

RECORDS SERVICES DIVISION: REPORTS FOR APRIL TO JUNE 2006

Government Records Branch

2.3 Key business objectives for 2006-07

i. Provide archival input and completion of GRB products for the NAS Digital Data Archive project:

- **By mid-November 2006, develop disaster recovery policies;**
- **By 31 January 2007, complete DDA procedure manual;**
- **By 31 January 2007, develop training materials for curatorial and administrative users of the DDA;**
- **By 31 March 2007, contribute to PD0008 working group in order to allow implementation of PD0008.**

On target. Update meetings were held with the NAS DDA project manager, and appropriate training undertaken by attendance of Digital Preservation Coalition and Digital Curation Centre sponsored events. Work is progressing on developing a deposit agreement, based on the Archaeology Data Service template. Disaster recovery policies is an area where peer institutions have made headway, and significant research will be required to complete this product. The first meeting of the PD0008 (BIP0008) working group was held on 29th June.

ii. By 1 July 2006, draft and make available for comment a workbook to allow organisations/auditors to check records management procedures against the Section 61 Code of Practice issued under the Freedom of Information (Scotland) Act 2002;

Achieved. The workbook was updated and a draft version made available for comment to the SE Information Management Unit (IMU). We may have slightly overshot the target, but the workbook will soon be made available on the NAS website. The Records Management Society has agreed to add it to their website and we are arranging for it to be added to archive and RM list serves for wider comment.

iii. By 30 November 2006, complete an assessment of SE's internal audit of its records management procedures against Section 61 Code (and/or ISO15489);

On target. We have established a working relationship with the SE IMU for monitoring and assessing their internal audit. Two preliminary meetings have already taken place between GRB and IMU, and now that the audit is underway we will meet on a fortnightly basis until the audit has been completed.

iv. By December 2006, undertake a review of the NAS selection policy on government records and revise it accordingly (related to other objective d).

No progress.

v. By 31 December 2006, raise awareness of data protection within NAS by holding staff workshops on the new NAS codes of practice on data protection;

On target. Codes of Practice (Archival and Corporate) are being assessed to make sure they are ready for approval by Senior Management before arranging and preparing training for all NAS staff on them.

- vi. **By 31 March 2007, ensure NAS is ready for the introduction of EDRM by completing the restructuring of all branch shared drives in accordance with the NAS file plan and providing each branch with a report on the work done.**

On target. The vacant Records Manager's post was filled by a managed move in May 2006, and a start was made to the planning process for restructuring shared NAS drives. However, the new postholder has not been able to dedicate sufficient time to this task and record any significant progress, owing to continuing staff shortages within GRB, the provision of cover for the West Search Room, and the need to carry over certain duties from his previous post. A meeting was held with Objective on 18 May.

2.5 Performance targets and workload measures

1. Create 3000 catalogue entries for the year 2006-07.

Below target. Catalogue entries for the first quarter amounted to only 231 new entries (our previous quarter was 805). This figure is well short of our quarterly target of 750 and consists of a mixture of Scottish Office/Scottish Executive files (71), Historic Scotland (2), Scottish Higher Education Funding Council (121), Scottish Development Agency (30) and Scottish Courts Administration (7), cataloguing.

We have around 14 metres of SO/SE files (approx' 450 files) which we have been unable to catalogue due to staff shortages. A further 6-7 metres is due for transmission from the SE in July. This reflects the difficulty in maintaining cataloguing at required levels while operating with two staff vacancies and requiring to cover a B2 staff vacancy in the West Search Room. During the last quarter GRB staff provided 22.5 days of search room reliefs.

2. Appraise 1200 linear metres of Scottish Executive files in year 2006-07.

On target. By the end of June we had reviewed 501.5 metres of files (previous quarter 823 metres). This includes 12 metres of Historic Scotland files and 4 metres of GROS files. This figure exceeds our quarterly target (300m), but reflects an increase in review files being submitted by the Executive.

3. Ensure 98% of retransmission request are met within 2 working days of receipt.

99.51% of retransmissions achieved within the target time. The majority of requests continues to come from the courts.

4. Ensure that 97% of internal requests for existing files are met within 4 hours of receipt.

99% of internal requests were met within four hours of receipt. This saw 356 file requests successfully dealt with from a total number of 359 received.

