



ACCREDITED
ARCHIVE SERVICE

Archive Service Accreditation

Guidance for developing and completing an application

May 2024

ARCHIVE SERVICE ACCREDITATION GUIDANCE

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Introduction to this guidance

Each requirement in the Archive Service Accreditation standard is accompanied by guidance, designed to help applicants to:

- Understand the significance of the requirement and the desired outcomes that come from its achievement
- Understand the expectations of the assessment process for that particular requirement, with some guidance on how to relate it to their particular archive type and scale
- Identify possible supporting evidence
- Find tools and resources that might assist with meeting the requirement

This guidance is organised into:

- General guidance for the requirement as a whole
- Guidance for specific questions (indicated by their 'Q' number) where suitable
- Scaled guidance relevant to specific archive types and scales – where this scaled guidance is relevant to a specific question it is attached to the question. Otherwise it follows the specific question guidance.
- Information and supporting documentation needed
- Where evidence may be found
- Questions to consider when formulating responses
- Tools and resources

A. INTRODUCTION TO YOUR ARCHIVE SERVICE

This section of your application outlines your archive service to the Archive Service Accreditation assessors and the Panel, which will consider your application. Archive services are many different sizes and shapes and this section gathers information that will describe your service fully. The team may not know or visit your service and therefore it is important to provide this information as comprehensively as possible.

A.1 Applicant details

Q1. Identification - ARCHON Code

This can be found on The National Archives website at <http://discovery.nationalarchives.gov.uk/find-an-archive>. Each archive service listed has the ARCHON code provided in its details. If your service does not have an ARCHON number please request one through the Discovery site at <http://www.nationalarchives.gov.uk/help-with-your-research/discovery-help/find-an-archive/>.

Q2. Scalability

The requirements for Archive Service Accreditation are adjusted according to the scale and mission of the service. You should examine the scalability table for the scheme to assess which of the 7 types of service your service best fits. The types are as follows:

- Local Authority Archive Service Type 1
- Local Authority Archive Service Type 2
- Other Public Sector Archive Service Type 1
- Other Public Sector Archive Service Type 2
- Private and Third Sector Archive Service Type 1
- Private and Third Sector Archive Service Type 2
- Private and Third Sector Archive Service Type 3

If you are unsure which scalability applies to your service please contact the assessing organisation in your home country. The assignment of 'type' on this scalability table helps the assessment process as an indicator of the level at which your service should be operating; the expectations of different types of service will vary. Scaled guidance is provided here to aid you in determining what might be expected of your service. It should be viewed as helping to inform your application and is just one factor that the assessor will take into consideration as part of the context within which your service operates.

A.2 Service and Collection details

Q7. Advice from assessing body regarding size of collections not meeting eligibility criterion

Please only provide the name of the assessing body you consulted and this will be crosschecked during Accreditation. Do not include any details of the advice.

Q8. Description of formats

Archive Service Accreditation requires that you have the spaces, policies and procedures necessary to care for the collections that you hold. In order to assess this, the application requires that you provide details of the size and media types covered. In particular you are asked to provide a brief description of the formats, which could include:

- Size, such as number of items or collections
- The range, and possibly predominating types within that format e.g. all glass plate negatives for photographs
- Proportion of total collections that is comprised of that format.
- A very broad indication of date range

The table might look something like this:

Format	Description (100 words each)
Paper	Most common format for our holdings (90%) – mostly 20 th century.
Parchment	We hold a very small number of parchment documents which date from the 12 th to 15 th centuries.
Photographs	Photographs are held within collections or in the local studies collection, which date from the late C19 th century to the current day. We do not have special photographic storage.
Audio visual	The Regional Film Archive holds film.
Electronic media	We hold 450GB on a secure server, representing 3 large collection and multiple small accessions. This includes both born-digital and digitised objects. There are a variety of digital object types including still images (JPEGs and TIFFS), moving image, Microsoft Office formats, plus less commonly used formats and unidentified formats.
Maps	We hold 340 rolled maps and have 10 plan chests mostly nineteenth century

This need not be detailed but should provide an overview of the holdings so that the assessor and Panel can understand the general profile of the media within your collections.

Q9. How services are provided

To aid assessment, the application asks that you indicate how certain services are provided. It asks that you indicate the delivery method of the service choosing from:

- Provided by archive service
- Provided elsewhere in the governing body
- Provided by outside organisation/partnership
- Not provided
- Planned within 5 years

Your table might look something like this:

Service	Delivery Method	Description
Archive services	Provided by archive service	
Records Management	Provided elsewhere in the governing body	Provided by the records management department, which is part of the corporate governance division.
Corporate lead on Freedom of Information	Not provided	Not applicable
Corporate lead on Data Protection	Provided elsewhere in the governing body	Provided by the corporate governance division
Electronic Records Management	Planned within 5 years	A system has been procured and is in implementation. Please see our plan, reference 2.

This question aims to build an overview of the services provided and is not necessarily comprehensive. Please add any services you provide which are not listed.

Q10. Details of Public Usage

The application also requires details of the public and other use of your collections. Archive service statistics and financial information should be provided for the same year throughout and this should be the last full financial year. Section 1 asks about the basis of your financial year.

The information required matches the requirements of CIPFA for local authority archive services but is also vital information for any service assessing its own usage.

If possible you should provide figures just for usage of the archive service and indicate this in the table. However, if this is not possible (e.g. the archive figures are

subsumed within those of a library, museum or heritage attraction) please provide those figures and indicate in the Table that the figures are not just for the archive service.

Q11. Usage not covered by public usage

Other use is defined as use for and with anyone not included in the public use listed above. If you are unable to split out ‘other ‘usage from ‘public’ usage please include all usage in Q10 and leave this table blank where relevant. Archive service statistics and financial information should be provided for the same year throughout and this should be the last full financial year. Section 1 asks about the basis of your financial year.

The following is guidance for each of the figures required:

	Use of resources	Guidance
1	Total number of visitors of all kinds to site in the last year	
2	Of visitors included above, how many were using the archival resources for their own study?	Count readers only once a day; exclude visiting groups, guided tours which belong in question 5
3	Number of items produced in the last year	Calculate according to the method usually employed by the service (unit of production whatever size); include only archival documents. Please indicate the method of calculation used.
4	Number of appearances in exhibitions in the last year	Include all sizes of displays/exhibition and all appearances new or repeat
5	Number of learning events held in-house in the last year	Include all events held on own premises and branch offices, including visiting groups and guided tours
6	Number of learning events held outside in the last year	Include events held at libraries, town centres, museums, fairs etc.
7	Total attendance at learning events in the last year	Total attendance at events noted under 5&6
8	Enquiries received by post, email and telephone in the last year	On or related to documentary holdings, requiring an answer and originating outside the archive service’s parent body.
9	Estimated number of visits to the network resources (website) in the last year	A visit is defined as a session of activity/series of one or more page impressions, served to one user, to

		the archive website. A unique visitor is determined by the IP address or cookie. The session is deemed to end when there is a lengthy gap of usage between successive page impressions for that user. An example of a lengthy gap would be a gap of at least 30 minutes. Count one visit per visitor session. Visits to 'data aggregators' such as Discovery/Archives Hub should be excluded.
10	Estimated number of page impressions and user visits to office's online research resources hosted by commercial providers in the last year	This question will not apply to internal figures
11	Estimated number of page impressions and user visits to the archive service's online catalogues in the last year	
12	Number of times moving image material contributed to screenings	Includes broadcast and screening events

Q12. Unusual closure or new service in the last complete financial year

This provides an opportunity to explain any significant factor that has affected the provision of services both to public and non-public users.

Q13. Indication of the total headline annual budget

Please use the figures for the last full financial year. If your service's budget is part of a larger budget and cannot be easily separated please supply a separate note that lays out the indicative costs and income of the archive service.

Existing award holders only

This section closes with a table for use only by archive services which currently hold an award. All Accredited Archive Services are set a number of required and improvement actions to guide the service's future development. These are reported at interim review stage and may be completed at that point. Where actions are not already formally recognised as completed, progress should be reported. If circumstances have changed and the action is no longer relevant, please explain here.

SECTION 1 Organisational Health

This section looks at the strategic and operational context within which the collections are managed and made accessible. It aims to understand the structure and purpose of the parent body and the relationship of the archive service to these. It also examines whether there are sufficient resources and planning to support an effective archive service both currently and in the years to come.

Organisational health looks at:

- The mission statement – the strategic purpose of the organisation and the archive service
- Governance and management structures – the legal basis of the organisation and the archive service, and how the latter is managed
- Forward planning – having a structured, informed and purposeful strategy for operations and development in forthcoming years
- Resources: spaces – having suitable, dedicated locations for managing and accessing collections of all types
- Resources: finance – having sufficient funds to operate the archive service
- Resources: workforce – having access to sufficient skills, knowledge and operational capacity

1.1 Mission statement

Significance

The words ‘purpose’, ‘vision’ and ‘mission’ are applied variously and often interchangeably within strategic planning vocabulary. Collectively, these terms should describe, in the broadest expression, **why** a service or body exists; **what/where** it aspires to long term; and **how** it plans to get there. Archive Service Accreditation has chosen to use the word ‘mission’ to encapsulate these terms (Museum Accreditation uses the term ‘Statement of Purpose’ to describe the same thing). For the objectives of Archive Service Accreditation, ‘mission’ is defined as: **‘A strategic statement (or series of connected statements) which defines the purpose and direction of the archive service, in relation to the governing body it serves.’**

A mission statement is important because it explicitly defines the rationale and intent of the service. It is the starting point for managing and developing the service as well as being the overall measure against which the activity of the service is gauged.

What assessment is looking for

A mission statement is not just a phrase. It should be a realistic and forward-looking definition of the service’s purpose and aspirations. The assessment process will look at how the archive service works toward fulfilling the mission statement and how the mission statement explicitly and implicitly informs key policies and planning. Assessment will also look at how the mission statement is communicated to all stakeholders.

Archive Service Accreditation recognises that, in most cases, the archive service is some way removed from the main business of the organisation it serves. In these cases, the mission statement may be defined at different levels in the organisation and in more than one type of document (e.g. an overarching mission statement for the parent body and then a specific mission statement for the archive service). Archive Service Accreditation requires the connection of the mission statement to the wider organisation and its documentation to be described clearly.

Scaled guidance: relevant to specific archive types and scale

Local authority archive services:

An archive service’s mission may be expressed within different levels of documentation and at different points in an organisation e.g.:

- A statement drawn from the Council’s cultural/information strategy (or equivalent) guiding the joint/managing archive service planning document e.g. in county-wide archive strategy
- A statement for the individual archive service supporting the joint/managing archive statement e.g. in local record office strategy
- Within the strategic objectives of a corporate business case

- As the public task statement of an archive or heritage service

University archive services

The mission statement will typically be located within the relevant committee terms of reference or perhaps in the terms of an endowment or bequest. Where the archive sits within a university library, it may be within the library's public task statement.

Joint Services

Again there may be several layers of mission statement, at different levels and all these should be stated.

