



TNA guidance to government departments on cataloguing conventional records

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Online version:

The National Archives website:

<http://www.nationalarchives.gov.uk/recordsmanagement/advice/cataloguing.htm>

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1. INTRODUCTION

1.1.

After records at government departments and agencies have been selected for permanent preservation at The National Archives (TNA), and prior to their physical transfer to TNA, staff at government departments are required to catalogue or list the selected records. When the records are transferred, their cataloguing work is added to TNA's Catalogue, the online catalogue to all central government records held by TNA. TNA's Catalogue is browsed and searched worldwide through the Internet, by a huge number and wide variety of users, including British civil servants, journalists, researchers, academic and amateur historians and members of the public.

1.2.

It is extremely important that the entries on TNA's Catalogue are accurate, informative and easily searched and browsed. The work done by government cataloguers must, therefore, reach a standard acceptable to TNA before it can be 'signed off' by TNA's Information Management Advisers (IMAs) and the transfer of the records can take place. It is a fact, however, that government cataloguers sometimes have a limited time in order to produce their work. This guidance is therefore intended to give government cataloguers clear and simple advice about how to do their work. It concentrates on areas they need to know about, and defines standards and best practice they need to know. It recommends methods which are relatively easy and straightforward to adopt. Understanding and following this guidance will save government cataloguers time and wasted effort.

1.3.

This Guidance does not attempt to cover all points of cataloguing practice. Fuller information is available in *The Catalogue – Cataloguing Guidelines Parts A and B*, obtainable on request from TNA. TNA's Information Management Advisers (formerly Records Management Executives) can also provide advice and guidance on specific issues.

1.4.

In order that their work added to TNA's Catalogue, government cataloguers must use one of two templates for their work, depending on their requirements:

- The *MS Word Cataloguing Template* – very simple, recommended if you just need to catalogue records.
- The *Excel Review and Cataloguing Template* – more complex, as it is used for recording details of the records review process (selection of records for preservation or destruction) as well as cataloguing. It contains three worksheets – Review, Catalogue and Destroy.

Detailed guidance on how to use the templates can be found at http://www.nationalarchives.gov.uk/documents/cat_rtf_guidance.pdf (Word template) and http://www.nationalarchives.gov.uk/documents/cat_excel_guidance.pdf (Excel template).

1.5. This Guidance is an updated version of the guidelines issued in April 2003. It is shorter and contains clearer examples. It brings the guidance up to date concerning

Freedom of Information. It simplifies advice on subseries and contains some new points about Notes.

2. THE IMPORTANCE OF PREPARATION, CONSULTATION AND CHECKING

2.1.

This advice is intended to save time, and avoid frustration. Going wrong at an early stage of the cataloguing process, persisting in the wrong course and having to redo work at a later stage is extremely time-consuming and frustrating for everybody. Spending time in understanding this cataloguing guidance and the rules of the Word or Excel templates, in brief preparation prior to cataloguing, in consulting with TNA's Information Management Advisers (IMAs) over potential problems and in checking work regularly and thoroughly produces a better result and saves time and effort in the long run.

2.2.

Anyone unfamiliar with cataloguing public records should ask the Information Management Advisers (IMAs) to arrange coaching or training.

2.3

It is always advisable to undertake brief preparatory work in order to have a clear idea of the cataloguing task.

Firstly, survey the records to be catalogued:

- Check that all the records are present. If there are more records which will require transfer into the same TNA series (class) in the near future, it is usually advisable to wait and catalogue all the records together.
- Ensure that the record selection has been approved by the TNA Information Management Consultant (formerly Client Manager).
- Check reports do not duplicate ones already held at TNA.
- Confirm with the Information Management Consultant that the records are being put into the right series. In particular, check the details of any new series which has been raised.

Secondly, ensure you are ready to begin cataloguing:

- Read any background information on the series, including the information on TNA's Catalogue. This will help, for example, in understanding the structure of the series and any technical language which may need to be explained.
- If more records are being added to an existing series, it is useful to see how the previous parts of a series were catalogued – but do not imitate the earlier parts if they are done poorly or do not conform to modern standards.
- Check the piece number the first record should have - particularly important if the series is shared with another government department.
- If subseries have been used before, and it is agreed this should continue, ask the Information Management Advisers (IMAs) for a list of the subseries and their numbers as already used on the Catalogue.

2.4.

Cataloguers should consult the Information Management Advisers (IMAs) at an early stage about any major issues on which there is any uncertainty, for example, starting piece number, most suitable order, use of subseries, level of detail required, whether to continue in the same style as an earlier part of the Catalogue, etc. It is recommended that inexperienced cataloguers, or cataloguers dealing with records of a type they are unfamiliar with, should list just a few records at first, and submit the sample to the IMA for approval of the format, before they carry on.

2.5.

It is important that cataloguers follow a consistent style and are accurate when inputting record details. The more consistent and accurate the entries are, the easier it will be to find records on TNA's catalogue.

2.6.

When the catalogue is finished, it should be carefully proofread for accuracy and consistency by the cataloguer or a colleague. It should conform to TNA's editorial and technical guidance. Spelling should be checked through the Word or Excel spell-check facilities.

3. THE SEVEN LEVELS OF TNA'S CATALOGUE – THEIR RELEVANCE TO GOVERNMENT CATALOGUERS

3.1. TNA's Catalogue has seven levels available for description of records, summarised in this following table.

| Level | Name of level | Purpose | Type | Code on Word and Excel templates |
|-------|-----------------------------------|--|--|----------------------------------|
| 1 | Department (formerly lettercode) | Used to provide information about the government department or agency which created the records (eg Home Office, Ministry of Agriculture, Fisheries and Food). | Mandatory. Written by TNA staff | D (formerly L) |
| 2 | Division | Used to provide information about a division, directorate or important organisational part of a department or agency (for example, Establishment Division, Fisheries Division). Only used when the division has created a number of series (classes) which are grouped together on TNA's Catalogue. | Supplementary. Written by TNA | Not on the templates |
| 3 | Series (formerly class) | Used to provide information about a particular set of records produced by a department, agency or division. | Mandatory. Written by TNA (in consultation with government departments) | S (formerly C) |
| 4 | Subseries (formerly header) | Used to provide information about subsidiary series or groups of records within the TNA series (class). Only used when it is desirable to make clear the major distinct groupings of records within the series. | Supplementary. Written by government departments. Consult with the IMA before using. | SS (formerly H) |
| 5 | Subsubseries (formerly subheader) | Used to provide information about a group of records within a subseries grouping. Only rarely used, when it is necessary to make clear the minor groupings of records, at a lower level than subseries. | Supplementary. Written by government departments. Only used in exceptional circumstances | SSS (formerly S) |
| 6 | Piece | Used to provide information about an individual record, for example, a file, a report, a volume, etc. | Mandatory. Written by government departments | P |
| 7 | Item | Used to provide information about separate parts of a piece - (a) when the piece has been split into two or more parts because of its thickness; (b) when an extract has been made from the piece because of its sensitivity; (c) when it is useful to describe individual reports or subfiles within a piece. | Supplementary. Written by government departments | I |

Three of the levels are mandatory for every record: Department, Series and Piece. The other levels are 'supplementary', useful and even necessary on certain defined occasions,

but often not required and even disadvantageous to use. More detailed guidance on Subseries is at section 15; on Subsubseries at section 16; and on Items at section 17.

