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UK & Ireland

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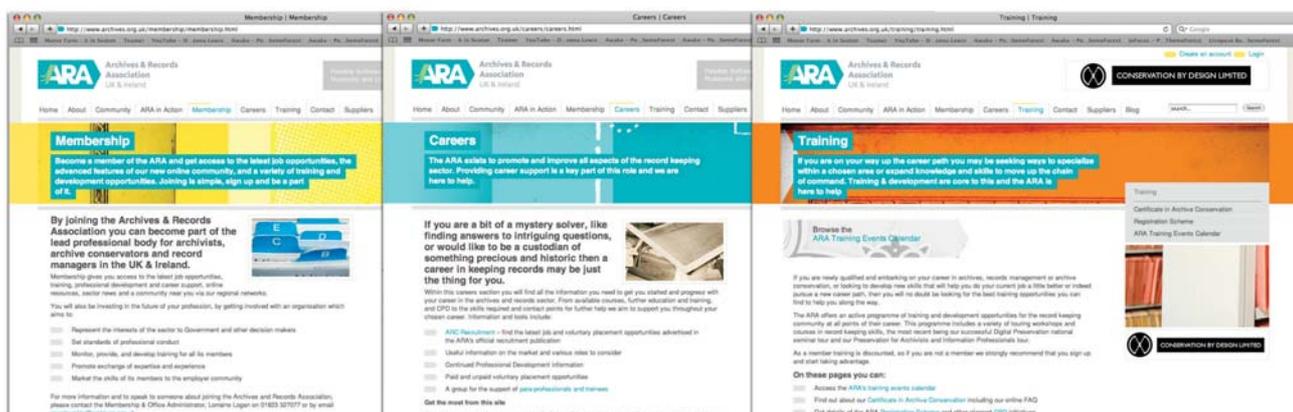
A Brief History of SharePoint Records Management (and a Small Peek at What the Future Holds)



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We're working hard to improve the website and make it the one-stop-shop for everything you need to know about your Association and the archive and record-keeping world.

Read the latest news and views. And share some views of your own on the community pages. Forgotten your password? Send an email to [membership@archives.org.uk](mailto:membership@archives.org.uk) – and you're ready to join in!



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## EDITORIAL

**W**elcome to the January 2013 edition of ARC

Now that Christmas is over and we have all recovered from the mince pies, chocolate and wine overload (plus numerous hang-overs from New Year!) it is time for the first edition of ARC to reach you in 2013.

This edition focuses on Records Management, in particular looking at Sharepoint 2010- a tool which is fast on its way to becoming the standard for Electronic Records Management and which, as Information Professionals, we cannot afford to ignore. There are articles giving a background to the development on SharePoint as well as real life experiences of its roll-out and implementation.

We also have articles on examining Fossils - slightly odd you may think for ARC, but all will be explained! And the new ARA training group which has recently been set up and will hopefully be able to build on the Registration Scheme in creating CPD opportunities for ARA members.

As always the ARC team is happy to receive any feedback and you can find details on how to contribute an article further on in this month's edition

Happy Reading and most importantly Happy New Year from all the ARC team.

**Sarah Norman, Ceri Forster, Rose Roberto, Richard Wragg and Gary Collins**

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Main: Greig digitising geology.

Top: The MACE team.

Middle: Hywel Francis, centre, with Lord Briggs and Sarah Tyacke in February 2012.

Bottom: HarborPoint Founder, Don Lueders, gives a presentation on SharePoint Records Management at a recent industry conference.

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# Opening Lines



Hywel Francis, centre, with Lord Briggs and Sarah Tyacke in February 2012.

Dr Hywel Francis is Chair of the All Party Parliamentary Group on Archives and History. He is Labour MP for Aberavon. A historian, he was previously Professor of Adult Continuing Education at the University of Wales. He founded the South Wales Miners' Library, which is housed at the University of Swansea.

I hope I am one of the first to wish all who work in the archives and record-keeping sector a peaceful and happy new year.

I have been Chair of the All Party Parliamentary Group on Archives and History for two and a half years. I am pleased to be able to share a little of what the Group did in 2012 and what it plans to do in 2013. The All Party Group now has 76 members; it more than doubled in size during 2012. Parliament has hundreds of All Party Groups. They are successful because, though they have no formal power, they bring together those with shared interests and passions. So, while our members are MPs and Lords from all parties and all backgrounds and have different views on nearly everything, we gather because we care about, and want to know more about, the work of the archives sector in the UK. Many members are historians, as I am, and have first-hand understanding and respect for the essential work which happens in archives of all shapes and sizes.

I want the Group to offer support to the sector in two ways. These are difficult times as reduced funding in much of the sector brings daily challenges. Sometimes there are specific threats and worries which we, as parliamentarians, can help to address. The right questions asked, the right letters written: this is work we are happy to do. The Archives

and Records Association provides both the administration for the All Party Group (Marie Owens, Head of Public Affairs at the ARA undertakes this role) and a clear conduit to the profession and its concerns.

Traditionally, archivists and record-keepers are not in the limelight. Their role is essential but not always obvious, even to fellow-workers. I suspect archivists spend a good deal of time explaining just what they do. The All Party Group's other key role is to help publicise and praise.

In February 2012 the Group honoured the work of archivist Sarah Tyacke and historian Lord (Asa) Briggs at a lunch in the House of Commons. Sarah led The National Archives from 1992 to 2005; it had fallen to her, said Tristram Hunt MP, to find a way through the challenges of a digital world of recordkeeping and freedom of information. Sarah's role as a member of the Hillsborough Independent Panel, became clear to the nation as the report was published in September.

The Group's second annual lecture in the House of Commons, was given by Professor Michael Slater in June, to an invited audience of Group members, archivists and historians. Acknowledging a 'special debt' to archivists Professor Slater spoke about Charles Dickens and his links with parliament. Those of us present will long remember the past and the

present coming together wonderfully: as Professor Slater quoted Dickens writing about the 'division bell', it sounded in the present, calling some of us away for a few minutes!

