



the national archives

Autumn 2005

# RecordKeeping

For all those interested  
in archives and records



## **Inside**

Connecting Histories  
British Postal Museum & Archive  
Interview with Sarah Tyacke

## **Records Management**

Managing electronic records at the Department for Constitutional Affairs  
The story of the Hayes Repository

## **Archives**

Archives and Comprehensive Performance Assessment  
Online catalogue of Wolley Charters at the British Library

# Contents

## TNA update

- 4 National Advisory Services – update
- 5 New Chief Executive
- 5 New grant scheme
- 6 Book news
- 6 Visit to Dounreay

## RecordKeeping news

- 7 Public Services Quality Group
- 7 Humanities Beyond Digitisation conference
- 8 The Gerald Aylmer seminar
- 8 Questionnaire on Catalogue Retroconversion
- 8 Phillimore Prize 2005
- 9 Gunpowder Plot exhibition
- 9 Tackling digital compliance
- 10 aUK and Archives 4 All
- 12 Archives and Comprehensive Performance Assessment (CPA)
- 13 Archive Awareness Campaign update
- 14 Ten years of Heritage Lottery funding
- 16 National Archives of Sweden
- 17 DLM Forum Conference on electronic records
- 18 Society of Archivists' Conference
- 20 Records Management in Government Conference

## Case studies

- 22 Interview with Sarah Tyacke
- 24 Connecting Histories
- 28 Charles Chaplin Conference: the importance of archives
- 30 Delivering e-RM at the Department for Constitutional Affairs
- 32 Digitisation project at The British Postal Museum & Archive
- 35 The British Library's online catalogue of Wolley Charters
- 38 Limbo: the story of the Hayes Repository

## Standards and guidance

- 40 New digital preservation documents
- 43 Interpreting Electronic Record Management Requirements:  
the development of formal rationales
- 45 New guidance and publications

## Contacts

- 46 Contacts and staff news

Cover photo

Lunch break at Dudley and Dowell Foundry 1972, Birmingham City Archives MS 2294. Copyright Paul Hill

# Note from the Editor

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

Case studies include an article by Siân Roberts on Connecting Histories, a partnership project exploring the hidden histories of Birmingham's diverse communities. We are delighted that Birmingham City Archives has allowed us to feature one of the many photographs connected to the project on our front cover. We also hear of a new digitisation project from the British Postal Museum and Archive, and news of the British Library's online catalogue of Wolley Charters. Neil Lang gives a helpful case study on his experiences of delivering electronic records management at the Department for Constitutional Affairs. While these case studies exemplify the forces for change in archives and records management, Kelvin Smith reminds us to remember our record keeping past in his story of the Hayes Repository.

This Autumn's conference season has not been ignored by *RecordKeeping* and we are pleased to bring you a number of conference reports to

inform those who missed them and review the issues for those who were there. Our round up includes Tom Vincent's report from the Charlie Chaplin Conference in which he provides us with more information about the archives of the 'little tramp'.

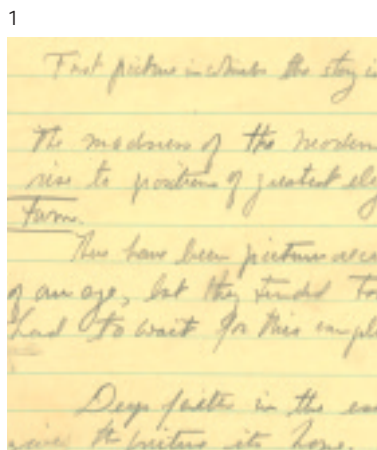
We also bring you our usual update of activities from The National Archives (TNA) and the wider archives and records management communities, including an interview with TNA's outgoing Chief Executive Sarah Tyacke, information on Comprehensive Performance Assessment, and news of recently published guidance relating to digital preservation and a rationale to support the functional requirements for Electronic Record Management systems. Thank you for reading and as ever, please get in touch with any comments or ideas.

Mary Wills  
Editor  
recordkeeping@nationalarchives.gov.uk

*RecordKeeping* is published quarterly by The National Archives (TNA) to provide news and informative articles for all involved and interested in archives and records. *TNA Update* provides news on activities and developments at TNA; *RecordKeeping news* contains information from the wider archives and records management communities; *Case studies* are practical examples of archives/records related projects; and *Standards and guidance* gives up-to-date information on the latest standards and best practice.

*RecordKeeping* is distributed free of charge to custodians and stakeholders in the archives and records management sector. It is also available to download for free from our website: [www.nationalarchives.gov.uk/services/recordkeeping.htm](http://www.nationalarchives.gov.uk/services/recordkeeping.htm)

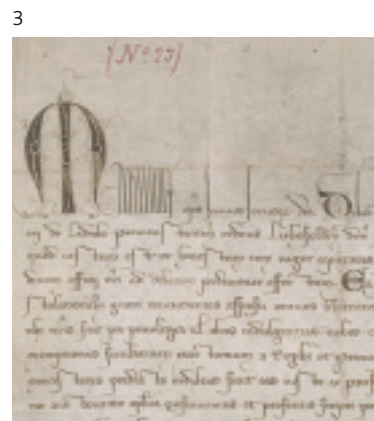
1  
See page 28



2  
See page 32



3  
See page 35



## TNA update

# National Advisory Services Update

In the last issue of *RecordKeeping*, we outlined some of the developing thinking about our review of the National Advisory Service. The review has now been completed and was approved by The National Archives' Management Board at the end of September.

The review contains strategic recommendations to be implemented over a period of three years, but we intend to change some things by early in 2006. So what is happening and what differences will stakeholders notice?

The review formally establishes the Advisory Service's remit as being "to seek to improve the archival and records management health of the nation" and identify five key aims for the service:

- To support and assist the maintenance and quality of the comprehensive national network of archive repositories, striving to ensure they provide continuously improving standards of care and services.
- To support and encourage the implementation of best practice in records and information management across the wider public sector.
- To set and promote UK standards for both archival and records management activity, working where appropriate in conjunction with national, European and international standards bodies.
- To work with other online resource discovery services to ensure that comprehensive, detailed and accurate information about the location and nature of archives is available to all, and that our

information resources are managed in an integrated way.

- To improve communications and training to ensure that our staff are well informed and that our messages are communicated effectively to the stakeholders we serve.

These broad aims are backed up by 22 actions which we will carry out over the next three years. Among the early plans is the development and implementation of a moderated self-assessment process for publicly funded archive services, which we hope to link to Comprehensive Performance Assessment for English local authorities. We expect to have this ready for use in 2006/7 and we intend that it will lead on to the development of an accreditation scheme for archive services in the UK.

Other key strategic recommendations are the development of a new European requirements specification for Electronic Document & Records Management Systems; the closer integration of the National Register of Archives with other online resource discovery tools and its development as a national name authority file; and the development of a framework of national strategies to guide the development of the various categories of privately-funded archives. On this last front, we are already in the process of recruiting a Business Records Development Officer (part-funded by the Business Archives Council and other

partners) who will undertake the preparation of a national strategy for business archives.

To help the Advisory Service deliver the very considerable agenda contained in the Strategic Review, we will be changing our internal structure over the coming months, so as to create four teams of staff, dealing with Archives advisory work, Records Management advisory work, our information services, and communications and resources. Members of the Archives Advisory team will continue to act as contacts for each of the English regions and the Home Countries. I hope it will be possible in the next issue of this magazine to give a full revised list of who does what, but for the time being please continue to use your existing contacts on all Advisory Services matters.

Our Strategic Review has rather dominated our thinking internally in recent months but we were particularly pleased to be able to announce in September that our bid to the Pilgrim Trust and Esmée Fairbairn Foundation for funding to run a pilot Cataloguing Grants Scheme in London, North-West England and Scotland has been successful. We are finalising the administration of the scheme and will be inviting applications shortly.

**Nicholas Kingsley**  
Head of National Advisory Services  
The National Archives

# New Chief Executive appointed

1  
Natalie Ceeney,  
new Chief  
Executive of The  
National Archives

Natalie Ceeney has been appointed the new Chief Executive of The National Archives. She succeeds Sarah Tyacke.

Ms Ceeney was previously director of operations and services at the British Library, where she managed all of the British Library's services, including both its famous reading rooms and its remote delivery services. She has previously managed clinical services in the NHS, and has led strategic consultancy projects across a range of industries at McKinsey and company.