Of the three mandatory levels, two - Department and Series - are written by TNA Information Management Consultants, though usually from information supplied by government reviewers.

It therefore follows that most of the time cataloguers will only need to use Piece level – though occasionally they may have to use Subseries level for subsidiary series or Item level of parts of pieces.

3.2.

Every record transferred to The National Archives has a unique three part reference based on the three mandatory levels of description. For example, the reference CM 6/57 consists of the departmental lettercode CM, the series number 6 and the piece number 57. The next piece in CM 6/58. An item has an additional item number after the piece number, for example, CM 6/57/1.

These references would be written in the Word and Excel templates like this –

| D | S | SS | SSS | P | I |
|----|---|----|-----|----|---|
| CM | 6 | | | 57 | |
| CM | 6 | | | 57 | 1 |
| CM | 6 | | | 58 | |

3.3.

The first step in cataloguing a set of records within a series is to ensure they are arranged in a sensible, logical order. Once this has been done piece numbers can be assigned to each record. The cataloguer then supplies this information for each piece:

- its covering date;
- a brief summary of its subject matter, known as *scope/content*;
- its *former reference* (ie the reference code or number used for the record within the department, before it was assigned a National Archives reference);
- its *public access conditions* if it varies from the normal status of open under Freedom of Information;
- if appropriate, certain additional information contained in a note.

The next sections of the editorial guidance deal with these elements of piece level description.

The final sections then give a more detailed explanation of when and how to use the supplementary descriptive levels: subseries, subsubseries and item.

4. PIECE LEVEL DESCRIPTION: ORDER OF PIECES

4.1.

When cataloguing a set of records within a TNA series, it is necessary to ensure the records are arranged in a logical, sensible order. The underlying principle in the arrangement of historical records is to preserve the system of arrangement employed when the records were in use, and not to rearrange them in a different way (eg by subject). This is because it is important to preserve, for both researchers and official users, the links between the records which existed while the records were being used for business purposes.

4.2.

Normally records should be catalogued in order according to their former references (the registration reference codes or numbers with which the records were marked when they were created). This method of arrangement has these four benefits:

- It preserves the original arrangement of the records.
- It is the simplest, most logical and least labour-intensive method of arrangement.
- It assists researchers to browse catalogues and locate records of interest more easily. (This is, universally, a standard method of arrangement, and researchers are familiar with it.)
- It is much harder to maintain consistency if this arrangement is rejected for a rearrangement based upon subject, especially when further records are added to the TNA series.

In the Word and Excel template such an order might look like this -

| D | S | S | S | P | I | First Date | Last Date | Scope/Content | Former Ref | Closure | Note |
|----|----|---|---|---|---|------------|-----------|---------------|----------------|---------|------|
| TX | 25 | | | 1 | | | | | BY 2 | | |
| TX | 25 | | | 2 | | | | | BY 3 | | |
| TX | 25 | | | 3 | | | | | BY 5 PART A | | |
| TX | 25 | | | 4 | | | | | BY 5 PART B | | |
| TX | 25 | | | 5 | | | | | BY 7 | | |
| TX | 25 | | | 6 | | | | | BY 8 | | |

4.3.

If a set of records is unregistered (ie it does not have former references), it should usually be catalogued in date order, by start date, with the earliest record first.

4.4.

If the set of records consists of case files which were kept in alphabetical order, for example, by surname, this arrangement should be preserved in the catalogue.

4.5.

A TNA series (class) should normally contain a single specific series or group of departmental records. However, in exceptional circumstances, a TNA series may have

been created to hold more than one series or group of records. In such cases, each of these subsidiary series ('subseries') or groups should be catalogued in turn, in a logical order. For example, if a TNA series contains a series of earlier registered files (with former references) and a group of later unregistered papers (without former references), the registered files would be catalogued first, in former reference order, followed by the un-referenced papers in chronological order.

4.6.

If it is discovered that pieces are out of order once cataloguing has begun Word and Excel template users can simply cut and paste lines into the right place.

4.7.

The numbering of pieces should be consecutive – gaps in the piece numbers look unprofessional and can lead to confusion or even accusations by members of the public that records have been deliberately suppressed.

However, occasionally mistakes occur, and it is found that there is no record at a certain piece number but it would be too labour intensive to set this right. In that case 'Number not used' should be written in the scope/content of the piece, but the date, former reference, note and closure fields should left blank.

| D | S | S | S | P | I | First Date | Last Date | Scope/Content | Former Ref | Closure | Note |
|----|----|---|---|----|---|------------|-----------|-----------------|------------|---------|------|
| FJ | 20 | | | 54 | | | | Number not used | | | |

It is recommended that piece numbers should not be written in chinagraph pencil on records until the first number and the order of the catalogue have been agreed with the Information Management Adviser.

5. PIECE LEVEL DESCRIPTION: DATES

5.1.

Each piece description should include the date of the earliest paper and the date of the latest paper in the piece, that is to say, a *start date* and a *last date* (or end date). As papers in files are sometimes out of order, each file should be quickly browsed to establish the first and last dates.

Note that dates of notes concerning the administration of the record (for example, notes to open, close or retrieve a file, record review notes, etc) should be ignored when dating the piece.

5.2.

Some files contain background papers which predate the file opening. For instance, a file dated 1970-1971 on a Parliamentary Bill may contain a printed copy of an earlier piece of legislation on the same subject. In this event, the date range should be determined by the main papers on the file, but the existence of the background papers should be noted in the scope/content, eg 'With a copy of the Clean Air Act 1956'.

5.3.

For the vast majority of records it is sufficient to give the date at year level, rather than at month or day level. Only occasionally does a series of records warrant more precise dates. More precise dates - dates at month or day level - should be given only if they will be of genuine use to researchers: eg a run of pieces containing a sequence of committee minutes may need to be distinguished by indicating the month of creation.

5.4.