The All Party Group must be informed. We continued our 'factfinding' role in October by asking the heads of the national libraries of the UK – who between them care for much of our archival heritage – to talk to the Group, and an invited audience, about their challenges and successes. This was a sister session to one held with the leaders of the national archives the previous year.

And next year? We shall again say 'thank you' to an archivist and an historian and celebrate their achievements in March. We shall play our part in national awareness campaigns for the sector. We have plans to visit at least one archive. We are already talking to our most high-profile speaker yet about an annual lecture.

And we shall continue to speak out – within and outside parliament - and act where we believe we can make a difference.

The work of the All Party Group can be seen at [www.archives.org.uk/campaigns/parliamentary-activity.html](http://www.archives.org.uk/campaigns/parliamentary-activity.html)

# Collecting Matters

## Avoiding archival amnesia

*"A Nation that forgets its past can function no better than an individual with amnesia."*

David C McCullough, American author and historian

Good record keeping is essential if documents have any chance of surviving long enough to become archives, particularly with digital records that cannot so easily endure benign neglect in the way parchment and paper documents can.

Whether paper or digital, records are an increasingly important core asset. They may have importance because of their value to an organisation, family or individual, or they may be of wider importance for historical or social research. It is clearly vital therefore, that records whatever their format are preserved and made accessible for the future.

The creation and preservation of records is best secured through effective records management. For organisations, there are the additional benefits of good governance, reputation, efficiency and sustaining research. The nation's memory of its past, its understanding of the present and indeed the possible futures it faces depends on sustaining a diverse archival heritage that fully reflects complexities of our history.

Advice for records management is available from a variety of sources

Including generic advice produced by The National Archives:  
<http://www.nationalarchives.gov.uk/information-management/projects-and-work/records-management-guidance.htm>;

information guides published by the Records Management Society:  
<http://www.irms.org.uk/resources/information-guides>

For specific sectors, advice is available through bodies such as the Religious Archives Group (RAG), which includes links to records management guidance published by the Anglican and Roman Catholic Churches:  
<http://religiousarchivesgroup.org.uk/advice-and-guidance/>

In the end, you have nothing to lose, except your memory.

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### Philip Gale

Senior Adviser (Private Archives)  
 The National Archives

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[nationalarchives.gov.uk/archives-sector/](http://nationalarchives.gov.uk/archives-sector/)

# Registration Scheme News

## New Enrolments

We welcome the following new candidates to the Registration Scheme and wish them good luck with their progress:

### Stefanie Metze

Online Resources Archivist, The National Records of Scotland

### Jennifer Boyle-Wynne

Records Manager, Arcline Limited

### Andrew Young

Archivist, Doncaster Archives

### Josette Reeves

Assistant Archivist, Unilever Archives

For anyone thinking about enrolling on the Registration Scheme, finding a willing mentor can often be the greatest barrier to getting started. It's a concern that potential candidates have raised with the Registration Scheme Sub-Committee for some time and I am pleased to announce that a list of willing mentors can now be found on the ARA website. You can find the list, and lots more information about the Scheme, under 'Training' on the website (you will need to login to access the mentors' list).

We hope that the availability of the list will make it a lot easier for potential candidates to make contact with possible mentors. However, it's not the only way to get started. If you have struck up a conversation with somebody at a conference or training event, why not ask if they would be a willing mentor - don't forget to check that they are already registered members of ARA.

If you are a registered member of ARA and would like to have your name added to the list of potential mentors, please contact the Mentors' Representative.

## Contacts

General Registration Scheme Enquiries:

<[registrar@archives.org.uk](mailto:registrar@archives.org.uk)>

Registration Scheme Events Enquiries:

<[regschemeevents@archives.org.uk](mailto:regschemeevents@archives.org.uk)>

Registration Scheme Admin and Bursaries:

<[regschemeadmin@archives.org.uk](mailto:regschemeadmin@archives.org.uk)>

Registration Scheme Communications Officer:

<[regschemecomms@archives.org.uk](mailto:regschemecomms@archives.org.uk)>

Registration Scheme Mentor Queries and Advice:

<[regschemementors@archives.org.uk](mailto:regschemementors@archives.org.uk)>

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### Richard Wragg

Communications Officer, Registration Sub-committee

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Abi sorting items.

## Fossils, photos and folk: Volunteering for Shropshire's Heritage

Over in Shropshire, that most unspoiled, beautiful and historically rich of English counties, something big is happening. We're just about one third of our way through a three year long journey called *Volunteering for Shropshire's Heritage*. This is a Heritage Lottery funded project long in the conception to work with volunteers across Shropshire Council archives and museums doing cataloguing, conservation, research and promotional activities. We're also going to create two new local history centres in Shropshire. Just, and possibly more, importantly than any of that, we're providing a whole range of opportunities for people to meet one another and share their knowledge and understanding of Shropshire's history (volunteers were recently spotted partaking of a medieval music and dance workshop at our very own *Discover Shropshire Day*). The project provides some much needed good news for heritage in the public sector: cataloguing and conservation backlogs are being reduced, collections of national importance are being unlocked, libraries are acquiring some bright, inviting, attractive new centres for local history. The stories that are tumbling from the discoveries that the volunteers are making are breathtaking: the photograph album of the Rector of Cound recording

his visit to the coronation of the Tsar, the letters from Lord Hill reflecting on the attempted assassination of Queen Victoria, the Silurian fossils that evidence life in the Ludlow area 400 million years ago, the Mayor's Accounts giving a new insight into life in Shrewsbury during the English Civil Wars.

Such has been the demand for a place on the project that we've already met the three year target of 1,500 volunteer days over the course of the project within the first year. The motivations of those new volunteers we've recruited included wanting to meet people, wanting to learn a new skill, wanting to make a contribution to Shropshire's heritage, wanting to alleviate boredom. Clearly there are lots of potential volunteers out there: by the spring of 2012 we had over 300 people registered with us. Together they've been cataloguing photographs, hundreds of small collections accessioned in the 1970s and which haven't seen the light of day since as well as material as old as the 14th century from the historic records of Shrewsbury borough. Volunteers working on the museum collections have been digitising costume, cataloguing Roman artefacts from Whitchurch and researching the life and work of a pioneer anaesthetist, among many, many other things.