Welcoming the appointment the Secretary of State for Constitutional Affairs and Lord Chancellor, Lord Falconer, said: "I would like to welcome Natalie to the job. She is an outstanding individual and I look forward to working with her in the coming months."

Natalie Ceeney said: "I feel very proud to be joining The National Archives at such a critical point in its history. The National Archives is a great national institution that serves both scholars and personal researchers, and which is grasping major new challenges around the long-term management and preservation of information in a digital age.

I look forward to working with colleagues at The National Archives as well as with the wider library, archive and records management community to ensure that we build on existing success and play a major role in assisting archives across the UK to be as widely accessible as possible, now and into the future."

Read our interview with Sarah Tyacke on page 22.

1



## TNA launches a grant scheme to assist local archives with cataloguing

The National Archives (TNA) is to distribute £200,000 worth of grants to tackle cataloguing backlogs for local archives. The new scheme, funded by the Pilgrim Trust and Esmée Fairbairn Foundation will be piloted over the next 12 months in the North West, Scotland and London. The National Archives hopes to extend the programme in future years so that other areas across the UK will be covered.

This new scheme is a response to the outcomes of recent surveys that have analysed the scale of cataloguing backlogs and the decline in funding streams for this specific activity. The recent project in the North West region, *Logjam*, estimated that three

hundred years of cataloguing work would need to be undertaken to eliminate the backlog, which amounts to 29% of the holdings of repositories in this area.

The common root problem for many archives is the lack of resources and staffing capacity needed to deliver the full range of duties and expertise and so often cataloguing is not a priority. Funding streams have been available in the past. However, in some cases this has amounted to small sums and other grant awarding bodies have moved away from cataloguing as a deliverable in itself with a preference for outreach projects that cataloguing may just be one component of.

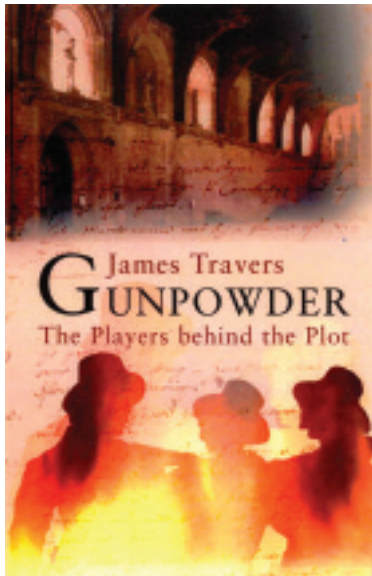
Applications are encouraged from any non-national public sector body or registered charity holding uncatalogued or inadequately listed collections within the pilot areas. This scheme provides a real opportunity for archives, as all holdings are eligible, including private collections that are on loan.

For more information on the Pilgrim Trust and Esmée Fairbairn Foundation Cataloguing Grants Scheme or to obtain an application form contact Katie Woolf at the National Advisory Services, 020 8392 5330 ext 2380, email: [katie.woolf@nationalarchives.gov.uk](mailto:katie.woolf@nationalarchives.gov.uk)

### Catalogue Awareness Day

Catalogue Awareness Day, detailing new Catalogue developments and projects at The National Archives, takes place this year on 9 December. The agenda for this free event is available at [www.nationalarchives.gov.uk/events/calendar/catagenda.htm](http://www.nationalarchives.gov.uk/events/calendar/catagenda.htm).

# Gunpowder: The Players behind the Plot



Popular imagination has it that the Gunpowder Plot was a metropolitan affair with Guy Fawkes as the ringleader of a small group of plotters.

The reality was less clear-cut: the web of rebellion spread across much of the country and across many powerful families.

Four centuries later the truth of this most dramatic event continues to be contested, as the new book by James Travers, of TNA's National Advisory Services, makes clear.

*In Gunpowder: The Players behind the Plot*, James goes back to the voices of the original documents to unravel the complex web of shifting allegiances and dual loyalties, secret codes and

complex plans. There is a wealth of documentation, from the letters of the plotters to their confessions after the plot failed.

*Gunpowder* is published by The National Archives. For orders, please email [orders@yps-publishing.co.uk](mailto:orders@yps-publishing.co.uk) or see The National Archives' online bookshop at [www.nationalarchives.gov.uk/bookshop/](http://www.nationalarchives.gov.uk/bookshop/)

For further information, please telephone 020 8392 5271.

## Visit to Dounreay: the northernmost post of UK government records management

2  
TNA and UKAEA staff

In early August a team of National Archives' Records Management Department staff (myself, Adam Bigg and David Chinn) made a visit to the UK Atomic Energy Authority (UKAEA) site at Dounreay. Dounreay, on the north coast of Scotland near Thurso, is about as far away from The National Archives (TNA) as it's possible to go and still find an outpost of government records management.

The Dounreay site, which opened in 1955, was a pioneer in fast reactor technology and is now in the process of being decommissioned. It is intended that records of Dounreay's technological and scientific innovations will be accessioned by TNA and permanently preserved. With a view to this we arranged a visit to agree on the selection decisions and provide some guidance on preparing records for transfer to TNA.

2



Records from Dounreay will go into the AB series of TNA's Catalogue.

3  
Adam Bigg tries his hand at glass blowing



Ian Pearson, head of the Records Unit, gave a quick tour of the very impressive storage facilities before we got down to work with the records themselves. From TNA's perspective the visit went very well, as Dounreay has a very enthusiastic and committed team. We were also able to agree on the selection of records for transfer. With the training that we were able to give the team in transfer procedures and the preparation of records for transfer we hopefully should see some of the records at TNA in the near future.

As you can see from the photo Adam and I had a go at some glass blowing in the evening. Ian worked previously as a glass blower, making scientific instruments, and still has a workshop where he makes some beautiful decorative pieces. He was kind enough to give us a quick lesson, and it's really not as easy as it looks.

**Andrew Dyer**  
Records Management Department  
The National Archives

## RecordKeeping news

### The Public Services Quality Group

The Public Services Quality Group (PSQG) of the National Council on Archives (NCA), in conjunction with the Institute of Public Finance (IPF), is conducting another National Survey of Visitors to UK Archives in February and March 2006.

Questions used on the Survey Form will remain the same from the last

Survey in 2004 but offices may care to note the following changes: a registration fee of £75 will be re-introduced which will cover all materials, own results and the National Report; printing & scanning of the forms by IPF will not be compulsory.

Individual results for all offices will be published as part of the National

Report (unless an office specifically requests anonymity).

A letter will shortly be sent out to repositories inviting them to register for the survey but you can also register direct with IPF at [psqg@ipf.co.uk](mailto:psqg@ipf.co.uk)

### Humanities Beyond Digitisation conference

This conference was organised by the Institute of Historical Research in conjunction with British History Online and funded by the Andrew W. Mellon Foundation. Its purpose was to examine the impact digital resources have made upon academic research and scholarship in the humanities. During the two-day conference many excellent papers were given, and the organisers plan to publish them.

A number of the speakers focused on particular projects, notably Robert Faber from Oxford University Press who reported on the progress of the *Online Dictionary of National Biography*. He highlighted the role of ODNB as part of a network, with links to other resources such as the National Register of Archives and the National Portrait Gallery. Tim Hitchcock's paper on the dissemination and promotion of the Proceedings of the Old Bailey online project emphasised the need for the assessment of user needs before a project goes ahead. He stressed that digital resources must add value to the original source material.

The need for a long-term strategy towards the dissemination, preservation and sustainability of digital resources was one of the key themes to emerge from the conference. For example, Lorna Hughes from the Arts and Humanities Research Council ICT Methods Network spoke about how to develop a sustainable funding model for the creation and maintenance of online resources. Highlighting the problem of sustainability due to short-term funding in the higher education environment, she emphasised the need for a move from projects to collaborative programmes.

Another important theme was the need to understand the information-seeking behaviour of academics, and to address training needs where appropriate. In his research, Ian Anderson, from the University of Glasgow, found that many historians doubted the accuracy and completeness of online resources and instead often relied upon informal methods of literature searching. Jonathan Topham from the University

of Leeds, whose paper focused on the information needs of research students, highlighted two particular issues, the question of intellectual authority, and the enormity of the resources available, arguing that increased training for research students in discovering and evaluating electronic resources was essential.

In the Roundtable discussion, Elizabeth Hallam-Smith from The National Archives reiterated the need for a collaborative approach between institutions in the development of digital resources, but she also stressed that "content is absolutely key as is the expertise needed to unlock it".