Dates should be written according to the technical rules for using the Word or Excel templates ie dd/mm/yy. When dating to year this appears as 01/01/[year] to 31/12/[year]

| First Date | Last Date |
|------------|------------|
| 01/01/1970 | 31/12/1972 |
| 01/01/1976 | 31/12/1989 |

5.5.

Sometimes a piece appears to be undated. In this event, however, it is usually possible to establish a date from circumstantial evidence (eg its relationship to other records in the series, office holders named in the record, external events mentioned, dates of printing, dates of use, etc).

If the date remains doubtful, estimate the date, and add the term 'Date estimated' in the Note field. 'UNDATED' can be used in the date fields, but its use should be avoided wherever possible.

| First Date | Last Date | Scope/Content | Former Ref | Closure | Note |
|------------|------------|---------------|------------|---------|----------------|
| 08/09/1977 | 17/12/1979 | | | | |
| 01/01/1970 | 31/12/1970 | | | | Date estimated |
| UNDATED | UNDATED | | | | |

5.6.

Frequently records are composed at a certain date but their contents deal with a different period in the future or the past. Examples are annual reports, histories, reviews, forward plans, forecasts, and statistical tables. In such cases the start and end dates will be the dates at which the record was composed; the dates of the period dealt with by the contents should appear in the scope/content: eg 'Annual report 1973-1974'; 'Statistics on the road haulage industry 1933-1973'; '5-year business plan 1974-1979').

| First Date | Last Date | Scope/Content |
|-------------------|------------------|--|
| 01/01/1974 | 31/12/1974 | Statistics on the road haulage industry 1933-1973 |

6. PIECE LEVEL DESCRIPTION: SCOPE/CONTENT OF POLICY FILES

6.1.

The scope/content description should be a good summary of the main overall subject of the file. The title on the file cover may or may not be an adequate description of its contents. The contents should therefore be examined briefly (paying particular attention to headings of correspondence, reports and papers within the file) and compared with the title on the file cover.

6.2.

As a result of this examination, the cataloguer is likely to reach one of these conclusions, and will need to write the scope/content accordingly:

- The file cover title is a good description as it stands; perhaps only punctuation, capitalisation or spelling need to be amended.
- The file cover title needs to be made more accurate, for example, a committee needs to be identified by its formal title, an acronym requires explanation, the county should be added to a place name, etc.
- The file cover title needs to be made more specific or more general in order to be a true summary of the contents, and it therefore needs to be amended or expanded.
- The file cover title is completely misleading and therefore needs to be completely rewritten.

6.3.

Scope/content should be brief and to the point, while still being accurate and readily comprehensible. It has been found that normally a good summary can be achieved in less than 15 words. Repetition and superfluous descriptive detail should be avoided.

6.4.

It is normally unnecessary to repeat in the piece scope/content information more appropriately recorded at a higher level of the catalogue, such as department (lettercode), series (class) or subseries (header) level.

For example, if the series title is 'Treasury: Finance Home Division 3: Decimalisation, Registered Files', it is superfluous to repeat information about which department and division created the files and what type of files they are at piece level.

6.5.

Usually there is little point in indicating the type of papers contained in the file – nearly all files contain a mixture of correspondence, memoranda, minutes, reports, etc – or in mentioning individual records within the file. However, if a file consists entirely of a specific type of paper (eg committee minutes as opposed to committee papers) or contains a particularly significant document, this should be recorded.

7. PIECE LEVEL DESCRIPTION: SCOPE/CONTENT OF RECORDS OTHER THAN POLICY FILES

7.1.

Other records (eg case papers, publications, reports, committee records, etc) are often easier to catalogue than policy files. Usually the title given on the outside of the record is an accurate reflection of the record's contents. However, the records should be checked to confirm this.

7.2.

It is important to agree with TNA at an early stage which descriptive elements are useful to include in the scope/content for such records.

For example,

- reports usually give both report title and author;
- committee records often specify type and number (for example, minutes 1-12) and sometimes volume number;
- case papers on individuals may include name, nationality, date of birth, place of birth and many more details.

In each case, consideration should be given to what elements should be included and which omitted (eg it may be sufficient to give the report title and omit the author).

7.3.

Although the scope/content is likely to be very close to the title on the cover of such records, it should be amended if it is likely to be incomprehensible to a non-specialist. The TNA's guidance on general style, acronyms, and abbreviations, place names etc, apply equally to all types of records, not just policy files.

7.4.

In lists of case papers dealing with individual people and arranged alphabetically by surname, it is sometimes useful to put the surname in upper case, eg Henry William SMITH, James SMYTHE.

8. PIECE LEVEL DESCRIPTION: SCOPE/CONTENT - GENERAL STYLE

8.1.

There are two normal ways of writing a scope/content at piece level:

- key word order (eg 'Bank of England: security measures; alleged failures of security')
- natural word order (eg 'Security measures at the Bank of England, including alleged failures of security').

In key word order the most important element of the description is placed first and the other information is added in one or more phrases following this. Natural word order is the same as normal English order. Both methods are acceptable, but once one method has been adopted for a series (class), usually it should be used consistently throughout the whole series.

8.2.

Scope/contents of individual pieces should be self-explanatory. It is not permissible to use the term *ditto* if the information in one piece's scope content is the same as the information in the previous one.

8.3.

The scope/content should be readily comprehensible. Terms which are understood within a particular government department may be incomprehensible to members of the public, or be misunderstood by others who use the same terms for different purposes. Jargon and obscure or ambiguous terms should be avoided or explained.

8.4.

Names of committees must always be cited accurately, with the official or formal version given. Frequently committees are referred to in files by their chairperson's name (eg The Peacock Committee). In such cases the official version should be given but the chairperson's name should be added in one of these ways – Peacock Committee on Financing the BBC, *or* Committee on Financing the BBC (Peacock Committee).

8.5.

Titles of publications and reports must always be cited accurately. When possible, the Command Paper number should be added in brackets after the name of a White Paper for example, 'Report of the Committee of Inquiry into Normansfield Hospital' (Cmnd 7357). When it is useful, single quotation marks can be added around the name of the publication.

8.6.

Titles of Acts and Bills must always be cited accurately. Acts must always include their date of the Act eg Road Traffic (Foreign Vehicles) Act 1972.

8.7.

If an individual is named, the post he or she held should be added whenever this is

significant in understanding the description of the record (eg 'with comments by Captain H R Keane' would be much less meaningful than 'with comments by Captain H R Keane, Director of Naval Signals').

8.8.

The scope/content should be written in a single line or one paragraph, not in several paragraphs, as use of return or tab keys creates difficulties when data is loaded onto the Catalogue.

