

RECORDS SERVICES DIVISION: REPORTS FOR OCTOBER TO DECEMBER 2005

Government Records Branch

2.4 Key business objectives for 2005-06

- i. **Provide archival input and completion of GRB products for the NAS Digital Data Archive project:**
 - **By 1 June 2005, prepare PD0008 (DDA) Information Management Policy and Information Retention and Disposal Schedules and submit to senior management;**
 - **By mid-June 2005, formulate NAS preservation metadata;**
 - **By mid-July 2005, determine preferred formats of data for permanent preservation and prepare guideline for depositors;**
 - **By 30 September 2005, prepare accessioning procedures and policies;**

Work on the DDA project is continuing well and the products for preservation metadata, guidance on preferred formats and guidelines for depositors, and accessioning procedures and policies have been completed and passed through QA.

- ii. **By 30 September 2005, formulate business case for ERDM in NAS and carry out preparation to end March 2006 for introduction of system, if approved;**

This objective has been somewhat superseded by the decision to ask *Objective* to undertake a scoping study on ERDM for NAS. This study has now been completed and *Objective* have presented their findings to senior management. We have seen a draft of the final report and this has been returned to *Objective* to allow them to complete some minor adjustments.

Meanwhile, the *Managing our Digital Records* project has continued, with the completion of guidance on the use of shared drives and the preparation of a draft guide to managing e-mails. Work on assessing the existing contents of shared drives is continuing.

- iii. **By 31 December 2005, prepare Data Protection Code of Practice for NAS to cover all administrative functions of NAS;**

Achieved – the Code of Practice was drafted by the end of December 2005.

- iv. **By 31 March 2006, formulate proposals for reform of NAS approach to review of Scottish Executive records in light of their introduction of ERDM;**

Not started yet.

- v. **By 31 March 2006, bring standard record transfer arrangements into line with those set out in s61 Code of Practice, to enable the commencement of negotiations with 4 depositing public authorities on formal deposit agreements in the year 2006-07.**

Not started yet.

2.6 Performance targets and workload measures

1. **Create 5000 catalogue entries for the year 2005-06.**

This quarter we created 892 new catalogue entries which is short of our quarterly target. We have catalogued all SE material sent to us this quarter and have only a

small backlog of files in the SE Records Management Unit waiting to be appraised. However, we have been one member of staff short during the quarter and this, combined with the additional work which dealing with FOI enquiries is creating for remaining staff, has prevented us from making any inroads into our more general cataloguing backlog.

2. Appraise 1750 linear metres of Scottish Executive files in year 2005-06.

At the end of this quarter we had reviewed 354m of SO/SE files (This includes 5m of Historic Scotland files and 2m of SNH material). This figure does not include the final two weeks of the quarter for which statistics are not yet available, but even with these, it will still be short of our quarterly target (437.5m). This is partly due to the fact that, although we have reviewed all the files supplied by the Scottish Executive's Records Management Team, the staffing situation mentioned above has prevented us from making as many review visits to SE agencies as usual.

3. Ensure 97% of retransmission request are met within 2 working days of receipt.

Achieved. 99.79% of retransmission requests were met within 2 working days of receipt.

4. Ensure that 95% of internal file requests are met within 4 hours of receipt.

Achieved. 100% of internal file requests were met within 4 hours of receipt.

5. Within 10 working days, respond to requests for advice from stakeholders on records management, freedom of information and electronic records management.

Achieved. There was one request for advice and guidance recorded this quarter and it was answered within one day of receipt.

Court and Legal Records Branch

3.4 Key business objectives for 2005-06

i. By September 2005 reduce by 80% the bulk of civil processes transmitted during the years 2004-05 from sheriff courts;

Achieved. Six students from the Law Faculties of the Universities of Edinburgh and Glasgow were recruited to weed down the civil processes transmitted from sheriff courts. They commenced work on 6 June and completed the task by 26 August 2005. They represent the largest group of summer weeders ever employed by NAS, achieving spectacular space savings and a record number of new catalogue entries.

We successfully weeded and catalogued civil processes from two sizeable transmissions from Scotland's largest sheriff courts, Glasgow and Edinburgh, and those from the smaller courts of Ayr, Cupar, Dornoch and Kilmarnock. In total **88.6 metres** of civil processes were reduced to **13.7 metres (85% saving)**, the higher percentage saving has been achieved from destruction of greater numbers of routine processes transmitted by the larger courts.

We also cleared the large outstanding backlog of older processes awaiting review held in the limbo series in NAS, to the correct review year of 1930 (See target no.16 below). In total **81 metres** of limbo processes from 40 sheriff courts were weeded, resulting in an overall reduction of **55.8 metres (67% saving)**.