The feedback we've had from volunteers has been almost entirely positive. One of them said:  
*"It's a big thrill being given the responsibility of caring for four hundred year old documents. Handling beautiful, hand-written pages helps give a direct connection through time to the character of the writer; it feels special. Also, I'm very grateful to be learning new skills and ways of working which make you feel far away from the rush of modern life."*

Of their work with Ludlow Museum Resource Centre, another said:

*"The experience has taught me a lot about Carboniferous plants and has inspired me to go out on field trips and learn more. I have also enjoyed the social side of the experience; meeting new people with different interests has been very inspiring and rewarding."*

Of the work of digitization:

*"I get a buzz from seeing something on the web and thinking, I helped put that there! I believe it is very important to make history available to all and, in a small way, I am helping to make this happen."*

Our volunteers are an increasingly diverse group of people who don't conform at all to the traditional model of the heritage volunteer (not that there's anything wrong with the traditional volunteer). Some of our volunteers are younger people in search of experience for their CV who tend to stay for shorter, though more intense, bursts of activity. And not only do we have the diversity of our volunteers to celebrate, we are also very excited about the diversity of our collections. There can't be many heritage projects that are working both with cephalopods (that's a Silurian fossil) and parish magazines!

A project of this type is not without its challenges. There's always a balance to strike between ensuring the minimum standards are kept and allowing the volunteers to do it in their own way, adding value with their very considerable local knowledge as they do so. There's a balance to strike too between the needs of new volunteers and those who have been around for a long time and, of course, between volunteers and staff. This can be a risky business! Anyone involved in a project of this type should expect change. To be sure the volunteers should be changed by their involvement but the organisations will change too. Part of that process, perhaps, is of



Greig digitising geology.

'letting go' of those things that can, and perhaps can be done better, by the volunteers. We hope that before we saddle up and go home that we may have created something of a template for best practice and a store of knowledge that other such projects can use in the future. The process may not be without difficulty, but it is unlocking some of Shropshire's collections and adding value to our services while presenting numerous learning and social opportunities for the volunteers themselves. And if it doesn't sound too grandiose, perhaps we're lighting a candle for Shropshire's heritage, rather than just cursing the darkness.

.....  
**John Benson**

Shropshire Archives  
 .....

The MACE team.



# Archive Service Accreditation: piloting across the archives sector

Developing the Archive Service Accreditation Standard and Scheme continues to move forward with the help of the archives sector from across the UK. From September to December 2012, twenty archives services piloted the draft Archive Service Accreditation standard and scheme. The group was selected to represent the diversity of the archives sector across all parts of the UK. For these services it was an opportunity both to examine their service and contribute to the final stage of creating a new UK - wide standard for archives.

A number of piloting services also received a validation site visit for an onsite assessment of the service to confirm the application's content. Some of these visits involved peer reviewers, drawn from the group of interested archive services in England who could not be selected to pilot the draft standard.

Piloting tested how well different types of service were able to move through the accreditation process; whether the standard and guidance could apply to all types of archives services through 'scalability', and whether the application form allowed services to demonstrate fully how they met the standard. Piloting peer review and assessment is now ongoing to ensure the entire scheme is fit for purpose.

## The National Archives

Peter Brooker and Lee Oliver are working together to complete The National Archives' application.

### *Why did The National Archives become part of the pilot?*

We felt it was important to demonstrate our commitment to accreditation by participating. Being part of the pilot means we can

share our experience of other benchmarking and improvement schemes for the good of the whole archive sector.

### *How are you finding the pilot?*

It's going surprisingly smoothly! We've created a massive spreadsheet to track responses as we're working across so many different teams. It has also been a spur to make sure that we review our policies on schedule.

### *Is there anything you'll be feeding back specifically?*

Some of the draft questions appear to assume we're operating a largely paper-based service, and we've had to insert responses relating to our extensive digital delivery mechanisms. We'd also like to see an opportunity to give some qualitative information on the contribution of volunteers – we think there's more value to the organisation than is captured in raw numbers.

### *Any particular challenges about completing the application for such a large organisation?*

We have multiple sites, and we've made the assumption that those at Norwich and Petty France (which contain only office functions) are out of scope. We've had to ensure that we refer to arrangements for the material outstored at Deepstore, which is definitely within scope. We're also building a portfolio of evidence as we go along, so that if we are selected for a site validation visit, we're well prepared in advance and know where everything is kept.

## Falkirk Archives

Elsbeth Reid is the archivist at Falkirk Archives, which provides an archive service on behalf of the local authority within the context of a local community arts, heritage and leisure trust.

*How are you finding the pilot?*

It's been going well. We have had recent experience of working through museums accreditation and are finding the read-across very helpful.

*What will you be feeding back?*

There are a few areas where the different situation in Scotland makes questions tricky – for example, we don't have leasehold and freehold. Our position as a trust has made a few questions a bit awkward too. One thing I keep trying to do when I come up against a question that I can't answer, is to ask myself honestly: is it just that I can't answer this for our service right now, or is it actually the question that needs to be changed or a requirement that doesn't fit what we aim to do as a service?

**Media Archive for Central England (MACE)**

James Patterson is the Director of MACE, now based at the University of Lincoln. MACE is the film archive for the East and West Midlands, and a member of Film Archives UK.

*Why did you opt to become part of the pilot?*

We wanted to test how far the scheme met or could meet, the needs of the film archive sector. Accreditation will help us to demonstrate the quality and sustainability of services within core and prospective membership of Film Archives UK. We also see it as a tool to drive improvement and champion services.

*How are you finding the pilot?*

In general, we are finding that we have the relevant policies and plans in place. Often, it's been a welcome chance to review documentation and ensure it is still relevant. The type of documentation being requested seems very much in line with being a professional archive organisation.

*What will you be feeding back?*

There are areas where the questions don't quite reflect the work of film archives which weren't originally identified as in scope. So there are definitely details that need tweaking.

