bids from organisations wishing to digitise local history materials to be organised into specific histories related thematically.¹

Commanet can also be credited with supporting the creation of a number of digital archives amongst community groups. It provides the software for local people to produce on-line digital archives of

photographs, documents, text and reminiscences.

The Moving Here project provides access to resources which record and illustrate the migration of Caribbean, Irish, Jewish and South Asian communities to England over the past two centuries. It has recently received support from the Heritage Lottery Fund for another phase in its development, which will support a programme of community projects and the creation of National Curriculum material. Outreach is key to Moving Here in promoting the site to new users and encouraging feedback on accessibility.

The National Archives maintains the Black Presence: Asian and Black History in Britain exhibition that was produced in partnership with the

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¹The New Opportunities Fund has since merged with the Community Fund to create the Big Lottery Fund.

Black and Asian Studies Association. This exhibition offers interactive learning on Black and Asian history in Britain during the period 1500-1850.

Birmingham City Archives and libraries maintains the Black History in Birmingham section on the Birmingham City Council website, which contains the Sources for the Study of the Slave Trade web pages. This is an online resource of information on the history of slavery based on records held at Birmingham City Archives.

The London Metropolitan Archives has produced the Real Lives: Black and Asian Londoners 1536-1840 website, which has sourced information on black and Asian Londoners in baptism registers, family and diocesan records, business archives and other collections housed at the London Metropolitan Archives.

SALIDAA, the South Asian Diaspora, Literature and Arts Archive, provides text and images relating to the work of British based South Asian writers, artists and performers. SALIDAA also produces a range of outreach projects in partnership with community group organisations to increase access to the history of South Asian writers, artists and performers.

Digital Shikshapatri provides online access to the fragile Shikshapatri manuscript held in the Bodleian library, Oxford, which is accompanied by a range of sources that set the Shikshapatri in its context. The manuscript was written by Shree Swaminarayan, founder of Swaminarayan Hinduism.

InIVA (International Institute for Visual Arts) maintains a digital archive providing access to the work of contemporary visual artists from diverse cultural backgrounds, and who embrace the breadth and diversity of contemporary art.

The Ministry of Defence exhibition, *We Were There*, highlights the contribution made by military and civilian personnel from what was the British Empire drawing on photographs and archives.

PortCities explores the impact of the maritime world on the cultures of Bristol, Hartlepool, Liverpool, Southampton and London. Each site highlights the impact of international history on the development of the city.

The Glasgow Story details the history of Glasgow, recognising the role that culturally diverse communities have played in the development of the city.



The Scottish Archive Network, SCAN, maintains an exhibition on slavery and Glasgow, which showcases the collections held by Glasgow City Archives and Special Collections.

Oral History

There are a number of oral history projects that seek to capture the histories of and relate to Black, Asian and ethnic minority communities. In many cases they provide a different perspective by nature of the medium used and because oral history captures the histories of people whose views may not already have been preserved and may otherwise be lost.

The BE-ME, Black and Ethnic Minority Experience, was established in 1999 to record the experiences of Afro-Caribbean and Asian peoples who came to Wolverhampton after World War Two. A selection of these are available on the website alongside a series of learning packages to enhance audience development.

The Southampton City Council Oral History Unit, has produced a number of oral history projects including one recording the memories of Asian women living in Southampton. A selection of this material is available on the website through transcripts and sound extracts.

The Black Trade Unionists' Oral History Project will create a digital archive of material relating to African, Afro-Caribbean and Asian trade unionists in England and Wales from 1948 onwards. The taped interviews, together with visual material, will be digitised, conserved, catalogued, transcribed and deposited onto the Trade Union Congress library catalogue at London Metropolitan University.

The Birmingham Black Oral History Project collected life stories and reminiscences of elderly immigrants to Birmingham in building a history of Birmingham's black population. The original tape recordings have been deposited in the Birmingham City Sound Archive.

The Lewisham Voices project recorded memories and perspectives of community groups in Lewisham, south east London, which are available through a digital archive. The community groups who took part included local community organisations, ethnic community groups, reminiscence groups and members of the general public. It was organised to ensure a diverse cultural perspective was mapped and that relationships with community groups were fostered.

The Black Cultural Archives has recently co-ordinated the Clapham Park Oral History Project, which led to the recording of elderly African and Caribbean people, including Windrush veterans and ex-servicemen and women who settled in the Clapham Park Area. The material will be edited onto a CD to be circulated.

Cataloguing

Access to archive collections depends on the extent and breadth of catalogues available. I have quoted two examples of projects that have sought to improve access to archives that are important to a history recognising cultural diversity.

The Bernie Grant archive, which is housed at Middlesex University, has been catalogued and is now available on the Bernie Grant website. This will help to raise the profile of the material in this archive and promote the use of it.

With support from the Heritage Lottery Fund, The National Archives is co-ordinating the Your Caribbean Heritage project to catalogue Caribbean material held in the Colonial Office records 1739-1926 held at The National Archives. The collection forms a main UK source for the history of the Caribbean and its peoples.

Standards/Methodology

Standards and methods have been produced in support of the cultural diversity agenda; helping to establish accepted procedures in forming links with community groups and in cataloguing material in a way that recognises a culturally diverse history.

The recently published, Community Access to Archives Project (CAAP) has produced a framework that supports archives in building and sustaining links with community groups. Within the Framework there is a Best Practice Model for Community based online archive projects. The Framework, which is based on detailed research that took place in Yorkshire and Hackney, advocates building such links to help repositories broaden audiences and play a role in combating social exclusion by developing mutual trust between the archives service and the community.

CASBAH, Caribbean Studies, Black and Asian History, created an indexing terminology which has been incorporated into the UK Archival Thesaurus (UKAT) and an archival search tool which allows practitioners with no specialist knowledge of the subject area to identify records which will be of interest for the history of Black and Asian people in Britain. In testing the methodology CASBAH conducted a pilot project that mapped a number of collections for their references and importance to Caribbean, black and Asian history. The

database that was produced is available on the CASBAH website along with the indexing terminology.

Workforce Development

Birmingham City Archives in partnership with the Universities of Birmingham and Warwick are co-ordinating the Connecting Histories project, which will catalogue and promote the use of material relating to Caribbean, Afro-Caribbean and Asian communities. The project will also provide two positive action traineeships, providing two students with cataloguing experience whilst working towards their professional archives qualification.

Resources

Below is a list of organisations and projects that support and encourage work in the field of cultural diversity.

The Real Histories Directory is an online resource tool created by the Runnymede Trust for teachers, parents, pupils and the wider community to encourage teaching and learning about cultural diversity. Included in the broad range of resources on this directory are references to archive sources.

The Black and Asian History Map brings together the wealth of web resources recording and celebrating the contributions of immigrant cultures to contemporary Britain.

The Black and Asian Studies Association (BASA) formed in 1991, fosters research and disseminates information on the history of black peoples in Britain. BASA also encourages the sharing of information through its jiscmail listserve.

The Museums, Libraries and Archives Cultural-Diversity jiscmail is also a

useful tool in support of information sharing.

The Network is a network of libraries, museums and archives, and other organisations and individuals committed to tackling social exclusion. It assists libraries, museums, archives and galleries through the development of policy and practice, and shares information through the Network newsletter.

The University of Surrey has collected reports on Woking's rich cultural diversity. This project has collated the results of many community investigations and initiatives undertaken over the past ten years into a collection of reports that have been deposited at Surrey History Centre.

The cultural diversity survey of London archives, *The World in One City*, mapped the ways in which the archive sector has engaged with the capital's black, Asian and minority ethnic communities. The executive summary is available on the ALM London website.

The regional Museum, Libraries and Archives agencies are an important source of information. Their websites provide support and information on projects and funding. The South East Museum, Libraries and Archives Council has compiled a Diversity Toolkit; a set of guidance sheets to assist archives, museums and libraries to develop their work with culturally diverse audiences. The West Midlands Museums, Libraries and Archives Council commissioned *Tempus Fugit* in 2003, a cultural diversity awareness study of the region. The South West Museums, Libraries and Archives Council commissioned a *Report on the Diversity Festival* that took place in 2003, which was published in 2004. It provides detailed analysis of the impact of projects across all three sectors.

The Diversity Networks also provide a useful source of support and information. The recent Diversity Network event in London, organised by ALM London, focused on the reasons why and ways in which museums, libraries and archives can develop links and work with Asylum Seekers and Refugee communities. The Transcript of the Enriching Communities event is available on the ALM London website.

For any further details contact:
Rachel Bell
The National Archives

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From the SALIDDA website. Baluji Shrivastev teaching the sitar at a school music workshop

4



Case studies

In the second of our 'interviews' offering introductions to different aspects of the archives and records world, Margaret Snook, Head of Cultural Services at Worcestershire County Council, kindly gives a brief insight into her work.

If there is anything you would like to contribute to *RecordKeeping*, please get in touch at recordkeeping@nationalarchives.gov.uk

Interview with Margaret Snook

Briefly, what does your job involve? What particular problems or issues arise in your area of the sector?

I haven't been in Worcestershire long – I moved up here about six months ago, one of those Londoners yearning after the country life. It is too soon yet to say if such a lifelong townie as myself can make the switch successfully! As Head of Cultural Services for Worcestershire County Council I have overall responsibility, not only for the county's records service but also the museum, library, arts and archaeology services. What I love about the cultural services portfolio is making the links between the different services. Most members of the public do not know (and probably do not care) about when an archaeological find becomes a museum artefact – they just want to know what it is and something about it. Equally, they can be understandably confused between the local history collections we have in most of our libraries and the collections we have in the archives. As professionals, we understand the differences but I am not sure we always make it clear to the punters. Too many of the barriers we put in their way are driven by our managerial needs and I would like to find ways of breaking down as many of them as possible, getting all the elements within my services working seamlessly together despite being spread across the county.

How did you get into the archive/ records profession?

My background and professional training are in librarianship. I would have liked to have trained as an archivist but my parents were persuaded that I should take German instead of Latin at school (a disaster in every sense – I love the romance languages but am hopeless at German) and at the time a knowledge of Latin was required. Over the years I've worked alongside archivists in various

local archives including an extensive collection for the Clerkenwell and Finsbury areas of London and more recently the collections for the borough of Greenwich.

What are the main issues facing you at the moment?

The biggest initiative we are involved with at the moment is the development of a new headquarters for the archives, co-locating with a new library for the city of Worcester. Our records service is divided up over four sites and the aim is to bring all but the modern records service, which will remain in County Hall, together in one place alongside the library.

If budgets and space allow, this will include bringing home part of our archives, which are currently being stored in Gloucestershire. Their previous store, a decommissioned church in the centre of Worcester, was condemned as inadequate a couple of years ago and Gloucestershire county council have kindly helped us out as an interim measure, storing those parts of our collections which are least requested.

What makes the new library and record office more exciting is a proposal to join with the new library for University College Worcester (UCW), who are themselves developing a second campus in Worcester. We have high hopes for this development. We believe that public and academic library services share a single vision and, with the Record Office, serve a single community. They all offer gateways to knowledge, and offer opportunities for formal and informal learning. The book and media collections will be completely integrated so that to the user it is one single collection. People will be unaware whether they are using a book purchased by the county council or the university college. The strength of developing a single

collection is that we can offer a far greater selection and range than either partner could offer alone.