Cataloguing of the surviving processes resulted in the addition of 2,125 new process (1st Preservation) entries, and 3,478 (2nd Preservation) entries to the NAS OPAC.

ii. By Armistice Day 2005 ensure completion and achieve transfer of new catalogue of soldiers' wills (c. 32,000), to the NAS OPAC; return copy of matched dataset for use by the Scottish National War Memorial Trust (SNWMT); digitise WWII soldiers' wills (c. 4,700 wills), or part thereof, and launch new product(s) by means of on-line and traditional exhibitions.

Achieved. The catalogue of all the wills was loaded onto the NAS OPAC, and launched publicly by Margaret Curran, Minister for Parliamentary Business, on 10 November 2005. At the same time she launched an exhibition, 'Leaving it all behind: Scottish soldiers' and airmen's wills, 1857-1966' at GRH, as well as the associated images of digitised wills. All 4,752 WWII wills have now been imaged. The exhibition broke new ground for NAS by including an audio component in the form of 24 recordings of letters and other documents, read by volunteer colleagues. These recordings may be considered for possible future web-site and educational use. The other main objective, of returning data to the SNWM showing for which servicemen NAS holds wills, was also achieved. Remarkably, this fruit of our partnership now enables visitors to the SNWM site to link directly from the Roll of Honour to the NAS OPAC where a will exists.

Both the exhibition and the catalogue resources attracted some media interest, including a substantial article in *The Scotsman*, and good publicity on local radio and STV. The exhibition has since been complemented by guidance on content and searching on the NAS website. Also noteworthy, but not part of the original objective, was that, as the first move in a strategic shift, ICT upgraded the Access database to a *SQLServer* version, which was also launched on 10 November. It provides a platform for users in the NAS search rooms to make more structured searches than are possible on OPAC, and enables them to use direct links to digital images of the original documents. A further innovation has been the establishment of

a small-scale digitisation-on-demand service which meets public demand for access to the WWI wills, and safeguards these fragile documents from unnecessary handling. By December 2005 about 120 earlier wills had been digitised, of which a third was created by public demand.

Some clean-up of the catalogue, and a fresh loading of both CALM and SQL versions, remains to be completed during the last quarter.

- iii. **Ongoing, provide expert archival advice for the sasine digitisation or Registers Archive Conversion (RAC) project as member of project board; and supply duplicate set of sasine abridgements for image capture, to achieve the minimum preservation requirement of one signed set, one duplicate set by the completion of the project in 2007;**

Achieved. Attendance and advice has been given at various project board meetings, and two supplier site visits were undertaken for the RAC project. The Board approved the digital capture work for sasine abridgements during the current year. A set of duplicate loose-leaf or bound abridgements, persons and places indexes was prepared and packaged for imaging by an external contractor. The task took six months to complete. Gaps in the set are to be imaged by the NAS DIU using the working set available in the GRH Dome. Further duplicates were set aside for possible future transfer to local archives, or for use in the new Scottish Family History Centre in 2007.

By the end of December 2005, the duplicate abridgement sets for the 33 counties had been uplifted and imaged by the imaging contractor (approx. 1.6 million images), and the indexes were in preparation. These will be made available to the Legal Search Room early in 2006. Overall, **260.67 metres** of duplicates were uplifted for imaging, and a further **29.3 metres** of additional redundant copies have already been destroyed. Once the images and indexes have been quality assured and transferred to NAS, the paper will be destroyed.

- iv. **By March 2006 extend customer use of the High Court Solemn databases by combining and converting databases into a single *Sequel Server* format to 1) enable intranet searching by stakeholders (NAS staff & search rooms); 2) enable linked access to digital images; 3) enable automated downloading of data changes to the NAS OPAC; 4) enable use as a tool for future cataloguing of sheriff court solemn trials;**

On target. Preliminary meetings have been held with NAS ICT staff to consider the conversion of the Solemn Databases into an SQL format. These remain timetabled for development towards the end of the reporting year.

- v. **By March 2006 achieve NAS representation on Scottish Court Service (SCS) working party to review records management procedures for court records, and issue new records schedules for consultation to improve appraisal and retention of supreme court records, including assessment of Supreme Courts and Crown Office case management systems and the Accountant of Court, to seek long-term reduction in quantity of paper records transferred to NAS; revise & update contact procedures and internal guidelines for transmission and weeding of court records, and NAS information sheets, and publish on the revised NAS website;**

Some progress. No formal working group has been established by SCS. However, discussions and site visits have taken place with the commercial storage firm of *Iron*

Mountain. This follows the discovery that at a local level, some sheriff clerks have been using this commercial firm to store their older records. SCS representatives attended both meetings, and a scoping study to assess the wider storage problems in courts is envisaged.