Charities

These are guided by a statement of purpose, which may or may not have been rewritten into a mission statement for use in planning documents.

Companies

Again, it is expected that there will be several layers of mission statement at different levels.

Private and third sector archive services Type 1

This may consist of a short statement with a brief description of the collection, the interest of the creators and of potential researchers. It may form part of a wider document, such as a single overarching archives policy.

Supporting documentation needed

Mission statement

Where evidence may be found (in addition to above)

Cultural strategy

Public task statement

Business case or Forward plan

Articles of Association

Questions to consider when formulating responses

- Where and how in the organisation's strategic statements of purpose is the archive service's mission statement articulated?
- Does the archive service mission statement clearly link to the governing body's mission?
- Is the mission statement clear, realistic and appropriate to the archive service's size and purpose?

Tools and resources

The National Archives: *Raising the Profile of your Archive Service* - provides advice on why effective communications is important, understanding your audience and

developing an appropriate message, how to communicate that message and evaluating the impact of the communications

<http://www.nationalarchives.gov.uk/documents/archives/effective-communications.pdf>

Rebuilding Heritage, *What's the Point of You? Clarifying Your Vision and Mission* – a short useful introduction to how to create a useful and meaningful mission and vision. A linked case study supports this.

<https://rebuildingheritage.org.uk/resource/whats-the-point-of-you-clarifying-mission/>

ILFA *Mission Statements of Government Libraries worldwide* – brief advice on writing mission statements plus numerous examples for national libraries which whilst for major institutions do give ideas around developing statements

<https://www.ifla.org/files/assets/government-libraries/publications/MissionStatementsAugust2011-2.doc>

1.2 Governance and management structures

Significance

Governance is important because it influences how an archive service can operate. For example, an archive within a charity will have different expectations and restrictions on it to one in a business. Assessors need to understand the governance to understand the operating environment for the service and its authority to collect archives. Governance information also helps assessors to identify any material opportunities or risks for the service as a result of the governance and management structure.

What assessment is looking for

This requirement asks you to explain and provide relevant documentation for the governance and management arrangements for archive services. Accredited Archive Services should be clear regarding their relationship with their governing body. In many circumstances archive services are managed by partnerships or are part of much larger organisations with different priorities. An Accredited Archive Service will have clear governance arrangements in place and be able to describe how these arrangements work in practice.

There are no typical governance and management arrangements for an archive service, as services exist in organisations of many types. This requirement consequently asks for some data that is not applicable to all types of governance and management arrangements, and applicants do not need to provide all data requested unless appropriate.

Q17. Describing the legal status

The archive service needs to either have its own legal status or be part of a larger entity with a clear legal status so that the service has the powers to undertake its business (e.g. entering into agreements to accept collections or agree copyright terms). If your service does not have a specific legal status but your parent body does, this is acceptable. If the archive service is under the responsibility of a private individual or family simply state this on your application form.

Q21. Management arrangements

For ease of assessment, management arrangements are divided into 4 groups. The applicant should decide which best describes their arrangements. Guidance on specific situations can be sought from home nations assessor bodies.

No	Management arrangement	Example
1	The governing body manages the archive service and does not have a wider remit	Joint committee of partners e.g. Archives+ partnership

2	The governing body has set up a managing committee(s) to manage the archive service	Local government University
3	A legally separate managing organisation manages the archive service	Archive service itself is a charity e.g. The Working Class Movement Library Commercial archive without a wider purpose
4	The governing body has a wider remit	Local government (without a specific Committee) University (without a specific Committee) Business e.g. Unilever, Network Rail Charity with wider aims e.g. RNIB, Red Cross, Museum
5	Other	Private individual/family ownership

Q22. Describe the management arrangements

Applicants are asked to describe the management arrangements for their archive service, providing evidence of who has ultimate oversight of the archive service and on what basis they have this oversight. Answers should take notice of the following guidelines and provide suitable supporting evidence. The response should include the names of the relevant organisations or committees, where financial responsibilities lie, and reporting mechanisms.

Management arrangement 1

This arrangement might apply when a group of organisations provide a joint service that is not legally constituted separately. This management arrangement should be described and any agreements submitted as evidence of the arrangements.

Management arrangement 2

You should provide the name of your managing committee, describe its purpose, composition and outline the reporting arrangements between your managing committee(s) and the governing body. These may consist of a memorandum of understanding or a more formal agreement, which should be provided.

Management arrangement 3

You should provide the name of your legally separate managing committee and describe the management arrangements that are in place. Such arrangements may consist of:

- Memorandum and articles of association

- A deed of trust
- Other charitable constitution

Management arrangement 4

These arrangements can vary widely but might include:

- Supervision by a staff member without any committee/group oversight
- Local government portfolio or cabinet system

You should describe the management mechanism, providing evidence of these arrangements through job descriptions or portfolio descriptions and reporting structures.

Management arrangement 5

If none of the above categories fits the legal and management status of your archive service, please select category 5, Other, and explain the position in full.

Scaled guidance: relevant to specific archive types and scale

Local authority archive services:

Need not provide a copy of the current constitution unless services are being provided by another organisation (e.g. Trust, Community Interest Company). In these cases a service level agreement or equivalent should be provided.

Joint/shared local government services:

Such services should provide details of their managing organisation e.g. Joint Committee.

Private and third sector archive services Type 1

These services should show that the ownership of the collection is clear and that responsibility for the archive is clearly defined, probably in a single document.

Private and third sector archive services Type 2&3

Here the archive should come under professional archival management, with a formal reporting line to a designated member of the governing body's management team.

Q23. Supporting documentation needed

Archive service current constitution/service level agreement

Organogram or flowchart, illustrating how the archive service management relates to governing body

Partnership agreement or Memorandum of Understanding

Remit of managing committee

Q24. Major changes of governance

Please note any expected or definite changes in legal status that will have material impact on the service. Do not include changes in line management unless this is connected with a change in legal status.

Where evidence may be found

Certificate of incorporation
Charity registration document
Founding minute of committee
Act of Parliament

Questions to consider when formulating responses

- What is the legal basis for the existence of your archive service?
- Does the constitution of the archive service's governing body have the correct legal arrangements to cover its activities?
- Is the management structure (form, composition, remit and responsibilities – both delegated and advisory) of the archive service and its relationship to the governing body clear and appropriate?
- Are there opportunities to report upwards and to escalate issues appropriately?

Tools and resources

The National Archives Strengthening Governance - advice on local authorities and devolved governance.

<http://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/running-your-organisation/strengthening-governance/>

AIM (Association of Independent Museums) Successful governance in independent museums – a useful introduction to governance for independent museums, which is also relevant to archive services - <https://aim-museums.co.uk/wp-content/uploads/2020/12/Successful-Governance-for-Museums-2020-1.pdf>

AIM (Association of Independent Museums) Hallmarks of Prospering Museums – indicators to assess the status of a museum including governance. The indicators are a useful reference for heritage organisations of many types. Includes a link to additional onsite resources from AIM.

<https://aim-museums.co.uk/helping-organisations/aim-hallmarks/>

ARA-Accreditation resilience indicator is a self-assessment tool to identify overall service resilience. Many elements relate to the service's position within its parent organisation(s) and can contribute to understanding key relationships:

<https://www.archives.org.uk/resources>

1.3 Forward Planning

Significance

The forward plan is concerned with execution and delivery. It is the route by which the mission of the archive service is achieved through the practical management of the service. Forward planning is a useful exercise for a service of any size. It gives an opportunity to lay out the objectives you want your service to achieve and to plan what needs to be done to get there.

What assessment is looking for

There should be an explicit forward planning process, which clearly lays out the objectives and expected actions of the archive service across all aspects of its work, usually over the next two years at least.

The forward planning should be clearly informed by the service's mission and based on evidence e.g. using Preservation Assessment Surveys to inform conservation planning, audience research to inform development of services. The plan should be an 'active' document or set of documents which clearly drive the service's priorities and actions, and against which the service's activities are measured. The forward plan should inform the service's response to all the requirements of the Accreditation Standard i.e. Organisational Health, Collections and Stakeholders.

There should be evidence of at least an annual review of performance against the forward plan to show that the work of the service is informed by forward planning and to ensure the forward plan is regularly updated to reflect circumstances.

Where the forward planning for the archive service sits within a larger forward plan (e.g. in a library or museum) the objectives and actions specific to the archive service must be clearly identified in that larger plan.

Q25. Provide a forward plan

At the point of assessment the forward plan should cover the archive service's current and subsequent planning year. Detailed objectives and actions for the next planning year may be at an early stage of development, but there should be a strategic framework in place. Make a plan within a timescale that works for your service. A forward plan does not need to be complicated and you will often already know the core elements of your service's work in the next few years.

A useful forward plan will be a living document, subject to on-going review and assessment. Part of this review is to assess and disseminate achievements and to learn from those elements that did not work. When writing your plan, use this as an opportunity to reflect on whether planning has been effective in the past, and what factors have caused plans to change or underachieve.

The archive service's forward plan should set out the objectives of the service and identify the actions needed to achieve those objectives, in order to deliver its mission. Plans should clearly observe service and organisational policy.

Plans are written in many forms and may be tiered from high level and long term, to detailed and short term, e.g.:

- Strategies (3-5 years);
- Business plans (annual);
- Project plans (time-bound pieces of work, which may vary in length from weeks to years);
- Divisional or departmental plans (may be annual, or longer);
- Individual work plans (usually tied to an organisation's annual performance review cycle or appraisal process)

Archive Service Accreditation is open to many types and sizes of organisation. There is therefore no standard template for writing a forward plan. Archive Service Accreditation recognises that plans will vary in length and presentation, according to the nature and context of each applicant organisation. For some services the forward plan will act as the only detailed planning document and will also provide evidence for sections 2 and 3 of the standard.

As a general guide, forward plans should reference, or include:

1. The archive service's mission statement (Requirement 1.1)
2. Archive Service Accreditation Standard
3. Review and evaluation of previous forward plan(s)
4. Analysis of the environment (internal and external) in which the archive service exists
5. Stakeholder consultation and an analysis of views
6. Strategic aims
7. Specific objectives beneath each strategic aim
8. Action plan(s)
9. Resource plan(s)
10. Date plan(s) will be reviewed
11. All applicants should show evidence of the approval of the key sections of the plan by a governing body or under appropriately evidenced delegated powers.

Scaled guidance: relevant to specific archive types and scale

Private and third sector archive services Type 1

There is a clear statement of how the archive fits into the organisation's activities as part of the general statement for the archive's mission and it is supported by a budget.

Private and third sector archive services Type 2&3

As well as a clear statement of how the archive fits into the organisation's activities, these archives should have a development plan that at least includes resource and action plans. These plans should be based upon an analysis of the requirements of the collection.

Q26. Integrated or split forward plan

Where an archive service is part of a larger operation or lacks its own legal identity, e.g. part of a University Library or within a historic house, it may not have its own forward plan but rather be included in the wider organisation's or department's forward plan. Where this is the case, the role and development of the archive service should be clear and identifiable within the forward plan.