**Michelle Kingston**  
National Advisory Services  
The National Archives

# The Gerald Aylmer seminar 2005

The annual Gerald Aylmer seminar, organised by the Royal Historical Society and The National Archives, aims to bring together historians and the custodians of the source materials they use. In the aftermath of the government's Green Paper, *Understanding the Future: Museums and 21st Century Life*, the theme chosen for this year's seminar, the fourth in the series, was 'Historical research: the role of the national museum collections'. The seminar was held at the Imperial War Museum on Thursday 6 October, in association with the National Museum Directors' Conference.

The introductory papers, and the open discussion which followed, aired some key issues, including:

- Are the national museums properly to be thought of as 'research' institutions? If so, in what sense?
- How can this best be articulated, and if necessary justified, to government and the public?

- Has pressure (from government and elsewhere) to be more accessible to the widest possible public diverted staff and resources away from research?

A number of positive developments were reported. However, it is apparent that there are wide divergences, of 'language' and ethos: between one museum and the next, between museums and Higher Education Institutions (HEIs), and between museums and the Arts and Humanities Research Council.

Among calls for action arising from the seminar were:

- the preparation and dissemination of authoritative catalogues of museums' holdings, to enable historians (and others) to identify potential research and teaching materials
- the development of internet gateway facilities to bring all this

information together in a more accessible form

- increased opportunities for museums to engage with HEIs
- increased financial resources to enable greater promotion of the assets held by the museums
- the need for more historians to accept and champion the work done by our national museums.

A fuller version of this note will appear in the Royal Historical Society's autumn newsletter. Comments on the issues raised are welcome, and may be sent by email to [chris@kitching.clara.co.uk](mailto:chris@kitching.clara.co.uk).

**Chris Kitching**  
Chairman  
Research Policy Committee

## Questionnaire on Catalogue Retroconversion

As part of the development of aUK, a survey of the extent of retrospective conversion in UK archives is currently being undertaken by The National Archives.

The aim of the survey is to demonstrate what proportion of catalogues of the national archival collection are currently accessible online, what proportion of these give information at collection level only, and what types of collection remain to be addressed. It will hope to identify the nature of the material that is accessible online and whether catalogues are available on the main archival networks or repositories' own computerised cataloguing systems.

The survey will be sent to all repositories who complete returns as part of the National Register of Archives annual 'Accessions' exercise. For further details please contact: [nas@nationalarchives.gov.uk](mailto:nas@nationalarchives.gov.uk)

## Phillimore Prize 2005

The Society of Archivists Phillimore Prize is awarded annually to encourage publications by record offices and similar institutions. This year the judges have decided to award the Phillimore Prize for publicity and marketing materials that promote the archive or its archival collections. The following material will be eligible: posters, exhibitions/displays (photos of the event, posters, online marketing materials etc), leaflets, websites, guides to collections, give aways (for example, pens, bookmarks).

The judges will be looking at how the publicity and marketing material encourages audience development, supports social inclusion initiatives and links into heritage and tourism. The competition is open to all local and national record offices and archive

holding bodies, apart from The National Archives.

The prize winner will be announced at the Society of Archivists AGM in the spring of 2006 and will receive books to the value of £300 which may be chosen from Phillimore's current list or may be phased to include future purchases.

Those wishing to submit a website should send an email indicating the precise URL of the web pages they wish to enter to Katie Woolf at The National Archives ([katie.woolf@nationalarchives.gov.uk](mailto:katie.woolf@nationalarchives.gov.uk)). Printed material and ephemera should be sent to Katie Woolf, National Advisory Services, The National Archives, Kew, Richmond, Surrey TW9 4DU by 31 December 2005.



# Gunpowder Plot exhibition goes with a bang



1  
House of  
Commons journal,  
5 November 1605,  
recording the  
plot's discovery

To mark the 400th anniversary of the Gunpowder Plot the Parliamentary Archives has mounted an exhibition in Westminster Hall at the Houses of Parliament.

The exhibition provides an objective introduction to the plot in a location close to the scene of the actual events. Designed to resemble the original cellar, an enormous image of the House of Lords during the reign of James I forms the background to the exhibition.

Inside the exhibition are a range of exhibits drawn from the collections held by the Archives and from elsewhere in the Palace of Westminster as well as from other institutions such as The National Archives. The main archival exhibit is the journal of the House of Commons for 5 November 1605 which records the discovery of the plot.

A feature of the exhibition has been the development of the accompanying Gunpowder Trail which has been led by the Houses of Parliament. This has brought together a range of institutions with their own approaches to marking the anniversary.

The partners include the National Portrait Gallery, Shakespeare's Globe, The National Archives, the Royal Shakespeare Company and HM Tower of London. A key part of this for the Parliamentary Archives has been the creation of links with these other bodies which will hopefully continue and facilitate future partnership activities.

In order to create a lasting legacy of the exhibition the Parliamentary Archives has commissioned an online resource from the 24Hour Museum which will provide web based learning experiences for children and adults. To discover the Gunpowder Plot for yourself go to [www.gunpowderplot.parliament.uk](http://www.gunpowderplot.parliament.uk).

The Westminster Hall exhibition is open until 18 November. For more information about the exhibition and



the Gunpowder Trail go to [www.parliament.uk](http://www.parliament.uk)

**David Prior**  
Project Manager  
Gunpowder Plot exhibition  
The Parliamentary Archives

## Tackling digital compliance

### Assessment of UKDA and TNA Compliance with OAIS and METS Standards

The National Archives have reached another milestone in digital preservation testing and compliance. In conjunction with the UK Data Archive (UKDA), The National Archives (TNA) have released a report comparing their preservation practices to the leading internationally recognised standard for digital archives. This provides a model for other organisations to test the compliance of their own systems.

Using the Open Archival Information System (OAIS) Reference Model the two organisations were able to compare their preservation practices within a common framework: an opportunity that was particularly timely because, in January 2005, the UKDA was appointed as a legal place of deposit for National Archive documents. The OAIS reference model (ISO 14721) is the major international standard addressing the structure and

operations of digital archive facilities. The Metadata Encoding and Transmission Standard (METS) is a schema for encoding descriptive, administrative, and structural metadata regarding objects within a digital library.

The assessment was carried out by the UKDA, The National Archives and the Estonian Business Archive, with a funding award from the Joint Information Systems Committee – under its Institutional Digital Preservation and Asset Management Programme.

The report is available at: [www.data-archive.ac.uk/news/publications.asp](http://www.data-archive.ac.uk/news/publications.asp). Paper copies are available from The National Archives and from the UK Data Archive. Contact [digital-archive@nationalarchives.gov.uk](mailto:digital-archive@nationalarchives.gov.uk) or [publicity@esds.ac.uk](mailto:publicity@esds.ac.uk).



# aUK: connecting archives

Archives UK, or aUK, is a new consortium of organisations from the archives and information sector who are working cooperatively to investigate new means of connecting archives. The internet presents possibilities for joining together archival catalogues, for example through one search facility. The range of catalogues and systems already available is diverse, but underlying standards and commonalities give the potential to draw material together through online resources.

To achieve these goals certain issues need to be investigated, including compatibility of systems, data exchange, technical infrastructure and varied user needs. To approach this in a structured way the consortium's objectives have been divided into building blocks:

- Archives 4 All
- Community Archives
- Search engine
- Technical infrastructure
- National hosting
- Marketing and development
- Audience development

## The aUK Steering Committee

With support from the UK's national repositories, the aUK Steering Committee will act as champions of aUK, identify areas for development and funding, and support and oversee developments. Its members are:

*Bill Stocking*, Senior Editor, A2A: The National Archives

*Chris Batt*, Chief Executive: Museums, Libraries and Archives Council

*Natalie Ceeney*, Chief Executive: The National Archives (chair ex officio)

*Louise Craven*, A2A Archival Cataloguing Programme Manager: The National Archives

*Mary Ellis*, Head of Collections, Standards and Training: Museums,

Archives and Libraries Wales (CyMAL)

*Liz Hallam-Smith*, Chair: National Council on Archives (NCA)

*Gwyn Jenkins*, Director of Collection Services: National Library of Wales

*George Mackenzie*, Chief Executive: National Archives of Scotland

*Gerry Slater*, Chief Executive: Public Record Office Northern Ireland

*James Strachan*, Head of Online Services & Strategic Marketing: The National Archives

*Alison Webster*, Head of Online Content and Partnership Development: The National Archives

## The aUK Programme Board

Chaired by James Strachan of The National Archives, the Board is formed from the Linking Arms Consortium partnership, representatives of the NCA-affiliated Community Archives Development Group (CADG, formerly the CAAP Steering Committee) and the former Access to Archives (A2A) Steering Committee Group membership. It has representatives from local record offices, metropolitan archives, specialist repositories and related consortia bodies.