Discussions have been held with the Crown Office Policy Unit regarding the provision of improved finding aids and the possible appointment of a records manager.

- vi. **By March 2006 investigate progress and create appropriate infrastructure to enable the transfer of image material from stakeholder bodies to conform with PD0008 requirements and procedures, and compliance with the NAS Digital Data Archive project;**

On target. Meetings have been held with staff of the Accountant in Bankruptcy and the Crown Office to discuss their electronic data and the transfer of digital images from AiB. Appropriate contacts have been established for NAS ICT staff to pursue their PD0008 project discussions.

3.6 Performance targets and workload measures

- 1. **Create 100,000 new catalogue entries for the NAS OPAC.**

On target.

<i>OPAC entries</i>	<i>Quarter 1</i>	<i>Quarter 2</i>	<i>Quarter 3</i>	<i>Quarter 4</i>	<i>Year Total</i>
<i>Total</i>	28,973	13,194	41,432		83,709

- 2. **Create 18,500 new index entries for CLRБ databases.**

Below target.

<i>Database entries</i>	<i>Quarter 1</i>	<i>Quarter 2</i>	<i>Quarter 3</i>	<i>Quarter 4</i>	<i>Year Total</i>
Precognitions (AD15)	1	1,113	1,876		2,990
20th Solemn (JC26 & JC34)	1,444	823	4		2,271
Summary Appeals (JC31)¹	0	0	0		0
19th Solemn (JC26)	190	37	142		369
Adoptions (SC)	0	262	210		472
<i>Total</i>	1,635	2,235	2,232		6,102

- 3. **Achieve space saving of 400 metres from new transmissions and existing record holdings following re-review.**

Target exceeded.

<i>Records</i>	<i>Quarter 1</i>	<i>Quarter 2</i>	<i>Quarter 3</i>	<i>Quarter 4</i>	<i>Year Total</i>
Abridgements	25	4.3	260.67		289.97
CS	0.78	0	0		0.78
JC	9.12	29.64	0		38.76
SC (New)	23.79	51.11	10.2		85.1
SC (Limbo)	16.25	39.55	0		55.8

¹ After review of objective 5, summary appeals were recorded as new OPAC catalogue entries only, under performance indicator 1.

SC (Other)	0.6	0	0.2	0.8
Other	0.12	2.5	10.62	13.24
Total	75.66	127.1	281.69	484.45

4. Catalogue new transmissions of adoption records received from sheriff courts onto the new Adoptions database within 20 working days of start of cataloguing.

No progress made listing adoption processes from the new transmissions from Ayr, Edinburgh and Glasgow due to the need to alter the Adoptions database to allow keying of birth names. Those from Dunfermline and Dumbarton were box catalogued due to the very low indexing match rate of the previous transmissions (see objective no. 19 above for details).

<i>Court</i>	<i>Transmission Date</i>	<i>Start Date</i>		<i>Completion Date</i>	<i>Processes</i>	<i>Work days</i>
Ayr	27/04/2005	Box only	catalogued		22 boxes	0
Edinburgh	29/06/2005	Box only	catalogued		8 boxes	0
Glasgow	13/07/2005	Box only	catalogued		19 boxes	0
Cupar ²	16/08/2005	01/09/2005		16/12/2005	388	20
Kilmarnock	29/08/2005	31/08/2005		31/08/2005	40	2
Dunfermline	31/10/2005	Box only	catalogued		17 boxes	0
Dumbarton	30/11/2005	Box only	catalogued		12 boxes	0

² Indexing of Cupar adoptions was not carried out over a consecutive period.

Private Records Branch

4.4 Key business objectives for 2005-06

- i. By 30 September 2005, complete survey of major GD collections to determine ownership;**
This target has been missed. The total of identified work rose from 175 to 193 collections needing investigation. Of these, 43 collections were checked during the quarter, bringing the total examined to 183. We expect that the total for checking will rise slightly but that the final accounting will conclude by end-January.
- ii. By 30 September 2005, produce updated NAS cataloguing standards manual;**
Pressure of other work prevented any progress in this. It is intended to press on with it during February and March, with a view to reaching the objective by the end of March.
- iii. By 31 October 2005, implement formal public launch of NAS OPAC;**
This target was again postponed, this time because ORT wished to investigate whether the OPAC might be made to conform to the standards required for accreditation by the RNIB. In practice we now believe that this will not be possible in the short term and it is intended to proceed with a 'silent' launch in January.
- iv. By 31 December 2005, 'soft launch' NRAS OPAC;**
This launch was postponed for the same reasons noted under the previous objective. Work is concluding on the summary catalogue entries for those collections where the owners have not allowed a full display of their lists. We intend to proceed with a 'silent' launch in January.
- v. By 31 December 2005, in consultation with internal and external stakeholders, develop strategy to make OPAC more user-friendly;**
While pressure of other work did not allowed us to keep to our timetable, there is now a broad measure of agreement between PRB, RSB and ORT about the development needs for OPAC. It is intended to formalise these in a brief document by the end of next quarter.
- vi. By 30 March 2006, in conjunction with internal stakeholders develop plan to support SCA in an application to HLF for Mac2A project funding;**
There has been no progress from the previous report. We await news of whether the SCA can take up funding.
- vii. By 30 March 2006, determine quantities and locations of all uncatalogued records for which PRB is responsible and estimate time required to list them;**
Although we shall probably not be able to attain this objective (the work has proved far greater than estimated) there was significant progress during the quarter. We now have a record sheet or entry for each discrete part of the PRB backlog and we have begun both confirming the storage locations and estimating the cataloguing times.