**Exeter Cathedral Archives**

Ellie Jones is the archivist at Exeter Cathedral Library and Archives. The service has recently come into being through the merger of the Dean and Chapter Archives and Cathedral Library.

*Why did you opt to become a pilot?*

We wanted to represent smaller and specialist archives in the pilot. We are also in a period of major change as a service, which involves the creation of new policies and documentation supporting our work.

*How are you finding the pilot?*

There's a lot to be done! Training for participants really helped me to understand that it's all right not to answer questions the way a county record office would. Scalability means expectations are different for smaller and non-public services like Exeter Cathedral.

*What will you feed back?*

Support is definitely helpful at an early stage, otherwise it can all look very daunting. Peer support is something that would really help other archivists when the scheme goes live, as we have supported each other during the pilot. Now that we are working through the process, it definitely helps us to tackle important things that might otherwise fall to the bottom of the list!

**Network Rail Corporate Archive**

Vicky Stretch is the archivist at Network Rail, which manages both a modern business archive and a historical collection, in the context of a wider corporate records management operation.

*Why did you want to pilot accreditation?*

We are a primarily internally-focused operation, and that makes us unusual among the pilots. We are also keen to move towards more openness, as we are developing a virtual archive presence and a research enquiry service. It's a great opportunity to go through the accreditation process to assess where our service is at the moment, develop a plan for improvement in terms of collections development and access to it and benchmark our service against others.

*How are you finding the pilot and what will you be feeding back?*

We're really quite pleased! We have had to interpret some of the terminology for a business archive, which we'll definitely feed back, but it's not been an onerous process. It's about working out what you can sensibly answer in the context of your service.

We'd like to thank all of our volunteer pilots. Their help and willingness to offer constructive criticism is helping to make archive service accreditation the robust improvement scheme we all believe it will become.

Feedback from the pilot services will shape the final UK wide Archive Service Accreditation Scheme as the last stage of the co-creation process. The scheme will be launched 2013/2014.

**Dr Melinda Haunton**

The National Archives

## All New Training Planned This Year for ARA- The ARA Training Group

The new ARA's Training Group met for the first time last autumn and has plenty of plans for an exciting range of future training events and opportunities!

Our team is made up of nine from across the profession - Lizzy Baker our Chairperson; Core Training Coordinators Richard Wragg, Ellie Pridgeon and Jenny Brierley; Treasurer and Recorder, Hannah Jones; Programme Training Officer, Melinda Haunton; Kathryn Rooke, Communications Officer and our Webinar Officers Karen Vidler and Joanne Wishart.

We're an all new group formed from local authority archivists and lone workers, the newly qualified to the long serving and we're based across the UK from the Shetlands to Kew - and many places in between! Our range in experiences can, we hope, only help in designing and delivering a running programme of relevant and reactive training for archivists, records managers and conservators.

The ARA Training Group is looking at a programme to incorporate changes in the field by providing guidance for the new 'Accreditation for Archive Services' scheme for example. But we're not forgetting the common and sometimes frustrating tasks we all face so 'Raising the Profile of Your Service' will also become part of the training programme offered. These and other sessions will be repeated across the UK on a regular basis so that all who want to get involved CAN get involved and the all too familiar disappointment of missing out on an event because it was a 'one off' or the train fare too pricey will be overcome!

Already confirmed for March are 'Business Records Training' at the M&S Archives and 'Born Digital Preservation' at Gloucestershire Archives in March 2013. But much more is in the pipeline so keep an eye on ARC, JISCMail and follow us on Twitter @ARATraining to find out what's happening in your area. Please let us know what you think and what you need through the same media or by emailing Kathryn.Rooke@lancashire.gov.uk. Your comments, thoughts and ideas are all very welcome!

**Kathryn Rooke**

ARA

## Welcome to the Records Management Section ARC Special Edition!

The technical challenges of record keeping have transformed since we started out in the profession more years ago than we care to admit.

While the fundamental principles of record keeping are unchanged, it is essential for both records managers and archivists to understand, and be able to advise their organisations on, the management of electronic records, whether structured or unstructured or held on local servers, shared social media, portable devices or the cloud. This is vital so that reliable records are created, are retained for as long as required and are disposed of appropriately. Also, as we know, decisions made about these records management issues at the start of the record's lifecycle will have a fundamental impact on the survival and quality of archival records now and for generations to come

Every so often technological innovations are presented as the next "silver bullet" to solve our information management challenges.

SharePoint 2010 is one of the latest contenders and so Ruth, our proactive and forward-looking Publications Officer has brought together some practitioners on the cutting edge of this subject to discuss the record keeping challenges of using SharePoint and share fresh thinking on good practice. Don Lueders based in the USA and Greg Clark based in Canada, both independent consultants specialising in the implementation of Enterprise Information Management systems, provide us with some food for thought when thinking about taking the sharepoint route.

If sharepoint is the silver bullet what are our practitioners actually doing in real world? Gary Jones and Lubna Ayub share their experiences with sharepoint while David Jenkins gives an insight into tackling electronic records with a sharepoint alternative-Open Text's Content Server solution.

Also Michael Gallagher offers a sneak preview on his topic of Records Management and Personal Devices ahead of his talk at the Records Management Section AGM and training event.

You can also check out our new website for further information on any aspects of record keeping.

**Ann Jones and Vicki Wilkinson**

Joint Chairs ARA Records Management Section

# This time it's personal: consumerising recordkeeping

The number of mobile devices on Earth now exceeds the human population, according to many technology experts. When Apple released its latest sales figures in 2012, more iPhones had been sold than babies born worldwide. Although it might not seem of immediate concern to archivists and records managers, there is an important recordkeeping dimension to this “planet of the apps.”

More and more of these consumer-owned devices – laptops, tablets, Smartphones, notebooks – are being used in the workplace, whether organisations know about it or not. They are being used to create, store, share and maintain information assets. Consumers are driving the tools we use to manage records, and are therefore driving how we manage records.