Sometimes the forward planning for the archive service can be split across several documents. Please identify and briefly describe the purpose of all relevant documents.

Q27. How your forward plan has been developed

Explain the process, who was involved and any driving factors.

Supporting documentation needed

Forward plan(s) (current year, though past plan may be needed for explanation)

Where evidence may be found

Business plan/forward plan(s)

Strategy documents

Corporate/Divisional/Departmental Annual plan

Project plans

Questions to consider when formulating responses

- How can we develop a forward plan that is evidence-based and has the support of key stakeholders and workforce?
- How does the forward plan relate to the mission statement?
- How do we communicate the forward plan to those who need to know about it or have to work with it?
- Have we reviewed progress from our previous forward plan?
- How can we best demonstrate that we have an effective forward plan?
- How do we ensure this remains relevant and supported by top management?
- How can we demonstrate the links between the forward plan of the archive service and the plan of the managing organisation?
- How do we reflect the resource requirements for delivering the plan?

Tools and resources

South Western Museum Development Forward Planning Toolkit – a guide to forward planning for museums which is also relevant for archive services -

<https://southwestmuseums.org.uk/resources/forward-planning/>

TNA Website – a variety of archive-specific guides to help with planning for your service -

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/running-your-organisation/forward-planning/>

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/running-your-organisation/managing-performance/>

<https://www.nationalarchives.gov.uk/archives-sector/case-studies-and-research-reports/research-reports/>

Association of Independent Museums (AIM) *Successfully managing archives in museums* – a practical introductory guide to looking after archive collections in museums aimed at non-archivists

<https://aim-museums.co.uk/wp-content/uploads/2021/08/Successfully-Managing-Archives-in-Museums.pdf>

Rebuilding Heritage, Business Planning in Uncertain Times (2021) – a recorded webinar to help with planning during uncertainty:

<https://rebuildingheritage.org.uk/resource/rebuilding-heritage-business-planning-in-uncertain-times/>

Digital Preservation Coalition, *Rapid Assessment Model*, provides a means of understanding the organisational health of a digital preservation body, including how it is included in planning and strategy. Support to improve is provided via Level Up with DPC RAM, including use in forward planning.

<https://www.dpconline.org/digipres/implement-digipres/dpc-ram>

Archives West Midlands, *Equality, Diversity and Belonging Self-Assessment Toolkit* enables a quick appraisal of an organisation's current position with regard to equality, diversity, inclusion and belonging across archive service functions.

Elements of the SAT engage with many parts of Archive Service Accreditation, and can support active planning

<https://www.archiveswestmidlands.org.uk/wp-content/uploads/2023/09/EDIB-SAT-Beta-version.pdf>

1.4 Resources: spaces and storage

Significance

Adequate space to work is key to delivering effective collections care and meeting stakeholders' needs (Sections 2 and 3 of the Archive Service Accreditation standard). Examples of possible activities which require sufficient space and facilities include conservation and preservation, sorting and cataloguing large collections, digitisation, delivering group events, providing access to original material and group work for volunteers. This requirement is not just about physical space. It is important to ensure your service has sufficient capacity for digital collections both now and in the future.

What assessment is looking for

Assessment considers the stability, suitability and sufficiency of the accommodation for all relevant activities. The quality of buildings for collections storage and of digital repositories for preservation is covered in Section 2.4 Collections care and conservation.

Where an on-site service is offered, this should provide sufficient secure space for readers to consult original material, in line with the expected number of on-site users. Where on-site services are offered to groups, provision should include sufficient space and facilities to meet the needs of group visits offered routinely and those that are included in the forward plan/audience development plan. This section therefore asks you to reflect on on-site visitor facilities, and whether these meet the needs and numbers of visitors.

Assessment asks how the service is planning to manage space where there is less than five years expansion capacity, and how future storage space will be guaranteed (e.g. through the type of lease).

The assessment also needs to understand the service's digital storage requirements to help assess how digital collections and other digital material (e.g. digitised material) are managed. Where third party provision of digital storage is used, assessment seeks to understand how the risks of such an arrangement are managed.

When off-site stores are used, assessment needs to understand how these are managed and what provision there is for appropriate collections management activity to be undertaken on the outstored collections, whether on-site or at the outstore. Section 2.4 asks for information on the management of risks to collections being transferred from off-site stores. Section 3.3 asks about stakeholder access to collection held off-site.

Q31 *Size of analogue holdings*

This question informs the assessment process about how large your collections are and the availability of vacant storage in the context of overall collection size.

The preferred unit of measurement for physical archive storage and collections is cubic metres. If you have this information in linear metres only, please divide this figure by 12 to reach a cubic metre result. You can multiply cubic feet by 0.028 to reach cubic metres. The same unit of measurement should be used throughout the application. To calculate your capacity for expansion, first estimate the average annual quantity of accessions over the last 5 years (A). Measure the amount of empty shelving and add it to a calculation of the space, which could be created through deaccessioning (B). Divide this figure B by the average annual quantity of accessions (A) to reach the estimated expansion time in years (C). Please provide details of the amount of deaccessioning and free space included and your plans for carrying out the deaccessioning.

Please include ALL buildings used by your archive service for collections storage or access. Buildings used for access on an infrequent basis (e.g. location of adult education classes, exhibitions) should not be included.

Storage capacity for born digital records and digital materials is covered in this section. It is measured in gigabytes (GB) or terabytes (TB) or Petabytes (PB) depending on which is most suitable for the size of your digital holdings. Please include digitised material as well as born digital material in this figure.

Specialist storage refers to storage for specific media e.g. analogue audio-visual collections or photographs.

Scaled guidance: relevant to specific archive types and scale

Local authority archive services:

The figures required for the Building and Storage Headlines section can be found in your CIPFA return.

Q32 Expansion capacity

If you have under five years expansion capacity, explain the key risks your service faces with regard to storage, how these are managed and what long-term solutions are being developed.

Q34-Q36 Storage for born-digital or digitised collections

The purpose of these questions is to provide a brief overview of the arrangements for digital records to be stored, including delivery, infrastructure and capacity. They are not asking for a description of digital preservation processes. Section 2.4 covers preservation actions and risk management for digital preservation.

These questions cover all approaches to providing storage for digital preservation including provision by third-party providers and/or involvement in collaborative solutions e.g. regional/national digital preservation projects.

Q42 Any other significant factors relating to accommodation

This question is to identify any other potential future changes that could have a material impact on the service that have not been covered elsewhere in this section e.g. new neighbours that could bring an increased risk to collections, proposals sharing space with additional services in the future.

Supporting documentation needed

Tenancy agreements

Agreements with third party digital storage providers

Where evidence may be found

Collections management plans

Forward plans

CIPFA Return for Archive Services (local government)

Questions to consider when formulating responses

- Is the tenure of our buildings secure? How can we evidence this?
- Have we accounted for all buildings mentioned?
- How do we ensure we have sufficient storage for our digital collections?
- Do we have effective management of risks around the provision of digital storage by third parties?
- Do we have adequate expansion capacity for each type of storage?
- Are arrangements for future expansion adequate? If not, what are the plans?
- What percentage of the collections is housed at each site?
- Is the building adequate for visitor and workforce numbers and needs?

Tools and resources

The National Archives, *Assessing and Managing the risks of split-site archive services* – a guide to analysing the impact of split-sites including impact on different stakeholders, how to assess sites, how to assess and manage the subsequent risks to collections plus case studies for different types of archive services.

<http://www.nationalarchives.gov.uk/documents/archives/split-site-services.pdf>

Digital preservation guidance from The National Archives - a whole range of advice on a wide range of topics including the DPC Digital Preservation Handbook, digitisation, tools including PRONOM and DROID, file formats and redaction as well as The National Archives' own research.

<https://www.nationalarchives.gov.uk/information-management/manage-information/preserving-digital-records/>

The National Archives, *Planning a new record repository*. – a very brief overview to help a service start thinking with guidance on: presentation of the case for new accommodation to obtain funding; choice of site; preparation of brief for architect; consideration of architects' feasibility study, outline plans and preliminary estimates; preparation and acceptance of architect's detailed plans and estimates. Published in 2004 it quotes out-dated standards but the advice is still fundamentally sound.

<http://www.nationalarchives.gov.uk/documents/archives/memo2.pdf>

Digital Preservation Coalition – a wide range of expert guidance and tools from a leading digital preservation advocate. The site includes The Digital Preservation Handbook, Technology watch reports, preserving different types of content, file formats, advocating for digital preservation and training events.

<https://www.dpconline.org/digipres>

Precedents

Services which did not plan effectively to manage a lack of expansion capacity against expected volumes of acquisition had not been Accredited. It was recognised that lack of space for adding to collections was a frequent challenge for archive services, and that those which planned effectively and had mitigation in action would be Accreditable.

When insufficient information on risk management for collections in commercial outstorage arrangements was provided, it could be a reason for applications to be unsuccessful. The need for ongoing communication from commercial outstore providers on any changes to storage arrangements and/or risk profile was underlined and should be part of contractual arrangements.

1.5 Resources: finance

Significance

It is essential that archive services have the financial stability to deliver their stated mission/purpose and to ensure the archives are secure and accessible for the long term. Archive Service Accreditation recognises that different organisational types will manage their finances in different ways, but requires that all services provide outline financial information to enable an assessment of financial stability to be made. Archive services are particularly encouraged, where appropriate, to diversify their income streams and to seek out new sources of funding in order to improve financial security.

What assessment is looking for

This requirement seeks to assess the financial stability and capabilities of the archive service. It examines how the service is financed and the adequacy and security of that funding. This includes understanding any major changes (positive or negative) to that funding over the next two years and how the service is planning to deal with these changes. As digital preservation emerges as a central activity for many archive services, assessment also explores how this is funded, and whether the financing is from core budgets or another source.

Q45 Evidencing financial basis for two full financial cycles

If the archive service has been in existence for less than 2 years then evidence of a sound financial basis for the governing body, where that body has been in existence for longer than 2 years either in its current governance structure or in a former governance structure, should be submitted. If the archive service has been in existence for longer than 2 years, but the governing body has not, then please submit evidence from the previous governing body.

Q46 Copies of two years financial basis

Organisations with a legally separate managing committee must submit headline accounts from that organisation in addition to the governing body. This includes arrangements where an archive service has been contracted by another organisation to provide the service.

Q48 Budgets for sustainable digital preservation

This question focuses on the funding available for digital preservation. It includes using third-party digital preservation providers and/or participation in collaborative solutions.

Q49 Breakdown of income sources

Archive services are asked to show the % of funding from each funding stream. It may be difficult to provide accurate figures in which case an approximate breakdown is acceptable.

Q51 Anticipated changes to core funding

Please provide details of possible or definite changes in your service's core funding over the next two years that would materially alter the service's activities e.g. anticipated budget cuts, emergence of a new funding partner, increase in commercial activity.

Scaled guidance: relevant to specific archive types and scale

Private and third sector archive services type 1 & 2

The archive service should demonstrate a formal commitment of resources through the employment of staff and/or availability of funds for regular purchases of equipment and supplies.