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

We responded to 2 requests for advice from stakeholders this quarter within the 10 day period.

One was an unusual request, received on 6th June from the Cabinet Office, about records pertaining to the 18th century economist Adam Smith. The information was required the following day for a trip to the USA by the Chancellor of the Exchequer. With the assistance of the Online Resources Team, we supplied colour digital images

of Adam Smith's will recorded in the Edinburgh Commissary records, within 24 hours of the request.

6. Answer data subject access requests within 40 working days of receipt

One data subject access request this quarter, but following discussion with applicant they were redirected to Disclosure Scotland.

Court and Legal Records Branch

3.3 Key business objectives for 2006-07

- i. **By 30 September 2006, reduce by 80% the bulk of civil processes transmitted during the year 2006-07 from sheriff courts;**

Our annual recruitment of law students to weed the civil processes was completed successfully and four students from Glasgow, Edinburgh and Napier Universities began work on 12 June. So far, they have weeded Dumbarton and Dunfermline sheriff courts reducing the bulk of this material by 87% and 82% respectively.

- ii. **By 31 March 2007, develop and extend use of the new combined *SQL Server* High Court Solemn database to 1) enable intranet searching by stakeholders (NAS staff & search rooms); 2) permit linked access to digital images; 3) enable automated downloading of data changes to the NAS OPAC;**

A specification for the new system has been written and ICT are scheduled to begin work on it in September 2006.

- iii. **By 31 March 2007, work with the Scottish Court Service (SCS) working party to improve records management procedures for court records and in time reduce the quantity of material submitted to the NAS;**

The Scottish Court Service have still not initiated this working party. They have informed us that they first need to undertake a scoping study to establish exactly what the working party should cover.

- iv. **By 31 March 2007, 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, the Accountant of Court & Office of the Public Guardian and the Accountant in Bankruptcy;**
- **Assess records of the Accountant of Court, c1950s-1980s, held in Supreme Court, and devise and agree a programme for weeding and cataloguing as appropriate;**
- **Investigate, draft and agree new weeding schedule for Court of Session processes with a view to enabling weeding of late 20th century CS process papers during 2007 annual weeding round;**

So far, we have rough drafts of schedules for the High Court, Court of Session and Crown Office. Recent staff changes at the High Court mean that there is now someone dealing with record-related issues and we intend to speak to him about the High Court case management system in the coming quarter. We are also in contact with the Accountant in Bankruptcy about their case management system.

- v. **Ongoing, monitor and investigate the development of electronic records in stakeholder bodies, to enable their transfer to NAS in compliance with PD0008 and NAS Digital Data Archive procedures.**

This quarter, we have spoken to the Accountant in Bankruptcy and the High Court about the types of electronic records they are, or are likely to be producing, and to the Scottish Court Service about the electronic records in use in Sheriff Courts, all of which is giving us a better picture of what is being produced. The Registers of Scotland are disposing of their microfiche cameras and will be producing the Register

of Sasines and some Chancery and Judicial registers in digital form from about June this year. We are in close discussion with them about what NAS will require in order to ensure that we can preserve these over time in the NAS Digital Data Archive.

3.5 Performance targets and workload measures

1. Create 38,000 new catalogue entries for the NAS OPAC.

Well on target. **18,584** entries were created this quarter, largely made up of Court of Session acts and decreets (CS45-6), the year 2000 transmission of Court of Session processes (CS348), Sheriff Court material (including 906 fatal accident inquiries) and duplicate plans (RS230).

2. Create 3,000 new index entries for CLRB databases.

241 entries were created this quarter. A large proportion of this target will be met by index entries created from the next intake of Crown Office precognitions which are due to be transmitted to us towards the end of 2006.

3. Achieve space saving of 120 metres from new transmissions and existing record holdings following re-review.

On target. **55.18m** of space was saved this quarter, largely as a result of the weeding of Sheriff Court material by both permanent and temporary staff.

4. Process new transmissions of adoption records received from sheriff courts within 2 working days of transmission, to pass to Legal Search Team for entry onto the confidential Adoptions database.

No new adoption records were received this quarter.