We already work closely with UCW in respect of their heritage and archaeology courses, and we hope, if the funding can be stretched sufficiently, to also bring our county archaeology service into the project to be situated next to the Record Office and share an integrated public search room, giving access not only to the archives but also the Historic Environment Record and other archaeological resources.

So you can see that this is potentially a mammoth project, very complex and challenging but also very exciting. We believe that, if we can bring it off, it will be the first of its kind in the UK and provide the public with access to a fantastic range of resources under one roof.

Other issues high on our agenda at the moment include continuing to improve access to our collections through digitisation and working with the county museum on its re-launch, planned for this summer.

Initially our digitisation project focused on providing access to handlists, catalogues and similar search tools. Alongside this, particular parts of the collections have been digitised onto CD-Roms, such as our newly acquired collection of material relating to the Victorian music hall star, Vesta Tilley (the collection also included a few of her costumes – she had the tiniest waist imaginable!). The disadvantage of course with the CD-Roms is that they do not allow remote access for people searching over the internet so we have just successfully negotiated for greater space on the server and will be using this server to start providing remote access to original documents. We will be starting with our substantial collection of Wills and we estimate it will take a number of years just to digitise this part of our collections.

The county museum, located in the north of the county in the old servant's quarters of the Bishop's Palace at Hartlebury, has been closed since last summer to allow us to improve access for disabled people. It is a grade one listed building, parts of which date back to the 13th century so putting in a lift has been an 'interesting' experience.

The Record Office staff are working alongside the museum staff to create a large touring exhibition about the history of food and drink in the county – a subject chosen to coincide with the opening of a new restaurant in the museum.

Name three things The National Archives does well.

Talking to my colleagues in the Record Office, we have found TNA to be very supportive. They provide invaluable guidance on Records Management and specifically EDRM (electronic document and records management) – the functional specification and approved supplier lists have been our bedrock as far as EDRM is concerned. The Records Management Toolkits generally are very helpful and have steered us in formulating our own in-house guidance.

We have particularly appreciated the guidance for archivists and specific advice from Tim Padfield on copyright has been extremely useful. As I expect most services have found, with the increasing number of ways that copies can now be made and the move towards putting more original documents on websites, we handle more and more enquiries from the public on this issue.

We get a lot of enquiries from the public about record office research and they find the online information leaflets and Getting Started guides very helpful.



Arundel Castle archives: the joys and restraints of administering a private archive

Heather Warne, Archivist at Arundel Castle, offers an enlightening introduction to life in the archives of a stately home.

Arundel Castle, like most stately homes, has to juggle its public and private responsibilities carefully. Since 1989 one wing has been the home of the present Duke and Duchess of Norfolk and their young family [18th Duke, succeeded in June 2002].

In the other two wings, a small staff of administrators and cleaners clatter about during the winter months in thick woollies, and carry on during the summer behind locked doors, doing everything it takes to maintain the Castle and its treasures, and to serve the season's visitors.

One of the winter tasks for the inside staff is to arrange the rota for the small army of part-time 'Guides' who come on to the pay list each season. The doors open on the first of April, or Easter, whichever is sooner, and the Guides begin their work. They marshal the incoming visitors, usher them through the open rooms, and interpret Castle history through its furniture, fabric and paintings. They also escort special interest groups round the Castle by appointment. One of the Guides is a dedicated Education Officer who works with groups of schoolchildren on Castle-related aspects of the National Curriculum.

The Library and Archive office, search room and strong rooms are in a secluded part of the castle. We are open two days a week, all year round, to researchers in person and enquirers by phone. Additionally, a large mail bag of letters and emails accumulates each week, for us to deal with in the two

days we are here. For the Castle staff, we provide all the historical information to back up their work with the public, including interpretation boards and captions for paintings and objects of art. During the 'Castle Open' season we are an 'open house' to any Guide who wants to come in and find out a bit more for their public work.

We also provide the Duke and the Duchess, the Estate Office staff and the family lawyers with information, when they need it, on the history of the house, the family, the gardens and the estates. When the Estate Trustees were asked recently for large maintenance costs of a bridge in the River levels near the Castle, the 19th-century papers of former ducal solicitors proved they were not liable. The new flower and vegetable gardens are being developed through the Duchess's personal inspiration and by direct reference to our old Victorian garden plans.

We have even helped the buildings maintenance team, by locating old plans of drains and electricity circuits! The Library itself is on the public tour of the Castle, but the books are mostly rare and are not available for the casual enquirer. However, for dedicated scholars unable to find a title elsewhere, rare books are produced in the archive Search Room; and a changing selection of books, bindings and manuscripts is displayed in special cases each year.

Arundel Castle Archives are an accumulation of records, persistently acquired from the medieval period

onwards, of two main families, the Earls of Arundel of Sussex and Shropshire and the Howard family, Dukes of Norfolk, of Norfolk and Suffolk. These families and their estates were united by marriage in the 16th century. Other significant estates, in London and in the north of England, were acquired in the 16th and 17th centuries, by marriage and purchase. By the mid 18th century, Norfolk House in St James' Square, Piccadilly, functioned not only as the 9th Duke's home and a focus for high London society, but also as the repository of the ducal archives. Arundel Castle had regained its status as the seat of the dukedom by 1786, but it was not until the demolition of Norfolk House in 1938 that the archives were transferred to the Castle. Here they were combined with the, now extensive, records of the enlarged Sussex estates acquired during the 11th-16th dukedoms.

As a broad estimate, though we have not actually counted, the archive currently contains upwards of 100,000 documents. The 14th Earl of Arundel's original library was given to the Royal Society by the 6th Duke in the 17th century, but subsequent dukes rebuilt their book collections to form the present Library at Arundel in the 18th and 19th centuries.

As well as our own interaction with the Castle Guides and their work, our researchers can benefit by being on the spot. For example, after working on household inventories or bills, they can follow up with an inspection of a painting or object itself. Students of

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From the
photographic
archive. Formal
gardens in the
north bailey,
c.1870

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the surviving medieval fabric of the Castle, or of the Victorian alterations, can work on plans and drawings relevant to what they see around them.

The imposing structure of the Castle itself, and the Howard family with their resolute adherence to the proscribed religion of Roman Catholicism, together enjoy a high profile in popular history. This creates a constant flow of demand from authors and from drama and media companies either wanting reproductions of images of 'famous' members of the Howard family, or access for filming, or loan of artefacts or documents for exhibition. All this work is handled by our department rather than by the Castle management, because of the high level of curatorial care that is required during proceedings.

Castle visitors in 2002, the year of the 50th anniversary of the Queen's Coronation, enjoyed an exhibition on the role of the Dukes of Norfolk, from the medieval period onwards, as Earls Marshal. This was a real team effort and a great hit with the public. We located suitable documents and created captions; Betty, the wages clerk, who was good with the needle, mended and tucked the red velvet coronation robes of the 16th Duke and Duchess; while Castle management unearthed a contemporary BBC film of the ceremony from the china cupboard and set it to roll in the exhibition room. We now have a permanent exhibition space for archive displays, which the visitors will be able to see as part of their tour of the Castle. In effect, we are part of an integrated 'Museums, Libraries and Archives' service, though not under that title!

The Archive department

In many stately homes there is only one person employed to look after the chattels, who is therefore, de facto, a

curator, librarian and archivist combined. We are lucky in that we have a team. This allows us each a degree of specialisation. Dr Robinson, our Head of Department, is an art and architectural historian, a historic buildings consultant and Secretary to the Roxburghe Club, a society of bibliophiles. Sara Rodger, his assistant, is a former Castle Guide and is an expert, as is Dr Robinson, on the history of the fabric and contents of the Castle and on the history of the Howard and allied families. Margaret Richards, our general assistant, is an early-retired teacher and art historian. Sylvia Medic, who is also a Castle Guide, is our strong room assistant. We each work between one and two days a week.

I am the final member of the team, a professional archivist who had worked in a variety of local authority repositories and Educational institutions before coming here. Having also tackled medieval manorial research, Adult Education tutoring in Local History, palaeography tutoring and local history publishing over the years, I arrived here knowing what the average local historian wants to find out. Gradually, therefore, I am opening up the 'difficult' sources, such as medieval manorial records, to local and family historians, by giving talks and exhibitions and by helping them with their palaeography.

The archive is run along very similar lines to most publicly funded repositories, but on a very much smaller scale, part-time, and on a shoestring budget. We operate entirely on the Castle's own funding and so we ask our researchers for a daily fee of £15. Long term 'serious' students, making several visits, may pay £60 a year. For other services, such as genealogical research or photocopying, we are slightly cheaper than our local authority record offices. As we can only accommodate up to three researchers

3
Re-packaging by
Sylvia Medic,
strong room
assistant

3



a day, we can be informal with them during breaks from research.

This allows us, where appropriate, to exchange views and knowledge about their research topic. For the disabled researcher we can provide a study area in another wing, near the Castle lift. In recent years we investigated the feasibility of a 'book lift' which could be inserted into a 'well' beside our stairway without being visible from the outside. As the Castle is a Grade I Listed Building and an Ancient Monument, any tampering with the fabric has to be discreet. However, after costing, the project was found to be rather expensive and was shelved.

To visit the archives in person, all researchers have to book an appointment and order their documents in advance. This is not a vetting process but an aid to our researchers who have usually had a long journey to get here. It ensures that they can start work the moment they arrive. It is also part of our security system for the archives. We could not supervise our researchers properly if we had to go off fetching documents for them while they are here. This, of course, highlights the key area in which the administration of a private archive is usually utterly different from the public sector. We have a part-time strong room assistant but no back up office staff.

Tasks such as the photocopying for researchers, or taking newly delivered archive boxes up and down spiral stairways to their storage points, can be time-consuming. In the constant re-jigging of storage space that any repository has to do, either to accommodate new acquisitions, or to better store what is already there, it is we who have to carry full archives boxes up or down the same perilous routes. For heavy items the gardeners have to be organised in advance to help. The last plan chest we ordered was nearly at its fifth flight destination when it became firmly wedged against the narrow circular walls. My role was to hand cups of tea at odd angles to the men who were too tired to move, while they thought what to do. We achieved our goal eventually.

Cataloguing and conservation

The task of cataloguing the archives falls on my shoulders. It had slowed down in 1975 with the death of Dr Francis Steer, West Sussex County Archivist and archivist to the Duke of Norfolk, editor of Vols. I-IV of *Arundel Castle Archives* (WSCC, 1968-1975). The office shelves are now bulging with new lists and print-outs as I work my way through the unlisted material.



Copies of significant lists have been sent to the County record offices to which the material relates, and to the National Register of Archives. My first brief, on the recommendation of the former Historical Manuscripts Commission was to tackle the entire deeds collections in the archives, making detailed abstracts for the medieval pieces, to facilitate research from afar.

As there are around 3,000 medieval deeds, from the 12th century onwards, and a further 8,000 post-medieval deeds in the same series, the task is enormous. A scheme has been devised which respects the provenances of the deeds and which will eventually produce eight catalogues. The first of these, relating to the Dacre family estates in northern counties, is now ready for publishing.

In conjunction with these important tasks, there are the usual rounds of archive and strong room processes – the accessions register, sorting, boxing up, and making sure the locations list keeps abreast of the ongoing shelf alterations. Thankfully, we gained Sylvia few years ago to clean the strong rooms and the archive racks and to deal with some of the more routine tasks of temperature and humidity monitoring. She is a sprightly great-grandmother who happily lugs buckets-full of water from the de-humidifiers up and down our spiral stairway, and fetches and carries documents for the researchers by the same route.