8.9.

Verbs should normally be avoided (eg write 'Police investigations of' rather than 'The police investigated').

8.10.

Punctuation should be simple, light and consistent. When a scope/content is written in key word order, a colon follows the first element and semi-colons divide the subsequent phrases. A full stop should not be put at the end of the scope/content.

| Scope/Content |
|--|
| Farm and Animal Welfare Council (FAWC): welfare of fur-bearing animals; study of mink and fox farming |
| Transport Bill 1979-1980: proposals for community bus schemes; correspondence with London Borough of Camden about possibility of amendment to the Bill to facilitate Camden's proposed co-operative transport scheme |

8.11.

Capital letters should generally be used as in normal English, at the beginning of the scope/content and then for the initial and significant words in names and titles – eg General de Gaulle, New York, HMS Valiant, House of Lords, 'The Times', 'A Report on Human Resources in the NHS', Committee on Financing the BBC, Working Party on Pay, Industrial Relations Act 1971.

Capital letters should not be slavishly copied from titles on file covers, because sometimes these overuse capitalisation.

To give examples, scope/content would be written:

Welfare Committee: minutes of meetings 1-20 (*not* Welfare Committee: Minutes of Meetings 1-20)

Reorganisation of the Ministry of Agriculture, Fisheries and Food: veterinary aspects (*not* Reorganisation of the Ministry of Agriculture, Fisheries and Food: Veterinary Aspects).

8.12.

If dates are included in a scope/content they should be written in this format: 18 November 1974; **not** in other formats such as 18/11/1974, November 18 1974, 18 Nov 1974, 18th

November 1974.

8.13.

Do not use tabs, paragraphs, line breaks or page breaks; underlining, bold; superscript or subscript; Greek letters or other unusual scripts; and use ampersand (&) only when absolutely necessary. All these create difficulties in loading the description into the Catalogue.

9. PIECE LEVEL DESCRIPTION: SCOPE/CONTENT: ACRONYMS AND ABBREVIATIONS

9.1.

Acronyms and abbreviations often cause confusion to researchers and departmental users because with the passage of time their original meanings are lost or because one acronym or abbreviation can mean different things in different contexts. They should therefore normally be expanded to the full version of whatever they represent. The only exceptions to this are:

- Any acronym which is used as the official name of the organisation (for example, BBC) - evidence for this may be found on the organisation's letterheads;
- Common abbreviations and acronyms for forms of address (Mr, Dr, etc) and for honours, titles, awards and qualifications (OBE, CBE, Bt, MA, BSc);
- Abbreviations and acronyms listed and defined in the current edition of the *Concise Oxford Dictionary*.

9.2.

If both the acronym and the full version might be useful search terms for users of the Catalogue, put them both. Write the full version first and then the acronym in brackets, eg Commercial Fast Reactor (CFR).

9.3.

Full stops and spaces should not be used in abbreviations and acronyms (BBC not B.B.C. or B B C) - they may interfere with search engines. However, use spaces but not stops when giving a person's initials – P B Kershaw.

10.

PIECE LEVEL DESCRIPTION: SCOPE/CONTENT: PLACE NAMES

10.1.

Place names should be written in their standard modern English spelling.

10.2.

The location of places should be identified to an appropriate level - usually county or country, as indicated below. This will enable researchers to identify the place in question and avoid confusion with other places with the same name.

Such information will normally be present in the records being catalogued, and cataloguers should examine the records carefully to find it. If the information is not present in the records, the TNA does not expect them to carry out research in reference works to track place names, although any efforts to do so are welcome.

Normally commas will be used around a county or country name following a place name, but use brackets if this is clearer.

UK Place Names

10.3.

Most UK place names should be identified to the level of county. For example, if a street name is given, the village or town name should be added, then the county name, eg First Avenue, Clacton-on-Sea, Essex.

10.4.

There is no need to add a county name after the towns and cities in this list (because either they give their name to counties or are large and well-known conurbations):

- *In England:* Bedford, Birmingham, Bristol, Buckingham, Cambridge, Chester, Coventry, Derby, Durham, Gateshead, Gloucester, Hereford, Hertford, Huntingdon, Kingston-upon-Hull, Leeds, Leicester, Lincoln, Liverpool, London, Manchester, Newcastle-upon-Tyne, Northampton, Nottingham, Oxford, Portsmouth, Sheffield, Southampton, Stafford, Teesside, Warwick, Wolverhampton, Worcester, York
- *In Scotland:* Aberdeen, Ayr, Dumbarton, Dumfries, Dundee, Edinburgh, Glasgow, Inverness, Lanark, Perth, Renfrew, Stirling
- *In Wales:* Caernarvon, Cardigan, Carmarthen, Cardiff, Denbigh, Flint, Monmouth, Pembroke, Swansea
- *In Northern Ireland:* Antrim, Armagh, Belfast, Londonderry

10.5.

There is also no need to add a county name after rivers and areas which cross county boundaries, eg the River Thames, the Scottish Highlands.

10.6.

The county name used should be the county name contemporaneous with the record: eg Grinsdale was in Cumberland until 1974 and in Cumbria after 1974. If the county name or boundary changes during the span of years covered by a record, use the county name applicable in the majority of years. For example, if a file about Grinsdale is dated 1968-1976, use Cumberland; if a file is dated 1973-1979, use Cumbria.

10.7.

County names should be given in full, not abbreviated. The forms County Durham, County Antrim, County Armagh and County Londonderry should be used in order to distinguish the counties from towns of the same name.

Foreign Place Names

10.8.

Place names should be identified to the level of country, ie the country should be added after the city, town, area name, for example, Christchurch, New Zealand; the Sierra Morena (Spain).

However, if there are two or more places of the same name in the country, it is necessary to identify the place by region also - eg Kansas City, Missouri, USA (to differentiate it from Kansas City, Kansas, USA).

10.9.

There is no need to add the country after capital cities or rivers, areas or features crossing national boundaries. Examples: Paris, the River Danube, the Alps.

10.10.

The country name used should be the country name contemporaneous with the record. For example, Zambesia (1889-1895) became Rhodesia (1895-1923), Southern Rhodesia (1923-1962), the Federation of Rhodesia and Nyasaland (1962-1963), Southern Rhodesia (1964-1980) and finally Zimbabwe (1980 to present). If the country name or boundary changes during the span of years covered by a record, use the country name applicable in the majority of years (eg Southern Rhodesia for a file running 1976-1981; Zimbabwe for a file running 1978-1986).

10.11.