5. Catalogue 98% of court records within 6 months of accession.

On target. 97% of court records accessioned since 1 April 2006 have already been listed and the remaining 3% are still within the 6 month target time (this 3% comprises a single accession which arrived during May 2006).

Private Records Branch

4.3 Key Business Objectives for 2006-07

- i. By 30 September 2006, produce updated policy on acquisition of private records, in order to safeguard NAS' investment in cataloguing and storing these records;**
Work has commenced on a 4th draft of this document, taking cognisance of the developing NLS collection policy as well as comments made on the 3rd draft.
- ii. By 30 September 2006, implement CALM v7 in co-operation with ICT to enable enhanced EAD and to improve system reliability;**
The commercial product is now available for installation and PRB have agreed a provisional testing and implementation timetable with ICT. So far, this objective is on target.
- iii. By 30 September 2006, produce NAS standards for creating corporate and persons catalogue authorities in line with international standards;**
Work has not commenced on this objective.
- iv. By 31 December 2006, produce draft guidance on managing private estate records for use with new accessions and for circulation to owners;**
Work has not commenced on this objective and will begin in the next quarter. In making decisions about record types, we shall be taking the opinions of historians working in this area.
- v. By 31 March 2007, measure the extent and depth of the PRB catalogue backlog and establish a programme to reduce it progressively;**
Work has not commenced on this objective and will begin in the next quarter. We have gathered together all the readily available existing information on the private records backlog and this will form the basis for a union database.
- vi. By 31 March 2007, in co-ordination with ORT and RSB design and construct summary finding aid for NAS OPAC.**
Preliminary discussions have been held with ICT regarding resources and this work will commence in earnest next quarter.

4.5 Performance targets and workload measures

- 1. Create 10,000 new catalogue entries for the year 2006-7.**
This is slightly behind target with 2256 entries. We shall recover lost ground when the output from a home worker is loaded to the catalogue next quarter.
- 2. Answer 95% of NRAS enquiries within 20 days.**
Ahead of target with 97.6% of letters answered within 20 days.
- 3. Load 4500 entries from new NRAS surveys provided by outside bodies and from old unconverted surveys for the year 2006-7.**

This objective is behind target with only 400 entries loaded. The NRAS relies on surveys from BACS to meet this target and the hiatus in BACS appointing a surveying officer last year is now having a downward pressure on our output.

4. Load 8,000 entries from NAS paper catalogues not on eCat for the year 2006-7.

There has been only limited progress (353 entries) towards this objective owing to the sick absence of the member of staff who leads in it. The work is now expected to resume next quarter.

5. Add 1000 new summaries to TLFAs of NRAS electronic catalogues for year 2006-7.

Ahead of target, with 345 NRAS summaries added.

6. Edit and enter all SCAN updates within one month of receipt, through 2006-7.

No entries were received in the last quarter.

Outreach Services Branch

5.3 Key business objectives for 2006-07

- i. By 31 July 2006, set up a Project Board and by 31 March 2007, complete a pilot videoconferencing project with schools and submit a business case to Senior Management to support introducing this as part of the NAS education service;**
The Board is in the process of development and will include representatives from LTS and two education authority curriculum development officers. The first meeting is scheduled for August 2006 when the school sessions begins.
- ii. By 31 July 2006, set up a Project Board and by 31 March 2007, complete initial planning for an exhibition, possibly with external partners, to mark the Union of the Parliaments;**
Preliminary discussions have been held with the House of Lords, RCAHMS and the Executive and options are currently being explored.
- iii. By 31 March 2007, implement marketing strategy, in order to raise the public profile of NAS and develop new revenue streams, including: by 30 September 2006, achieve delegated authority from OPSI for NAS to license re-use of its images and; by 31 March 2007, have an online image library with 750-1000 copyright cleared images ready for beta testing;**
A Board has been set up and full project documentation has been produced to take forward the development of NAS image library. Preliminary discussions held with OPSI, to be taken forward in the next quarter.
- iv. By 31 March 2007, create flexible education resources on the Highland Clearances and the Act of Union for the website and educational workshops;**
The latter has taken precedence this quarter in response to the Executive's call for ideas to mark the 300th anniversary of the Act of Union. Discussions are in hand with RCAHMS and the Law Society to create a Union education resources/workshops to support the annual Donald Dewar Debating competition for schools run by the Law Society. We are currently hoping for a positive response from SE with news of possible funding to go ahead with the planning stage.
- v. By 31 March 2007, draft NAS leaflet policy, revise stock of NAS paper leaflets, deleting, amending and supplementing these as required and arrange for all leaflets to be available online;**
Preliminary discussions have been held with ORT about the format and scope of NAS leaflets, as they have produced leaflets for SCAN and others.
- vi. By 31 March 2007, provide guidance on 'proper arrangements' in sec 53 of Local Government (Act) 1994.**
Draft guidance has now been produced and will be circulated during the next quarter for comment and revision before deciding on the manner of official release.

