The Same but Different: Collecting in the Digital World

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HSBC Archives
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Introduction
What did we do?

<table>
<thead>
<tr>
<th>Name</th>
<th>Date modified</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Catalogued records</td>
<td>14/08/2015 10:18</td>
<td>File folder</td>
</tr>
<tr>
<td>Completed Deposit Forms</td>
<td>18/09/2015 11:41</td>
<td>File folder</td>
</tr>
<tr>
<td>Digital accessions waiting to be catalogued</td>
<td>06/03/2015 15:16</td>
<td>File folder</td>
</tr>
<tr>
<td>Digital copies of items in the physical Archive</td>
<td>25/08/2015 09:25</td>
<td>File folder</td>
</tr>
<tr>
<td>Digital deposits</td>
<td>30/01/2015 09:26</td>
<td>File folder</td>
</tr>
</tbody>
</table>
HSBC Global Digital Archive System (GDA) design

Logical technology overview

All four CALM instances can share the same physical image store that could be sub-divided by archive eg/images/UK.

Calm Describe Service x4

Calm API In IIS x4

HTTPS-SOAP Web Service

SDB JobQueue

SDB Application

SDB Databases

On Central DB Server

SDB Bulk Store

CALM Image Store x4

CALM Clients with Citrix Server

Calm Clients Running On Internal Network LAN/WAN

Citrix Clients running on Internal network LAN/WAN

WinSCP on Internal Network LAN/WAN

SDB web page in browser on Internal Network LAN/WAN

SDB SIP Creator desktop applications on Internal Network LAN/WAN

Network access

3 TCP Ports

Download Area

Ingest Area

3 TCP Ports

3 TCP ports per instance
How that works in practice…

Overview

• 4 regional Calm catalogues covering our four archival regions (HQ/UK/US/HK). Customised API communicates with the digital repository

• 1 instance of Preservica Enterprise Edition (customised for HSBC use) which creates and links to records in Calm
  – Preservica creates records in Calm upon ingest
  – All catalogue metadata from Calm synchronised to Preservica on a nightly basis (including physical records)

• Digital repository and associated cataloguing system have been designed to follow OAIS (where possible)

• Hosted in the UK, applications virtualised (via Citrix) for regional users

• Hourly snapshot back ups, we also have DR, UAT and DEV servers that replicate the service

• Ingests (apart from email and websites) are packaged via a SIP creator and ingested via upload to server watch folder
<table>
<thead>
<tr>
<th>Records category</th>
<th>Description</th>
<th>Retention event</th>
<th>Common record name</th>
<th>Records of Potential Historical Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td>Control Records</td>
<td>• Records detailing the management and audit of the Group’s policies and principles, its management of risk and the provision of internal legal and [ ]</td>
<td>Relevant Business Unit Disposal</td>
<td>7</td>
<td>Y – HSBC Holdings plc Board, Group Audit Committee, Group Risk Committee, Group Nomination Committee, Group Remuneration Committee, Corporate Sustainability Committee, Group Management Board, Risk Management Meeting</td>
</tr>
<tr>
<td>Corporate Governance</td>
<td>• Records related to incorporation and organisation of the Group and its subsidiaries, ownership, boards and committees, shareholders, corporate-level communications, strategy and planning and policy</td>
<td>Relevant Business Unit Disposal</td>
<td>7</td>
<td>Y – HSBC Holdings plc Board, Group Audit Committee, Group Risk Committee, Group Nomination Committee, Group Remuneration Committee, Corporate Sustainability Committee, Group Management Board, Risk Management Meeting</td>
</tr>
<tr>
<td>Board of Directors and Senior Committee Meetings</td>
<td>• Records related to proceedings of the board of directors, board committees and shareholders. Includes board committee meeting minutes and meeting notices, shareholder voting records and shareholder proxies</td>
<td>Relevant Business Unit Disposal</td>
<td>7</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>• Board/Committee/GMB minutes and papers of meetings</td>
<td></td>
<td></td>
<td>Y – HSBC Holdings plc Board, Group Audit Committee, Group Risk Committee, Group Nomination Committee, Group Remuneration Committee, Corporate Sustainability Committee, Group Management Board, Risk Management Meeting</td>
</tr>
<tr>
<td></td>
<td>• Minutes and papers of meetings for other holding companies</td>
<td></td>
<td></td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>• General Meetings notice, minutes and papers</td>
<td></td>
<td></td>
<td>Y</td>
</tr>
</tbody>
</table>
Ingesting digital records
Future development

- Opening access. Firstly to internal HSBC staff and then to external researchers
- Development of new cataloguing tool
- In system appraisal and accessioning
- Integration with SharePoint and other EDRMS technologies to improve record harvesting
- Automated routes for external deposit (linking to other bank systems, automated deposit validation)
- Improving the capture of complex digital objects such as databases
- Development of more sophisticated workflows for harvesting ongoing accruals (for example email and website content)