Private and third sector archive services type 3

The archive service should demonstrate a formal commitment of resources through the employment of staff and availability of funds for regular purchases of equipment and supplies. In addition there should be an identifiable budget that covers provision of the archive service.

Information and supporting documentation needed

2 years relevant actual accounts/estimated summary of archive service expenditure
An overview of the sources of funding

Where evidence may be found

Estimated summary of archive service expenditure (2 years)
Year-end budget statements (2 years)
Annual final accounts (2 years)
Fundraising strategy

Questions to consider when formulating responses

- What is the role played by archive service managers in financial decision-making?
- Are the financial resources available to the archive service sufficient to deliver their plans and responsibilities?
- Are all elements of budget for the archive service managed together – what is the impact if elements such as digital preservation are funded through other streams?
- Is the archive service financially stable? Are arrangements in place to deal with any problems?
- Is the archive service diversifying its income streams and being innovative in seeking out new sources of funding?
- Do we anticipate any substantial changes to the value or type of funding?

Tools and resources

TNA Website – *Finding Funding* – a substantial resource providing advice and access to training on all areas of funding including identifying different sources, fundraising, raising commercial income and dedicated grant programmes including the National Lottery.

<https://www.nationalarchives.gov.uk/archives-sector/finding-funding/>

National Council for Voluntary Organisations (NCVO) *Funding and Income* – whilst aimed at charities this provides a basic introduction to understanding funding and income with links to useful tools. On the same section of the NCVO website is information on fundraising, grants, delivering public services, trading and social enterprises and social investment

<https://www.ncvo.org.uk/help-and-guidance/funding-income/#/>

Directory of Social Change runs a course on finance for non-finance managers numerous times a year

<https://www.dsc.org.uk/category/finance-law/finance/>

'*Funding the Archive Sector*' Research Report September 2012. The National Archives and the International Centre for Archives and Records Management Research and User Studies (ICARUS), University College London – this study looked at how UK archive services are funded, what areas of funding are underdeveloped and what training and advice The National Archives provide to increase use of these sources by archive services.

<http://www.nationalarchives.gov.uk/documents/archives/funding-the-archive-sector.pdf>

Digital Preservation Coalition, *Rapid Assessment Model*, provides a means of understanding the organisational health of a digital preservation body, including how it is financed. <https://www.dpconline.org/digipres/implement-digipres/dpc-ram>

1.6 Resources: workforce

Significance

Looking after archival collections is a skilled process. It requires a workforce that has the appropriate skills and is large enough to undertake all the activities required of a professional archive service. The eligibility criteria for Archive Service Accreditation state:

Competent staff must manage your archive service¹, with access to professional archival expertise appropriate to the type and nature of the organisation and collection.

Furthermore, the skills and capacities required of the service will change as good practice and standards develop, new types of collection appear and new audiences and services become a possibility. As a good employer an archive service should ensure that staff are encouraged to develop skills, reflect on their practice and strive for the best possible standards.

Please note the definition of workforce includes both volunteers and paid staff. Archive Service Accreditation supports the Archives and Records Association policy on volunteering in archives (2011) which states:

The ARA believes that archive services require the range of skills and experience of qualified, employed, staff directly accountable to their governing body who can advise that body and lead on such matters as legal compliance, digital preservation, physical storage and security, conservation, cataloguing and access. It does not consider that volunteers can or should be used to replace appropriately experienced professional or para-professional staff as the principal stewards of the United Kingdom and Ireland's unique documentary heritage.

What assessment is looking for

Assessment considers whether the workforce is appropriate to the archive service mission and governance arrangements, is well managed and is provided with sufficient development opportunities. Assessment considers the workforce in its widest terms including paid staff, contractors and voluntary posts.

It will look at the structure of the workforce in terms of the responsibilities of each post, its relationship to the rest of the workforce and the skills required of that post. Assessment will consider whether those in post are sufficiently skilled and how workforce development is ensured. It will also assess how the size of the workforce compares with the responsibilities of the archive service. However, every service

¹ As described in BS EN 17820 "Competent person - someone who has the necessary training, knowledge, experience, expertise and skills, sufficient to complete their allotted task"

applying for accreditation is expected to have access to professional archival expertise.

Accreditation also recognises that staff that are not professional archivists or conservators may be involved with looking after the collections. This may include curators, librarians, IT professionals or education and outreach professionals. The service should ensure that they are able to carry out their responsibilities in relation to the archives competently and that they receive suitable professional development.

There should also be appropriate management procedures to ensure good personnel management. These should include recruitment procedures, personal development procedures, appraisals, sickness management, performance management etc.

Responsibility for the archive service should be designated to a named individual. In organisations operating an integrated collections management approach, this individual should be the head of that integrated service. It is not a requirement that archives should be managed separately from other analogous collections.

Q52 Workforce chart

This chart should indicate:

- Entire workforce
- Full time and part time staff
- Project staff
- Temporary staff
- Paid interns
- Roles and basic responsibilities
- Line management
- Whether outsourced or not

The chart should include the job title of the role and indicate any members of the workforce for which the role is responsible. The chart should indicate whether the role is frozen, full time, part time or job share. Permanent, temporary and project staff should be included in the chart, with their status and period of employment included. If the role is externally funded please state the funder. Please clearly and briefly describe roles and responsibilities either in the organogram or in an accompanying table.

For archive services integrated with other services, please provide details of those working directly in the archive service and an indication of the time spent supporting the archives. If a fully integrated collections management service is offered and staff time is not disaggregated, please state here.

Q53 Employment of qualified staff

It is expected that all publicly funded archive services will employ one or more professionally qualified staff. Accreditation recognises that for some services non-archivists will be engaged in caring for archive collections, e.g. curators and librarians. Furthermore, Accreditation accepts that the smallest services may be limited in both the number of professionally qualified archivists and paid staff generally. It may be that volunteers deliver certain responsibilities. However, every service applying for accreditation is expected to have access to professional archival expertise appropriate to the type and nature of the organisation and collection. Some small private archive services may not employ a professional archivist on staff but will be expected to have access to professional archival advice e.g. formally contracted support from a professional archivist.

It is also important to have access to professional archival conservation expertise. Please explain how this is accessed in your response.

Q54 Copy of role profile and responsibilities

This evidence substantiates the response given in Q53.

Q57 Employment contract

This requirement also seeks to ensure that all members of the workforce are clear about their roles and responsibilities. For paid employees this should be in the form of a contract of employment and documentation setting out roles, responsibilities and expectations.

Q58 Development opportunities

This requirement further assesses whether the workforce is being supported to develop the professional knowledge, skills and experience required to deliver a successful archive service. Where applicable this includes both staff and volunteers across all aspects of the service.

Development opportunities might include:

- Work shadowing
- Mentoring/co-mentoring/buddying
- E-learning
- Knowledge sharing in team training or feedback sessions
- Reflection and review
- Attending conferences, courses and workshops
- Reading
- Research, writing and publication
- Professional training courses with recognised qualifications
- On-going professional CPD opportunities such as ARA's Registration Scheme

Q59 Ensuring qualified professional staff

Describing your recruitment and development practices can evidence this.

Q61 Policies and procedures for supporting a diverse workforce

This question invites broad reflection on being an inclusive employer or place to volunteer. Responses to this question may be made by explaining a service approach or by uploading existing documentation which demonstrates your service understands the need to support staff and volunteers inclusively and has ways to ensure this. Examples could include approaches to diverse recruitment and different entry points into the workforce, supporting neurodiversity, managing offensive terminology in the records and the impact of this on those working on the records, and recognising faith needs. In larger services, this work may include analysis of how reflective the current workforce is of the archive service's community. Please do not respond with any detailed demographic data regarding your service workforce for any groupings with under 5 people, or which might otherwise identify individuals. It is recognised that relevant policies such as on recruitment, retention, diversity and inclusion may be at an institution-wide level beyond the archive service itself.

Q63 Introduction to members of the governing body and management committee

Recognising that general lack of awareness of the work of archive services is a common concern, a recommendation has been included in Archive Service Accreditation to undertake induction training for new members of the workforce. Included here are members of the governing body and top management. Whilst it is not a requirement that archive services do such introductions it is strongly recommended to enable the service to develop a profile within its parent body. Those with a direct management and oversight responsibility for the archive service are specifically expected to receive appropriate induction.

Q67 Volunteer agreement

For volunteers this should be an agreement setting out roles and expectations, as described by NCVO's guide to volunteer agreements (<https://www.ncvo.org.uk/help-and-guidance/involving-volunteers/recruiting-and-welcoming-volunteers/writing-a-volunteer-agreement/#/>). This should clearly state that the agreement is voluntary, to avoid creating an arrangement which may be seen as an employment contract.

Q68 Work of volunteers

Please list areas where volunteers play a role and the approximate numbers involved. Archive Service Accreditation uses the Volunteering England definition of a volunteer:

We define volunteering as any activity that involves spending time, unpaid, doing something that aims to benefit the environment or someone (individuals or groups) other than, or in addition to, close relatives. Central to this definition is the fact that volunteering must be a choice freely made by each

individual. This can include formal activity undertaken through public, private and voluntary organisations as well as informal community participation

For archive services this may involve volunteers playing a role in:

- Collection care
- Delivery of learning and engagement activities
- Governance of the organisation as a trustee
- Friends organisations
- Partnership projects e.g. Indexing via special interest groups
- Remote and online volunteering, e.g. transcription, tagging
- Work experience and honorary posts

While volunteering has many positive benefits, Archive Service Accreditation recognises that in some services the nature of the records held means that volunteer involvement is not appropriate.

Q69 Volunteer development

‘Development’ covers any activity that extends the volunteer’s knowledge or skills. This can include training, increased responsibilities, new areas of work, visits to see other departments and organisations,

Scaled guidance: relevant to specific archive types and scale

Local authority and other public sector archive services

Archive Service Accreditation requires that all publicly funded archive services will employ one or more professionally qualified staff.

For professional archivists, qualified means possessing a postgraduate qualification recognised by the Archives and Records Association (ARA) or equivalent experience. For a film archivist, qualified means possessing a postgraduate qualification in Film Studies with Film Archiving or equivalent experience. For both of these there should also be evidence of on-going professional development, including the Archives and Records Association’s Competency Framework and Professional Development Programme.

For professional conservation staff, qualified means holding a recognised qualification in Conservation or equivalent and evidence of on-going professional development. This should include participation in Professional Accreditation of Conservator-Restorers (PACR) or engagement with the Archives and Records Association’s Competency Framework and Professional Development Programme.

Private and third sector archive services

Type 2 and 3 archive services probably require a full time, professional archivist and access to professional conservation staff to care effectively for collections. Type 1

requires access to professional support at a minimum. There should be a job description for any paid staff.

