

## Standards and guidance

# Giving Value

*Giving Value: Funding Priorities for UK Archives 2005-2010* is a key new report launched by the National Council on Archives (NCA) in November 2005.



The National Council on Archives published *British Archives: The Way Forward* back in 1999, a document designed to influence the funding agenda for the sector up until 2004. In that five year period there have been various structural and legislative changes in the sector that have had significant impact on archive development and funding priorities. The case for additional funding for archives was set out in the report of the Archives Task Force *Listening to the Past, Speaking to the Future* but this has not yet seen additional funds being released to the sector from central government. Through *Giving Value*, the National Council on Archives is seeking to maintain the pressure on central and local government, and other core funders, to address the under-funding in the sector. It also aims to influence the funding priorities of external funding bodies.

The report refers to five key priority areas for funding: 'Online Access', 'Engaging New Audiences', 'Sustainable Development', 'Interpretation' and 'Excellence and Innovation'. These areas are broken down into a range of activity strands. For example, there are a range of issues covered under 'Sustainable Development' including new buildings and capital improvements, improving the preservation of archives, ensuring appropriate developments in electronic preservation, improving the skills of the workforce, encouraging the involvement and training of volunteers, capacity building and collections development.

Each activity strand is demonstrated by an existing project. These case studies reflect activity across the UK and are

funded by a range of organisations and funding schemes. They include a diverse selection of projects from the City of Westminster Archives 'Education Through Football' project to the purpose-built premises of the Yorkshire Film Archive. The case studies demonstrate the effectiveness of archives to deliver high quality services when given appropriate funding. It is hoped that by publicising the success of such projects, we can begin to get funders to consider the benefits of these activities and provide appropriate core funding to mainstream their delivery.

The publication of the report is only the first stage in the life of *Giving Value*. Copies have been distributed to all members of both Houses of Parliament and to key stakeholders. *Giving Value* was launched at the Archive Awareness Campaign Debate at the British Library (see page 12) and its distribution coincided with an online petition, coordinated by the National Council on Archives, to be submitted to the Secretary of State for Culture, Media and Sport. NCA will be using the report to support its lobbying work with a range of funders. For example, it is being used as part of the NCA's response to the consultation on the Heritage Lottery Fund's third strategic plan.

It is hoped that individual archives and interest groups will be able to use the report as part of advocacy work with their own governing bodies for appropriate funding, and to approach external funders with projects aligned to its key priorities. A companion document, *Guide to Giving Value*, has been produced to help archives use *Giving Value* more effectively. As

archivists have rarely had the opportunities to access either additional funding or professional fundraising expertise, it aims to outline how a number of simple activities can assist in presenting the evidence needed for additional funding. It also directs readers to additional sources of funding advice.

It is encouraging that more general fundraising support is now available to archives via the regional Museums, Libraries and Archives Council's funding advisers, and, in particular, that opportunities such as the SEMLAC (South East Museums, Libraries and Archives Council) bursaries for 'The Essentials of Fundraising' are being developed. The NCA will continue to strive to influence funders at a national level to improve the funding situation, but it is also important for archivists, both individually and collectively, to equip themselves with the tools to influence, negotiate and present the case for better funding. We hope that *Giving Value* will be a valuable addition to this toolkit.

Copies of both documents have been sent out to repositories and are available to download from the NCA website at: [www.ncaonline.org.uk](http://www.ncaonline.org.uk).

**Louise Ray**  
Archive Lottery Adviser  
National Council on Archives

# The Appraisal Report: the first stage in preparing seamless digital transfers to The National Archives

Eighteen months ago *RecordKeeping* reported on the publication of The National Archives' Appraisal Policy (*RecordKeeping* Summer 2004, p.26-27) outlining some of its key conclusions.