Country names should be given in full, not abbreviated. The only exceptions are UK, US and USA, and USSR. Note East Germany / German Democratic Republic and West Germany / Federal Republic of Germany are acceptable alternative names for those countries, but other versions should be avoided. Maintain consistency in naming countries

Authoritative sources for checking spellings and locations of place names

10.12.

These sources are considered authoritative:

- National Council on Archives Rules for the Construction of Personal, Place and Corporate Names, 1997 (Chapter 3)

- Ordnance Survey gazetteers and maps
- *Guide to the Local Administrative Units of England* by F A Youngs (Royal Historical Society, 1991)
- Batholomew gazetteers of the British Isles
- *The Times Comprehensive Atlas of the World*
- *Chambers World Gazetteer*

10.13.

These are useful Internet addresses:

- <http://www.ordnancesurvey.co.uk/oswebsite/> (Ordnance Survey website)
- <http://www.multimap.com/> (for UK and world)

11.

PIECE LEVEL DESCRIPTION: SCOPE/CONTENT: SENSITIVE DESCRIPTION

11.1.

Very occasionally a scope/content contains words and details that are too sensitive to be revealed to the public, usually for national security or data protection reasons. TNA has a number of ways for dealing with this situation, and departmental cataloguers should consult with the Information Management Adviser about which is the most appropriate to use. Usually the scope-content is either rewritten or the public version is censored or redacted.

11.2.

For example, under Data Protection Act 1998, information about a named living individual which is inaccurate or misleading or would cause the individual substantial distress or damage should not be divulged. The information might be unsubstantiated allegations about an individual or sensitive personal data which is not in the public domain, such as details of the individual's physical or mental health. A scope/content should not appear to imply an individual is guilty of an offence when he or she may in fact be innocent.

Some methods for dealing with this are -

- To omit the names of the individuals if there is no value in having the names in the catalogue
- To add extra information so that the full and correct facts (for example, of guilt or innocence) are established;
- To make it explicit that allegations are merely allegations, not proven facts (for example, by adding a standard sentence which states that guilt or innocence is not implied);
- To state clearly on the transfer form (AA2 or blue form) which pieces should have part or the whole of their scope-content withheld until the records themselves become open.

11.3.

In cases where scope-content is to be withheld in full or in part, the government department should normally supply TNA with the full scope-content, and indicate clearly on the transfer form (AA2 or blue form) what elements are to be withheld. TNA will then remove the sensitive elements and store them in secure conditions until the records become open, when they will finally be added to the Catalogue.

The scope-content may be blanked out at TNA partially or entirely -

| Scope/Content |
|--------------------------------------|
| [Name withheld]: charged with incest |
| |
| |

11.4.

Sometimes titles on file covers use terms (about matters such as race, disability, gender) which would nowadays be considered offensive or pejorative, for example, 'subnormal

children'. As a result, there is a risk of repeating an offensive term in describing the records. The two usual means of avoiding this problem are:

- To use an alternative but equally meaningful and accurate term
- If this is not possible or desirable, to include the term but put it into single quotation marks, thus making clear that it is a quotation from the record, not a statement of fact.

12. PIECE LEVEL DESCRIPTION: FORMER REFERENCES

12.1.

Former references are the departmental codes or numbers used for the records before they were assigned TNA catalogue references. Usually they were marked on the covers of the records when they were created by a registry, often in accordance with a subject classification scheme. Former references are sometimes known as 'departmental references'. In the reviewer facility of Excel template the term 'file reference' is used.

12.2.

It is important for former references to be recorded accurately as they are a major means by which researchers pursue a line of research from one record to another, and official users identify documents they need to order back for administrative purposes. Correct arrangement of pieces also depends on accurate transcription of former references.

12.3.

Consistency should be maintained in spacing, punctuation, and capitalisation.

Most often former references consist of a letter prefix followed by a number code and a Part number or letter. Please record such references in this way: XXX 111 PART 1 or X (XXX stands for the letters, 111 for the numbers; PART is written in capitals; a space separates each of these elements).

In the Word and Excel template they might look like this -

| Former Ref |
|---------------|
| COM 2 |
| COM 7 |
| COM 19 PART A |
| COM 19 PART B |
| COM 19 ANNEX |
| COM 42 |

The practice of adding leading zeros to former references is nowadays discouraged.

12.4.

If a file contains an earlier file annexed to it, it may be useful to researchers to know this. Such information should be recorded in this form: XXX 111 PART 1 (ZZZ 222 annexed). However, if there are numerous annexures from the later files of an old series to the early files of a new series, it is better to point this out to the TNA for inclusion at series/class level and omit it at piece level.

13. PIECE LEVEL DESCRIPTION: PUBLIC ACCESS CONDITIONS

13.1.

The normal status of pieces is 'Open' ie open to the public under the Freedom of Information Act 2000. If a piece is open all the closure fields can be left blank.

13.2.

However these three main variants can occur –

- Temporary retention in a government department or agency (permitted until the piece is 30 years old, and sometimes used while awaiting authorisation for retention under section 3(4) or closure under FOI exemption provisions).
- Retention under section 3.4 of the Public Records Act 1958, once this has been authorised by a Lord Chancellor's Instrument (LCI).
- Closure of the piece for a number of years because of its sensitivity, under the exemption provisions of the Freedom of Information Act, once this has been authorised by an FOI Exemption Schedule.

13.3.

If a piece is temporarily retained 'T' is written in the piece's closure field of the Word or Excel templates -

| |
|----------------|
| Closure |
| T |

13.4.

If a piece is retained under section 3(4), the piece's closure field should contain 'S' for retention under section 3(4), the LS field (LCI series) contains 'R' (for Retention LCI) and the LN field contains the number of the LCI under which the piece has been retained.

| Closure | Not e | V | LS | LN |
|---------|-------|---|----|----|
| S | | | R | 85 |

13.5.

If a piece is closed under FOI exemptions, the piece's closure field should contain the number of years of closure (eg '40'), the LS field contains 'C' (for closure) and the LN field contains the number of the FOI exemption schedule under which the piece has been closed.

| Closure | Not e | V | LS | LN |
|---------|-------|---|----|----|
| 40 | | | C | 15 |
| 84 | | | C | 17 |

14.

PIECE LEVEL DESCRIPTION: NOTES - SUPPLEMENTARY INFORMATION

14.1.

Notes are sometimes used to convey supplementary information about a record not covered by other fields in the Word and Excel templates, for example -

- Date estimated (see paragraph 5.5)
- Non-standard format of the record (eg Microfiche)
- Serious physical damage to a record severely restricting its use
- Language of the record (if substantial parts are not in English)
- Original photographs, plans, maps, drawings etc contained within the record
- An internal index to the record itself
- 'Missing at transfer' (the piece has been lost before transfer to TNA)
- Missing pages from the record
- Temporarily retained ('withheld') extracts from the record (usually extracts still awaiting decisions on their sensitivity, or awaiting authorisation for retention under section 3(4) or closure under FOI exemption provisions)
- Limited cross-references to other records. Exclude obvious cross-references to records in the same series, or cross-references to other series which obvious word searches in TNA's Catalogue would easily discover).