This is the next step in the “decentralisation” of recordkeeping, creating a scenario where organisations have even less control over, and do not actually own, many of the tools on which their records are managed. It is certainly a big challenge for records professionals, but we constantly deal with change anyway. We can actually use this to raise the profile of what we do, by focusing on core recordkeeping principles and practice, and not getting distracted by technology.

The first step is recognising that consumerisation is already happening: a Forrester Research survey in 2012 suggested that 53% of employees are already using their own devices for work purposes, and technology research firm Gartner predicts that this figure will rise to 80% by 2016. There is therefore little point in fighting this trend, but we can help manage it.

In getting to grips with the “bring your own device” environment, it helps to understand why this is happening. It carries a number of benefits for both users and organisations. Users like it, from junior staff to senior management. From an organisation’s perspective, it can also enable staff to be more productive, deliver cost savings on IT equipment,

and allow them to harness newer, better devices. With the drive for increasing productivity alongside lower costs, it is easy to see why organisations are taking advantage of available technologies to achieve this.

However there are, of course, a number of challenges for record keepers. Records are increasingly being created and managed by individuals, outside of a records management system, resulting in a loss of control. As well as organisations seemingly losing control of the recordkeeping function, they also relinquish control over what they can do with the devices, and therefore their records. For example, what happens to records on an employee’s laptop if they leave the organisation?

“if users don’t appreciate the value of their records and have to make their own appraisal decisions, there is the danger that important records will not make it to the archive.”

Compliance and legal issues are also significant. If a device contains company information, the company is responsible for protecting it and ensuring compliance with information legislation, regardless of who owns it. Organisations need to strike a balance between ensuring access to corporate data and keeping personal data on a device private.

Security is a big challenge too. As users are left to their own devices (terrible pun intended), the level of protection on employee-owned kit may not be as comprehensive as on company-owned. Data security is an increasingly high profile issue, not just because of the threat of monetary penalties but the reputational damage that a breach can cause. Finally, there are implications for the archival record – if users don’t appreciate the value of their records and have to make their own appraisal decisions, there is the danger that important records will not make it to the archive.

I think there are two main things that organisations can do to tackle these challenges. A clear agreement with users is vital – this should cover the right of access to company data, what happens at the end of a device’s life, and the security measures users must take. The nature of this agreement will depend on the balance between control and user focus within an organisation – corporate culture will dictate how prescriptive an organisation can reasonably be. It also helps to focus on the data rather than the device, to separate corporate and personal data, and to categorise information and set out what can be done with each category. As well as setting the terms, organisations also need to refocus their efforts on educating users. Individual responsibilities for recordkeeping are highlighted, so it is more important than ever to explain records management best practice, in a positive and helpful way.

The key overall message is simple: don’t panic! Many of the challenges (decentralisation in managing records, the compliance agenda, cooperating with a range of colleagues, educating users) are not new. We can’t stop this trend, but records professionals are well placed to manage it and help our organisations harness the benefits in a secure and compliant way. The popularity of new technology has raised the profile of information and made it rather sexy – doesn’t this make those who manage it sexy too?

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**Michael Gallagher**

Archivist, Glasgow Life  
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# A Brief History of SharePoint Records Management (and a Small Peek at What the Future Holds)

It may seem hard to believe, but SharePoint, Microsoft’s multi-purpose web application platform, is not a very old product. Its initial release as SharePoint Portal Server 2001 was in March, 2001, which makes it slightly older than my kids, but younger than my dog. SharePoint is a particularly young solution when compared to some of its closest competitors in the Enterprise Content and Records Management (ECRM) space, a few of whom are well into their third decade of general availability.

Though SharePoint is young by comparison, its capabilities have evolved quickly. The first few iterations of SharePoint were reasonably utilitarian solutions that provided a few well designed content management features that allowed users to easily (and inexpensively) manage their unstructured content through the first few phases of the information lifecycle. These releases did not, however, provide any true records management features that allowed users to control their content through the declaration, retention and disposition phases of its lifecycle.

Microsoft began to correct this omission with the November 2006 release of Microsoft Office SharePoint Server 2007 (MOSS 07). MOSS 07 came with several new features that were essential for meeting the most basic of records management functional requirements. These features included Content Types, which are predefined document templates that provide the end user with appropriate metadata for the type of document the end user is creating; a Records Center site template, which was a special out-of-the-box SharePoint site template specifically designed to function as a records repository; and Information Management Policies, which were retention and disposition policies that could be assigned to document storage locations or Content Types.

While the new records management features in MOSS 07 were generally well received, very few organizations were convinced they were powerful enough to manage their records in SharePoint without continuing to use other existing ECRM solutions as (very expensive) backend repositories. This would all change with the December 2009 release of SharePoint 2010.

Internally, the Microsoft SharePoint development team referred to SharePoint 2010 as the 'ECRM release of SharePoint'. They were determined to expand on existing MOSS 07 functionality and create completely new features that would up enable SharePoint to compete head-to-head with the leading ECRM solutions on the market. And developing robust records management features was critical to achieving their goal.

Among the many new features and upgrades to records management functionality in SharePoint 2010 were:

**Managed Metadata** – a SharePoint service that allows for the centralized definition and management of enterprise taxonomy

**Content Organizer** – a significant upgrade to the Records Router in MOSS 07 that enables records declaration based on Content Type and one or more metadata values across sites or site collections