The last report on appraisal in *RecordKeeping* noted that central to the strategy had been consideration of the impact of digital records on the appraisal process. Since then the Inspection and Client Manager Unit (ICMU) at The National Archives (TNA) has devised a form – the Appraisal Report – to enable the 'macro-appraisal' of digital records created in agencies. The Report is a major contribution to TNA's Seamless Flow programme (see [www.nationalarchives.gov.uk/electronicrecords/seamless\\_flow/default.htm](http://www.nationalarchives.gov.uk/electronicrecords/seamless_flow/default.htm)).

This article explains the thinking behind the Appraisal Report, its range of possible uses and the next steps in the development of appraisal strategies for digital records.

## The Appraisal Report

The Appraisal Report has been agreed by a sub-group of TNA's Management Board as a feasible method to appraise the digital records of agencies, Non-Departmental Public Bodies and similar government organisations with discrete statutory remits. Its crucial aim is to gather information about the organisation concerned and the nature of the records it produces to facilitate decision-making about the most important records to be permanently preserved.

The first three sections gather information about the organisation, especially its statutory remit – that is its main functions – as laid down in enabling legislation, statutory instruments etc.

The fourth and most important section gathers information about different types of records created in the agency and formulates appraisal decisions. This information is gathered under the following headings:

- The committee structure and names and remits of central committees
- Types of 'policy' work undertaken from the development of primary legislation to issuing advice and guidance
- Operational records – so far 21 operational activities have been identified, such as licensing, inspecting, providing emergency services
- Databases held either within or outside an Electronic Document and Records Management System (EDRMS) and publications
- Scientific and technical records

Finally, this section encourages appraisers to consider what 'big issues'

confront the agency, and what additional records should therefore be considered for permanent preservation. Such records are likely to be the digital equivalent of registered paper 'policy' files.

The later sections of the Appraisal Report digest the information gathered to assess the significance of the records of the Agency against TNA's Acquisition and Disposition Policies. It provides for a benchmark for the Agency considered in the light of all of government records and especially in the light of the uniqueness of the records and of which other organisations are making policy in a similar area.

We have found that the form does seem to focus records managers' and client managers' minds, encouraging a standing back, so that the organisation is seen in a whole of government context. At the same time it encourages appraisers to track down and note the actual types of records produced. It encourages analysis to establish where records may be duplicated (for example, through publications) or summarised (for example, in databases or case files). There is therefore a combination of a 'macro' approach and a records-centric approach. It is hoped that in this way two common problems can be avoided: the way traditional macro-appraisal

can be carried on without regard to the actual records produced, but the way traditional records-based review can operate without regard to a wider context.

Because the form does seem to 'work' other uses are being considered for it – as the basis, in a tweaked form, of appraisal for digital records created in central policy-making departments, and as a way of planning review of paper records. However both of these possibilities are yet to be fully tested. In addition, it might form the basis of records surveys carried out for appraisal, Freedom of Information (FOI) or other information legislation purposes.

### The next steps

Two projects may be mentioned here. First ICMU is moving to the next stage, using the Appraisal Report to pinpoint the exact filepath locations of the records identified for permanent preservation. Three agencies are helping us in this – National Weights and Measures Laboratory, Pesticides Safety Directorate and The Coal Authority. We are considering at this stage many other issues: identification of FOI exemptions and redactions, the place of the records in TNA's Catalogue, and the transfer of metadata.

The second project is to test methods to appraise the records of central government departments. Here we are working closely with the DRO Appraisal working group, which has played a vital role in testing and developing these tools.

**Helen Mercer**  
Records Management Department  
The National Archives

### Further information

For more information on the Appraisal Policy, see:  
[www.nationalarchives.gov.uk/recordsmanagement/selection/appraisal.htm](http://www.nationalarchives.gov.uk/recordsmanagement/selection/appraisal.htm)

For more information on the Seamless Flow programme, see:  
[www.nationalarchives.gov.uk/electronicrecords/seamless\\_flow/default.htm](http://www.nationalarchives.gov.uk/electronicrecords/seamless_flow/default.htm)

To find out more about the issues raised here please contact  
[Helen.Mercer@nationalarchives.gov.uk](mailto:Helen.Mercer@nationalarchives.gov.uk).