In this way it hopes to receive input from across the sector and benefit from a diverse range of experiences. The Board will meet quarterly to develop aims, consider strategic issues

and support and oversee aUK projects. The aUK Programme Board has set up dedicated Working Groups to investigate the possibilities in depth.

There are now separate groups focusing on a) technical infrastructure (chaired by Nigel Clubb of English Heritage), b) audience development (chaired by Patsy Cullen of the Community Archives Development Group) and c) a survey of archival material awaiting retroconversion (being conducted by TNA's National Advisory Service). The groups are being coordinated by Bill Stocking of the A2A team at The National Archives.

## Monica Halpin

**Secretary to the aUK Programme Board**

# A2A: Archives 4 All

Archives 4 All is a development of the popular Access to Archives or A2A programme. A2A has been running at The National Archives since 2000 and is one of the most popular archival websites in the UK.

Phases 1-3 of the A2A programme worked in partnership with holders of archives across England to open up access to collections. By means of fixed-length projects, repositories could catalogue collections or organise the retroconversion of existing finding aids and the results were made accessible through A2A online. Some of the projects were self-financed but the majority received support from external bodies, in particular the Heritage Lottery Fund.

The goal of the projects was to open up collections to users and allow access to catalogues beyond the searchroom. Five years later, the A2A site contains over 9 million descriptions and users have performed over 7.3 million searches. This clearly demonstrates the demand for the service, both from researchers and archivists: we all benefit from increased access to archives!

Phase 4 of A2A has been given the title Archives 4 All, which emphasises a change in focus to developing partnerships between archives holders and users. In order to help establish and reinforce connections between archives and the local community, repositories are being encouraged to work with community groups and other user groups to explore the contemporary cultural heritage. They may be groups which are generating archives and would benefit from advice and support from their local record office in the preservation, cataloguing and online publishing of the material. Information about archives and the archives themselves will, therefore, be more widely available and members of the community will be able to develop and share skills. In particular, Archives 4 All aims to broaden our audience by encouraging archivists to work with people who are not traditional archive users. We want to encourage the greater use of new technologies and the internet. Learning outcomes are also particularly important and

outreach should be an integral part of all projects.

This change in focus builds upon the recommendations of the Museums, Libraries and Archives Council's Archives Task Force Report *Listening to the Past, Speaking to the Future*. Published in March 2004, it made recommendations that the archives sector should:

- strive to reach new audiences and embrace community archives, increasing participation with hard to reach communities
- digitise documents aligned to popular themes
- position UK archives as key contributors to local, regional and national economic objectives
- release the potential of archives to enrich and enhance teaching and learning and contribute to raising standards in education
- encourage business, private and specialist archives to develop as part of our heritage; and
- encourage the creation and sustainability of moving image, photographic and digital archives.

Cataloguing projects have not been forsaken. Archives 4 All will continue A2A's role in retroconversion and new cataloguing projects, following on from earlier phases. It is important for such projects to open out the world of archives and bring in new audiences by interaction such as reminiscence work, inputting by users, the development of educational resources and other organised activities. This enables projects to show the benefits for users of engaging with archival sources, thereby demonstrating their value to the community.

The A2A Central Team continue to provide training and support for projects, using established national and international standards. For this new phase they will also promote the Best Practice Model of the

Community Access to Archive Project (CAAP) for community archive projects and promote advice on project methodology and indexing terminology arising from *CASBAH: a study of research resources for Caribbean Studies and the History of Black and Asian People in the UK*.

Archives 4 All will run from September 2005 to March 2008. As a guiding timetable, the stages of the phase are proposed as follows:

- *September 2005-March 2006*: promotion, publicity, development of bids by partners
- *January-March 2006*: development of project submissions to funders
- *March-September 2006*: evaluation of bids by funders
- *September 2006-March 2008*: 18 months for staff of successful projects and the Archives 4 All central team to develop and deliver the projects
- *March 2008*: celebratory events to signify the completion of each project; final celebration to mark the end of Archives 4 All

Archives 4 All is a key building block of the archives UK (aUK) programme and the aUK Programme Board has taken over the role and responsibilities of the A2A Steering Group.

Further information about A2A, the Community Access to Archives Project and the Caribbean Studies and Black and Asian History (CASBAH) project can be found at: [www.nationalarchives.gov.uk/partnerprojects/](http://www.nationalarchives.gov.uk/partnerprojects/)

The A2A catalogues can be found at: [www.nationalarchives.gov.uk/a2a](http://www.nationalarchives.gov.uk/a2a)

**Monica Halpin**  
Regional Liaison Co-ordinator for A2A

# Archives and Comprehensive Performance Assessment

Archivists working within local government will be familiar with the impact of Comprehensive Performance Assessment (CPA). Responding to the charge that the local government performance framework as it had developed was too onerous and bureaucratic, the government sought to develop a system which reduced the burdens on councils as far as possible.

Introduced in 2002 and managed by the Audit Commission, CPA brings together existing performance information and judgements about councils into a simply understood five point rating – excellent, good, fair, weak or poor. Following the allocation of a CPA assessment category, subsequent inspection and regulation is in *inverse proportion to success*. This means that the poorer performing councils are subject to the full range of central performance management, while the best have this burden lifted. In addition, excellent councils are allowed a range of other freedoms and flexibilities facilitating innovation, and thus better service delivery and outcomes for their communities.

A council's overall rating depends in large part on the assessments of particular services. To date, a 'Libraries and Leisure Service Block' has been the means by which the quality of a council's cultural services have been judged. The problem with this block was that it was given a relatively low weighting within determination of the overall CPA rating. From an archive perspective, the block lived up to its name, being biased in favour of libraries and sport because these services were already subject to significant performance management which could already call on rich data sources.

Since its introduction, CPA has played a role in driving up standards across local government. However, the unbalanced nature of the way cultural services were assessed, and their low weighting meant that archive services did not derive the benefits that other services did. With a low impact upon overall CPA

scores, local authority archives were not in a position to lobby for the extra resources they needed to improve their services.

The Audit Commission recently proposed changes to the CPA framework that will make it easier for archives to demonstrate their contribution and, crucially, could make the quality of a council's archive service impact upon the overall category the authority receives. The Commission's proposals for CPA from 2005 to 2008, *CPA – The Harder Test*, include a Culture Services Block with an increased weighting within the overall CPA judgement. Cultural services will be given equal weighting with Housing, Environment, Benefits and Fire Service Blocks. Only the Children and Young People and Social Care (adults) Blocks will be given a higher rating. This is a major incentive to councils to invest in and improve their cultural services.

The Culture Block will look to include the full spread of local authority cultural services, and this is an opening for archives to take advantage of the opportunities to raise the sector's profile, improve services and maximise investment. This presents a challenge for the sector to secure its place within the Culture Block by providing robust data and information on which archive services can be assessed.

Through the lead that the Public Sector Quality Group (PSQG) has taken in developing the national visitors survey, access standard and performance indicators the sector has a track record

of developing such information for its own purposes, but it now needs to reassess this work in the light of the demands of CPA. In June, the Museums, Libraries and Archives Council (MLA) convened a meeting of museums and archives stakeholders (libraries are already well placed within the proposed Culture Block) to discuss how best to move ahead. Organisations invited included the Association of Chief Archivists in Local Government (ACALG), The National Archives (TNA), PSQG, and the Society of Archivists. The meeting looked at the work already underway across the sector to measure the impact and quality of archive services, and also those areas which should be a priority for assessment through CPA.

The National Archives is developing a self-assessment process for English local authority archives which will produce a performance indicator that reflects the broad range of measures of service quality. This will be used alongside the work being undertaken by the MLA and the wider archives community to establish robust performance indicators for archives as part of the overall local government performance framework.

A smaller Steering Group, led by MLA and including PSQG, ACALG, and TNA, is working with the Audit Commission to develop particular performance indicators that can be included within the Culture Block. Four areas have been identified as priorities for assessment, where information for the sector is already being collected that can be used or where new datasets can be

relatively quickly generated. The timescale to develop indicators for inclusion within CPA is extremely tight. Indicators have to be sufficiently developed so that they can be piloted during 2006. If the pilot is successful, formal collection for CPA purposes will begin in April 2007, feeding into CPA judgements for 2008. The Steering Group is looking at developing performance indicators in the following areas.