Once the information come to TNA, it is often transferred to other fields available on the TNA Catalogue but not on the templates, eg the Language field.

14.2.

Here are some examples of how the note information should be written:

| |
|--|
| Note |
| Extremely fragile |
| With architectural drawings |
| With plans |
| With map of battlefield. Indexed |
| Language: English, French. Minutes of 12 July 1972 missing |
| With photographs. Folios 1, 2 w4, 5, 6 withheld |
| Language: Arabic, English, German. See also T 414/75 |
| Pages 19-20 missing. Letter of 24/8/1984 withheld |

14.3.

Note that some types of records consistently contain photographs, maps and plans, diagrams etc. For example –

- Most Crown Estate records contain plans;
- Many Boundary Commission records contain maps;
- Scientific reports frequently contain diagrams and photographs.

In such cases information can be added to the series level and this will obviate the need to mention it at note level. For example, 'Most pieces in this series contain maps' can be added at series level, and then there is no need to mention 'With maps' in the notes of the pieces concerned. Obviously, however, the departmental cataloguer needs to notify the Information Management Adviser of the relevant details to be added to series level.

15. SUPPLEMENTARY DESCRIPTIVE LEVELS: SUBSERIES (HEADER) LEVEL

15.1.

Subseries are a supplementary descriptive level, which can be used to indicate, separate and describe distinct subsidiary series or groups of records within a single TNA series (class). They should be used with caution and comparatively rarely. Injudicious use of subseries can make catalogue data in TNA's Catalogue difficult to compose, use and maintain.

Usually a TNA series contains a single homogeneous series of departmental records. In such a case a subseries level are unlikely to be useful.

However, occasionally, a TNA series contains more than one series or group of departmental records. For example it might contain –

- Several series of records from different senior officials; or
- Several different file series, with different file prefixes; or
- Records from more than one scientific establishment.

In these cases it makes sense to indicate and explain the different departmental series by using the subseries level.

15.2.

The use of subseries requires the approval of the TNA Information Management Adviser. Therefore it is advisable to consult with the Information Management Adviser at an early stage if you are thinking of using subseries.

15.3.

In adding subseries to a Word or Excel template certain technical rules have to be followed:

Each different subseries within a TNA series must have its own number. The first subseries of a new series will be subseries 1, the next subseries 2, the next 3, and so on.

Whenever the subseries is employed, it must be written in exactly the same way and the same associated number must be given. If strict consistency in writing or numbering is lacking, the catalogue data will not load onto the Catalogue or will make searching for information on Catalogue much more difficult.

When cataloguing an accrual to an existing series, refer to a list of the subseries (headers) and subsubseries (subheaders) and their numbers already used, in order to maintain exact consistency in the writing and numbering of the subseries. This list can be supplied by the Information Management Adviser.

Subseries are normally be written in upper case, eg ROYALTY; CONFERENCES; PRIVILEGES AND IMMUNITIES.

Subseries may have dates - if the dates are easy to discover and to maintain when there are future transfers - but dates are not mandatory.

Subseries do not have former references or notes.

15.4.

Here is an example of using subseries. FCO 55 contains several different departmental series. Subseries 7 is used for SME files (which deal with Environmental Problems); subseries 8 indicates SMF files (Scientific Relations).

| D | S | SS | S S S | P | I | First Date | Last Date | Scope/Content | Former Ref |
|-----|----|----|-------------|------|---|------------|------------|---|--------------------|
| FCO | 55 | 7 | | | | | | ENVIRONMENTAL PROBLEMS | |
| FCO | 55 | 7 | | 1023 | | 01/01/1973 | 31/12/1973 | Preservation of wild birds | SME 7/6 |
| FCO | 55 | 7 | | 1024 | | 01/01/1973 | 31/12/1973 | Convention on wetlands of international importance, especially as wildfowl habitat 1971 | SME 7/324/1 |
| FCO | 55 | 7 | | 1025 | | 01/01/1973 | 31/12/1973 | Pollution of environment by radioactive waste | SME 12/1 PART A |
| FCO | 55 | 7 | | 1026 | | 01/01/1973 | 31/12/1973 | Pollution of environment by radioactive waste | SME 12/1 PART B |
| FCO | 55 | 8 | | | | | | SCIENTIFIC RELATIONS | |
| FCO | 55 | 8 | | 1027 | | 01/01/1973 | 31/12/1973 | International Institute for the Management of Technology (IIMT) | SMF 2/1 PART A |
| FCO | 55 | 8 | | 1028 | | 01/01/1973 | 31/12/1973 | International Institute for the Management of Technology (IIMT) | SMF 2/1 PART B |
| FCO | 55 | 8 | | 1029 | | 01/01/1973 | 31/12/1973 | Conference on Security and Co-operation in Europe (CSCE) | SMF 2/579/1 PART A |

16.

SUPPLEMENTARY DESCRIPTIVE LEVELS: SUBSERIES (SUBHEADER) LEVEL

16.1.

Subseries (subheaders) are a further supplementary descriptive level, used to provide information about groups of records within a subseries (header) grouping. For example a TNA series may contain records from more than one scientific establishment (subseries), and the records of the scientific establishments may divide into distinct groups of Reports, Technical Notes and Technical Memoranda (subseries).

Subseries are hardly ever used, however, because they make composing, maintaining and searching the Catalogue unnecessarily complicated.

The use of subseries requires the approval of the TNA Information Management Adviser. Therefore it is advisable to consult with the IMA at an early stage if you are thinking of using subseries.

The technical rules for adding subseries to a Word or Excel template are similar to the rules for subseries, and are explained further in the guidance on the templates.

17.

SUPPLEMENTARY DESCRIPTIVE LEVELS: ITEM LEVEL

17.1. Item level is a supplementary level used to provide information about separate parts of a piece –

- (a) when the piece has been split into two or more parts because of its thickness;
- (b) when an extract (or extracts) has been made from the piece because of its sensitivity, and the extract is retained under section 3(4) of the Public Record Act;
- (c) when an extract (or extracts) has been made from the piece because of its sensitivity, and the extract is closed under the exemption provisions of the Freedom of Information Act 2000;
- (d) when it is useful to describe individual reports or subfiles within a piece.

Items created when splitting a thick file

17.2.