Care and conservation of the documents is tackled on three fronts. Sylvia and I are systematically flattening, cleaning and repackaging the collections in approved archival materials. Additionally, a team of volunteers from National Association of Decorative and Fine Arts Societies (NADFAS) made a start on cleaning

certain classes of archives, once they had completed restoring the books in the Library. Both of these initiatives, together with my own work in the medieval manuscripts, enable us to identify the documents which are too delicate for our hands and which require specialist treatment. These are sent out to our professional archive conservators, for which the Duke provides a generous budget each year.

Hundreds of maps, plans and drawings, a significant number of medieval rolls and many post-medieval family papers have now benefitted from these joint efforts in recent years. Additionally, through the conservators at the College of Arms, we are removing the historically important series of early autograph letters of the Dukes of Norfolk and their families from their attractive, but acidic, Victorian bindings.

To sum up...

Dividing each day between the pressures of the current week – the researchers, the mail, perhaps a talk or an exhibition, and the demands of the strong rooms means that the two days can fly by without the feeling that much has been achieved. We each have our areas of expertise, but we turn our hand to the needs of the day. As a department we support our employers and the Castle staff, while providing a holistic service for all manner of visitors and academic researchers.

Compared with a large public archive repository we have a tiny budget and we all work part time. Yet the quality of service and the level of expert advice we can give to our researchers is, in our opinion, as good as anywhere. In return, though we may go home on our knees at the end of an Arundel day, it is with a strong sense of job satisfaction. And at least we have five days to recover before we do it all again.

Consultancy Project in Bosnia and Herzegovina

Margaret Crockett spent five months as consultant archivist to the Office of the High Representative of Bosnia and Herzegovina. She recounts her experiences for *RecordKeeping*.

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The National Library is a distinctive landmark clearly visible from the mountainsides around Sarajevo which were occupied by the Serb forces during the war and thus proved an easy target. Photographer: Iain Brown

Last May I applied for a consultancy project with the Office of the High Representative in Bosnia and Herzegovina. I was immediately interested because I have a bit of a background and interest in Central and Eastern European history and archives.

The application wasn't onerous and although the advert gave few details I decided to apply and ask questions about terms and conditions later. I did however look up the Office of the High Representative (OHR¹) discovering that the High Representative is Paddy Ashdown, and that the organisation was created under the Dayton Peace Agreement to establish Bosnia and Herzegovina (BiH²) as a peaceful viable state on course for European integration.

Reading up about the organisation and the country, I became even more interested and keen. OHR is an international diplomatic mission which develops policy and strategies, advises, recommends and at times directs the government³ of BiH at all levels – aiming to establish a legal, judicial, financial/economic and political infrastructure for the country that integrates the three cultural and ethnic communities.

At first a large part of its work was to facilitate the sustainable return of refugees within the country. This included reconstruction of homes and facilitating adjudication over property ownership, a task complicated by the state ownership of land and property during the Communist era. OHR's legal

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department, working with the Political and Economic departments and the Reconstruction and Return Task Force, has contributed enormously to drafting much of the new country's legislation.

Currently OHR is more focused on economic reform (they have just passed an indirect taxation act) and rooting out corruption in the business and political arenas. It was also instrumental in setting up the War Crimes Chamber, the first court in the former Yugoslavia to try people for war crimes. For an archivist this means that the range of records, and their significance both nationally and internationally, is quite remarkable.

To cut a long story short, early October

saw me settling into Sarajevo and my new project at OHR. The main goals were to:

- Write archive selection guidelines and make recommendations on the ultimate repository for OHR's archives
- Sort out the inevitable basement record storage area and recommend improvements
- Survey all of OHR (including regional and field offices all over the country) and develop retention schedules
- Specify and explore options for archives and records management software
- Write records management procedures

¹ www.ohr.int/

² The country is officially Bosnia and Herzegovina and the inhabitants of Herzegovina, in the south and west of the country, are anxious that it is not left off the name – it is safest to use the abbreviation, BiH

³ BiH has a very complex governing structure. There is the national Government which is over-arching; below that are the two entity governments, Republika Srpska (for the predominantly Serb area in the north and east of the country) and the Federation of Bosnia and Herzegovina (predominantly Croat and Bosniak); there are also cantons and municipalities below that; as well as the special District of Brcko.

- Write a job description and help recruit a “national counterpart” to train up to take over from me.

There was one critical success factor which enabled me to deliver an ambitious project in the timeframe: recruiting a Bosnian national to manage the programme when I left. I – and OHR – was very fortunate in finding the right person. We recruited from inside OHR as it was shedding many staff and had undertaken not to advertise externally at first. I found someone who had worked in OHR since the beginning in 1995/96 and who was intelligent enough to have processed a lot of the information that came across her desk as a senior PA. She was not afraid to get her hands dirty and insisted on working through the dirty boxes of old records in the basement whilst I carried out the record survey.

We investigated some of the old boxes together and talked through what needed to be kept for the Archives and what need not be kept if no longer required by operational staff. She quickly grasped the principles and kept anything she wasn't sure of to ask me. She took great pride in re-boxing, re-organising and generally cleaning up the basement and also insisted that departmental staff come down to help her go through their old material. We both initially encountered a lot of negative perceptions about archives work but she refused to accept that her newfound career was boring or menial in any way. OHR had a strong advocate for archives!

I knew that completing the survey quickly was crucial to meeting many of the other goals. I spent the first few weeks travelling the length and breadth of BiH. I had a driver and car so I could relax and enjoy the scenery. They say if you ironed BiH flat, it would be as large as Europe, due to the mountains. Certainly on arrival in the capital, Sarajevo, first impressions are of a city ringed by mountains. As you travel out of Sarajevo in any direction there are spectacular ranges, covered in dark firs and bronzing deciduous forests. There are many rivers – water, along with wood, is one of BiH's greatest natural assets. The roads are two-lane, fairly well maintained but twisting tortuously through the mountains (not good for someone like myself prone to car sickness!).

The country is rural, most houses have a large patch of land, many with a dark brown straggly haystack or two and a solitary horse, a few sheep or goats. There were huge sacks of seasonal bright green cabbages for sale at the

end of most driveways. Many of the villages in the Federation have both church tower and graceful minarets dominating their skylines: in Republika Srbska there are virtually no mosques and the churches sport the distinctive onion domes and icon murals of Eastern Orthodoxy.

Some areas had tumble-down and burnt out ruins: clearly here refugees had not felt able to return after the war. I also saw fields fenced off and marked clearly with red skull and crossbones signs indicating mines. Although much work has been done in BiH to eliminate the mines, enough remain for this to be a serious safety issue. But on the bright side there was a significant amount of construction work going on and even if the houses weren't finished there was washing hanging out and property looked well cared for.⁴

I visited OHR's three regional offices in Tuzla, Banja Luka and Mostar, the Brcko Final Award Office and the seven field offices. I found that the staff were very welcoming, open to suggestion about improvements in filing and records management and very hospitable. It was often over lunch with these Bosnian citizens that I learned most about the concerns and opinions of ordinary people. For the most part they want to live peacefully with their neighbours, regardless of culture or ethnicity, and to have the chance to be prosperous and join the EU.

Much of the record surveying in the regions was pretty routine. The field offices and regional offices tend not to be decision-making so it was mostly a question of identifying the report cycle and its documentation for the Archives and setting sensible retention periods for the rest of the records. However, the District of Brcko is special as its government is unique in BiH. To the uninformed visitor Brcko seems a rather sleepy and boring place on the river Sava – however it is the largest port town in BiH and vital to Tuzla and other industrial towns moving goods in and out of the country. It also divides the Republika Srbska's two territories. Brcko proved a sticking point during the Dayton peace talks so it was agreed to leave its status to later international arbitration.

The arbitration placed Brcko under international supervision, with its own Supervisor who also serves as Deputy High Representative. The Supervisor has power to issue binding regulations and orders which “prevail as against any conflicting law”⁵. Obviously those decisions and the process which leads

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The OHR basement records storage before the inventory and appraisal process.

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The OHR archives room after the inventory project. Plans are in hand to move the archives out of the basement and into accommodation on the first floor.



⁴ If you are inspired to visit Bosnia and Herzegovina, which I can recommend as a beautiful, unspoiled and cheap holiday location, you can find my recommendations at: www.margaretcrockett.co.uk/bosniaguide.rtf
⁵ Brcko Implementation Conference, Chairman's Conclusions, 7 March 97

This picture shows the OHR building, the white block in the left foreground. Notice also the yellow building in the background which is the Holiday Inn hotel where the journalists stayed and worked during the war. To the right of the Holiday Inn is the old Parliament building which was damaged in the war. Photographer: Iain Brown

to them must be captured into the Archives. Interestingly, it seems that the District of Brcko is more prosperous than most parts of BiH and has large numbers of all three of the Serb, Croat and Bosniak (Moslem) ethnic groups. Outside of Brcko I discovered not a little bitterness as citizens of the District do not have to pay quite so many tiers of government tax making it an attractive place to set up business.

The records of central OHR departments proved more tricky to appraise. The High Representative's decisions obviously needed permanent retention in the archives. Similarly the records of the Peace Implementation Council and its related bodies like the weekly Ambassadors meeting that monitors the day-to-day progress of the peace mission should be retained. But whilst many record series were within my experience, there were some functions and series that I had not encountered before.

One of these was prosecutors' records. I was hampered in scheduling these because management was based in Sarajevo, but the work was done at a branch office outside Sarajevo and staff were too busy (presumably fighting crime) to spare time to discuss the relative importance of their records.

The situation was further complicated because OHR, whilst employing prosecutors, does not run the courts, so files that went to court would presumably become part of the court case – either in original or as copies. Would the courts maintain these records as long as needed and identify archival records for permanent retention? What about cases that didn't get to court for whatever reason? Was it fair to retain information on individuals who had not been prosecuted? I had not resolved this by the time I left, but I was able to document my concerns and recommendations in my final report.

An even more fascinating challenge was that of scheduling the records of the Criminal Intelligence Unit. There was the usual obstacle of actually getting to talk to anyone senior enough who would be able to explain the work, since administrative staff often did not deal with operational records which were kept under lock and key. The retention issues of these records are that they relate to alleged criminal activity by individuals, they may also relate to individuals who have been given witness protection – creators/owners were jumpy about transferring custody! This was an easier



problem to solve, as all records were held digitally and arrangements had already been made to transfer them to Europol when the Unit closed, since Europol would be continuing OHR's work.

But this was not clear to me before I had contacted those nice people at the UK National Archives for advice and documentation on appraisal of intelligence records generally. Never having worked with intelligence records, I had not previously considered their appraisal but The National Archives' guidance was very helpful in clarifying my thinking.

Perhaps the most important aspect of my work for OHR was working out how to ensure that the Archives could be preserved and made available in the future for everyone to have access to. OHR is not a permanent international organisation and is expected to close in the next few years. I always had a strong feeling that these records should remain in Bosnia. Whilst not government records, they have a similar status to public records because they provide evidence of the work of the international body (staffed largely by Bosnian nationals) which influenced and created the country's reconstruction, its laws, financial infrastructure, judiciary system, even standardising car number plates and instituting the ID card system.