- **Volunteering** – volunteering opportunities are a significant offer by archive services to local communities, and a wealth of evidence exists demonstrating how volunteering creates social capital as well as supporting the delivery of services.
- **Learning** – archives make a valuable contribution to supporting learning. This will include the support provided to school learning through engagement with schools, as well as support to formal and informal learning beyond schools.

- **Participation** – increasing participation, particularly from priority groups and through innovation and new technology, is a priority for archives. Two indicators will be developed to reflect this. Firstly, an indicator looking at participation by priority groups, assessing how representative users of archives are of the population of a local authority's area. Secondly, an indicator will be developed measuring virtual visits, assessing online participation. This will be based on the monitoring of the £50m EnrichUK.net programme.

- **Value for money** – this proposed indicator will look at how cost per use and cost per visit can fit into the Culture Block.

In addition, MLA has suggested that CPA takes account of how proper records management contributes to corporate good governance.

Developing performance indicators for archives is not about jumping through

a bureaucratic hoop. The proposed Culture Block is a real opportunity for local authority archive services to make a case for investment and a means by which they can improve. It offers the chance to further develop performance management for archives that is built into a robust and well-understood context. The performance indicators being developed reflect the distinctive contribution of archives as a whole, not just in local government, so working through CPA is a means by which performance management for the whole sector can be strengthened. Engaging with CPA is only worthwhile if it brings value to archives. The opportunity to raise the sector's profile, improve its performance management, attract investment and better deliver outcomes for communities justifies that engagement.

**Paul Bristow**  
Regional Policy Adviser (Regional Affairs)  
Museums, Libraries and Archives Council (MLA)

## Archive Awareness Campaign update



Once again archives across the UK are opening their doors this autumn and winter for everyone to explore. Some of the events going on include:

- Tours of the archives at Kew Gardens: find out about the rebirth of this botanical beauty spot in the nineteenth century.
- For those after something a bit gorier, head to Camden Local Studies and Archives Centre for an exhibition of grisly London murders and malice.
- There are also plenty of family history events going on as well as opportunities to celebrate the victory at Trafalgar.
- Suffolk Record Office is hosting a whole series of Victorian lectures throughout the winter which tie in with the Victorian Voices short story competition (see below).
- Warrington Library, Museum and Archive Service invite the public to a Victorian Fun Day where the whole family can discover the archives. Families can meet a Victorian lady or gentleman, make a peg doll, and perhaps even spot Alice in Wonderland.
- To view these and many more events visit [www.archiveawareness.com](http://www.archiveawareness.com).

Archives across the UK have also contributed to Victorian Voices, a short story competition for school children being run this winter. This project aims to take material out of the archives and into the classroom. Teachers can download 65 Victorian sources from [www.victorianvoices.com](http://www.victorianvoices.com) which include workhouse records, school rules, photographs, diaries and much more. Competition entries will be judged by a celebrity panel including historian, Tristram Hunt, and journalist, Edward Stourton. Adobe and Usborne publishers are providing prizes.

If you are not already involved in Archive Awareness Campaign (AAC) in 2005 it's not too late! Look at our website for ideas and register events at: [www.archiveawareness.com](http://www.archiveawareness.com).

Alternatively, the BBC will be running a second series of 'Who Do You Think You Are?' early in 2006 so January – March is a great time to demonstrate how archives are essential to family history research (again, register your event on the website).

If you cannot put on an event you can still promote your archive and AAC by providing stories for the media. If you want ideas on this please refer to the



Publicity toolkit on the AAC website or contact Lucy Fulton, Archive Awareness Campaign Officer on 020 8392 5237 or email [lucy.fulton@nationalarchives.gov.uk](mailto:lucy.fulton@nationalarchives.gov.uk).

Archive Awareness Campaign will be running a media training session in Birmingham on 9 January 2006 where we will offer help with press release writing and other media skills. Please email [lucy.fulton@nationalarchives.gov.uk](mailto:lucy.fulton@nationalarchives.gov.uk) to reserve a place.

If you would like to get involved in the planning of future Archive Awareness Campaign activity you can join us for a supporters meeting at the British Library on 15 November 2005. Email [lucy.fulton@nationalarchives.gov.uk](mailto:lucy.fulton@nationalarchives.gov.uk) to reserve your place.

2  
Victorian Voices:  
image from Great  
Ormond Street  
Hospital Archives

# Celebrating 10 years of Heritage Lottery Funding to UK Archives

Our written, spoken and film heritage is vital to our sense of identity and community. Over the last 10 years the Heritage Lottery Fund has invested nearly £200 million in helping archives, libraries and other organisations collect, conserve and open up this rich and diverse heritage for everyone to enjoy.

## Access to collections

The Heritage Lottery Fund is committed to improving the physical environments in archives and libraries. We have helped build new record offices in Surrey, Norwich and Devon. Oxfordshire Record Office now occupies a refurbished church. The Scottish Borders Archive will have a new home, the Heritage Hub, in a redeveloped corn exchange.

Many Heritage Lottery Fund projects focus on making collections more accessible through cataloguing and digitisation, and education and outreach programmes. We have supported major initiatives such as the Scottish Archive Network and Archive Network Wales. Through the Access to Archives (A2A) programme seven million catalogue entries from nearly 400 organisations are now online, ranging from Shropshire's 'Muck and Brass' to 'Remembering Asian Performance' – the archive of the theatre and carnival company Moti Roti. A grant of £5 million to Newsplan 2000 is preserving hundreds of unique and fragile local newspapers, giving people access to them, often for the first time.

Funding of more than £37 million has helped keep collections alive with new acquisitions. The National Museum of Photography, Film and Television in Bradford has hundreds of rare photographs from the Royal Photographic Society's archive. On display in the British Library is the sixteenth century Mercator Atlas alongside the papers of Laurence Olivier; and people in Scotland can now see one of only six surviving

manuscripts of Auld Lang Syne in the Mitchell Library in Glasgow.

## Local heritage

Local projects are also vital. Tyne and Wear Archives Service is reaching out to Black and minority ethnic groups, encouraging them to build collections for the future. You can look for an ancestor in 'Was your grandfather a soldier?' created by the East Midlands Museum Service, or learn about the history of Hull Fair at the National

Fairground Archive. In 'Ruskin for all', Lancashire schools combine visits to John Ruskin's archive, housed in a splendid new library funded by the Heritage Lottery Fund, with trips to his house and garden. Glenravel Local History Society used its grant to explore and display the history of 'Belfast through the ages'. With the help of many volunteers, especially older people, the Living Memory Association has collected hundreds of photographs of Edinburgh for 'Picturing the past'.

3  
West Yorkshire  
Archive Service  
(Photographer: Nigel  
Hillier)





### Sound and vision

Much of our most fragile heritage is on film and in sound recordings. The Heritage Lottery Fund helped the Yorkshire Film Archive create its first purpose-built home and we also funded Film Search Yorkshire which brought hundreds of old home movies into the collection. The Northern Ireland Film and Television Commission's Outreach Officer has given presentations to over 4,000 people in local communities. Sabal Mor Ostaig, Scotland's Gaelic College, is preserving over 12,000 hours of Gaelic and Scottish language sound recordings.

### For the future

Since 1994 the Heritage Lottery Fund has enabled all kinds of organisations to care for and open up heritage collections from local records and medieval illuminated manuscripts to photographs and writers' papers. However, as recent reports show, the job is far from done. We are looking forward to continuing to help meet the challenge of making archives and libraries accessible and relevant to everyone in the 21st century.

We have given over £193 million to archive and library projects, including:

- more than £81 million to archives
- more than £42 million to 164 record office projects
- £10 million to build three new record offices in Devon, Surrey and Norfolk
- more than £6 million to Access to Archives (A2A), Scottish Archive Network and Archive Network Wales
- £16.5 million to 17 film and sound archive projects
- nearly £5 million to volunteer-led and community organisations.

### Homes and heritage

In Ditton Priors, Shropshire, an estate survey of 1768 has been reunited with an accompanying map that had lain unrecognised in a local attic for nearly 100 years. Working with the community, the local history group has researched the history of local houses and occupants before and after 1768, compiled a parish archive, and staged an exhibition. The group's Di Bryan said: "More than 60 people were actively involved in the exhibition. It was hard work, but great

fun was had by all." This project was awarded £15,888.