# New guidance and publications

## Publications from The National Archives

### Freedom of Information Publication Scheme

One of the core aims of the Freedom of Information (FOI) Act is to encourage public authorities to be clear and proactive about the information they make available to the public. Approved by the Information Commissioner on 24 October 2005, this new publication scheme replaces both the Public Record Office scheme and the Historical Manuscripts Commission scheme.  
[www.nationalarchives.gov.uk/foi/propub.htm](http://www.nationalarchives.gov.uk/foi/propub.htm)

### 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 six OSPs currently out to public consultation:  
OSP 35: Board and Committee Papers  
OSP 36: Publications and Grey Literature  
OSP 37: Freedom of Information Act Records  
OSP 38: Government Common Services and Housekeeping Records  
OSP 39: Inspection Reports  
OSP 40: Records relating to Indictable Criminal Proceedings, 1972-1992  
[www.nationalarchives.gov.uk/recordsmanagement/selection/ospintro.htm](http://www.nationalarchives.gov.uk/recordsmanagement/selection/ospintro.htm)

## Publications from other organisations

### Department of Culture, Media and Sport (DCMS) – Report of the Reviewing Committee on the Export of Works of Art 2004-05

In December, the Secretary of State for Culture, Media and Sport published her first report on the export controls on objects of cultural interest, as required by the Export Control Act 2002. The report is published together with the 51st Annual Report of the Reviewing Committee on the Export of Works of Art.  
[www.culture.gov.uk/global/publications](http://www.culture.gov.uk/global/publications)

### Department of Culture, Media and Sport (DCMS) – Consultation on the shares of National Lottery money for the arts and film, sport, and heritage

This consultation is about proportion of Lottery money allocated to the arts and film, sport and heritage after 2009, and what the policy should be on how Lottery money is spent in each of these good causes. The consultation deadline is 28 February 2006.  
[www.lottery2009.culture.gov.uk/index.html](http://www.lottery2009.culture.gov.uk/index.html)

### European Task Force for Permanent Access to the Records of Science

The work and progress of the Taskforce was presented in December by its chair Dr Peter Tindemans to the European Research Infrastructures Conference, Nottingham. This presentation and the Taskforce documents on the Strategic Action Plan and the proposed Research Agenda have been finalised and made available online.  
<http://tfpa.kb.nl/>

### Heritage Lottery Fund (HLF) – Remembering Slavery in 2007

This guidance has been designed to help organisations planning projects as part of the commemorations of the 200th anniversary of the parliamentary abolition of the slave trade.  
[www.hlf.org.uk](http://www.hlf.org.uk)

### Heritage Lottery Fund (HLF) – Consultation on the Heritage Lottery Fund's next strategic plan 2008-2013

The Heritage Lottery Fund is currently collecting views about its own priorities for funding after 2007. The consultation deadline is 28 February 2006.  
[www.hlf.org.uk/future/](http://www.hlf.org.uk/future/)

### Facet Publishing – Managing Electronic Records, edited by Julie McLeod and Catherine Hare

This book covers the theory and practice of managing electronic records as business and information assets.  
[www.facetpublishing.co.uk/index.shtml](http://www.facetpublishing.co.uk/index.shtml)

### Museums, Libraries and Archives Council (MLA) – Dynamic Action Plan

Produced by the Netherlands, Luxembourg and United Kingdom EU Presidencies, this new Action Plan is designed to make Europe's cultural heritage more accessible through the internet. It identifies six objectives to support education and research, tourism and the creative industries, and to enable digital access by all citizens to the national, regional and local cultural heritage of Europe.  
[www.mla.gov.uk/information/publications/00pubs.asp](http://www.mla.gov.uk/information/publications/00pubs.asp)