Items should be created when a very thick, unwieldy file or other record is split into parts (items) for conservation reasons, to prevent the file being damaged during use. It is comparatively rare for such splitting to be necessary provided a suitably long tag is run through the file and the file is tied around with cotton tape.

17.3.

When such items are created, first the whole piece is described as usual. Then numbered items are created under it. The first item will be item 1; the next item 2 and so on.

The dates and closure status of each item should be the same as for the main piece.

If there are two items, the scope/content of the first item will be 'Part 1 of 2' and the scope/content of the second item will be 'Part 2 of 2'. (If there are three items it will be 'Part 1 of 3' etc).

The former reference should be given only at piece level, not item level.

Note field information ('With maps', etc) applying to the whole piece, should be given in the piece note field. If the information applies just to one item, it should be given in that item's note field. The same note information should not be inserted in the notes of both the piece and its items.

Here is an example -

| D | S | SS | S S S | P | I | First Date | Last Date | Scope/Content | For mer Ref | Clo sur e |
|-----|-----|----|-------------|-----|---|------------|------------|---|-------------------|-----------------|
| MAF | 369 | | | 334 | | 01/01/1987 | 31/12/1987 | Farm Animal Welfare Council report on the welfare of livestock at markets: Government response to recommendations | AJ 4441 B | |
| MAF | 369 | | | 334 | 1 | 01/01/1987 | 31/12/1987 | Part 1 of 2 | | |
| MAF | 369 | | | 334 | 2 | 01/01/1987 | 31/12/1987 | Part 2 of 2 | | |

Items created to allow management of extracts subject to retention under section 3(4) of the Public Record Act

17.4.

A numbered item should be created on the Word or Excel template if an extract (or extracts) is retained under section 3(4), as authorised by a Lord Chancellor’s Instrument (LCI). This allows more effective management of the extract.

The item should contain all the extracts retained under section 3(4) for the same period and for the same reason and authorised by the same LCI.

The item number and extracts details should match the details given on the LCI (unless it is retained under a ‘blanket’ LCI).

17.5.

When such an item is created, first the parent piece is described as usual. Then an item is created under it. This will be item 1 unless there are other items.

The date of each item should be date of the parent piece.

The scope/content of each item should read ‘Retained extract(s):’ plus details or identifiers of the extracts in that item, for example, ‘Retained extract: Folio 13’ or ‘Retained extracts: Third paragraph of page 3, letter dated 16/4/1972, OPD/14/1972’.

The former reference should be left blank.

The closure field should contain ‘S’, the LS field should contain ‘R’, the LN field should contain the number of the LCI.

Here is an example -

| D | S | S | S | P | I | First Date | Last Date | Scope/Content | Former Ref | Closure | Note | V | LS | LN |
|----|----|---|---|----|---|------------|------------|---|------------|---------|------|---|----|----|
| CK | 52 | | | 17 | | 01/01/1991 | 31/12/1994 | Implementation of Dangerous Dogs Act 1991 | AJ 4441B | | | | | |
| CK | 52 | | | 17 | 1 | 01/01/1991 | 31/12/1994 | Retained extracts: Letters dated 2 and 14 February 1992 | | S | | | R | 89 |

Items created to allow management of extracts subject to closure under FOI exemptions

17.6.

A numbered item should be created on the Word or Excel template if an extract (or extracts) is closed under the exemption provisions of the Freedom of Information Act, as authorised by a FOI Exemption Schedule. This allows more effective management of the

extract.

The item should contain all the extracts closed for the same period and for the same reason (the same section or sections of the FOI and the same justification) and authorised by the same FOI Exemption Schedule.

The item number and extracts details should match the details given on the FOI Exemption Schedule.

17.7.

When such an item is created, first the parent piece is described as usual. Then an item is created under it. This will be item 1 unless there are other items.

The date of each item should be date of the parent piece.

The scope/content of each item should read 'Closed extract(s):' plus details or identifiers of the extracts in that item, for example, 'Closed extract: Memorandum dated 13/12/1984' or 'Closed extracts: Enclosures 2, 3, 5A, 17; note on file cover'.

The former reference should be left blank.

The closure field should contain the number of years of closure', the LS field should contain 'C', the LN field should contain the number of the FOI exemption schedule.

Here is an example -

| D | S | S S | S S S | P | I | First Date | Last Date | Scope/Content | Former Ref | C l o s u r e | N o t e | V | L S | LN |
|----|----|--------|-------------|---|---|------------|------------|---|------------------------------|---------------------------------|------------------|---|--------|----|
| EG | 14 | | | 8 | | 01/01/1970 | 31/12/1977 | Possible commercial explorations for mineral resources in the Antarctic: international negotiations on a possible regime governing access to resources in the Antarctic | CIP 1006/605/01 PART 1 | | | | | |
| EG | 14 | | | 8 | 1 | 01/01/1970 | 31/12/1977 | Closed extracts: Folios 106, 110, 112, 116 | | 40 | | | C | 12 |

Items created to allow more detailed description

17.8.

On rare occasions it may be appropriate for departmental cataloguers to use items to describe a number of distinct reports or subfiles which comprise a single piece. Cataloguers should consult the TNA Information Management Adviser before cataloguing in this way, as it may be unnecessarily time-consuming and complex.

17.9.

When such items are created, first the whole piece is described as usual. Then items are created under it. The first item will be item 1; the next item 2 and so on.

The date of each item should be particular date of the report or subfile comprising the item, not the piece date. (But if the report or subfile date is unknown, use the piece date).

Each item will have its own distinct scope/content, a description of the individual report or subfile.

The former reference field should either contain the item's own distinct former reference (ie the report or subfile's own unique reference) if this is useful to researchers, or be left blank. It should not contain the piece's former reference.

Note field information ('With maps', etc) applying to the whole piece, should be given in the piece note field. If the information applies just to one item, it should be given in the item's note field. The same note information should not be inserted in the notes of both the piece and its item.

The closure status should be the same as the piece.