### Reaching out

West Yorkshire Archive Service is encouraging people in Bradford to get involved in creating the archives of the future. Working with partners such as Bradford Trident, the community-led company is running the regeneration scheme in the three areas of Bradford, 'This is Our History' focuses on both the South Asian and traditional Yorkshire communities. Participants are producing digital archives of everything from weddings in the Asian community to working life in Bradford's mills. This project was awarded £49,999.

Further information about the Heritage Lottery Fund and how we can help archives is at [www.hlf.org.uk](http://www.hlf.org.uk)

**Karen Brookfield**  
(Deputy Director of Policy & Research)

**Judy Aitken**  
(Policy & Research Officer: Museums and Collections)

Assisted by Katie Roberts

# The National Archives of Sweden

Attendees at a recent international seminar held in Stockholm on the prevention of theft from archives were given the opportunity to see the operations and storage areas of the Swedish National Archives.

5  
This volume containing Östergötland County Records is one of the thickest volumes in the world, measuring 113cm and weighing 42 kg

The present accommodation, built in 1968, occupies a site in Marieberg on Kungsholmen. Above ground, the search rooms, staff offices and conservation facilities are housed in a building faced in brick and copper admitting plenty of natural light.

The storage areas blasted out of the solid rock beneath house records in a concrete repository extending to six levels below ground.

The lower floors are below the level of Lake Malaren and have to be protected by water pumps. Environmental conditions of 18-19°C and 50%RH (Relative Humidity) are maintained for



paper and parchment. Other special storage is available for electronic records and microfilms. An outstation was constructed between 1994 and 1998 incorporating storage and reading room facilities at Arninge some distance from the capital. Arninge also acts as the equivalent of our Family Records Centre where a wide range of genealogical information is made available.

The oldest document in the Riksarkivet dates from the 10th century. While the origins of the state's record keeping functions go back to the medieval chancellery, the National Archives traces its current organisation to an ordinance of 1618, issued under the great Swedish statesman Axel Oxenstierna. This is claimed to be the first such legislative document of its kind establishing a recognisable National Archives.

## Disasters and damage

However the early legislative foundation was not matched by purpose-built accommodation. The state archives continued to be kept in the Royal Palace where they suffered a series of disasters and damage from

fire and damp until a new Gothic-style brick building was constructed to house them in 1891.

Unlike The National Archives at Kew, a prime function of our Swedish counterpart is to house collections of private archives. It holds a wide range of such material ranging from the archives of noble families to those of modern statesmen and other leading public figures. A National Archive Database (NAD) is also maintained which includes information about private archival material.

The National Archivist interestingly also acts as State Herald controlling the creation of new crests and other heraldic emblems.

We look forward to returning the hospitality of Dr Tomas Lidman, the Swedish National Archivist, when the European Board of National Archivists meets in London during November this year.

**Norman James**  
National Advisory Services  
The National Archives

6  
The Swedish National Archives' underground repository is a free-standing six storey building





# DLM Forum Conference on electronic records

Budapest, 5 – 7 October 2005

## The National Archives (TNA) contributed to the fourth multidisciplinary European Document Lifecycle Management (DLM) Forum Conference on *Electronic Records Supporting e-Government and Digital Archives*.

The conference was hosted by the Hungarian Government. Lively keynote presenters spoke from a number of viewpoints, coming from the Hungarian Archives, the European Commission, TNA (Sarah Tyacke, as outgoing Chair of the DLM Forum), the Australian National Archives and an information management market analyst. Presenters from TNA in later sessions were Malcolm Todd, Adrian Brown, Richard Blake and myself.

The conference participants represented a range of interests: public administration, archives, research, the ICT industry and other commercial organisations, and numbered 350 from 34 countries. From within the European Union there was a gratifyingly strong representation from the newly accessioned East European countries.

### Conference topics

Now that electronic documents and records are widely used, the issues that came to the fore were: information governance in the e-government policy and information legislation environment, standards and case studies on interchange and preservation of digital information, and the challenges for records management and of cultural change. The issues included the management of electronic records and I presented the top priority of the DLM Forum's projects, a scoping study on behalf of the DLM Forum's Working Group on MoReq (Model requirements for the management of electronic records).

The original MoReq was published by the European Commission (EC) in 2002 and by agreement with the EC, the Working Group has produced a scoping report for a new version, MoReq2.

MoReq2 will update and extend the functional requirements to meet the latest best practice and will extend into testing software products compliance against the requirements. In a wider sense it will aim to support activities in every country of the EU to improve the completeness and quality of electronic records.

So what will MoReq2 consist of? The requirements will be arranged in modules. There is a base module which constitutes the minimum necessary to provide credible electronic records management. However, an electronic records management system in isolation is not enough. The problem is that various systems create and hold information that should be captured as records. They need to be integrated to manage information and avoid losing records. Integration with other applications in this way is defined in MoReq2 optional modules which may or may not be needed according to the environment they are being implemented in.

A country introduction will be written by the DLM Forum representatives of each country and included in each of the various language versions of MoReq2. This was done by some translators of the original MoReq to explain the concept of 'records' and their context in some cultures (for example French, Slovenian and Portuguese translations). The country would decide what is appropriate in their country introduction but it may include:

- the effect of national legislation
- the effect of the records management culture; for example procedures around MoReq2 for rules and processes deemed necessary

- translation information particularly on the key concepts such as the treatment of the words for documents and records.

The original MoReq has gained widespread acceptance and use. However, national approaches, though mostly compatible or based on MoReq, predominate. MoReq2 will provide a convergence point for these national programmes.

### DLM Forum Annual General Meeting

The DLM Forum's AGM was held at the conference. Elizabeth Hallam Smith of The National Archives was voted in to take over the Chair of the DLM Forum (acting chair until the next Executive Committee meeting) and moved a vote of thanks to Sarah Tyacke as outgoing Chair. The members endorsed the Scoping Report on MoReq2 clearing the way for the European Commission to take its development forward.

### For further information:

The Scoping Report on MoReq2:  
[www.dlm-network.org/index.php?categoryid=8&p13\\_sectionid=1&p13\\_fileid=32](http://www.dlm-network.org/index.php?categoryid=8&p13_sectionid=1&p13_fileid=32)

MoReq, EC project in 2001:  
<http://europa.eu.int/idabc/en/document/2631/5585>

For more detail on the conference presentations and conclusions, please see: [www.dlm-network.org/index.php?categoryid=13](http://www.dlm-network.org/index.php?categoryid=13)  
[http://europa.eu.int/comm/secretariat\\_general/edoc\\_management/dlm\\_forum/index\\_en.htm](http://europa.eu.int/comm/secretariat_general/edoc_management/dlm_forum/index_en.htm)

**Ian Macfarlane**  
Head of Electronic Records  
Management Development Unit  
The National Archives

# Society of Archivists' Annual Conference 2005

Staff from The National Archives, including several from the National Advisory Services, attended the Society of Archivists' Conference at the University of East Anglia, 6-9 September 2005.

The conference title, *Parchment to Pictures to Pixels: Preservation and Access in an Electronic Age*, reflected a varied programme for the conference, which was reinforced by the opening keynote presentation by Sarah Tyacke, outgoing Chief Executive of The National Archives (TNA). Her speech, entitled 'An archivist's adventures in Wonderland' reminded the audience of the vital role of archives in preserving the national memory, as the manufacturers of 'present history', and reflected on the numerous new challenges posed to modern archivists by developments in legislation and technology.

This prefaced Tuesday afternoon's session, which was devoted to a consideration of workforce development, with papers from representatives of the Museums, Libraries and Archives Council (MLA), Lifelong Learning UK (the Sector Skills Council including archives), and the new Institute of Conservation, as well as the Society's own Vocational and Professional Development Officer. Among common themes emerging from this session were calls for development of leadership skills in the sector, as well as increased training to develop expertise in technical issues and the need for partnership with other organisations and sectors.

Norwich was the ideal location for Wednesday's plenary sessions on disaster management and recovery. The opportunity was exploited to the full as delegates were talked through the full story of the Norwich Central Library fire in 1994, including the initial steps towards recovery and the longer-term programme of conservation and rehousing the collections. It was emphasised that the fire had not resulted in the loss of any records, and in the long-term had led to the creation of the new Norfolk Record

Office – a case of finding a silver lining to what had originally appeared to be a dark and ominous cloud.