The Decisions of the High Representative and the Brcko Supervisor are as important as law and judicial decisions. These archives provide BiH citizens with the primary

historical resource to review, study and understand how Bosnia and Herzegovina developed after the war and the role of the international community in setting it up. The other stakeholder with a valid interest in these records is the international community: what did it do to reconstruct the country and what lessons can be learned in the future if such intervention is required elsewhere in the world?

There were many issues to consider in making recommendations. Firstly, I needed to be sure the BiH State Archives would be able to accession and maintain the OHR fonds. A visit to the National Archives in Sarajevo revealed that although not well resourced, the Director was expecting budget increases and had managed to secure some external funding. The Director was also conversant with current archival standards such as ISAD(G) and obviously followed international developments in our field.

He was very keen to gain custody of the OHR Archives and I grilled him quite hard about whether he would be able to protect them if politicians wanted to destroy them. His answer was that although he had a strong sense of professional ethics, he was realistic enough to know he would not be able to protect the Archives if the "bad" (my words) politicians got into power. Bosnia and Herzegovina seems stable enough at the moment but the beautiful façade of the National Library in Sarajevo old town reminds us how fragile cultural heritage can be in the face of ethnic cleansing.

I believe that if OHR and Bosnian citizens do their job right the country will survive to enter the EU, and institutions like the State Archives will rise to professional challenges as they do everywhere. However, it is always possible that things will go wrong in Bosnia, so I needed a strategy to ensure the evidence would survive. I recommended that a security copy be made and deposited in an Archives outside the country. Finding such an Archives was not easy. I thought that the European Union Historical Archives might be interested but they only take originals.

The UN was decidedly not interested and would not have been a popular choice in BiH. I received word that the French Government was interested in taking the OHR Archives, or even a security copy, since it styled itself the repository of Dayton (remembering that the treaty was signed in Paris). I was not able to verify this, and had to leave it as a "to do" in my final report. I was pleased a national archives actively lobbying for the records but I realised that there might be issues with the other countries who had a particularly strong interest.

My last option as a repository for the security copy was the Open Society Archives (OSA) in Budapest. I was Deputy Director there in the late 1990s and was familiar with the acquisition policy and set-up. My interest in the Balkans stemmed from my time at OSA and I knew that they had complementary material to OHR.

I also knew that the Soros Foundation, OSA's parent body, advocated accountability, transparency and the open society which meant that philosophically OSA would understand Bosnian issues and the need for a security copy of the records. I checked with my former colleagues who confirmed willingness to receive a security copy of the OHR archives.

Since the paper outlining the options and giving my recommendations needs to be put in front of the Peace Implementation Council, the issue is not yet decided but I was able to come up with some viable options that will hopefully ensure the OHR Archives survive and are available to the people most directly affected by its work.

Towards the end of my time at OHR I worked with the Director of the State Archives to deliver some training to BiH archivists. I am sure I learned as much as they did. In preparing for a session on legal aspects of providing access to archives I discovered that

according to the BiH Archive Law, in common with many former Communist countries, the State Archives have jurisdiction not only over government records, but also private and business archives. Moreover it is the archivists who decide what creating bodies, be they public or private sector, should keep – power indeed by comparison with our own Public Record Acts!

One of the participants quizzed me about the ultimate fate of the OHR Archives, insisting that OHR should not be allowed to destroy any records without permission of the State Archives. Leaving aside international organisations immunity from national law, I found this hard to understand – why would they think they could dictate appraisal terms to external creators/depositors? OHR had specified that I was to develop and carry out the appraisal procedures, I believed I was able to do this with integrity, yet I was hearing that it was not my job (with the faint hint that I/OHR could not be trusted to do it).

I finally realised that my difficulty in understanding was that in my archival culture government archival institutions have much less control over the appraisal and destruction process than they do in BiH.

I was also very interested in how BiH's Protection of Personal Data and Freedom of Information legislation works and how they differ from ours. The participants were too, judging from a comment to the effect that we Brits might have something to learn from the Bosnians about transparency! For example their data protection law stipulates that data must be released within 30 days (in contrast to our 40 day deadline) and it's monitored by an Information Commission, which is composed of a board of individuals – there is no link to the Information Ombudsman. Under BiH law, requests under Freedom of Information must be responded to within 15 days (compared with our own 20 working day deadline).

BiH authorities are not required to produce a publication scheme but they must provide indexes and registers of records held. Complaints can be brought to the Information Ombudsman, similar to our Information Commissioner but only responsible for FOI. On reflection it seems to me that Bosnian archives and creating departments still operate more traditional methods of records management such as registry systems. In any case, whatever their methods, it is obviously considered possible for

them to respond to requests for information and personal data much more quickly than is provided for under our law.

This article is not intended to be a traditional case study, so I have deliberately not taken you through the details of how I established a records management programme. Instead I have concentrated on the main challenges and the highlights of what was for me a very rewarding project. After many years of practising my profession both in employment and latterly as a consultant I was truly delighted to discover there is still so much to learn. My Bosnian experience was one of those particularly rewarding occasions when I felt I had stretched myself to achieve something really worthwhile.

For a longer version of this article with more pictures as well as recommendations of things to do in Bosnia and Herzegovina, see my website at: www.margaretcrockett.co.uk/ohr.php

There Be Monsters community outreach project

In October 2004, The National Archives (TNA) was awarded a grant by the Heritage Lottery Fund to run a community outreach project called There Be Monsters. The National Archives works with a range of audiences and one of the aims of this project was to demonstrate that our collections could be interpreted and enjoyed by people with a variety of interests and needs. Sara Griffiths, Outreach Officer at TNA, tells us more.

The mosaic and ceramic sculpture situated in the grounds of The National Archives today is the result of this project. It brought TNA into partnership with Workshop & Company, a Westminster based organisation that forms part of the Central & North West London Mental Health Trust. Workshop & Company offers clients with a range of experiences of mental ill health a pathway to recovery while developing their capabilities, learning new skills and building self-esteem.

Aims and early planning

One of the main aims of the project was to promote The National Archives to a community that is greatly marginalised by society and thus feels excluded from institutions like ours. Even if they do not feel intimidated by archives, many people consider there is nothing in our collection that would be of interest or be accessible to them.

Our plan was to use the maps and atlases within our collection to inspire

creativity and for this creative response to result in something tangible; a piece of sculpture permanently situated in our grounds for all to see.

Because of the costs involved, the project was dependent upon external funding. Before submitting our bid to Heritage Lottery Fund, we approached Workshop & Company and discussed the idea informally with some of their staff and members. It is essential to involve potential project participants and beneficiaries from the very

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Participants
study the map
collections of The
National Archives





beginning; their ideas and feedback will help you to scope and shape the project – and of course, their enthusiasm is key!

This should be done even with the knowledge that your funding bid might be unsuccessful.

Funding took almost five months to secure and the members were eager to get started. There was much excitement when it was announced that the project could begin and plans were made for the first visits of project participants to The National Archives.

"I never knew The National Archives existed..."

"It was a surprise that 'archives' meant more than births, marriages and deaths."

Visiting The National Archives

The participants, primarily members from the ceramic and mosaic groups of Workshop & Company, visited The National Archives during October and November 2004. They met specialist staff from the conservation and maps departments and studied some of the 17th and 18th century atlases and maps within our collection.

"I loved looking at the very early atlases."

"...how amazing the historical content and wealth of knowledge available is."

Inspired by what they saw and learned, the participants experimented with different sculptural techniques and created paper designs and maquettes in 'plasterzote', a type of foam. The group was impressed and inspired by the mythological creatures and symbols that appeared on some of the older maps. The mermaids, animals, shells and 'monsters' that appear on the sculpture allude to the fears and romanticizing of what lay beyond the known boundaries of the cartographers.

Submitting the designs

On 26 November 2004, some members of the group came to The National Archives to present their individual sketches and maquettes to a committee made up of National Archives' employees, including a member of the maps department. After much deliberation, a final design was agreed.

This brought together many of the group's ideas but also met the committee's own requirements on issues such as sustainability and health and safety. The design had been agreed and now the real work would start!

"Going to The National Archives with Workshop & Company to present my design made me feel nervous. But when we came before the Board they made me feel at ease... To have a chance to have a design included for the project made me feel elated."

The process

The group worked both at Workshop & Company's premises and in a rented studio where they were able to carry out the commission in an appropriate, creative environment. This was the first time that the group had worked in an artist's studio outside of Workshop & Company's premises. The participants all felt that this made them feel like 'proper' artists.

"Being away from Workshop & Company meant that the group in many ways had to fend for themselves. There was no one else to do the washing up or make the tea, sweep the floor. This space was theirs and their responsibility. They took ownership of it. They became an independent group."

The participants learned new skills while working on the project, benefiting from workshops carried out by specialist artists. The globe was made of concrete, cast in two parts with Northern and Southern hemispheres. The project participants then drew the countries following a National Archives' atlas of 1698, by John Seller. Mosaic tiles were then applied to the globe and the ceramic figures moulded, fired and positioned on the land and seas.

During the process of creating the sculpture, we realised that the ceramic 'monsters' provided an excellent

opportunity to allow children and adults with visual impairments to interact with the globe. To maximise this opportunity, we provided information about the project in Braille as well as in large and regular print.

From start to finish, the sculpture took approximately 650 hours to build and decorate.

"It was brilliant working on 'There Be Monsters'. I think the end result is fantastic."

The outcome

The sculpture, weighing approximately one tonne, was delivered and installed in the grounds of The National Archives at the end of January 2005 and final touches were applied to the plinth and base. It was unveiled formally on 11th February 2005 with many of the project participants and a number of Heritage Lottery Fund and National Archives' staff in attendance.

To accompany the launch and for a few weeks afterwards, we organised a small display in the Reception area of The National Archives. This outlined the project's aims and processes and showed some of the original maquettes and sketches that the participants had put forward for consideration. Feedback on the sculpture to date has been overwhelmingly positive with both

staff and visitors commenting on the colour and variety it brings to our grounds.

"Thank you so much – please come back and make some more! Best thing in the park!"

The learning

For The National Archives, the learning involved in such an important new venture has been of equal importance. There Be Monsters demonstrates that our collection can be used to inspire creativity and enthusiasm among new users. It further reinforces our belief in the value of working in partnership with community groups. A follow up lunchtime seminar on issues surrounding mental ill health was held for staff of The National Archives in early March 2005. This included personal commentary by some of the participants from the project and the seminar attracted a good attendance.

For Workshop & Company, There Be Monsters has been a special opportunity to move out of a traditional health setting and into a community based studio. It has developed the many talents of the participants and fostered a sense of unity with the team working towards a common goal. Care workers, GP's and psychiatrists working with the participants have reported back to staff at Workshop & Company the excitement and increased self-esteem evident in those involved.

"I enjoyed taking part in a project which treated all the workers with much dignity."

"When we face our next big commission, it will be with a lot more knowledge and self-assurance."

Further information

An Information sheet detailing the project is available in regular, large-print or Braille from Reception or from Sara Griffiths, Outreach Officer, Education and Interpretation Department at The National Archives.

A detailed Case Study will be available on The National Archives website (www.nationalarchives.gov.uk) or from the department shortly.

Please come and see it for yourself!

Sara Griffiths
Education and Interpretation
Department
The National Archives

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Participants, organisers and Val Bott (HLF London) unveil the sculpture outside The National Archives



Opening up the past: archive projects in Yorkshire and the Humber

Joanne Mateer, Development Officer at the Heritage Lottery Fund (HLF) regional office in Yorkshire and the Humber, gives an introduction to local archive projects, and to the ways in which the HLF can help the regional archival community.