Supporting documentation needed (*NB some documentation as indicated should not be submitted with an application but may be requested during a validation visit*)

Workforce chart

Role profile and responsibilities of senior staff

Information on experience of workforce – available on request

Evidence of externally validated organisational development accreditation/awards – available on request where applicable

Details of induction procedures – available on request

Workforce management procedures – available on request

Where evidence may be found

Externally accredited award (e.g. Investors in People, Investors in Volunteers)

Training plan

Continuing professional development plan

Equality, diversity and inclusion policy or strategy

Volunteering policy

Example volunteer agreement

Skills gap analysis

Succession planning

Questions to consider when formulating responses

- Have we adequately described our workforce?
- Is the workforce adequate to meet our obligations and if not how do we intend to manage this?
- Is the relationship with other parts of the organisation clear, particularly with regard to access to shared services?
- Do we have procedures for identifying training and development needs? How do we fulfil those needs?
- How is our workforce supported, recognising a range of different individual needs?
- If we do not have a professional archivist on the staff, how do we access professional expertise and ensure that it is adequate to meet our obligations?
- If we do not have a professional conservator on the staff, where do we draw professional advice from and how is this arranged?

Tools and resources

Archives and Records Association *Competency Framework* – the professional development framework for the archival sector covering all aspects of the profession from volunteers through to senior professionals.

<https://www.archives.org.uk/professional-development>

Digital Preservation Coalition, *Rapid Assessment Model*, provides a means of understanding the organisational health of a digital preservation body, including how it is staffed and how this can be improved.

<https://www.dpconline.org/digipres/implement-digipres/dpc-ram> The accompanying Competency Framework gives structured assessment options for understanding workforce digital skills: <https://www.dpconline.org/digipres/prof-development/dp-competency>

The Public Sector Equality Duty guidance (2011)

The National Archives, Inclusion Hub <https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/running-your-organisation/inclusion/>: a range of resources and case studies to support inclusive practice across archives, including in approaches to workforce.

Access for All Self-Assessment Toolkit: Checklist 2: Cultural Diversity for Museums, Libraries and Archives:

https://webarchive.nationalarchives.gov.uk/20050302055624/http://www.mla.gov.uk/documents/cultural_diversity_checklist.pdf

Archives West Midlands, *Equality, Diversity and Belonging Self-Assessment Toolkit* enables a quick appraisal of an organisation's current position with regard to equality, diversity, inclusion and belonging. Elements of the SAT engage with staff management, skills and development, and can support active planning

<https://www.archiveswestmidlands.org.uk/wp-content/uploads/2023/09/EDIB-SAT-Beta-version.pdf>

Investing in Volunteers Standard 2010 – a quality standard for using volunteers in an organisation's work. The website includes nine useful indicators and the Standard which can be downloaded. Organisations can pay to be accredited under the standard

<https://iiv.investinginvolunteers.org.uk/>

The Archives and Records Association has a wide range of resources including support for inclusive working practice and case studies, a guide to managing archives and research into volunteering in archives. These can be downloaded primarily from <https://www.archives.org.uk/resources>

Museum of London *Volunteer Training Bank* – a collection of material to enable organisations to train their own volunteers in house over a variety of subjects including customer care, disability awareness, working safely with children, creating tours for family audiences and an introduction to museums

<https://www.museumoflondon.org.uk/supporting-london-museums/resources/training-bank>

Wales Council for Voluntary Action – information sheets covering a broad range of topics with regards to working with volunteers such as recruitment, policy and strategy, expenses, welfare, the law, working with harder to place volunteers, insurance and diversity <https://wcva.cymru/volunteering/>

Volunteer Development Scotland – research into volunteering in Scotland and the UK as well as the benefits of volunteering and how to calculate the economic impact of your service’s volunteering. The wider website also provides guidance for volunteers including a map of volunteering opportunities <https://www.volunteerscotland.net/volunteer-practice>

Volunteer Now (Northern Ireland) – encourages volunteering in Northern Ireland including a ‘Match me’ function. The ‘Improving Practice’ section has resources for individual organisations to use in developing their own volunteering activity. <http://www.volunteernow.co.uk/>

The National Archives website – has numerous resources looking at volunteering and the wider workforce.

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/running-your-organisation/developing-your-workforce/>

Research Reports <https://www.nationalarchives.gov.uk/archives-sector/case-studies-and-research-reports/research-reports/>

Case Studies: <https://www.nationalarchives.gov.uk/archives-sector/case-studies-and-research-reports/case-studies/>

Precedents

It had been considered appropriate to accredit services where a long-serving staff member did not have an archives qualification but was qualified in a related area, had demonstrable equivalent experience to an archives professional and had pursued an employer-supported development programme to acquire the specific skills needed to care for archive collections. This would not be acceptable when seeking to recruit or replace staff, and actions would be set to reflect the requirement for professional archive expertise in future job descriptions.

Accreditation would not be awarded in cases where volunteers are inappropriately involved in delivering the service. It is recognised that this will vary in line with scaled expectations for different types and sizes of archive service. Professionally-staffed services asking volunteers to identify closure periods for material subject to security clearance had been felt to be inappropriate. Volunteers should also be supported in cases of working with potentially traumatic material.

SECTION 2: Collections

This section looks at the systems that are in place to continuously improve:

- Collections development
- Collections information
- Collections care and conservation

This section seeks to explore collections based upon the following definitions:

Collections development: Collecting new items, researching and reviewing the existing collections and removing items in accordance with the collecting organisation's policies and priorities.

Collections information: Information an organisation collects, creates, holds and maintains about its collections and/or collected items.

The words conservation, preservation and collections care are applied variously and often interchangeably within collections vocabulary. Archive Service Accreditation uses the following definition:

Collections care: Range of activities intended to safeguard a collection. These activities can include organizational policies, security, storage, cleaning, maintenance, handling, scientific investigation, environmental monitoring and control, exhibitions and loans, conservation, provision of surrogates and emergency planning.

Conservation: Interventive techniques applied to a physical item to achieve chemical and physical stabilisation for the purpose of extending the useful life of items to ensure their continued availability.

Requirements in each of these areas are divided into policies, plans and procedures, using the following definitions:

Policies describe the overall intentions and direction of an organisation or service, as formally expressed by top management. They describe the strategic approach.

Plans are forward looking documents that set out the objectives of the organisation and identify the actions needed to achieve those objectives, in line with the organisation's policies and in order to deliver its mission. These arise from the policies that the archive service has outlined.

Procedures describe a specified way to carry out an activity or a process (a set of interrelated or interacting activities), in order to deliver a particular output or

outcome. Procedures may be documented in the form of operational guides, manuals, handbooks, instructions, flowcharts etc.

Policies, plans and procedures should all be regularly reviewed to ensure currency and effectiveness.

2.1 Collections Management

Significance

Archive Service Accreditation supports the principle of an integrated approach to collections management. One way for services to achieve this is through the provision of an overarching Collections Management Policy. This policy connects the four core areas of collections management activity – collections development, information, care and conservation, and access – and explains how they work together, in order to support the archive service’s mission (as defined in requirement 1.1).

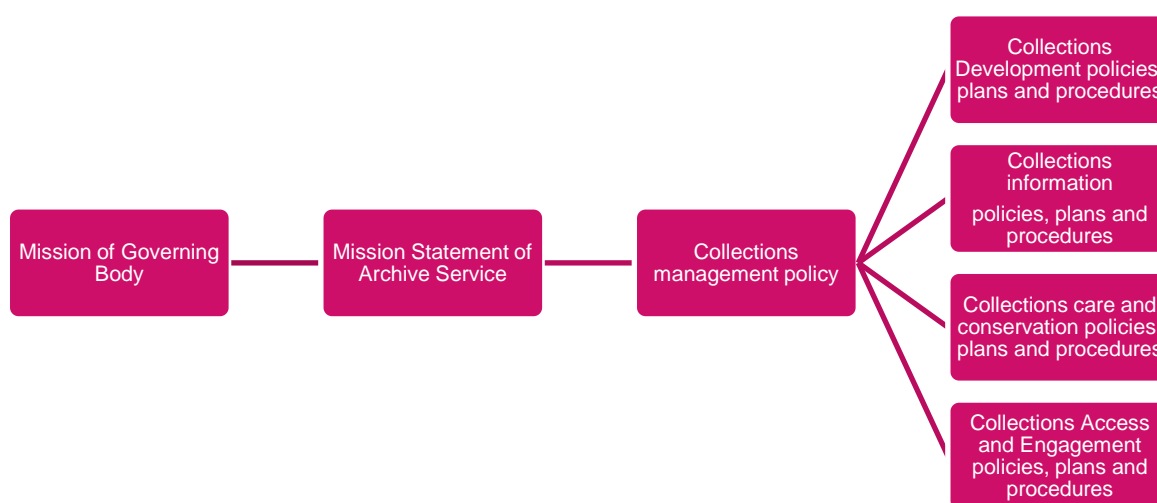


Figure 2 Connections between mission statement, collections management policy and areas of collections management²

What assessment is looking for

Archive Service Accreditation does not require a separate Collections Management Policy; however services may find it useful for ensuring a co-ordinated approach to their collections management activity. Further details of this approach can be found in BS EN 17820: 2023 *Conservation of Cultural Heritage. Specifications for the management of moveable cultural heritage collections*.

A Collections Management Policy should identify the overall legal and statutory environment in which the archive service operates and include or reference the individual policies on collections development, information, care and conservation

² Based upon figure showing areas covered by collections management framework in PAS 197: 2009, Code of practice for cultural collections management.

and access. The detailed requirements for each of these specific policy areas are covered by the sub-requirements in Sections 2 and 3.

Q70 and Q71 Collections Management Policy and coordinating collections management activity

If services do not have an overarching Collections Management Policy, they should describe how they ensure an integrated policy approach to the four core areas of collections management activity – development, information, care and conservation, and access.

Scaled Guidance: relevant to specific archive types and scale

Local Authority and Other Public Sector Archives (type 2) & Private and third sector archives (type 3):

The archive service should be able to explain, whether in a formal policy or in the application itself, how different staff members or staff teams work together across the different elements which make up collections management, to ensure a coherent approach. It should be possible to demonstrate effective interaction between the elements of collections management.

Local Authority and Other Public Sector Archives (type 1) & Private and third sector archives (type 1&2)

Archive services of this size tend to have small staff teams and lone professionals may not find it difficult to demonstrate a coherent management approach across the service. It may be appropriate to have a single collections management policy for the archive service that is used to address multiple requirements of the Accreditation Standard.

2.2 Collections Development

2.2.1 Policies on Collections Development

Significance

Policies on collections development analyse the principles of collecting archives, stating the scope, priorities and limitations on collecting. A collections development policy describes how, when, why and by which mechanisms archives are transferred to the archive service. It should also identify gaps for future collecting.

What assessment is looking for

Assessment is looking for a clearly thought out, strategic approach to collecting archives with a sensible, defined collecting mechanism. This approach may also define what the service will not collect. It may also articulate the right of the service to appraise material both before it enters the service's collections and once it is held by the service. In so doing the service is laying out how it ensures focused, effective collecting.

Q72 Collections development policy (or suite of policies)

Archive Service Accreditation does not provide a standard template for a collections development policy. The policy may be expressed in a single document, or in a suite of related documents with appropriate cross-referencing.