Here is an example -

| D | S | S | S | P | I | First Date | Last Date | Scope/Content | Former Ref | Closure | Note |
|------|-----|---|---|-----|---|------------|------------|--|------------|---------|-----------------|
| COAL | 100 | | | 212 | | 01/02/1989 | 31/12/1989 | Fuel and Appliance Testing (F&AT) Branch Reports | | | |
| COAL | 100 | | | 212 | 1 | 01/02/1989 | 28/02/1989 | Report on tests carried out on a small sample of pellets made from Bolsover Froth Flotation Fines by the Komarec Process | F&AT 39 | | |
| COAL | 100 | | | 212 | 2 | 01/05/1989 | 31/05/1989 | Smoke emission from pine mountain logs | F&AT 40 | | |
| COAL | 100 | | | 212 | 3 | 01/06/1989 | 30/06/1989 | Report on the investigation of moisture ingress to the insulation of a Selkirk Ceramic Chimney Section | F&AT 41 | | With photograph |
| COAL | 100 | | | 212 | 4 | 01/09/1989 | 30/09/1989 | Smoke Emission Authorisation Tests on new Taybrite Briquettes received in June 1989 | F&AT 43 | | |
| COAL | 100 | | | 212 | 5 | 01/11/1989 | 30/11/1989 | Evaluation of Allerton Bywater and Hatfield Doubles Coal as a domestic smoke reducing roomheater fuel | F&AT 44 | | |
| COAL | 100 | | | 212 | 6 | 01/12/1989 | 31/12/1989 | Evaluation of Askern Doubles Coal as a domestic smoke reducing roomheater fuel | F&AT 45 | | |

18.
EXAMPLES OF CATALOGUING ON THE TEMPLATES

EXAMPLE 1

| D | S | S | S | P | I | First Date | Last Date | Scope/Content | Former Ref | Closure | Not e | V | LS | LN | P | P | Ext |
|----|---|---|---|----|---|------------|------------|--|---------------|---------|-------|---|----|----|---|---|-----|
| | | S | S | | | | | | | | | | | | L | L | |
| | | | | | | | | | | | | | | | S | N | |
| NF | 7 | | | 1 | | 01/01/1971 | 31/12/1971 | National Industrial Relations Court: draft rules | 1/LEG 101/71 | | | | | | | | |
| NF | 7 | | | 2 | | 01/01/1971 | 31/12/1973 | Industrial Relations Act 1971, Schedule 5: requirements concerning auditors | 1/LEG 102/71 | | | | | | | | |
| NF | 7 | | | 3 | | 01/01/1970 | 31/12/1974 | Industrial Relations Act 1971: recording of rules in Northern Ireland | 1/LEG 104/71 | | | | | | | | |
| NF | 7 | | | 4 | | 01/01/1971 | 31/12/1971 | Industrial Relations Act 1971, section 155: regulations on death benefit nominations | 1/LEG 105/71 | | | | | | | | |
| NF | 7 | | | 5 | | 01/01/1971 | 31/12/1974 | Industrial Relations Act 1971: corporate status | 1/LEG 107/71 | | | | | | | | |
| NF | 7 | | | 6 | | 01/01/1971 | 31/12/1972 | Industrial Relations Act 1971, Schedule 5 Part III: leaflet on members' superannuation schemes | 1/LEG 108/71 | | | | | | | | |
| NF | 7 | | | 7 | | 01/01/1971 | 31/12/1971 | Trade Union (Amalgamations, etc) Act 1964: opinion of law officers on procedures when more than two unions seek to amalgamate | 4/LEG 101/71 | | | | | | | | |
| NF | 7 | | | 8 | | 01/01/1971 | 31/12/1973 | Trade unions insurance | 11/LEG 100/71 | | | | | | | | |
| NF | 7 | | | 9 | | 01/01/1971 | 31/12/1972 | Legal representation of Registry of Trade Unions and Employers' Associations (RTUEA) in civil proceedings under Crown Proceedings Act 1947 | 13/LEG 100/71 | | | | | | | | |
| NF | 7 | | | 10 | | 01/01/1972 | 31/12/1973 | Effect of registration under Industrial Relations Act 1971 on limitation of liability | 1/LEG 110/72 | | | | | | | | |

NOTE -

- The pieces are arranged in former reference order (by the year element at the end of the former reference, then by the first number, then the second number).
- The format is fairly simple: no subseries (headers) or subsubseries (subheaders) have been used; it is dated to year; scope/content is an average of 11 words long.
- The acronym RTUEA has been explained
- Piece 7 is temporarily retained

EXAMPLE 2

| D | S | SS | S S S | P | I | First Date | Last Date | Scope/Content | Former Ref | Clo sur e | Note | V | L S | L N | P L S | P L N | Ext |
|-----|---|----|-------------|------|---|------------|------------|---|--------------------|-----------------|------------------------------|---|--------|--------|-------------|-------------|-----|
| FCO | 8 | 11 | | | | | | YEMEN ARAB REPUBLIC (NORTH YEMEN) | | | | | | | | | |
| FCO | 8 | 11 | | 2828 | | 01/01/1976 | 31/12/1976 | Sale of military equipment from UK to Yemen Arab Republic | NBY 87/548/2 | | | | | | | | |
| FCO | 8 | 11 | | 2828 | 1 | 01/01/1976 | 31/12/1976 | Closed extracts: Folios 10, 31, 58 | | 40 | | | C | 15 | | | |
| FCO | 8 | 11 | | 2829 | | 01/01/1976 | 31/12/1976 | Yemen Arab Republic and sovereignty over islands in Red Sea | NBY 177/1 | | | | | | | | |
| FCO | 8 | 1 | | | | | | PERSIAN GULF | | | | | | | | | |
| FCO | 8 | 1 | | 2830 | | 01/01/1977 | 31/12/1977 | Labour Party National Executive Committee (NEC) Middle East Sub-Committee | NB 13/1 | | | | | | | | |
| FCO | 8 | 1 | | 2831 | | 01/01/1977 | 31/12/1977 | Security issues in Gulf Region | NB 21/1 | | | | | | | | |
| FCO | 8 | 1 | | 2832 | | 01/01/1977 | 31/12/1977 | Euro-Arab dialogue | NB 21/598/1 PART 1 | | | | | | | | |
| FCO | 8 | 1 | | 2833 | | 01/01/1977 | 31/12/1977 | Euro-Arab dialogue | NB 21/598/1 PART 2 | | | | | | | | |
| FCO | 8 | 1 | | 2834 | | 01/01/1977 | 31/12/1977 | Visit of Frank Judd, Minister of State for Foreign and Commonwealth Affairs, to Middle East, 10-14 October 1977 | NB 26/3 | | Folio 35 enclosures withheld | | | | | | |
| FCO | 8 | 1 | | 2835 | | 01/01/1977 | 31/12/1977 | Hawar Island boundary dispute between Qatar and Bahrain | NB 40/2 | T | | | | | | | |

NOTE -

- Subseries have been used, based on the significance of the former reference prefixes (NBY and NB series). This entails using the appropriate subseries numbers in the 'SS' column.
- Extracts from piece 2828 have been closed for 40 years by FOI exemption schedule 15, and now form item 2828/1.
- An extract from piece 2834 and the whole of piece 2829 are temporarily retained.

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