Preserving, and opening up access to, the nation's archival heritage has been one of the major achievements of the Heritage Lottery Fund (HLF) in its ten years of operation. HLF recognises the value of archives in affirming a sense of national and local identity, and the importance of these records in our attempts to understand many aspects of our past.

In the Yorkshire and Humber region, we have supported a wide variety of projects. These projects range from the acquisition of nationally significant collections such as that of the Royal Photographic Society, now safely housed at National Museum of Photography, Film and Television in Bradford, to creating the conditions and facilities necessary for the proper preservation and storage of often fragile materials, as was the case with

the relocation of the Yorkshire Film Archive to purpose-built premises in central York.

We are fortunate in the region to have a significant number of specialist university archives, and have funded the development of the unique National Fairground Archive at Sheffield University, the enhancement of the University of Leeds's important International Textile Archive as well as building state of the art premises for the Borthwick Institute in York, which reopens in April.

Increasing access to heritage items lies at the heart of the Fund's work and is central to all our grant programmes. As part of the Access to Archives initiative, we supported the West Yorkshire Archives Service to carry out Yorkshire Signpost – the creation of an electronic

guide to regional archive material – as well as funding individual A2A projects in many regional priority areas, such as Shafts of Light in South Yorkshire and Fish and Ships in Grimsby and Hull, opening up access to coal and fishing catalogues and records respectively.

Through our development work in the region and contact with community-led heritage groups, we have caught an occasional glimpse of the huge volume of archive material held in lofts, community centres and other non-traditional repositories. Inevitably not all this material will end up deposited in local authority and 'official' archives and we recognise the risks that inadequate storage conditions and limited access provisions pose to these large community collections.

We are not always able to help, as often the collections in question are in private hands, and as a distributor of Lottery funds, we need to be certain that public benefit outweighs private gain with any project we fund. However, we are always keen to talk and help groups find a best fit between their needs and our funding requirements. Likewise, we are finding that the current nationwide appetite for local and family history shows no signs of abating and this is certainly the case in Yorkshire, where we have funded schemes in both local authority and independent archives in order to respond to public demand for access to the historic record. Rotherham Local Studies and Archives benefited from a £81,900 grant to establish its extremely popular 'Viewfinder' service, which has made the borough's sizeable collection of historic photographs

12
From the
National
Fairground
Archive at
Sheffield
University





available to enthusiasts and school groups alike.

Some miles north, in Horsforth, Leeds, a grant of £47,500 enabled the World War 2 Experience Centre to undertake conservation work on their precious biographical materials that tell the personal stories of WW2 and to interpret them, promoting a more meaningful understanding amongst the Centre's audiences.

HLF recognises the twin fundamental priorities of the archives sector – preservation and access – and this is reflected in the types of archive projects we have supported in both the Yorkshire and Humber region and nationwide. Increasingly, we are funding organisations looking beyond the material they have preserved or made available in virtual formats, and are innovating methods of engaging new audiences with that material. One such forward-looking organisation is the Yorkshire Film Archive (YFA), established in 1988 and for many years a one-person organisation, run single-handedly by dedicated Director Sue Howard. YFA has benefited from £768,800 of HLF funding to carry out one large capital scheme and two activity projects, which have made an impact on moving image heritage in Yorkshire and across the UK.

Offering the wonder of the cinematic experience and the familiarity of local surroundings or people, historic moving image material does not need to strive too much to capture the hearts and minds of a truly wide range of viewers. Documentary films and videos that tell the story of a place through its residents, industries and landscapes are a vital record, bringing a living dimension to history and identity that complement the written and photographic record. Much of this material has been shot by the eye of the amateur and consequently, film archives often rely on chance – and their profile – to acquire these highly prized items.

A HLF grant of £84,500 enabled YFA to run their very successful 'Film Search

Yorkshire' campaign, the object of which was to find hidden or 'lost' film and video material about life in Yorkshire, and once found, to screen that material to the public. The response was overwhelming, not least because a partnership forged with Yorkshire Television (YTV) allowed the Search to screen its pleas for films on the regional magazine programme 'Tonight' in the teatime viewing slot, as well as publicise its public screenings of found material to wide audiences.

A Film Search officer was appointed to run the project – Binny Baker – who was charged with collecting, preserving and exhibiting archive film material. YFA recognised that while they could not be prescriptive in what they were asking Yorkshire residents to contribute to the Search, there were gaps in their collections that this project could address. They looked out in particular for collections from films showing the emergence of multicultural communities in the region; later film collections depicting the 1950/60/70s which were generally not deemed as having 'historical significance', and material from certain underrepresented geographical areas in the region.

Individuals and families came up with the goods; museums, libraries, universities and businesses donated material, and it is indeed 'the generosity of individuals' that the Archive credits as having been 'the key to the project's success.' In total, over 1,000 items were acquired for the Archive's collections as a direct result of the Film Search project.

The new collections were aired to a fascinated public in a variety of ways. Non-traditional venues were carefully selected by Archive staff and events themed accordingly. Presentations to special interest groups across the region featured material specific to their local area and more often than not, spawned spontaneous reminiscence sessions. As part of the 2003 Bradford Film Festival, 'Spices and Splices' was hosted in the Omar Khan curry house in the city, and

viewers were treated to a wide-ranging showcase of material that was programmed ingeniously around the courses of their dinner. Highlights included footage of Queen Victoria's visit to Sheffield in 1897; an educational film 'Drive with Clare' – aimed at teaching women how to drive – dating from 1969, and a 1970s promotional video selling Harrogate as 'The Boardroom of the North'.

The partnership with Yorkshire TV was to prove more fruitful still, and saw the Archive go on to make an entire series of programmes based on their archive material. 'The Way We Were' drew new audiences for YFA and YTV, tapped into the national interest in local history and brought more film material donations rolling into the Archive.

The Archive has not just managed to secure a much-enhanced collection, a highly skilled project officer and the imagination of the Yorkshire people in the short-term; for as with all successful HLF projects, Film Search Yorkshire's outcomes will be sustained into the future. The search for films about the region will no doubt continue beyond HLF funding, but we are delighted to report that with the opening of its new repository and offices in York and the launch of its online database, the Archive is now able adequately serve the eager audiences it has stirred up with Film Search.

It is thanks to the hard work of the Archive's staff, the response of the public to their pleas and to the lottery players themselves, that the profile of the work of the Yorkshire Film Archive is now dizzyingly high.

This gives a very brief overview of the range of HLF archive projects funded in one region alone, and illustrates what can be achieved. However, it must be stressed that Archive projects are not special cases when it comes to HLF funding; just like museums or environmental or any other project, they must meet our strategic priorities.

Access and involvement are not merely desirable, they are essential. On-line access is simply not enough – co-ordinated marketing is required. Archive projects need to consider their target markets carefully, and seek to develop proposals to attract those sectors.

Archivists who are developing prospective applications and who would like to explore how their ideas could meet HLF's funding priorities should get in touch with their local HLF office to discuss the available options and to obtain up to date guidance on our requirements.

Pots, prints and papers: the Spode business archive

The Spode Museum Trust is responsible for the collections relating to the history of this long-established pottery manufacturer in Stoke-on-Trent. Val Bott, museums and heritage consultant, interviews her sister, Pam Woolliscroft, Spode's Curator, about work in this unusual kind of archive.

Pam Woolliscroft has worked for the Trust for ten years, the last five as Curator. As the tag on Spode Museum e-mails tactfully explains to enquirers "There is only one member of staff – thanks for being patient!"

Working single-handedly can be pressured, but her delight in the material in her care is very evident. The combination of frequently handling the ware and the need to research patterns, shapes and designs for both company use and to assist collectors and other researchers, has made her something of a Spode expert. And as Pam grew up in Stoke-on-Trent and has worked at the Gladstone Pottery Museum, the Chatterley Whitfield Mining Museum and Ford Green Hall during her career, this expertise is grounded in her wider knowledge of the history of the area.

The Spode Museum was established in the mid 1920s when artefacts began to be collected to illustrate and record the history and manufacture of wares from the beginnings of Josiah Spode's manufactory in about 1770 to the present. The Museum became a charitable trust in 1987 and the Trust holds the collections; the company is represented on its board, provides accommodation for the collections, funds the curator's post and houses the museum galleries as part of its provision for visitors to the factory.

Galleries were developed to display the collection and to provide a reference for the Spode designers. In 1996 a new Museum was created within the Spode Visitor Centre at the works, which is open to the public free of charge. The collection includes wares celebrating both Josiah Spode I and his son, Josiah Spode II – the perfection of underglaze blue printing and the invention of bone china being two of the most important developments made by the family. The remarkable range of antique blue and white transfer-printed wares is displayed separately on dressers and tables in The Blue Room, which is open by appointment.

Spode is the only pottery business in Stoke-on-Trent today to operate on the same site as it did in the 18th century. The brick buildings are laid out around the site in an essentially domestic style; there are now no bottle ovens but the foundations of one of these kilns can still be seen. Many traditional skills – such as transfer-printing and hand painting – are occasionally used alongside modern techniques, all of which are represented in the collections, and guided tours of the factory provide the opportunity to see these in practice.

The company has a long record of high quality production which is recorded in the historic collections; over 40,000 examples of ceramics, ranging over

more than two centuries, are housed at the Spode Works. These include an archive of undecorated pieces bearing the names of their shapes, 25,000 hand-engraved copper printing plates dating from the late 1700s for the production of transfer printed designs and reference materials from which patterns have been derived in the past.

In the mid 19th century, Spode purchased the remnants of the Chelsea Derby business – original sculpted models, moulds and figure parts – with the aim of reproducing the small figures which were so fashionable in the second half of the 18th century. The roughly 7,000 items from this source in the collection have been photographed and catalogued by husband and wife volunteer team Diane and Roger Oddy. The Spode Museum Trust also houses a collection of 'sprig' moulds mainly from its own early production as well as from the Turner factory and other small factories of the late 1700s.

Part of the paper archive has been deposited at Keele University. Spanning the period 1750-1950, this includes important series of account books, catalogues, recipes, price lists, volumes of technical data, correspondence, reports, deeds and photographs. The division of the paper archive was arbitrary, possibly a knee-jerk reaction to the takeover of the family company

with a desire to save items which may otherwise have been discarded. Both parts of the archive form a valuable primary resource for students of ceramics, design and industrial history, covering such subjects as collieries, costing, employees, exhibitions, experiments, exports, production and wares.

The collection also includes papers relating to the firm of W T Copeland and Sons, who took over the company from 1833, first in partnership and from 1847 as sole owners. Applications to use the archive whether at Keele or Spode have to be made through the Curator but access is provided at both sites.

A fabulous – and complete – run of leather-bound pattern books, dating from c1800 onwards and containing a record in watercolour and ink of most designs, completes the company's archive. The volumes belong to the Trust while the intellectual property rights remain with the company. They are housed in their own small strong room and provide a major resource for Spode's designers, with over 75,000 patterns recorded on paper, 25,000 on copper plates and thousands more recorded though not illustrated as records of specially commissioned orders in Fixing Books. Twenty-three books record badged and crested wares from 1833 to the 1970s.