Policies on collections development should address the following areas:

- The archive service should describe the arrangements that are in place to ensure that records transfer from semi-current and current records to the archive service (where appropriate). This is particularly important for records of the parent body but applied also to records accrued from other bodies. The policy should also cover principles and methods for the appraisal of accessions and the deaccession of collections (where appropriate).
- Policies should cover any standard questions of collections' status i.e. ownership status, any transfer of intellectual property rights and access restrictions.
- Archive services should identify gaps in their holdings and/or priority collecting themes and seek to acquire collections accordingly. Acquisitions should be appropriate to the mission and purpose of the archive service.
- The collections development policy should explain the policy on maintaining contact with depositors, particularly major private depositors of material, where appropriate to the mission of the archive service.
- The policies should specifically cover both analogue AND digital material where relevant to the service's mission and purpose. It should also be explicit where classes or formats of archives are NOT covered and whether there are arrangements in place to deposit specific types of archives elsewhere, e.g. film archives or records of a nationwide body that are held locally.

Collections development policies should be produced in consultation with other organisations collecting in a similar community and this should be evidenced. The policies should have the explicit support of the top management and be reviewed regularly.

Scaled guidance: relevant to specific archive types and scale

Places of Deposit for Public Records

Archive services that act as Places of Deposit should describe their relationship with Public Record bodies, outlining their communication methods and arrangements for timely transfer.

Local Authority and Other Public Sector Archives & Private and third sector archives (type 3):

Archive services should undertake a collections development analysis following guidelines in The National Archives, *Collections Development Tools and guidelines* (<https://nationalarchives.gov.uk/documents/archives/collection-development-tools-and-guidance.pdf>).

The collections development policy (or suite of policies) should be available to the public.

Q73 Transfer of records from parent body

Please include in your answer the nature of the archive service's relationship with the parent organisation's records management function. Archive Service Accreditation recognises that there are situations where the archive service's mission and purpose does not appropriately include transfers from its parent organisation (e.g. university special collections where there is a separate records and archives service).

Supporting documentation needed

Collections development policy (or suite of policies, cross-referenced)

Where evidence may be found

Collecting/acquisitions policies
Terms of deposit/transfer
Disposals policy
Appraisal/selection policy
Collections development policy
Revisiting archive collections project report

Questions to consider when formulating responses

- Has the collections development policy (or suite of policies) been approved by the correct body and produced in consultation with other collecting bodies? How is this evidenced?
- Does the policy fit with your mission statement?
- Are your policy and collections descriptions clear enough to guide future acquisitions and/or disposal/ deaccessioning as appropriate?
- Does the policy cover different media sufficiently and specifically cover analogue and digital materials where relevant?
- Are your proposed areas for future collecting reflected in your Forward plan?
- Where appropriate, is the collections development policy available to the public?

Tools and resources

The National Archives Collection Development guidance – including a checklist for collections policies, guidance on writing a collections policy and collecting plan, and guidance on deaccessioning and disposal

<http://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/developing-collections/collection-development/>

The National Archives Loan (deposit) agreements for privately owned archives and guidance on accessions registers

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/documenting-collections/loan-agreements-and-accessions-registers/>

Digital Preservation Coalition, *Rapid Assessment Model*, provides a means of understanding the organisational health of a digital preservation body, including acquisition and appraisal. <https://www.dpconline.org/digipres/implement-digipres/dpc-ram>

Archives West Midlands, *Equality, Diversity and Belonging Self-Assessment Toolkit* enables a quick appraisal of an organisation's current position with regard to equality, diversity, inclusion and belonging across archive service functions.

Elements of the SAT engage with collections development, and can support active planning <https://www.archiveswestmidlands.org.uk/wp-content/uploads/2023/09/EDIB-SAT-Beta-version.pdf>

Arts Council England, Collections Development Policy Template – this template has been designed for museums working towards Museum Accreditation. It does have an archives section and can provide a useful starting point for an archive thinking about writing a policy, including reference to spoliation and repatriation work

<https://www.artscouncil.org.uk/media/20861/download?attachment>

For information on spoliation of works of art during the Second World War, see:

https://www.nationalmuseums.org.uk/what-we-do/contributing-sector/spoliation/spoliation_statement/

2.2.2 Collections Development plans

Significance

The collections development plan specifies the actions the archive service will take to appraise and rationalise existing collections, and identify, prioritise and fill gaps for future collecting. It is the basis for managing the development of collection content to ensure collections remain a coherent resource, relevant to the service's stakeholders and makes the best use of the resources available for collections development.

What Assessment is looking for

The plan should describe how and when this work will be undertaken. Archive Service Accreditation recognises that an archive service acts in accordance with the mission and scale of its governing body and this will affect planning for collections development. Your forward plan may cover collections development, in which case your application should refer to the relevant sections.

The plans should specifically cover both analogue AND digital material where relevant to the service's mission and purpose. It should also be explicit where classes or formats of archives are NOT covered and whether there are arrangements in place to deposit specific types of archives elsewhere, e.g. film archives or records of a nationwide body that are held locally. Such a plan will, where appropriate, reflect collecting from the parent body as well as acquisition of records from outside the organisation.

If your service has a specified approach to deaccessioning and/or has the intent to deaccession, this should be highlighted in the collections development plan. Collections development plans should be produced in consultation with other organisations collecting in a similar community and this should be evidenced.

Plans should also be developed in consultation with depositors, including private depositors where appropriate. Furthermore, where the service plans to diversify the profile of depositors and communities that are reflected in the collections this should be included in the plan.

Q75 Representativeness of existing collections

The question asks for evidence that you have considered how far your collections represent the mission that you have identified for your archive service, whether that is largely institutional, geographical, subject-driven or another form of collecting remit. It also asks for an indication of any work that you are undertaking to address areas of underrepresentation identified. It is recognised that this evidence may be incorporated in the collections development policy and plan, which can be referenced as the response.

Q77 Limitations on collecting

As active collecting has resource implications, this question asks about any restrictions your service has recently faced on collecting which are not covered by arrangements with other archive services.

Q78 Legal status of collections

Responses to this question will vary depending on the type of records collected, and may include material held on deposit. Specific collections in a limited number of archive services may be subject to disputed provenance or requests for restitution; in this case please explain the institutional approach or submit evidence of policy.

Scaled guidance: relevant to specific archive types and scale

None

Information and supporting documentation needed

Collections development plan or cross-reference to relevant areas of forward plan

Where evidence may be found

Collections development plan

Forward plan

Digital collecting and/or web archiving strategy

Accessions reported to The National Archives

Questions to consider when formulating responses

- How and when do we plan to appraise our collections?
- What is the plan for deaccessioning and/or disposal of items where appropriate?
- How will we seek to plug gaps in our collections and collect in priority areas? Where are these items and how will we acquire them?
- How are we collecting material in digital formats and is this approached differently to analogue? (e.g. by proactive donor liaison to ensure material is acquired in formats we can preserve, or by harvesting key websites within our collecting areas)
- Where we are not the owners of collections, do we have good relationships with the owners that allow us to develop these collections with confidence?

Tools and resources

The National Archives, *Developing Collections* – advice on developing collections and on how to contribute content to The National Archives' Discovery Portal for archival resources in the UK

<http://www.nationalarchives.gov.uk/archives-sector/developing-collections.htm>

The National Archives, *Collection Development Tools and Guidance* - a toolkit to enables services to review and develop their collections, identify gaps and risks in

content, safeguard their collections, consider short and long term needs for preservation and access.

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/developing-collections/>

The National Archives *Loan (deposit) agreements for privately owned archives*

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/documenting-collections/loan-agreements-and-accessions-registers/>

Arts Council England, Collections Development Policy Template – this template has been designed for museums working towards Museum Accreditation. It does have an archives section and can provide a useful starting point for an archive thinking about writing a policy

<https://www.artscouncil.org.uk/media/20861/download?attachment>

There are also numerous examples of collections development policies online from effective archive services, public and private, large and small.

For information on spoliation of works of art during the Second World War, see:

<https://www.nationalmuseums.org.uk/what-we-do/contributing-sector/cultural-property/spoliation/>

2.3 Collections Information

Collections information is fundamental to the work of an archive service. It is the bedrock for all access and collections management. If we do not know what is in our collections, we cannot look after it or alert potential users to its presence. Collections information needs to be high quality, accurate, accessible and secure. Generating collections information is resource-intensive so requires careful planning to ensure the maximum return on the investment.

Here we look at the policy on collections information and finding aids, their quality and comprehensiveness. This section covers all information written and gathered about collections, whether during the transfer or accessioning processes, during cataloguing or subsequently. Collections information includes cataloguing, accessioning, information about disposals and intellectual property rights. It should specify what information is gathered and created and which standards are followed in cataloguing.

2.3.1 Policies on Collections information

Significance The collections information policy describes the history of collections information and cataloguing in your services, explaining what cataloguing systems and professional standards are employed and have been used in the past. In creating the policy, services find it a useful mechanism for reviewing professional practice and questioning whether that approach is still appropriate. Where past descriptive practice, particularly of marginalised communities, is a barrier to current usage, it may be helpful to explain how you are developing approaches to addressing this over time. The policy also works as an advocacy document explaining the approach and requirements of the service and the benefit of a vital but often 'hidden' process.

What assessment is looking for

Assessment is looking for a structured approach to capturing collections information that applies best practice in a manner suitable to the context of your service. Whilst there is no standard template, The National Archives' guidance suggests the following content:

- Providing context to your overall approach
- Legislative context
- Systems used for recording collections information
- Point of deposit and accessioning
- Disposals and withdrawals
- Location and movement control
- Cataloguing
- Staffing and funding
- Protecting your collections information

- Approach to revisiting past terminology and descriptive practice for marginalised groups

The policy may state what measures you have taken to improve existing catalogues and how you have reached your current policy on levels of cataloguing. It is recognised that the level of collections information is dependent on the size of cataloguing backlogs being tackled and will differ between service types. The policy may also reflect on legacy issues of adequacy in description, identifying any areas which are inadequate, offensive and/or a barrier for current audiences.

The policy should cover both analogue and digital material where appropriate. The presentation facilities and information architecture for digital materials should be capable of supporting retrieval and use of digital archives by users.

The use of user input into collections information should be considered and, if implemented, the policy should cover how the data will be managed (The Collections Trust's toolkit on 'Revisiting Collections' may be useful in this process - <https://collectionstrust.org.uk/resource/revisiting-collections/>)

In particular the archive service should examine its policies regarding the information held on the ownership and legal status of its collections, especially legacy issues, which arose before current policies and procedures. The purpose is to ensure the Service is aware of and where possible managing risks around the ownership of collections. Accreditation recognises that there can be issues over depositor terms, particularly where there is a legacy of past practice that would not be acceptable by modern standards.

This requirement covers ownership, intellectual property rights and specific record keeping legislation/guidelines such as the Public Records Acts, Manorial Documents Rules and the Parochial Registers and Records Measure 1978.