### National Council on Archives (NCA) – Giving Value: Funding Priorities for UK Archives 2005-2010

Through Giving Value, the National Council on Archives is seeking to maintain the pressure on central and local government, and other core funders, to address the under-funding in the sector. It also aims to influence the funding priorities of external funding bodies. A companion document, Guide to Giving Value, has been produced to help archives use Giving Value more effectively (see page 42 for more details).  
[www.ncaonline.org.uk](http://www.ncaonline.org.uk)

### National Preservation Office (NPO) – Cleaning Books and Documents

The aim of this leaflet is to provide guidance on simple dry cleaning methods for removing surface dirt from bound volumes and unbound papers.  
[www.bl.uk/services/npo/publicationsleaf.html](http://www.bl.uk/services/npo/publicationsleaf.html)

### Records Management Society of Great Britain – Records Management Toolkit for Schools

The first review of the Records Management Toolkit for Schools has been undertaken with the help of Safeguarding Children colleagues who have guided the Child Protection element of the retention guidelines. The review is now complete and available to download at:  
[www.rms-gb.org.uk/resources/94](http://www.rms-gb.org.uk/resources/94)

## Contacts

# Contacts and staff news

### Staff changes

#### **National Advisory Services:**

Timothy Callister has joined the department as Project Officer, ERM Standards and Advice. Hazel Bagworth-Mann has left The National Archives for a post at North London Collegiate School.

#### **Records Management**

**Department:** In the client management unit, Justine Rainbow has been appointed to be responsible for the Foreign and Commonwealth Office, Privy Council Office and English Partnerships. Mandy Goldsmith is now responsible for the Ministry of Defence Agencies and Treasury Solicitors. Sarah Collins has left the unit. Debbie Shipton and Sarineh Cherchian have joined the department as Communication and Business Administrators.

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](mailto:nas@nationalarchives.gov.uk)

Nicholas Kingsley, Head of National Advisory Services  
x 2062

Katie Woolf, Communications and Advocacy Manager  
x 2380

#### **Advice on places of deposit and public records**

Including disposal, legislation, standards for storage and access:  
Andrew Rowley, Head of Archive Inspection Services  
x 5318

#### **Advice on non-public records**

Including standards for storage of and access to private archives, advice to grant awarding bodies, sales monitoring and liaison with regional archive councils and regional agencies:

Norman James, Director of Advisory Services  
x 2615

#### **Regional Archival Liaison**

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

#### **Electronic Records Management**

Enquiries to [e-records@nationalarchives.gov.uk](mailto:e-records@nationalarchives.gov.uk)

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

#### **Records Management outside central government**

Enquiries to [rmadvisory@nationalarchives.gov.uk](mailto: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](mailto: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, Head of Information Policy and Legislation  
x 2305

#### **Digital Preservation issues**

Enquiries to [digital-archive@nationalarchives.gov.uk](mailto:digital-archive@nationalarchives.gov.uk)

Adrian Brown, Head of Archive Services and Digital Preservation  
x 5257

#### **Conservation and preservation of traditional materials**

Enquiries to [conservation-preservation@nationalarchives.gov.uk](mailto:conservation-preservation@nationalarchives.gov.uk)

#### **Copyright and intellectual property issues**

Tim Padfield, Copyright & Policy Manager  
x 5381

#### **Advisory Council on National Records and Archives**

Tim Padfield, Secretary  
x 5381

#### **Archives awareness initiatives**

Lucy Fulton, Archives Awareness Campaign Officer  
x 5277

#### **Education, learning and access, schools and universities**

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 Research, Knowledge & Academic Services  
x 2212

#### **The Catalogue and Archives 4 All**

Louise Craven, Archival Catalogue Programme Manager  
x 5232

£2.00

Tel: 020 8876 3444  
Fax: 020 8392 5286  
Email: [recordkeeping@nationalarchives.gov.uk](mailto:recordkeeping@nationalarchives.gov.uk)  
The National Archives Kew Surrey TW9 4DU  
[www.nationalarchives.gov.uk/services/recordkeeping.htm](http://www.nationalarchives.gov.uk/services/recordkeeping.htm)

  
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