Today the number of patterns produced each year is drastically reduced. No Spode employee now

works full time in the pattern safe and, although allocated pattern numbers in the same series, the patterns have not been recorded in the books since about 1998. Shapes are also recorded from about 1817 up to about the 1990s and the modellers now record these on CD.

When Pam first went to work at Spode, she found the designers and painters regularly took volumes from the strong room to use at their desks, carrying them across the yard in all weathers – they were just another resource for their work, as they had always been. Realising the risk to which these volumes were being put, she first provided appropriate sized carrying cases for books being borrowed. Eventually funds were found to begin to record digitally pages from the pattern books – the first 20,000 patterns are now available on disk for in-house use. This makes it easier to browse the designs by computer and wear and tear on the original volumes is minimised.

The digital records do not provide a public archive, as Spode wishes to protect the design tradition of which it is fiercely proud – it still provides past designs in shapes and patterns to order – and the archive of a long-established firm like Spode underpins its reputation, underlining its longevity, quality and traditions. Once each volume has been digitally photographed it goes off-site for conservation treatment. An excellent working relationship between the Spode Museum Trust and its chosen

conservators, Derry Paper and Book of Nottingham, began in 2000 and continues in 2005.

Besides protecting and managing this resource, Pam provides other services to the business. In recent years Spode has re-used a number of its old designs and marketed them under the name of *The Blue Room Collection*. These wares appeal to modern collectors and you can quite often see them on sale in museum and historic house souvenir shops. Pam has provided accurate historical data, including pattern names and dates of first production, to support the promotion of these items by the marketing team. She has also contributed to the annual trade exhibition.

A new range of large pieces known as the *Signature* range drew directly upon items in the collection and used antique copper plates to develop the designs with close co-operation between the head engraver and the Curator. Special items such as a dessert service for 36 for the Queen (a private gift from the pottery industry to celebrate her Jubilee), whilst thoroughly modern in shape and surface pattern design, had its origins in the exquisite Regency dessert services made by Spode. Research by Pam in the archive helped the team to decide just which pieces to make.

Pam provides a very effective information service; there are many collectors of antique Spode pieces all over the world. Enquiries come from

14
Designs circa
1816 in one
of the pattern
books



private collectors, other museums (most recently in Latvia and Russia), wreck divers and archaeologists – all can have their finds almost instantly identified. The majority of the enquiries relate to the dating of specific pieces, much of which can be done by reference to original items in the museum collection and the pattern books. Enquiries sometimes also reveal information which is of use in dating items in the collection, identifying the source of their patterns or revealing previously unknown items, such as glass commissioned and sold by Copeland but not manufactured by them and unrecorded.

Dealing with day-to-day enquiries is time consuming. Few of the enquirers can visit the museum and archive in person, so a judgement has to be made about just how much research can be done on their behalf when there is only one member of staff and a few volunteer helpers. Some of the enquiries generate original research which is written up either by Pam for specialist publications or by the enquirers themselves as part of a thesis, book or magazine article.

From 1998 to 2002 Pam edited the Spode Society's Review and she has written several articles on unusual aspects of the collections for this and other publications including *Antiques Magazine*, *Curtis's Botanical Magazine* and the *Northern Ceramic Society Journal*. Advice is also given for film and television productions and ties in with the loan of new product in 'the right style'.

The Museum Trust has been very fortunate in being able to draw upon the expertise of Robert Copeland, a descendant of the family involved in the business in the 19th century and a great expert on many aspects of the ceramics industry. A master potter and former partner in the firm, he has served as a trustee, worked as a volunteer and made his own Spode collection, much of which is now part of the Spode Museum, as well as being the author of standard works on Spode.

Other experts have helped with identification and cataloguing and a small number of voluntary helpers assists with enquiries. Currently four volunteers work on specific projects designed to meet the museum's needs but also relating to the volunteers' specialist subjects and skills.

Pam has found that four projects is the maximum one member of staff can practically supervise and even this has involved up to six volunteers as husband and wife teams worked together! Manual recording is often



used rather than electronic systems, but this ensures that the documentation is continuing apace where it would not otherwise have done. One volunteer has catalogued a major part of the paper archive over three years, but bundles and boxes of untouched papers remain. The Curator catalogues all new acquisitions, whether paper or object, and this prevents the massive backlog becoming even larger. In the last four years, with paid staff reduced from three to one, the value of the volunteers' dedication to their projects cannot be over-emphasised.

The recruitment of volunteers is approached formally, with application forms, project forms, and description and duration of project all detailed. This allows for withdrawal from the project by either party without difficulty should it be necessary.

The museum has its own e-mail and website and handling electronic enquiries is big business. Pam makes maximum use of the outcomes of her research and the website is an absolute treasure trove of material (see www.spode.co.uk/History/history_main_new.html). For someone new to the subject, it is possible here to explore the general history of the company, find a full bibliography, look up individual patterns and shapes and obtain their histories and find links to other relevant museums. There is a clear page about the enquiry service, explaining that finding answers can take time and encouraging donations via Paypal towards the cost of running the museum and archive.

Though the work is fascinating and satisfying, it is exhausting running a busy business archive of this kind

single-handedly. An additional member of staff would make an enormous difference but the current pressure of work makes it hard to find the time even to begin to write applications for grants which might make this possible. As is the case with other businesses, the museum and archive operation is only a tiny part of the matters which concern the company, so it requires a degree of internal public relations activity on the part of the Curator to ensure that its significance is not forgotten. And there is always the risk that a strong ally within the firm can either be a champion or become possessive to the exclusion of others!

In an area like North Staffordshire, where there has been a dominant industry for centuries, there is also a need to maintain strong networks with the other museums and archives which deal with the subject, such as the Potteries Museum and the Wedgwood Museum. The economy of the area has been damaged by the loss of coal-mining and steel-making and competition from abroad, where labour is extremely cheap, is threatening the ceramics industry, with mergers and takeovers and consequent job losses across the city.

The Minton Museum and the Doulton Museum have been closed and their ceramics collections sold off in the last few years; their archive material is not available. This makes the integrity of the Spode collections and their presence on the historic site exceptionally important and gives a strong sense of purpose to the work of the Spode Museum Trust.

Standards and guidance

Seamless Flow

Over the next few years, The National Archives (TNA) will gradually move from an institution whose main medium of operation is paper-based to one which mainly deals in electronic records.

We already have a working digital archive which can be accessed in the reading rooms at Kew. This includes a range of important material, including the Victoria Climbié website, a snapshot of the 10 Downing Street website as it was on 6th June 2001 (the day before the election); records of meetings and discussions of the Independent Expert Group on Mobile Phones, 1999 – 2000; and the records of the Inquiry into the management of care of children receiving complex heart surgery at the Bristol Royal Infirmary.

Most government records are now created electronically as a result of the widespread introduction of electronic records management systems. Current legislation means that the bulk of records are not transferred until they are thirty years old. However there have been changes with Freedom of Information (FOI): 'closed until 30' disappeared in January 2005; there is increasing impetus from departments to transfer records at an early date since some are reluctant to become involved in preservation involving, for example, costly migration processes.

In addition, we have begun to acquire government websites. We need to make arrangements to select and preserve such records as soon as possible after their creation since, unlike paper, they are very vulnerable to corruption and loss.

At the moment, electronic records created in government departments are selected and transferred to The National Archives where they are

stored in our digital archive. The process is quite labour intensive, with TNA staff being involved in selection, disposal, preparation for transfer, closure of sensitive materials, cataloguing and adding to the archive. So far, no preservation (as opposed to storage) activities have needed to be undertaken since the records are relatively young. Currently the electronic records can only be seen in the reading rooms at Kew.

Over the next few years, we expect that the volume of electronic records which are transferred to the archives will increase dramatically, but we will need to be able to handle them within existing staff resources. The only way we can do this is by automating as many of the processes as possible (including destruction of records according to schedules, transfer, cataloguing, managing redacted versions where FOI exemptions apply, preservation and delivery) and ensuring that others (selection, exemption identification, redaction) take place at creation in the departments or as soon as possible. We will also need the capacity to handle an increased range of document types – video, databases, animations etc.

We must have the ability to actively preserve the records, for example to migrate electronic records to new formats as they become obsolete. In addition, we will need to handle the early access changes brought about by the FOI Act, including delivery of electronic records to users over the internet.

We will simply not be able to absorb the increased volume of electronic records by scaling up our existing semi-manual processes. Only a re-engineering of the work flows and a major investment in automation of the processes, as envisaged in the Seamless Flow programme, will provide a solution.

The Seamless Flow programme is divided into a number of different projects, all of which are moving ahead rapidly. These are:

Appraisal and selection of records

This is a programme to enable as far as possible the automatic application of selection criteria to electronic records. This will involve close liaison with government departments and the development of methods to select files at creation time.

The selection and appraisal process requires human brain power and therefore, as far as current technical development is concerned, is less open to automation. But the more precise and rule-driven procedures and selection criteria can be made, the more the process of selection can be automated.

Metadata, archival description and resource discovery

This project is about describing and identifying electronic records which have been stored in our digital archive. We are planning to develop a single search engine which would allow users

1



1
Earliest surviving Historical Manuscripts Commission page

2
TNA digital archive pages

of the website to search a whole raft of resources – digital records, the web site, a range of databases (Catalogue, AZA, DocumentsOnline, National Register of Archives) as well as external sites, such as censuses. A single web search box would allow access to potentially millions of historical records and would transform history and family history in this country.

Management of the survival of semi-current records in the departments

In this project, we are looking at how we ensure that records survive between the time they go out of current use in departments and the time they are transferred to Kew. We hope to reach agreements with departments that records should be transferred to us when they are about ten years old. This is to ensure that they can still be read using current technology – if we left it any longer, the files would probably be unreadable. We fully accept that many departments will not be able to transfer material to us at that date and we hope to work with them to agree the conditions under which such records are to be kept.

Transfer to TNA of records and metadata

The Transfer project is responsible for developing a transfer tool capable of delivering a package of records and metadata from departments to Kew. It is also responsible for defining the transfer process, up to the point when the records are loaded into the preservation storage system, including definition of the transfer metadata set.

Preservation and maintenance

The Preservation & Maintenance project is responsible for developing the systems for storing electronic

records – the pre-accession server, the preservation storage system, and the loading tool.

Technology watch

The Technology Watch project is about ensuring we have technical information about the electronic records we hold. In particular, we need to know when the file formats will cease to be readable on current technology. When this happens, we will need to have a method to migrate them to something which can be read on modern machines. For example, if we had taken in Amstrad PCW files, we would have needed to transfer them to Microsoft Word or a similar technology so they could still be read.