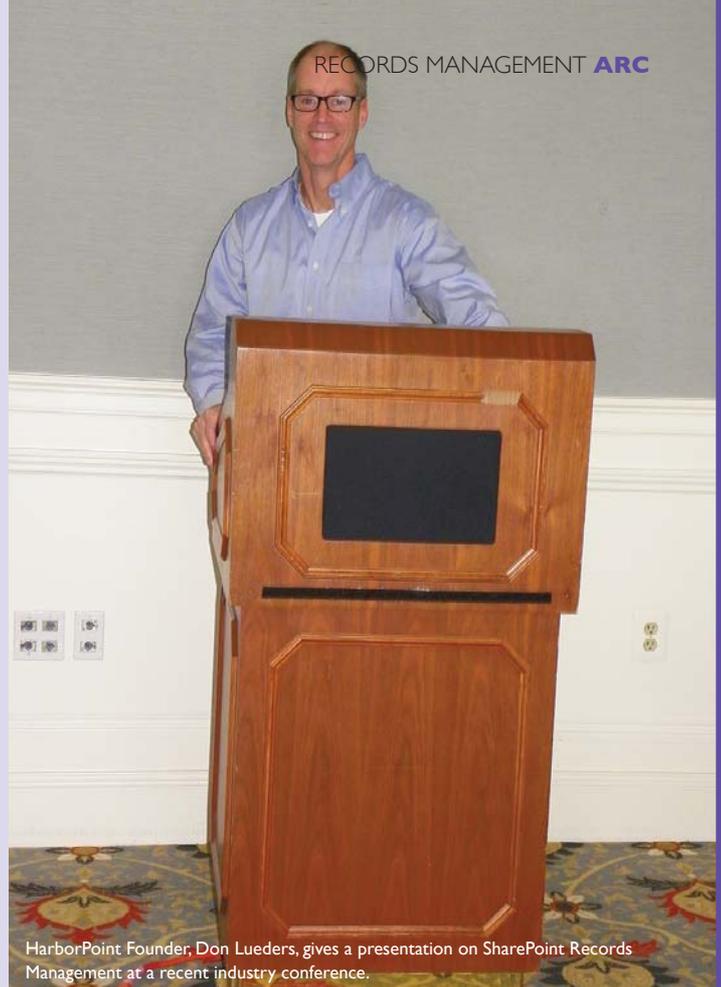
**Hierarchical Location-based Information Management Policies** – Inherited retention and disposition policies applied at the library, folder or sub-folder level

**Document IDs** - persistent, unique document identifiers that travel with the record throughout its lifecycle

**In-place Records Management** – the ability to declare any SharePoint item a record without moving it from its original location

These are just a few of the new or improved records management features you'll find in SharePoint 2010 today. There are many others. But are they enough to reach the Microsoft SharePoint development team's goal of positioning SharePoint 2010 to compete with the other major players in the ECRM solution market? In a word, yes. SharePoint 2010 is fully capable of managing an organization's content throughout its entire lifecycle. Cradle to the grave. And many companies are already doing it, allowing them to streamline their content and records management across the enterprise and eliminate costly and inefficient legacy ECRM solutions in the process.

So what does the future hold for SharePoint-based records management given the forthcoming release of SharePoint 2013? According to my discussions with Adam Harmetz, Lead Program Manager for the SharePoint Document and Records Management Engineering Team, a lot. Adam tells me SharePoint 2013 is by far the most ambitious release



HarborPoint Founder, Don Lueders, gives a presentation on SharePoint Records Management at a recent industry conference.

of SharePoint to date. For the first time, Microsoft will be shipping SharePoint as both a server and a service.

This means SharePoint 2013 will continue to leverage all the records management features that currently exist in SharePoint 2010, but will make them available both on-premises and in the cloud, making it possible for Records Managers to take advantage of the cost savings and efficiency improvements of cloud computing, while maintaining some portion of their records repositories locally.

There are also some entirely new features in SharePoint 2013 that Records Managers should find very useful. These include an enhanced user experience and FAST search functionality; SkyDrive Pro for offline synchronization while maintaining compliance; a new eDiscovery Center for managing electronic discovery responses; and Site Mailboxes, a far tighter integration with Exchange email.

Given this new release and Microsoft's commitment to making SharePoint the premier ECRM solution in the world, the future of records management in SharePoint looks to be very bright indeed.

#### **Don Lueders**

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## On the road with EDRM: Awareness raising across a large organisation

As with many large organisations in today's working environment Derbyshire County Council has begun to tackle the vast amount of electronic information which we deal with on a daily basis. This has led to the procurement of an electronic document and records management (EDRM) system, specifically Content Server 10, which is a system provided by OpenText. A pilot project was carried out to test the system within our organisation's property division prior to 2011, and following its successful conclusion the decision was made to roll-out EDRM across the authority. This represents a significant change from the current system of relying on shared network drives to store our electronic information.

One of the key lessons learned, both from the pilot project, and from our experiences of implementing other large scale ICT systems, is that operational staff often feel that they are not provided with sufficient information within a suitable time frame. This lesson was taken on board and a key feature of our corporate roll out of EDRM has been a large scale awareness raising initiative. Our awareness raising programme has been designed by our two trainers who have been seconded onto our EDRM team and it forms one part of their wider training package. As well as targeting operational staff our awareness raising approach has also included departmental and senior management teams to make them aware of the drivers and challenges of EDRM. This has been crucially important as, without their buy-in, EDRM would not succeed.

An early objective of our Awareness Roadshows was that they should reach as many people across the organisation as possible to ensure we engage with future system users. With a county as geographically large as Derbyshire this has been an interesting task and we are pleased to say that staff across the entire county have had the opportunity to attend a roadshow in an area near their workbase. Roadshows have been held at our administrative headquarters in Matlock (in the grand surroundings of our Council chamber) all the way to the far reaches of the county, from Glossop in the north to Swadlincote in the south.

The intrinsic message of the EDRM roadshows has been to clearly explain the benefits of EDRM to council employees. This has included time efficiencies in finding information (tying into our on-going commitment to improving customer service), compliance with legislation, and educating staff about the broader benefits of proactive records management and its role in the effective management of our corporate information. As well as the 'sales pitch' the roadshows have also provided staff with some practical tips in how to use the system and demonstrating some of the key system features (such as sophisticated searching and version control). A very clear message delivered by the roadshows has been the open and honest discussion of the challenges involved in an EDRM implementation: as our trainers don't shy away from telling staff 'change does bring challenges'. This has included listing some of the key challenges

which are likely to be faced by staff including file weeding, scanning, and a change in working practices, but contrasting these short term challenges with the long term benefits that will be gained by using the system.

As well as giving staff the broad context of EDRM, the roadshows have also signposted staff to detailed information which they can use to help prepare for EDRM. We have established a dedicated EDRM page on our council intranet which serves as a one-stop-shop for all EDRM information. This includes policies and procedures, practical pre-implementation steps staff can take, and introductory records management guidance.