Q80 and Q81 Cataloguing standards

Accreditation recognises that whilst ISAD(G) is the common standard for cataloguing standards it may not always be appropriate or may not have been utilised by the service for some or all of its collections. If this is the case please use Q78 to explain your service's policy and approach to ensuring high quality collections information. Note that questions relating requirement 2.3.2 also provides an opportunity to explain the service's approach to planning cataloguing practice.

Scaled guidance: relevant to specific archive types and scale

Local Authority and Other Public Sector Archives & Private and third sector archives (type 3):

The archive service should provide quality finding aids that meet the mandatory requirements of ISAD(G). Archive services should aim to provide collection level descriptions of their entire holdings and create more detailed descriptions according to a defined plan.

Private and third sector archives (type 1&2)

The archive service should provide quality finding aids that meet the mandatory requirements of ISAD(G) in accordance with their organisation's mission. Archive services should aim to provide collection level descriptions of their entire holdings and create more detailed descriptions according to a defined plan.

Archive Service Accreditation recognises that it is not always appropriate for organisations of this type to make detailed catalogues available externally. However, some form of collection level description should be made available.

Information and supporting documentation needed

Completed application form

Collections Information policy

Where evidence may be found

Cataloguing handbook/policy

Examples of online catalogues with link

Example catalogue

Questions to consider when formulating responses

- What is the process for creating collections information and how will that information be managed?
- Does this policy reflect the aspiration of our mission statement and forward plan?

Tools and resources

Revisiting Archive Collections

<https://collectionstrust.org.uk/resource/revisiting-collections/>

BS 6879/ISO 3166-2: 1998, Codes for the representation of names of countries and their subdivisions, Part 2

International Council on Archives, General International Standard of Archival Description (ISAD (G)), 2nd edition, 1999

International Council on Archives, International Standard Archival Authority for Corporate Bodies, Persons and Families (ISAAR (CPF), 2004)

National Council on Archives, Rules for the Construction of Personal, Place and Corporate Names:

The National Archives

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/documenting-collections/>

Archives and Records Association *Guide to Archival Standards*

<https://www.archives.org.uk/resources>

A. Chilcott, 'Towards protocols for describing racially offensive language in UK public archives', *Archival Science* 19(4):1-18 (2019).

The National Archives, Risk Assessment for Communicating Potentially Upsetting Histories <https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/running-your-organisation/inclusion/resources/risk-assessment/>

The National Archives compendium of research reports

<https://www.nationalarchives.gov.uk/archives-sector/case-studies-and-research-reports/research-reports/>

The National Archives Case Studies:

<https://www.nationalarchives.gov.uk/archives-sector/case-studies-and-research-reports/case-studies/>

Digital Preservation Coalition, *Rapid Assessment Model*, provides a means of understanding the organisational health of a digital preservation body, including metadata management for preservation and discovery

<https://www.dpconline.org/digipres/implement-digipres/dpc-ram>

Archives West Midlands, *Equality, Diversity and Belonging Self-Assessment Toolkit* enables a quick appraisal of an organisation's current position with regard to equality, diversity, inclusion and belonging across archive service functions.

Elements of the SAT engage with collections information and presentation of collections, and can support active planning

<https://www.archiveswestmidlands.org.uk/wp-content/uploads/2023/09/EDIB-SAT-Beta-version.pdf>

2.3.2 Collections Information Plan

Significance

Writing a plan enables the service to look across its whole collections, identify its priorities for collections information and decide how it will resource the work. Having a collections information plan means that a service will also be able to apply for funding quickly should the opportunity arise because it has already identified outstanding collections requiring documentation, the resources needed and how such work contributes to the mission of the service.

What assessment is looking for

Accreditation recognises that there may be a backlog in cataloguing collections, and a history of both poor cataloguing, outdated terminology and inadequacies in early accession records. This may take many years to resolve. Consequently Accreditation is looking for a clear analysis of the current situation and a realistic long-term plan that identifies priorities, outcomes, responsibilities and resources.

The collections information plan should be based upon the analysis of collections information in the archive service in the collections information policy. It should describe how the archive service will implement the collections information policy described in 2.3.1 above and should identify priorities for action and provide a plan for their implementation over a time limited period.

Q83 Collections information plan

The collections information plan should cover:

- How you plan to improve existing collections information
- A plan for collections information about newly acquired collections
- How you plan to manage information about collections long held without complete catalogues (backlog collections). This should be based on the scaled guidance at 2.3.1
- Any plans to review legacy descriptive information, such as to review offensive terminology or to uncover different aspects of the records
- How you plan to collect and maintain information regarding collection status (ownership, intellectual property rights and specific record keeping legislation/guidelines)

Scaled guidance: relevant to specific archive types and scale

Archive services with 'closed' collections, with limited accruals, and with a good level of description, may have limited need for further cataloguing. Collections information planning may focus on dissemination of information, the enhancement of description with user content or, if relevant, establishing ownership of poorly documented holdings.

Supporting documentation needed

Collections information plan (or suite of documents) or cross-reference to relevant areas of Forward plan

Where evidence may be found

Cataloguing plans/strategy

Forward plans

In-house prioritisation of collections

Assessment of uncatalogued collections in-house or through other recognised methodology e.g. Logjam

Questions to consider when formulating responses

- What are the priorities for the archive service cataloguing programme and how have we reached them?
- How will we create information about newly acquired collections?
- Has the archive service examined legacy information issues and does it have a plan to tackle them?
- Who is responsible for issues of information about ownership and status of collections?
- How will we reduce the backlog of uncatalogued collections?
- What is our plan for providing collections information and how will we achieve it?
- How do we provide information about born-digital collections and how does this integrate with analogue collections information?

Tools and resources

Greene, Mark A; Dennis Meissner (2005). "More Product, Less Process: Revamping Traditional Archival Processing". *American Archivist* 68: 208–263

Archives and Records Association Guide to standards relating to metadata – a comprehensive list covering cataloguing and other metadata, indexing, thesauri, XML DTD and schema, interoperability, digital preservation, reference models and frameworks, file formats, identifiers and security standards.

<https://www.archives.org.uk/resources>

The National Archives guidance on documentation

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/documenting-collections/>

2.3.3 Clear and documented procedures for core collections information

Significance

The archive service should document its core collections information procedures and ensure they are understood and applied by the workforce (including volunteers). It provides the opportunity for systematically describing processes which can be used to ensure that all staff and volunteers understand why collections information is generated in a specific way and how that information should be generated and captured so providing consistency and a level of quality in collections documentation.

What assessment is looking for

These procedures should cover the full range of collections information procedures including:

- Establishing and recording collection status (ownership, terms of deposit, access legislation, access restrictions and intellectual property rights)
- Appraisal
- Accessioning, including condition checks, metadata for digital accessions
- Acquisition: Marking and labelling items
- Cataloguing and authority indexing
- Location and movement control
- Loans in and out
- Deaccessioning and disposal
- Collections Audit (stocktaking)

The procedures should specifically cover both analogue AND digital material where appropriate.

Q90 Integration of collections information on analogue and digital records

Accreditation recognises that procedures for managing information about born-digital archives may be at a developmental stage and may involve use of different software to the finding aids provided for analogue collections. This question asks for reflection on how the service ensures that users are able to find information on collections regardless of format. Where relevant, the procedures should cover support for staff in describing offensive and/or traumatic records, and/or opportunities for users to identify inadequate, offensive or unsuitable descriptions with a view to prompting a review.

Scaled guidance: relevant to specific archive types and scale

None

Supporting documentation needed

Where relevant, procedural manuals will be required to be presented as evidence during validation visits

Where evidence may be found

Accessioning & Cataloguing manual
Strongroom procedures
Documentation procedural manual
Reading room procedures
Security plans

Questions to consider when formulating responses

- Are these procedures robust, regularly reviewed, well understood and comprehensive?
- Do the procedures follow the collections information policy and implement the collections information plan?
- Do the procedures follow the collections care and conservation policy and implement the collections care and conservation plan? – with particular reference to location and movement control and audit
- Are the procedures monitored to ensure quality control?
- How do we confirm ownership and intellectual property rights of collections transferred, deposited or donated?

Tools and resources

The National Archives *Documenting Collections*

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/documenting-collections/>

The National Archives *Cataloguing and Archive networks*

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/documenting-collections/cataloguing-and-archives-networks/>

2.4 Collections care and conservation

2.4.1 Policies on collections care and conservation

Significance

BS4971:2017 *Conservation and care of archive and library collections* states that ‘a conservation policy is one of the essential corporate documents required by all collecting bodies and is intended to exist alongside and in association with other related policies. The collecting body should define a conservation policy for the collections it holds and is planning to hold.’

The fundamental role of an archive service is to ensure the longevity and usability of their collections. The service needs to articulate its ethical responsibilities towards the conservation of collections and the resultant strategic approach in a conservation policy. This informs conservation planning to ensure good use of resources on clearly prioritised work. But a policy is also important for advocating to stakeholders why the service undertakes conservation work and to seek support for that work.

What assessment is looking for

A collections care and conservation policy should outline the strategic approach to caring for and conserving archive collections, explaining how the archive service intends to act and why. It should be clearly informed by relevant standards. A collections care and conservation policy should reference and take into account the best practice laid down in these documents. It should explain the conservation philosophy and any analysis behind collections care and conservation decisions. Such decisions will be based on the organisation’s mission. There should be a clear link between the policy and the assessment of risk and of stakeholder needs and interests. The collections care and conservation policy should be explicitly informed by the collections development and collections access policies.

Detailed guidance for the standards of collections care and conservation are found in BS4971:2017 *Conservation and care of archive and library collections*, and BS EN16893:2018, *Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections*. Assessment recognises that services will have previously been working towards PD5454 (with its predecessor, BS5454, influencing older building design) and PAS 198 and will take a practical approach, which recognises this changeover in collections care standards.

Q90 Copy of your policy on collections care and conservation

Issues which may be covered in your collections care and conservation policy include:

- Security
- Buildings/Storage

- Access (reprographics, exhibitions, handling, surrogates)
- Treatments/Remedial conservation
- Digital preservation including third party provision
- Housekeeping
- Environmental monitoring
- Environmental control
- Packaging
- Disaster recovery and continuity
- Managing risk to material in outstores and in transfer between locations
- Finances
- Statement of responsibility
- Approach to risk assessment and management

The British Standard BS4971:2017 *Conservation and care of archive and library collections* includes guidance on conservation policies and many elements of repository management. The European standard BS EN16893:2018, *Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections* provides the standard for archival accommodation.

The collections care and conservation policy can be a single policy document or a suite of policies, which must be approved by top management and reviewed regularly.

The policy should particularly describe how services source the appropriate level of professional conservation advice and support. It should describe the storage facilities and how the service will ensure the appropriate quality of storage, with reference to BS4971 and EN16893 (incorporating PD5454 if appropriate to the date of construction).

If digital materials are included in the collections care and conservation policy, the policy should indicate the process for deciding which characteristics of digital records need to be preserved and describe the methods of preservation.