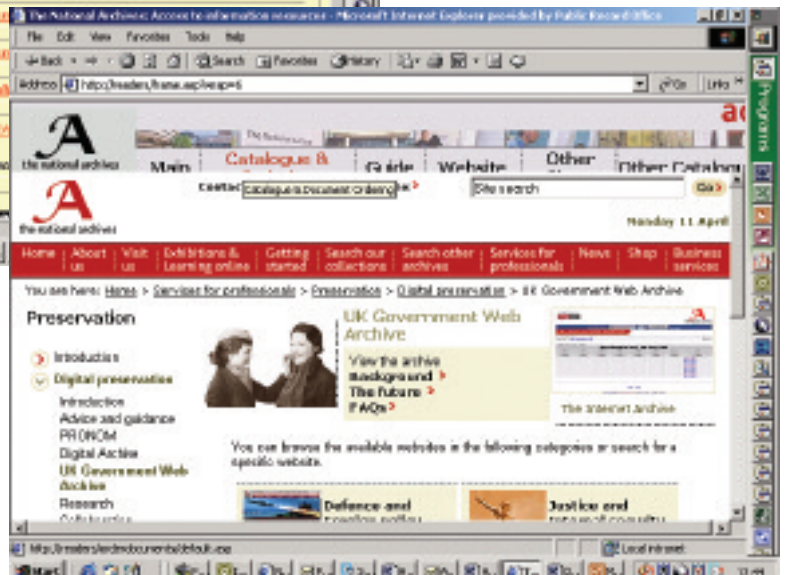
Delivery and presentation to users

This project is looking at how we can deliver digital records to our users. It has to look at a range of file types – everything from Word documents to video and virtual reality models. It also has to address a host of different customers, including members of the public accessing the internet at home, visitors to Kew, staff and other Government Departments

Management and security issues

This project is looking at the security issues surrounding the Seamless Flow programme to ensure that we conform

2



to current standards and to ensure that we can safely redact closed portions of records.

Where are we now

A pleasing amount of progress has been made on the Seamless Flow programme and we intend to have some products available for use within the next few months:

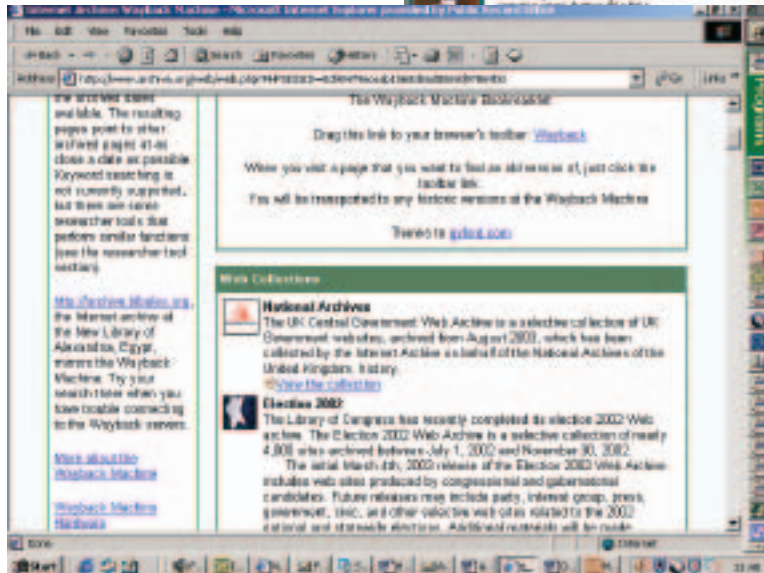
Delivery and presentation: users of the reading rooms at Kew can already get access to open records in the digital archive through our internal network and we are planning to make these records available on our website in mid-April.

Search: we have produced a statement of requirements and have begun to talk to potential systems suppliers. We have produced some initial sample screens. The way the search system will work is that a user will type in a query and this will result in a number of hits. These will be classified into categories and users will then be able to drill down to find more detail at lower levels. Anyone who has used eBay will be familiar with the way our screens will look. We are working with a design consultancy to consult staff and users about the way in which information will be classified on our search screens and we hope to purchase appropriate search technology later in the spring.

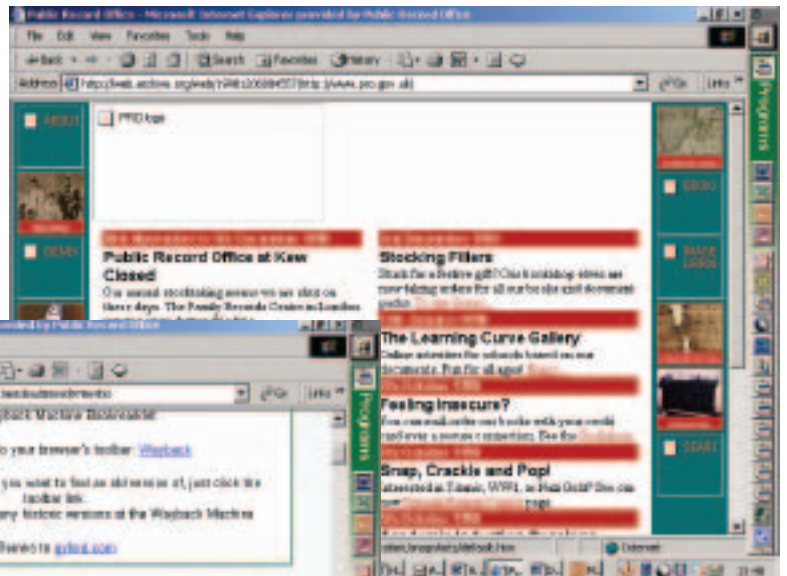
3
Earliest Public Record Office page now surviving

4
Internet Archive digital archive page

4



3



interface will be launched in 2005, offering seamless access to the combined collections of all the Consortium members.

A major attraction of this approach is that it is allowing a diverse range of partners, with different requirements, selection policies and curatorial traditions, to work together for a common purpose. Thus, for example, the Consortium provides a forum to discuss the practicalities of selection, and has enabled us to develop a common collecting policy, which balances the interests of each partner.

We are also successfully collaborating on the creation of thematic collections, whereby each partner collects websites from within their particular domain which are relevant to a specific topic, such as the Boxing Day Tsunami or the UK General Election. Having direct control over the harvesting process also provides us with a rapid-response capability, and great flexibility in our choice of sites to collect.

Preserving digital records and harvesting and hosting websites present huge technical, logistical and financial challenges to archives. The National Archives cannot go it alone in this field and we have a good track record in collaborating with UK and international partners to ensure that we have access to the best ideas and the best technology to ensure the survival of these new and crucial forms of records.

David Thomas
Director of Government and Technology
The National Archives

Semi-current records: a draft custody policy has been developed in consultation with government departments and this is to be published shortly.

Technology watch: our current work on technology watch is based around the enhancement of our registry of technical information (PRONOM) and the development of a tool to perform automatic file format identification. Amongst other things, the PRONOM enhancements will enable us to record detailed technical information about file formats to support our preservation activities. The file format identification tool will use signature information stored in PRONOM to identify the precise format and version of digital files, and is intended to support the batch processing of electronic records upon accession into our digital archive.

However, as with PRONOM, it will also be made freely available as a resource to the wider community. The next stages of development will focus on developing a preservation assessment and planning system, an automated migration system, a range of further tools for functions such as file format validation and metadata extraction, and enhancement of our technical registry to support these activities. These systems also will be fully integrated with our electronic records transfer, preservation storage, and presentation systems.

Websites

While all this work has been going on, we have also begun to develop our collection of UK government websites. We have a contract with the Internet Archive (www.archive.org), which harvests 53 websites on our behalf and stores them on their servers in California, with copies held at the Bibliotheca Alexandrina in Egypt. You can access these through our website: www.nationalarchives.gov.uk/preservation/webarchive/

We have now agreed to acquire the Internet Archive's back catalogue of UK government websites and will hold back-ups of these at Kew. We are also working with the British Library, the National Libraries of Wales and Scotland, the Wellcome Trust, and the Higher Education Funding Councils for England in the UK Web Archiving Consortium. This was launched in June 2004 with the initial goal of conducting a two-year pilot project to establish a model for collaborative web archiving, using a shared technical infrastructure.

The consortium is using the Australian Pandas software as the basis for this pilot project. The software allows the partners to remotely harvest selected websites, and to perform quality assurance and cataloguing, while a second interface provides public access, allowing users to search and browse through the collection. This public

Evaluating compliance against the Records Management Code

The Freedom of Information Act was implemented fully in January 2005. As is now well understood the Act created a right of access to official information and places a duty on public authorities to publish information in accordance with “publication schemes”.

In addition, the Act encourages all public authorities to maintain their records in accordance with the provisions of a Code of Practice issued by the Lord Chancellor under section 46 of the Act giving guidance on the practice which, in his opinion, it would be desirable for them to follow in connection with the keeping, management and destruction of records (this document is more popularly known as the Records Management Code). The Records Management Code itself is published on the website of the Department for Constitutional Affairs

To support public authorities who are intending to adopt the Records Management Code The National Archives (TNA) has developed an evaluation workbook to assist such organisations assess the degree to which their record management systems conform to the Records Management Code. It is hoped this workbook will be of real interest to records and information managers in public authorities and will provide a useful tool in support of their role.

The workbook itself focuses on the areas listed in the Records Management Code for action. The action points required by the Code were further defined in the model action plans, which TNA published previously. The key areas for assessment within the workbook are:

- Records management function
- Record Management policy statement

- Roles and responsibilities
- Training and awareness
- Records creation and record keeping
- Records maintenance
- Records disposal
- Access (part of Records creation and record keeping which it has been more convenient to handle separately)

It also contains a chapter on

- Performance measurement

Completing the questionnaire contained in this workbook will establish the degree to which an organisation complies with the Records Management Code. It also provides a mechanism to evaluate the level of risk to the organisation by records management that does not conform to the Records Management Code and considers appropriate mitigation strategies.

TNA has published an initial edition of the workbook in the form of a consultation draft as part of a formal public consultation exercise to seek practitioners’ comments and contributions are explicitly invited from within the records and information management sector. All contributions will be welcome as if this initiative is to succeed TNA needs to ensure this document is apposite and readers of *Recordkeeping* constitute a key target audience whose feedback will be highly relevant.

TNA is also formally approaching audit and other information governance

bodies to seek their advice on this draft as it is hoped it will ultimately support information governance within central and local government, the health sector, education and the police and emergency services. It is hoped that the revised workbook, which will be developed in response to the feedback, will be used by organisations and external auditors to assess performance in all sectors.

The workbook can be accessed at: www.nationalarchives.gov.uk/news/stories/62.htm

Two copies of the draft workbook are provided; one copy is in rich text format (RTF) and the other is in portable document format (PDF). Both copies can be downloaded from this web address.

TNA proposes to produce and publish the revised edition following the end of the consultation period in July 2005.

Anyone wishing to comment on the document or requiring further information and assistance concerning the role of this workbook are requested to send all submissions and comments by 30 June 2005 to: rmadvisory@nationalarchives.gov.uk

Richard Blake
Head of Records Management
Advisory Service
The National Archives

The 2004 Environmental Information Regulations: a brief reminder

For the overwhelming majority of authorities processing requests for information under the new Freedom of Information Act (FOI) and the 2004 Environmental Information Regulations (EIR) only a tiny proportion are likely to have fallen under the Regulations.

For this reason, the Regulations have largely been overlooked as authorities have focused their energies on implementing processes and procedures to enable them to comply with the Freedom of Information Act. As I try to show in this article, it is important nevertheless to be aware of the Regulations and to know how to process requests for information the Regulations define as 'environmental'.

Divided into four parts, the first discusses why the Regulations exist, where they have come from and how long they have been around. The article then considers how 'environmental information' is defined, the main differences between the Regulations and the FOI Act and lastly where to find further information.