Beyond the awareness raising roadshows our trainers have also been preparing a blended learning package of training to support our staff. This approach includes short videos instructing users on how to do routine EDRM tasks; classroom training sessions for EDRM departmental key personnel in how to use the system (particularly sectional administrators and team champions); e-learning courses for all users; and floor-walking in departments when going-live with the system.

This is a very exciting time for records management at Derbyshire County Council and its profile has never been higher. The roadshows and associated publicity have helped reach an unparalleled number of staff with current attendee figures standing at 1047 (as of October) They have helped raise awareness of the specific system we are using to manage our electronic records, but also the awareness of records management generally. This goes to demonstrate how beneficial it has been having a dedicated training resource (in the form of our two very enthusiastic trainers) to help lay the foundations of a successful EDRM implementation. Our roadshows will continue to run into February 2013 as we roll out our EDRM system across the organisation.

.....  
**David Jenkins**

Corporate Records Manager,  
 Derbyshire County Council  
 .....

# Implementation of SharePoint 2010 to the RBS environment

## Introduction

The SP2010 platform was rolled out globally to one of the Royal Bank of Scotland (RBS) divisions in September 2011. It has been configured to support each of the four Records Management stages

## Create > Capture > Maintain > Destroy.

When a team request a SP2010 site and their information will include records, then guidance will be required on how best to set up a site. The Records Management team will contact site owners once a site is provisioned and the four mandatory on-line training courses have been completed.

## Other training provided

Training was made available in various formats, on-line and on-demand self learning where you can play recordings of the training sessions at your convenience accompanied with Power Point presentations there are in total ten training modules.

## How can SharePoint 2010 benefit you?

It will enable you to collaborate with your team and manage your workload, offering a working hub for meetings, search, actions, documents and information.

Will help to change the way you work together across a business by providing:

- A more dynamic and collaborative environment which means you can rapidly and accurately exchange information.

- Quick and easy access to relevant, up-to-date content

- Improved document control and storage - it introduces capabilities such as versioning, checking documents in / out, alerts, workflows and workspaces

- Teams or departments with a site in which they can collaborate and manage the content, structure and functionality of the site themselves. You own and manage the sites.

## What are the RM capabilities in SharePoint 2010?

The Records Management team recognise that SharePoint 2010 (SP2010) is not a Document Management (DM) or Records Management (RM) system but the RBS implementation does have additional customised RM capabilities that when applied appropriately can provide better management controls with the records that are being created currently on file shares, different versions of SharePoint and several DM systems without RM functionality.

The ROW RRS has been embedded into SP2010, this has been achieved by creating broad and narrow terms for each known record classification and applying these as a Business Activity (BA) which is assigned to a Record Class Code, the BA is one of the four mandatory properties that need to be populated the other three are Name - Legal Jurisdiction - Records Custodian which are included on the index form that needs to be completed each time a document is uploaded onto a site.

Because of hierarchal inheritance the details will be automatically populated to whatever the level of inheritance is set, Site, Sub-sites, Folder & Document however if required you can change the details for each of the properties to the most appropriate classification for each document. This is all depending on how the site/s need to be managed.

## Declare Records

### What Records to Declare

It is the site user's responsibility to declare the records. Any High Risk Records stored in SharePoint 2010 need to be declared.

This action will attach a retention period to the record so that it is kept in line with Policy requirements of the Group and it will prevent further alteration to the record, to preserve it as evidence.

### When to Declare Records

You will need to consider the natural breaking points in the lifecycle of the High Risk Records.

- Is this a repeatable process which has a clearly defined end to the activity, such as the sign off on the minutes of a meeting, or the completion of a deal? e.g. clearly defined end:

### Records Management team:

Send out a welcome to SharePoint e-mail to all new site owners requesting information on how a particular site is looking to be set up and the type/s of documents that they are going to upload.

# SharePoint is the answer. Now what's the question?

This information will help provide further recommendations i.e., suggested Business Activities and Record Classifications and access to the RM external SP2010 site which contains additional reference material for each record management function.

## Records Custodian role

Data owner, briefly the person that will make the final destruction decision and set up at a minimum annual review of all records held in the site, general housekeeping.

## Conclusion

SharePoint 2010 is a very good collaboration tool, with the functionality and with the bonus of being compatible with other Microsoft office suite tools this can help provide a valuable and user friendly application for your organisation; however like all applications the governance around the implementation is key to making a success of the product release.

The added RM capabilities will help make the RBS release not another data repository with little or no management control over the data being stored.

The creation of future report functions will also help towards combining the central management and support for all SharePoint 2010 sites.

## ..... Gary Jones

Electronic Records Manager,  
Royal Bank of Scotland  
.....

This seems to be the prevailing attitude about Microsoft SharePoint since the Enterprise Content Management (ECM) functionality of the tool was significantly upgraded in 2007 and again in 2010. As we prepare for yet another new release in early 2013 it seems a good time to consider whether SharePoint is in fact the answer to all of your content management woes or if perhaps there's more to a successful information management strategy than simply technology.

Whether we records professionals like it or not, it seems clear that Microsoft SharePoint is becoming ubiquitous in many organisations; estimates range from 54% to 77% of Global 2000 companies have at least some SharePoint deployed.

When considering how you may use SharePoint it is instructive to understand what Microsoft thinks SharePoint is. Microsoft talks extensively about end users. SharePoint is first and foremost a tool that enables people to communicate with one another and exchange information. Although SharePoint has some compliance and records management capabilities it is primarily a portal and collaboration tool.

SharePoint's end user focus is not a bad thing. In fact, it's something that has been sorely lacking in the information management space from the very beginning. But make no mistake, if your organisation is going to meet all information lifecycle and records management requirements you will either need a different tool or you will need to purchase a third party add-on for SharePoint.

The two main vendors providing extended RM capabilities in SharePoint are GimmalSoft ([www.gimmalsoft.com](http://www.gimmalsoft.com)) which has focused on making SharePoint DoD 5015.2 compliant, and Collabware ([www.collabware.com](http://www.collabware.com)) which started by creating a very good end user experience for RM professionals and has built a tool that fills most or all of the gaps inherent in SharePoint, especially as it relates to information lifecycle management and compliance.