A second case study of disaster management in action was offered by a team from the Cayman Islands National Archive (CINA), which was seriously affected, together with the islands as a whole, by Hurricane Ivan in 2004. Disaster planning is built into the Cayman Islands' archive strategy, but the team showed how plans can come to grief in a catastrophic disaster, with a lack of fresh water and electricity for weeks, and many staff members having lost homes and possessions in addition to damage suffered by the archive itself. Happily, CINA too is looking towards a future in much improved accommodation, although the process of recovery will last a long time.

The two case studies had a strong impact on the audience, reinforced by the presentation 'Ensuring the effectiveness of your disaster plan' by Emma McKenzie from Harwell Drying and Restoration Services. She reminded delegates of the great boost to disaster planning after the Norwich fire, but

shared her impression that the urgency has gone out of disaster planning in Britain in the years since. She particularly emphasised the need to consider worst case and alternative scenarios. Her examples included catastrophic disasters like the Cayman Islands experience, but also more frequently occurring problems, such as absence of senior staff during a disaster, or a disaster on a Friday afternoon with no emergency budget authorised until Monday morning.

She stressed the key issues to consider included the need for involving all your staff in disaster management training and shaping your disaster plan to fit your staff's capabilities; the vital importance of effective links with other areas of your organisation who would be crucial in a disaster, such as estates, security and finance; and the need to keep disaster plans short, readable and easy to follow. Imagine trying to flip through 50 pages of small-font black and white text in a damp, smoky, pitch-dark basement!

A distinctly sobered audience then spent the afternoon enjoying the

7  
Katie Woolf and  
Mary Wills on  
the National  
Advisory  
Services stand



Information Marketplace, where The National Archives and National Advisory Services stalls did brisk business. This was an ideal opportunity to promote and discuss National Advisory Services and Digital Preservation with colleagues from across the UK. A variety of breakout sessions organised around the venue, provided on the spot advice and guidance.

Thursday's programme for archivists and records managers looked at the non-paper environment, including digital preservation, digitisation, film and sound archiving. The keynote speech for the morning was given by Prof Kevin Schurer of the UK Data Archive, who contributed information on recent efforts to grapple with the challenges of digital preservation, including an attempt by an East of England Regional Archive Council (EERAC)/UKDA project to generate some transferable costings for practical digital preservation of a variety of obsolete media. In January 2005, the UKDA was appointed as a legal place of deposit for TNA documents.

The rest of the day's papers varied from the practical (some live on stage re-humidifying of gelatine prints, and an introduction to identifying nitrate film), to the technical (an explanation from staff at the National Library of Wales about their choice of Fedora Digital Asset Management System), the nostalgic (David Francis, giving the history of early film archiving in Britain, and particularly the lives of the extraordinary preservation pioneers Ernest Lindgren and Harold Brown) and the controversial (the assertion by Paul Read, specialist in digital moving images, that digitisation is not a suitable preservation medium for analogue film; while David Lee of the Wessex Film and Sound Archive called for a national approach to digital mass storage of archival sound material).

Examples of digitisation projects were presented from Norfolk and from the Imperial War Museum (IWM). Hilary Roberts, IWM Curator of Photographs, gave a particularly practical guide to managing a large-scale digitisation project to a tight timetable, as she explained the background to the 'Their Past, Your Future' digitisation scheme. Dr Ulrich Niess and Dr Harald Stockert, of the Stadtarchiv Mannheim, introduced their progress towards a fully digital archive: the merging of electronic cataloguing, digitisation and electronic records management into a single system.

To help us all to cope with the exciting but daunting digital world, Ruth Savage of the National Council on Archives

launched an advocacy document to encourage chief executives and other decision-makers to invest in digital preservation and to regard it as a critical and mainstream part of modern business. She also trailed the Digital Preservation Handbook (see page 40 for further details).

Meanwhile Jo Pettitt, Systems Engineer in Digital Preservation at TNA presented 'Care of Media: Preservation and Rescue' to the Preservation group. Alongside presentations on the history of photographic materials and plastics in museum collections, Jo's focus on practical steps to managing digital

Conduct, and the effectiveness of both for the profession. The final papers moved away from the field of ethics to consider other issues of concern, such as performance management and impact assessment in cultural services and the benefits and drawbacks of sponsorship.

Merely giving an overview of papers given at the conference does not, of course, give readers the full experience of conference attendance, and no report would be complete without some brief mention of the social side of the event. We especially enjoyed the hospitality of both the County



collections on removable media was warmly received by an audience rapidly adapting to the changing nature of the materials in their care. This was followed with a detailed question and answer session which challenged the traditional perception of the nature of preservation in a modern museum and archives environment.

The conference closed with a morning devoted primarily to a consideration of ethics in archives and conservation. Karen Benedict gave a paper which used the well-known case of the destruction of the Heiner papers and the Queensland state archivist's acquiescence to argue that not only ethics but morality should play a part in decisions affecting archives. The morning continued with a consideration of the ICA's Code of Ethics and the Society's own Code of

Council and the City of Norwich – the former's mini-eclairs were particularly popular, while the latter's drinks reception will not be quickly forgotten. Perhaps the highlight, though, were the tours of the new Archive Centre, replacing the building about whose loss we had learned so much. Judging by the gasps as each new part of the facility was revealed to my tour group, the whole conference must have come down with a severe case of archive envy – a story to inspire all the delegates as we returned to our individual offices.

**Melinda Haunton**  
National Advisory Services  
The National Archives

*With additional comments from the Digital Preservation Department at The National Archives*

# Records Management in Government Conference 2005

Recognising the tremendous challenges ahead for records managers in government, organisers of the annual Records Management in Government (RMG) Conference chose as this year's theme *A Seamless Future?* Recent conferences have focused on Freedom of Information (FOI) and the Modernising Government agenda. These two developments are becoming embedded in day-to-day working in government departments and it was timely to look further ahead.

The conference was held from 5 to 7 October in rural Warwickshire at the Chesford Grange Hotel – a pleasant change from the usual urban locations. The facilities were first class and overall the event was a great success, some delegates saying it was the best ever.

The format of the conference followed the previous year's – a mixture of workshops/seminars and plenary sessions. Speakers came from a variety of organisations: The National Archives (TNA), Metropolitan Police Service, Information Commissioner's Office, US National Archives and Records Administration (NARA), Lancashire Record Office, and Northumbria University, as well as several other government departments.

The first Keynote address was given by Ailsa Beaton, Director of Information and Chief Information Officer at the Metropolitan Police Service. The recipe for success in her organisation rested on the identification of the quality of its information as a key business priority. Included in this was the assurance that information will be shared within the service, with other areas of the public sector and with the people that the Met are charged to serve. As a result of these initiatives the organisation has begun to implement a corporate information management strategy, taking into account information

security, accessibility and adherence to appropriate standards. The Met's framework seemed a good example from which other organisations could learn.

Another significant plenary session – and one that has major practical benefits for government departments – was given by Catherine Harding of TNA. This covered conformance to the Code of Practice on the Management

of Records under FOI (usually referred to as the *Section 46 Code*). TNA staff have drafted a compliance workbook for use by public authorities. It has had a long consultation period and will be ready for publication soon. The central government adaptation will enable departments to judge how well they are complying with the Code and highlight areas where improvement might need to be made.

9  
From the left: Ian Wake, Stephen Latham and Gwenda Sippings from HM Revenue and Customs talking about the electronic records management challenges posed by the merging of two departments



Workshops and Seminars covered many subjects within the general theme of the conference:

- Places of Deposit Procedures and FOI Requests
- User Take-up of Electronic Document and Records Management (EDRM)
- Sustainability of Digital Records and the Custodial Policy
- The Departmental Record Officer in the 21st Century
- FOI: Records Management Lessons Learnt
- Appraisal and Disposal from Electronic Records Management (ERM) Systems
- Finding Your Way Around Standards
- FOI in Practice: TNA, Departments and the Advisory Council
- Benefits Realisation from ERM
- A to Z of Digital Transfer.

The workshops and seminars were well received. These sessions give delegates an opportunity to raise issues that concern them in a small and informal setting. Many resolutions from them can be taken forward as part of the

development of the seamless flow programme.

Delegates were treated to a rousing end to the conference with some interesting and entertaining presentations on the Friday. The double act of David Thomas (TNA) and David Smith (Office of the Deputy Prime Minister) – the Two Davids as opposed to the Two Ronnies – presented two views of the Seamless Flow Programme and succinctly showed how important and integral it is to records managers' work over the next few years.