4.6 Performance targets and workload measures

- 1. Create 10,000 new catalogue entries for the year 2005-6;**
Target exceeded, with 2,941 entries added this quarter (annual total so far: 12,834 entries).
- 2. Answer 95% of NRAS enquiries within 20 days;**
Ahead of target, with 98% of answers in 20 days.
- 3. Load 6,000 entries from new NRAS surveys provided by outside bodies and from old unconverted surveys for the year 2005-6;**
On target with 3168 entries loaded (annual total so far: 4890). This target may actually prove to be difficult to meet, since the principal source of new data is the BACS surveying officer, who has resigned and is yet to be replaced.
- 4. Load 15,000 entries from NAS paper catalogues not on eCat for the year 2005-6;**
Target exceeded, with 4,649 entries loaded during the quarter (annual total so far: 31,070).
- 5. Edit and enter all SCAN updates within one month of receipt, through 2005-6;**
Nineteen entries were added to the SCAN database.

Outreach Services Branch

5.4 Key business objectives for 2005-06

- i. By 31 July 2005, complete text for NAS *Annual Report* and by 30 September 2005 publish it;**
Not achieved on time. The final elements of Annual Report text were not received until late November. The text was edited and passed to the designers in early December.
- ii. By 31 July 2005, produce exhibition 'For Freedom Alone' to commemorate 700th Anniversary of William Wallace's death and display of Declaration of Arbroath to be housed in the Scottish Parliament; and produce schools education resource to support the exhibition;**
Achieved, as previously noted. In response to a request from the Keeper, this quarter the Outreach Officer has submitted a folder with details of the exhibition for the Society of Archivists Phillimore Prize.
- iii. By 31 August 2005, prepare and deliver Darien exhibition, lecture and any associated material to International Canal Museum, Panama;**
Achieved, as previously noted.
- iv. By 31 March 2006, complete formal evaluation of the SAFS resources based on survey of primary and secondary schools and produce strategic report on future development of education services in NAS;**
In progress. Evaluation forms were posted out to 7 schools to be returned by March 2006. As the response rate from individual schools to participate has been poor, the Education Officer is now making contact with Scottish Education Authorities to offer SAFS presentations as part of teacher's INSET programmes for CPD. Development of the strategic report is work in progress.
- v. By 31 October 2005, produce marketing plan for NAS business services for Senior Management Board;**
Achieved. The final marketing plan was submitted on 25 October, and approved by the Senior Management Board, with the exception of proposals for external input to future NAS marketing, where further consideration was sought. Approval was given to take 3 proposals forward as a project.
- vi. By 31 December 2005, report to Senior Management Board on relevant parts of Scottish public records strategy consultation document relating to NAS' external relations' activities, with particular regard to local repositories;**
Not actioned pending the uncertain fate of the consultation document.
- vii. By 31 March 2006, pilot at least 2 areas of marketing activity as agreed by Senior Management Board.**
On target, being managed as a project, with revised timings. As per v. above, three areas (image exploitation, venue hire and records management training) are being taken forward as the Marketing the NAS Project. The project Board for this met on 13 December and a PID was approved, which envisages stage 1 of the project being completed by end Feb 2006, and completion of the venue hire workstream by April

2006, RM training by July 2006 and image exploitation by Mar/Apr 2007. Work on Stage 1 has begun and is on target. A B2 is being recruited for the image exploitation workstream.

5.6 Performance targets and workload measures

1. Answer 95% of education and media enquiries within 20 working days.

Achieved.

Oct-Dec 2005 - 10 education enquiries dealt with within 20 working days, mostly on SAfS.

Oct-Dec 2005 - 10 media enquiries dealt with, including provision of images of Declaration of Arbroath and Act of Union for SCA debate on 30 Nov.

2. Answer 100% of OSB FOI and DP enquiries within 20 working days.

Achieved.

Oct-Dec 2005 - 1 FoI enquiry responded to within 1 working day.