5.5 Performance targets and workload measures

- 1. Deliver 12 specialist talks/workshops on the NAS to university under-graduates and post-graduates; 12 talks to family history groups and 12 education workshops to teachers and pupils.**

On course, as follows:

Specialist (3)

18 April 06 – Workshop for Edinburgh University trainee history teachers

22 June 06 – Talk to Heriot-Watt Conservation Summer School students and tour of GRH

28 June 06 – Talk to NLS Official Publications Unit staff and brief tour of GRH

Family History (3)

22 April 06 – Talk to Scottish Association of Family History Societies, New Lanark

23 May 06 – Family History talk to Edinburgh Family Group (Bob Starratt)

8 June 06 – Talk for Tronda Local History Society, Glasgow

Education (3)

23 Apr, 8-9 May - 3 joint workshops NAS/Scottish Poetry Library with S3 pupils from Boroughmuir High School

- 2. Answer 95% of education and media enquiries within 20 working days.**

On target: 4 Education enquiries received and processed within 20 working days.

On target: 25 Media enquiries received and processed within 20 working days, 1 not processed within target time.

- 3. Answer 95% of copyright enquiries within 20 working days.**

On target: 1 enquiry received and processed within 20 working days.

- 4. Answer 100% of OSB FOI and DP enquiries within 20 working days.**

None were received during the quarter.

APPENDIX

Government Records Branch

2.4 Other objectives for 2006-07

- a. **By 30 April 2006, update NAS's data protection registration with the UK Information Commissioner;**

Achieved. The NAS data protection registration was submitted to the UK Information Commissioner in April 2006.

- b. **By 31 March 2007, in conjunction with OSB, reach agreement with Royal Commission on Ancient and Historical Monuments about areas of mutual interest in RCAHMS and NAS collections policies;**

No progress.

- c. **By 31 March 2007, formulate proposals for reform of NAS approach to review of Scottish Executive records in light of their introduction of eRDM (related to KBO iv);**

Ongoing. A meeting with SE-IMU is scheduled for early next quarter to establish future reviewing procedures for eRDM records. GRB curatorial staff undertook basic training in May on the SE eRDM (Objective) system, and we now have access to the live system at Saughton House. GRB staff still require to familiarise themselves with the system, better understand how it works, and how to identify electronic information suitable for permanent preservation.

- d. **By 31 March 2007 establish a pilot project to index Scottish prison registers held by GRB; project to 1) abstract test data from a maximum of 6 separate Scottish prisons; 2) set up a database in *SQL server* format, and achieve linkage with related prison register images, and/or database information about criminal records or trials; 3) submit report to the NAS Management Board as to the overall success of the pilot and possible future expansion of the project;**

Initial investigation has taken place as to the content of the register volumes. Given the likely departure of a key project worker, it is doubtful whether significant progress will be made this year.

- e. **Within one month of the period being reported on, produce reports on NAS accessions:**

- **one for the period April 2006 to March 2007 for inclusion in the Keeper's Annual Report, and**
- **one for the calendar year 2006 for the HMC;**

Detailed handover has taken place with previous post holder.

- f. **Ongoing, at least 3 weeks in advance of the annual SRAC sub-group meeting, produce a report for the sub-group on the review and disposal of government records;**

Ongoing. The SRAC sub-group meeting is scheduled for the latter part of the reporting year.