A case study of ERM in HM Revenue and Customs highlighted some of the practical problems encountered – and some of the effective solutions that can be found. Then Ken Thibodeau of NARA, in the second Keynote address, showed us how the United States is tackling digital preservation. It was interesting to see how they have identified similar problems to colleagues in TNA and to see how differently, in many cases, that they have approached solutions. And finally Steve Erskine of Ordnance Survey

showed the highly efficient (and complex) Geographical Information Systems used in his organisation, and at the same time, by his obvious enthusiasm for his subject, provided an entertaining insight to all those Landranger, Explorer and other maps available from OS.

One of the undoubted highlights of the conference, as in previous years, was the presentation of certificates to students successful on the rm3 programme of records and information management education and development. The successful people have worked tremendously hard over the past two years and are deserving of the enthusiastic applause they received from other delegates.

All in all an excellent conference – planning starts soon for the 2006 conference!

**Kelvin Smith**  
Records Management Department  
The National Archives

10  
Successful RM3 students at the awards ceremony, with their tutors and Ailsa Beaton, who presented the awards



## Case studies

Sarah Tyacke retired as Keeper of Public Records, Historical Manuscripts Commissioner and Chief Executive of The National Archives (TNA) on 14 October, after more than 13 years in the post. We subjected her to an 'exit interview'.

# Interview with Sarah Tyacke

**How will you remember your time as Chief Executive of The National Archives?**

Well it's been a long time since 31 December 1991, which was my first experience of the preparations for the release of 30 year old and older records at Kew. This was followed on 2 January 1992 by the release of the 1891 census on microfilm in the newly fitted-out basement rooms at Chancery Lane. The staff all dressed up in Victorian costume as the readers waited patiently all the way round the block to come in.

It was all so much more sedate then and there was no hint of what was to happen to the Public Record Office and its staff, including me. It has been a very exciting time with all the changes, from building the new Public Record Office building in Kew, moving everything to Kew or to the Family Record Centre and then on to the digital revolution in our services and of the public record itself. This was hardly what I expected, although it was clear that colleagues expected changes and so we have had a few since. Through all of it, and we have had some rough patches, the spirit of the place and its staff have always been a spur to me to do my best whatever the circumstances. So in a word, I shall remember it and everyone with great affection.

**What do you feel has been your biggest achievement?**

Hard to say. Others will have a view about that. I suppose managing to survive for the period is an achievement in itself, having served three Lord Chancellors and had a change of government in 1997. On a practical note mending the experimental roof of the old Kew building and getting the money for the new building would feature large in my memories.

Together with my colleagues, the numerous volunteers who help us in our work, the Advisory Council and the Friends of TNA, I have had the good fortune to oversee many important developments: the construction of the second building at Kew (including ponds instead of a car park); the move from Chancery Lane; the establishment of the Family Records Centre (FRC); the enormous changes brought about by information and communication technology – not least the introduction of digital and digitised records and the ability, through the internet, to widen enormously access to our services; and the creation of TNA from the Historical Manuscripts Commission (HMC) and the Public Record Office.

What I am most pleased about is that The National Archives, and it is not my achievement particularly, is now a recognised national institution as well as a government department. I particularly relish our continuing campaign to get digital records (and paper) across government under control and I hope that we will go from strength to strength in our efforts on digital record keeping. Also it remains a lasting pleasure to see how the public services have developed especially the online but also the onsite at the FRC and at Kew, and now the emergence of the National Advisory Services from the merger with the HMC. Change and transformation will no doubt continue at an equally rapid pace after I leave my post. There is still a great deal to do.

**What has been the biggest challenge?**

There have been a few. Putting in a finance system in three months. Avoiding charging for onsite services, building and moving to Kew. Changing how we organised the work through Corporate Planning etc. All of this was new. Then there were the things that went wrong or could have gone wrong

and we had to get them right. We still await legislation but I remain optimistic.

Other areas of work like the digital, which was not even thought of back in 1992, for which we had to plan an approach from scratch across all our services. From that exercise emerged the *Learning Curve* in 1997 ([www.nationalarchives.gov.uk/teachers/learningcurve.htm](http://www.nationalarchives.gov.uk/teachers/learningcurve.htm)), *Access to Archives* in 2002 ([www.a2a.org.uk/](http://www.a2a.org.uk/)) and latterly *Moving Here* ([www.movinghere.org.uk](http://www.movinghere.org.uk)) as well as the Electronic Records Management Programme. In 2005 of course the implementation of the Freedom of Information Act from which we have all learnt a lot. So it's all been a bit of a roller coaster.

### What do you see for the future of The National Archives?

I am confident that The National Archives will be even more successful in developing a one-stop shop, onsite and online, for British history, in providing high quality services to the public and to our many other stakeholders, and in providing leadership to the archives and records management community. And I am sure that TNA will relish the new challenge of selecting and preserving the digital record for future generations.

With its partners, TNA will remain determined to build the national archives network to benefit everyone and to tackle the backlog of cataloguing in archives across the country with a number of generous funders. Much of what TNA does is for clearly defined user groups: government and the wider public sector, schools, further and higher education, family historians, and many others. But we also need to explain what archives are to a wider audience in higher education and the wider research communities.

The National Archives will continue to serve its traditional users well. It is finding increasingly innovative ways of reaching out to new users and attracting them to use records and archives to find out about the history of their families, their communities and the nation. Its online services are world-class, and it is fulfilling its mission to become the first place to visit for anyone who wants to know about history.

### How have the archive world and its users changed during your career?

Of course while The National Archives has changed so has the world around

us, both in terms of the archival and records world and the audiences we seek to serve. Nowadays the advent of the internet, the democratisation of the people of this country in terms of what they regard as their rights, including Freedom of Information, mean that our audiences are now vast and demanding. They challenge us all, not just The National Archives, on all fronts, from what we choose to select for posterity to how we deliver our services and to what standards.

This is a welcome if sometimes difficult target to meet but one which affects all public sector bodies, and many private sector organisations too to a lesser extent. This will continue as TV programmes like *'Who Do You Think You Are?'* continue. They also expect us to manage the digital record and its preservation for them and their children to see. This will not be easy and will cost money which we have always had a problem in raising.

### What advice would you give a new entrant to the profession?

Learn your trade well but at the same time keep up with new developments in leadership, management and ICT learning as well as the professional and historical components if you want to move up the hierarchy. Take advantage of all the opportunities you can find to get training, mentoring etc. Go around the museums, libraries and archival sector including stints in Higher Education and government, and be as flexible as possible. Have a plan and try to stick to it but not slavishly or you may miss the next big thing or fail to work out that you really want to stay where you are.

### What has been the strangest or funniest thing that has happened to you in your time at The National Archives?

One of the strangest things was the journalist who came to interview me when I started work who was convinced that all Keepers had to be male. They had been, of course, before I arrived. She thought that the use of the word 'she' in the Corporate Plan, which she had been sent, was a strange form of address reserved for Keepers but that it didn't mean the Keeper was female. This was in 1992 not 1972!

### What are your plans for the future?

I shall be chair of the trustees of the International Records Management Trust (IRMT), and assisting with Andreas Kellerhas' 'Advocacy and Promotion' programme for the International Council on Archives (ICA). I shall be leading a small team of John



Herstad, Eric Ketelaar and others in evaluating the Finnish system of records and archives services at the end of October at the invitation of the Finnish Education Ministry, which is responsible for the archives.

I have also just received a Leverhulme Emeritus Fellowship for my own specialism, the history of cartography, to be held at Royal Holloway, University of London, where I am a visiting professor. In addition, I will be giving the Sandars lectures on the history of cartography at Cambridge in 2007 so will be visiting collections hopefully across the world! I am also a distinguished senior research fellow at the School of Advanced Study, University of London, where I hope my interest in improving the public understanding of archives will be to the fore. I am also a member of Panel N for the Research Assessment Exercise (RAE) 2008. So I will be continuing to take a great interest in all things archival or historical, but from afar.

I shall always follow the progress of TNA with keen interest. I am going to help to enhance the catalogue, especially on the sea chart front (ADM1, ADM121), which I have had my eye on for nearly 14 years but with no chance of any time to do anything. If there's time left I shall also write on Crete which we have visited now for over 30 years and may even have more family to look after if I am lucky!

### Do you have a farewell message for the archive community?

Not really as I'm sure they will all get on with the job as they always have done and all they need is some encouragement. They certainly will always have mine.