The 2004 Environmental Information Regulations: a brief history

The Environment Information Regulations were first introduced into UK law in 1992. The necessity to update and extend these arose from the UNECE (UN Economic Commission for Europe) Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters which was adopted in Aarhus, Denmark on 25 March 1998 (called the Aarhus Convention). The Convention agreed that without open and accountable government, environmental sustainability (the protection of the environment for future generations) could not be assured. The substance of

the Convention was then included in a 2003 EU Directive on Access to Environmental Information which was brought into UK law through new legislation. Made in Parliament on 21 December 2004, the Regulations came into force with the FOI Act on 1 January 2005.

How the Regulations define 'environmental information'

In the Regulations, the term environmental information covers a broad range of information. Regulation 2(1), where this definition is set out, describes it as information in any form (written, visual, aural, electronic etc.) on any of the following:

- a the state of the elements of the environment, such as air and atmosphere, water, soil, land, landscape and natural sites including wetlands, coastal and marine areas, biological diversity and its components, including genetically modified organisms, and the interaction among these elements;
- b factors, such as substances, energy, noise, radiation or waste, including radioactive waste, emissions, discharges and other releases into the environment, affecting or likely to affect the elements of the environment referred to in (a);
- c measures (including administrative measures), such as policies, legislation, plans, programmes, environmental agreements, and

activities affecting or likely to affect the elements and factors referred to in (a) and (b) as well as measures or activities designed to protect those elements;

- d reports on the implementation of environmental legislation;
- e cost-benefit and other economic analyses and assumptions used within the framework of the measures and activities referred to in (c); and
- f the state of human health and safety, including the contamination of the food chain, where relevant, conditions of human life, cultural sites and built structures inasmuch as they are or may be affected by the state of the elements of the environment referred to in (a) or, through those elements, by any of the matters referred to in (b) and (c).

This wide-ranging definition will bring within the scope of the Regulations a considerable amount of record offices' holdings.

Main differences between FOI and the Regulations

DEFRA (Department for Environment, Food, and Rural Affairs), the government department responsible for implementing the Regulations, has endeavoured as much as possible to minimise the differences between the two access regimes. In order to comply fully with Aarhus and the EU Directive,

some differences were inevitable and these need to be borne in mind when assessing and handling incoming enquiries. The main differences are:

- Unlike FOI requests which have to be written down, EIR requests can be made orally as well as in writing. This means that EIR enquirers can make a request in person and by telephone.
- FOI requests can be refused either in part or wholly if one or more exemptions apply. The equivalent of these in the Regulations are called exceptions. All of these exceptions require consideration of the public interest in releasing the information. Regulation 12(1)(b) states that some or all of the information deemed to be environmental information may be withheld if, 'in all the circumstances of the case, the public interest in maintaining the exception outweighs the public interest in disclosing the information'. Remember though the 'presumption in favour of disclosure' (Regulation 12(2)).
- In the FOI Act the upper cost limit for government departments is 3.5 working days (for local authorities it is less). If it will take more than 3.5 working days for a government department to track down certain information, then that department may issue a refusal notice but not before it has offered the enquirer help and assistance to narrow down or re-scope the original enquiry. In the Regulations there is no cost limit although EIR requests can be refused on the grounds that they are 'manifestly unreasonable'. (Regulation 12 (4) (b))
- The deadline for FOI requests is 20 working days as it is for EIR requests, but no additional time is allowed for the public interest test. The only circumstances in which an extension of a further twenty working days is allowed is if the request is 'complex and voluminous'.

Further information

As the lead department in the implementation of the Regulations, DEFRA has issued lots of helpful advice and information. On its website (www.defra.gov.uk) you will find the Regulations themselves, the accompanying Code of Practice (at the time of writing soon to be passed by parliament), detailed guidance (issued under Regulation 16) along with an informative set of Frequently Asked Questions.

In addition to this, there is information, including guidance about each of the exceptions, on the website of the Information Commissioner (www.informationcommissioner.gov.uk).

Rick Mitcham
Information Policy and
Legislation Unit
The National Archives

Recently released useful publications

Publications from The National Archives

Complying with the Records Management Code: Evaluation Workbook and Methodology – Consultation Draft

This evaluation workbook was developed to assist public authorities in assessing conformance of their record management systems to the Records Management Code. This edition of the workbook has been published as a formal public consultation draft and comments and contributions are invited. See page 40 for further information.

Preparation of Records for Transfer to The National Archives

This standard – a best practice benchmark for all organisations transferring records to The National Archives or other approved places of deposit for public records – has been revised. The guidance will be launched formally at the next meetings of the Records Management Liaison Group (in Kew on May 12 and in Manchester on May 19).

Operational Selection Policies

Operational selection policies (OSPs) apply the criteria set out in the Acquisition Policy to the records of individual departments and agencies or to records relating to a cross-departmental theme. There are four recently finalised OSPs:

- OSP 30: Government and people: the interaction of the state with the citizen
- OSP 31: Post 16 Education, 1974–1988
- OSP 32: Records relating to court actions for individual bankruptcy
- OSP 33: Records relating to court actions for corporate insolvency

There is one OSP currently out to consultation:

- OSP 34: Restrictive Trade Practices 1956–2000
www.nationalarchives.gov.uk/recordsmanagement/selection/ospintro.htm

Optional Module B.4: Case Management and Workflow

The National Archives updated the functional requirements for electronic records management systems (ERMS) in collaboration with the central government records management community during 2002. This recent guidance is an optional module of functional requirements for integrating a case management application with an electronic records management system.

www.nationalarchives.gov.uk/electronicrecords/reqs2002/pdf/b4casemanagement_workflow_v10.pdf

Publications from other organisations

Archives Awareness Campaign

Impact Assessment and Evaluation Report, March 2005
www.ncaonline.org.uk/pubs.html

Department for Culture, Media and Sport – A Giving Culture: Getting the best out of the relationship between the voluntary and community sector and DCMS

This consultation document provides a detailed assessment of DCMS's engagement with the voluntary and community sector and sets out a series of consultation questions on how this relationship can best be maximised in the future.

www.culture.gov.uk/global/consultations/2005+current+consultations/a_giving_culture.htm

International Council on Archives – A Workbook for Archivists

This guidance is the work of the ICA Committee on Current Records in an Electronic Environment and addresses the consequences of the fact that, throughout the world, records of all sorts are increasingly produced in electronic form. The work takes a practical approach to managing and preserving electronic records throughout their lifecycle. To download the workbook, see www.ica.org.

Museums, Libraries and Archives Council – Archives Development Programme 2005–2006

The Archives Development Programme has been developed by nine teams within MLA and the nine English Regional Agencies for museums, libraries and archives. The Programme consists of targeted projects and activities aims to achieve a consistent level of impact and outcomes in the archives domain in England. It is informed by the recommendations and research of Listening to the Past, Speaking to the Future, the report of the Archives Task Force.

www.mla.gov.uk/action/archives/00archives.asp

National Preservation Office – Packing and Moving Library and Archive Collections

This leaflet gives guidance on best practice for conducting the move of a library or archive collection. It describes areas of the move where the collection may be at risk, and suggests how the risks may be minimised by good planning. Outlines for the specification of handling and packing criteria for contractors are provided.

www.bl.uk/services/npa/publicationsleaf.html

UK Information Commissioner- FOI Awareness Guidance

Awareness Guidance 28 – Parliamentary Privilege
www.informationcommissioner.gov.uk/eventual.aspx?id=1024

Contacts

Contacts and staff news

Staff changes

National Advisory Services:

Nick Kingsley is the new Head of National Advisory Services, joining The National Archives from Gloucestershire Record Office. Andrew Rowley has been promoted to Head of Inspection Services. The department has two new Archive Inspection Officers: Tom Vincent joins us from the Yorkshire Film Archive and Kevin Mulley joins us from Bury Archive Service. Michelle Foggett has left the department to join the Moving Here project team. Steven Jones and Eleanor Russell have both left The National Archives: Steven for a new role at DEFRA and Eleanor for a post at the Cabinet Office.

We wish them all well in their new jobs.

Contacts

Tel: 020 8876 3444 (followed by staff extension)
Fax: 020 8392 5286

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

National Advisory Services

Enquiries to nas@nationalarchives.gov.uk

Katie Woolf, Communications and Advocacy Manager
x 2380

Advice on places of deposit and public records

Advice on issues relating to the management of public records in approved places of deposit, including disposal, legislation, standards for storage and access: Andrew Rowley, Head of Archive Inspection Services
x 5318
www.nationalarchives.gov.uk/archives/advice/pod.htm

Advice on non-public records

- Advice to all owners and custodians of non-public records on standards for storage of and access to private archives
 - Advice to grant awarding bodies
 - Sales Monitoring
 - Liaison with regional archive councils and regional agencies
- Norman James, Director of HMC Advisory services
x 2615

Regional and home country archival liaison

Scotland	– Alex Ritchie
Wales	– Michelle Kingston
London	– Rachel Bell
South East Region	– Melinda Haunton
South West Region	– James Travers
Eastern Region	– Anthony Smith
West Midlands	– Liz Hart
East Midlands	– Rosie Logiudice
Yorkshire and the Humber Region	– Amy Warner
North East Region	– Catherine Guggiari
North West and Northern Ireland	– Mary Wills

Electronic Records Management

Enquiries to e-records@nationalarchives.gov.uk

Ian Macfarlane, Head of Electronic Records Management Development Unit
x 5366
www.nationalarchives.gov.uk/electronicrecords

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 in government departments

Enquiries to records.management@nationalarchives.gov.uk

Meg Sweet, Head of Records Management Department
x 5315

Kelvin Smith, Head of Cataloguing and Accessions Unit
x 2303

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

Malcolm Todd, Project Manager: Sustainability of electronic records
x 5340

Stuart Abraham, Access Manager
x 5346

Key contacts in other National Archives departments

Information legislation

- Advice on Freedom of Information and its impact on records management and archives
- Information on proposed records and archives legislation
- Guidance on data protection and its impact on records management and archives

Susan Healy, Information Policy Project Manager
x 2305
www.nationalarchives.gov.uk/policy

Digital Preservation issues

Enquiries to digital-archive@nationalarchives.gov.uk

Adrian Brown, Head of Archive Services and Digital Preservation
x 5257
www.nationalarchives.gov.uk/preservation

Conservation and preservation of traditional materials

Enquiries to conservation-preservation@nationalarchives.gov.uk

Mario Aleppo, Head of Conservation
x 5263

Copyright and intellectual property issues

Tim Padfield, Copyright & Policy Manager
x 5381
www.nationalarchives.gov.uk/legal/copyright.htm

Advisory Council on national records and archives

For information on the remit and meetings of the Advisory Council:
Tim Padfield, Copyright & Policy Manager
x 5381

Social inclusion and diversity issues

Including online and cataloguing initiatives and The National Archives' User Advisory group:
Rachel Hasted, Social Inclusion Project Manager
x 2531

Archives awareness initiatives

Archives awareness campaign officer:
press@nationalarchives.gov.uk
x 5277

Education, learning and access, schools and universities

Events, exhibitions and outreach programmes for schoolchildren and undergraduates, Learning Curve and other online initiatives:
Tom O'Leary, Head of Education & Interpretation Department
x 5298

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

Vanessa Carr, Head of Department Research, Knowledge & Academic Services
vanessa.carr@nationalarchives.gov.uk
020 8876 3444 (x 2212)

Public enquiries about records held at The National Archives

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enquiry@nationalarchives.gov.uk

Tel: 020 8876 3444
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The National Archives Kew Surrey TW9 4DU
www.nationalarchives.gov.uk/services/recordkeeping.htm