The question of whether SharePoint is right for your organisation comes down to your business objectives. Here are some considerations when evaluating whether SharePoint is right for you:

1. Customisations, system integrations and modules. Most implementations involve at least some customisation and most include a variety of vendor or third party modules. Because of this, considering a move to SharePoint is not a simply a matter of copying over your content. You will need to think about whether SharePoint has equivalent or "good enough" functionality to replace these customisations, integrations or modules without breaking your business processes.
2. Content migration is no fun. Once you've figured out how you will map your existing system to SharePoint you will need to plan the migration itself. You will need to make



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decisions about which groups go first (it is unlikely that you will be able to do a “big-bang” migration) and about whether you bring across all document versions or just the latest ones (this will likely vary by group). How will you handle content from departed users? What about URLs linked between documents and to other places? How about your security model? Who will update your information governance policies and practices? You may decide in the end that your best strategy is a hybrid between SharePoint and your existing system.

**3.** Pick the right project team. This is not, I repeat not an IT project. Managing user impact and business process change will be the biggest job for your project team. Finding a team with strong information management skills is critical as they will understand the specifics of how information needs to be mapped between the two systems. At the same time, you will need strong business sponsorship to provide guidance, set priorities and give you an escalation point when the going gets tough.

**4.** Are you ready to get social? If information wants to be free (and it does), information really wants to be free in SharePoint. This is especially true in SharePoint 2013. SharePoint started life as a collaboration tool and although it now has a powerful security model, the system works best when most information is available to most people. You need to consider what capabilities the average end user will have; what will people be able to do with their My Sites? Can everyone blog? Who can create a new list, library or team site? These are fundamental questions of SharePoint governance but be careful not to lock the system down too much. And these considerations are

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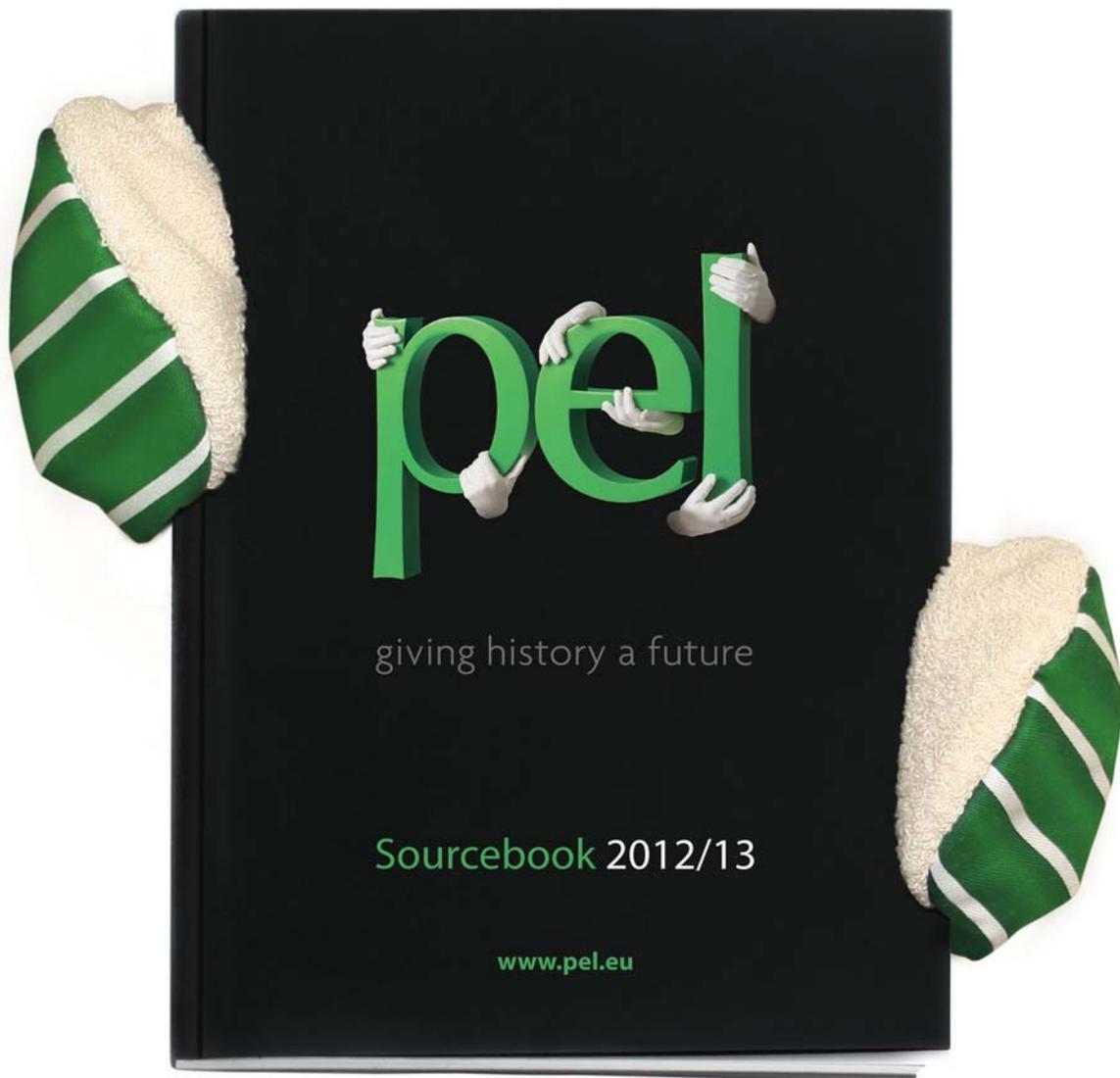
much more than just technical; there are cultural questions that need to be considered as well. This is true of any information management system but is especially important when working with SharePoint.

In the end, SharePoint is just one of many tools you can use to meet your information management goals. The most important thing is to understand what your organisation is trying to achieve as a whole then align technology to your business objectives.

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