- g. Ongoing, provide input to Freedom of Information enquiries in which GRB has an interest, to enable NAS to meet its statutory 30 day turnaround time;** Ongoing. GRB received seven FoI requests this quarter. Of these, four requests have been answered and three remain outstanding, but are still within the 30 day target limit. To date we have met the statutory target for reply during this reporting year.

An additional file from the Dunblane Inquiry was deposited in April, and following a parliamentary statement by the Lord Advocate, the redacted papers were made available for public inspection in NAS search rooms (COM21/4/6). Following the inadvertent release of exempt material from an SE file in May, procedures about the handling and safeguarding of exempt records were reviewed and revised. As a final safeguard, a programme to vacuum pack all exempt material was set up, and conducted with the help of NAS Conservation staff in June 2006. Around 350 files were vacuum sealed.

- h. Ongoing, respond to requests under the terms of the NAS Memorandum of Understanding with OSIC for input to investigations into record keeping arrangements of Scottish public authorities;**

We have not been asked for any input this quarter.

- i. Ongoing, ensure that the Scottish Executive 30 year review exercise is managed in a way which meshes properly with NAS procedures and interests, and generates publicity both for NAS and archives in general.**

Target overtaken. The SE-IMU pro-active review of 30 year closure files ceased on 18 May 2006 after 18 months in operation. Some 11,000 files had been reviewed and opened by the team under the Data Protection and FoI Acts. This leaves many thousands of older files still requiring review. These will now be handled on a case by case basis when FoI applications are received from the public. IMU have agreed to maintain the FoI review of newly appraised files prior to transmitting them to NAS, and this has been incorporated into our joint service level agreement.

We attempted to publicise the overall success of the review, and set up a programme to publish 'good news' stories about FoI releases, using newly released file material. Detailed preparations were made to publish an article on the NAS website about the release of a 1978 World Cup file, planned to coincide with the Football World Cup tournament in Germany. Unfortunately, owing to reasons which remain unclear, the SE placed an embargo on the publicity release, negating any positive publicity which could have arisen. We are pursuing the matter of the publicity programme further with the SE FoI Unit.

Outreach Services Branch

5.4 Other objectives for 2006-07

- a. By 31 July 2006, complete text for NAS *Annual Report* and publish it by 30 September 2006.**

Contributions by branch heads and others have been requested.

- b. By 15 April 2006, produce text for Spring edition of NAS bi-annual Newsletter; text for Autumn edition to be with designers by 15 September 2006.**

The Spring edition was sent to press in late June.

- c. **By December 2006, develop and deliver a joint school workshop with Historic Scotland at Edinburgh Castle on *Mary Queen of Scots*.**
A meeting has been set up with Historic Scotland for 25 July to plan Dec 2006 *MQS* workshop(s) and to plan for joint 2007 workshop(s) on the Act of Union theme.
- d. **By 31 December 2006, in conjunction with PRB, organise event(s) to mark the 60th anniversary of the foundation of the NRAS.**
Preliminary discussions have been held, but no details have yet been agreed.
- e. **By 31 December 2006, complete NAS contribution to Scottish Parliament's Festival of Politics on Women in Politics/Suffragettes.**
Contact made with Scottish Parliament staff, who intend to select documents, request loans from NAS and curate the display/exhibition themselves. No further action by OSB required at this stage.
- f. **By 31 March 2007, develop 2 school workshops, *The Jacobites* and *WW2*, based on the SAfS resources.**
ICT Branch has agreed to purchase FLASH package and to train us to use it, so we can adapt SAfS material for the CD, for use on the SAfS website and for workshops.
- g. **By 31 March 2007, establish licensing regime for re-use of library images, including images not owned by NAS.**
Initial discussions have been held with OPSI and will be followed up during the next quarter.
- h. **By 31 March 2007, arrange programme of 6 inreach talks, and make these available to NAS readers and staff.**
A list of potential speakers has been identified and invitations are about to be issued.
- i. **By 31 March 2007, produce report on NAS records held by Dumfries and Galloway Archives under charge and superintendence, listing records held and examining conditions of storage.**
A preliminary visit has been to Dumfries to discuss the suspension of professional archivist's post and to look at storage facilities.
- j. **By 31 March 2007, review and catalogue on CALM the backlog of books in the Law series.**
Approximately 6 shelves out of 50 have been done so far, representing a solid start.