Scaled guidance: relevant to specific archive types and scale

Local Authority, Other Public Sector and Private and third sector type 3

These archive services should outline their arrangements for professional conservation support for all aspects of collections care and conservation, with reference to requirement 1.6 Workforce.

Local authority Type 2, Other Public Sector Type 2, Private and Third Sector Type 3

These archive services should aim to achieve all the levels of collection care described in BS4971:2017 *Conservation and care of archive and library collections*

and BS/EN 16893 *Conservation of Cultural Heritage - New Sites & Buildings Intended for the Storage & Use of Collections*. This includes the appropriate storage environment (including parameters of temperature and humidity), building site and construction, and fire protection and prevention.

Local authority Type 1, Public Sector Type 1 and Private and third sector Type 1&2
These archive services should aim for at minimum broad compliance with BS4971:2017 *Conservation and care of archive and library collections* and BS EN16893:2018, *Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections*. This includes the appropriate storage environment (including parameters of temperature and humidity), building site and construction and fire protection and prevention.

Information and supporting documentation needed

Collections care and conservation policy

Where evidence may be found

Collections care and conservation policy

Digital preservation policy

Conservation statement (Heritage Lottery Fund requirement)

Benchmarks in Collection Care report

Preservation Assessment Survey report

Environmental strategy

Questions to consider when formulating responses

- Is our collections care and conservation policy appropriate to the size and importance of our collections?
- Is the collections care and conservation policy reflected in the Forward plan?
- Does the policy cover all aspects of our collections, including digital collections, web archiving etc?
- Is the management of the building adequately covered?
- How do we ensure that we secure appropriate professional advice and support for our preventive and remedial conservation activity?

Tools and resources

BS 4971:2017 *Conservation and care of archive and library collections* – this is the current British Standard for conservation of archival material, replacing PD5454 but excluding archival building specifications which are covered in the European standard BS EN16893:2018, *Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections*. It includes:

- Conservation policy
- Conservation strategy

- Preventive conservation
- Environments for storage
- Protecting collections from damage from dust, mould and pest infestation
- Environments for reading rooms and exhibitions
- Handling and use
- Packaging
- Storage equipment
- Remedial conservation

BS EN16893:2018, *Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections* - the standard introduced in 2018, which informs archive building design

<https://landingpage.bsigroup.com/LandingPage/Standard?UPI=00000000030324475>

Digital Preservation Coalition: Digital Preservation Handbook: - guidance on strategic, organisational and technical elements of digital preservation.

<http://dpconline.org/handbook>; case studies:

<https://www.dpconline.org/digipres/discover-good-practice/case-studies>

ISO 14721: 2012 *Space Data and Information Transfer Systems – Open Archival Information System (OAIS) reference model*

The National Archives *Caring for archives*

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/caring-for-archives/>

National Conservation Services, *Benchmarks in Collection Care 3.0* – a practical and very widely used toolkit for assessing current collections care to inform planning and upgrading of collections care: <http://www.ncs.org.uk/benchmarks3.php>

Digital Preservation Coalition, *Digital Preservation Business Case Toolkit*:

https://wiki.dpconline.org/index.php?title=Digital_Preservation_Business_Case_Toolkit and *Procurement Toolkit* <https://www.dpconline.org/digipres/implement-digipres/procurement-toolkit>

Screen Heritage UK Moving Image Collections Assessment Toolkit -a basic guide to caring for and making accessible moving image collections. It covers collecting, inspecting, storing, handling, preservation copying and documentation.

<http://collectionstrust.org.uk/resource/screen-heritage-uk-moving-image-collections-handbook/>

EN17429: 2020 *Conservation of cultural heritage. Procurement of conservation services and works* outlines the principles, processes and best practice for procuring conservation services and works for cultural heritage across many types of externally procured service and different scales of work.

ARA, *Volunteering in Collection Care Best Practice Guide* – a summary guide and 19 case studies looking at: policy and agreements; advertising and interviews; increasing diversity; planning and task descriptions; induction, training and supervision; complaints or problems; evaluation and documentation.
<https://www.archives.org.uk/resources>

Digital Preservation Coalition, *Rapid Assessment Model*, provides a means of understanding the organisational health of a digital preservation body, including policy-level preservation commitments. <https://www.dpconline.org/digipres/implement-digipres/dpc-ram>

Precedents

Repositories that had lower than PD5454:2012 (replaced by BS 4971:2017 and BS/EN 16893)-standard storage for much of their holdings had been Accredited in a number of cases. Realistic and effective identification, mitigation and management of risk was key to being able to accredit in these circumstances. Risks unidentified or unmanaged by the service would have made it impossible. A required action would always be set to continue to manage, monitor and/or improve storage conditions in these cases.

When insufficient information on risk management for collections in commercial outstorage arrangements was provided, it could be a reason for applications to be unsuccessful. The need for ongoing communication from commercial outstore providers on any changes to storage arrangements and/or risk profile was underlined and should be part of contractual arrangements.

2.4.2 Collections Care and conservation plan

Significance

The plan explains how the policy will be implemented. It is the ‘how’ to the policy’s ‘why’. It lays out the priorities and the resourcing required, so is a central element in a service’s planning process and the practical route by which the physical integrity of the collections will be assured.

What assessment is looking for

The plan describes how the collections care and conservation policy will be delivered. It is the result of the policy statement combined with an assessment of the collections care in the archive service, and aims to improve collections care over time. It should be clearly informed by relevant standards BS 4971:2017 *Conservation and care of archive and library collections* and BS EN16893:2018, *Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections*. Predecessor standards may be noted where relevant to the period of construction.

The plan should clearly identify and assess key risks and how these risks will be managed. It should also identify future plans for interventive conservation, including an approach to prioritisation. It should also include a realistic assessment of future risks and potential changes along with their potential impact and how they will be dealt with.

Issues that may be covered include:

- Security
- Buildings/Storage
- Mitigation of risks due to site of building(s) and/or known collections care issues
- Access (reprographics, exhibitions, handling, surrogates)
- Treatments/remedial conservation
- Housekeeping
- Environmental monitoring
- Environmental control
- Digital materials

The plan should cover all buildings and sites housing collections including outstores and should cover both physical and digital materials (where relevant).

Disaster recovery and continuity is dealt with at requirement 2.4.4 but should be cross-referenced to the collections care and conservation plan.

Your forward plan may cover collections care and conservation, in which case your application should refer to the relevant sections.

Scaled guidance: relevant to specific archive types and scale

None

Supporting documentation needed

Collections care and conservation plan or cross-reference to relevant areas of Forward plan

Where evidence may be found

Management and maintenance plan

Plan for increasing capacity to preserve digital materials

Questions to consider when formulating responses

- What are the key risks to the longevity of our collections, what are their possible impacts, how likely are they and how should we mitigate those risks?
- How will we deliver the collections care priorities described by our collections care and conservation plan?
- Is our plan based on a robust assessment of collections care using Benchmarks in Collection Care or Preservation Assessment Survey or similar methodologies?
- Do we have fully developed plans appropriate to different media held, including for audio-visual, digital and paper/parchment materials where relevant?
- Where remedial conservation is undertaken, is it based on clear priorities and evidence?

Tools and resources

BS EN16893:2018, *Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections*

<https://shop.bsigroup.com/ProductDetail/?pid=00000000030324475>

National Conservation Service, *Benchmarks in Collection Care* – the very popular and long-standing assessment tool to identify collections care issues to inform planning, now updated to v3.

<http://www.ncs.org.uk/benchmarks3.php>

PAS 198:2012 *Specification for managing environmental conditions for cultural collections* – this has been superseded by BS4971 but still contains a lot of useful information about managing collections and uses a risk-based approach which can help inform your work.

Digital Preservation Coalition, *Digital Preservation Handbook* – a guide to the organisational and operational issues to achieve digital preservation

<http://dpconline.org/handbook>

Screen Heritage UK Moving Image Collections Assessment Toolkit - a basic guide to caring for and making accessible moving image collections. It covers collecting, inspecting, storing, handling, preservation copying and documentation.

<http://collectionstrust.org.uk/resource/screen-heritage-uk-moving-image-collections-handbook/>

ICCROM (International Centre for the Study of the Preservation and Restoration of Cultural Property) *A guide to risk management of cultural heritage* – a detailed methodology for identifying, analysing, evaluating, treating and monitoring risk to cultural heritage

https://www.iccrom.org/sites/default/files/Guide-to-Risk-Management_English.pdf

The National Archives guidance on caring for archives including links into other resources: <http://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/caring-for-archives/>

<http://www.nationalarchives.gov.uk/about/our-role/collection-care/heritage-science-research-and-development/>

The Archives and Records Association Best Practice Guidelines – cover a range of topics including conservation subjects and looking after film collections

<https://www.archives.org.uk/resources>

Digital Preservation Coalition, *Rapid Assessment Model*, provides a means of understanding the organisational health of a digital preservation body, including continuous improvement. <https://www.dpconline.org/digipres/implement-digipres/dpc-ram>

2.4.3 Clear documented procedures for collections care

Significance

The procedures guide the actual implementation of collections care. They set the standards for how collections care will be undertaken and thus inform the quality, consistency and methodology of collections care. They are pivotal to the longevity of collections. They guide the work of both staff and volunteers

What assessment is looking for

The archive service should document its procedures for routine collections care and ensure they are understood and applied by the entire workforce (including volunteers). The full range of collections care procedures should be covered, including:

- Documenting condition of collection: preservation survey
- Environmental monitoring and control: temperature
- Environmental monitoring and control: lighting in strongrooms, including switching off overnight
- Environmental monitoring and control: relative humidity
- Fire detection
- Fire suppression
- Water detection/protection
- Pest monitoring and control
- Cleaning regimes
- Handling and movement including from off-site storage
- Storage and packing
- Security: access/ key control, including contractor supervision
- Security: bags, coats, umbrellas etc.
- Security: use of cameras/ photographic equipment
- Security: incident reporting, including accidental damage, suspicious behaviour and theft
- Security: IT security and integrity for information and collections held digitally (including by third parties)
- Managing risk to material in outstores and in transfer between locations
- Using and creating surrogates
- Identifying material unfit for production

Guidelines on many of these issues are found in BS4971:17 and BS EN16893:2018

The procedures should specifically cover both analogue and digital material where appropriate and should cover strongroom, searchroom and workforce working areas.

Only authorised staff should have access to repository and immediate areas. All archive services should have an awareness and where possible mitigation of risks of water penetration and/or damp.

For digital preservation, assessment needs to understand if your digital collections do or will warrant preservation and if so the progress made towards enabling digital preservation. This should include evidence of organisational approval for developing a digital preservation function.

Assessment recognises that not all organisations will have a coherent digital preservation function in place and that some organisations have not yet undertaken any work towards digital preservation. However, it does require that if your service holds digital material (including digitised surrogates of analogue originals) or will hold digital material in the future, the service should be starting to put in place means to develop that function. This includes evidencing organisational approval for developing a digital preservation programme, identification of current and potential future digital holdings, managing risk to existing digital holdings, engagement with digital preservation initiatives such as regional collaborative projects and up-skilling of staff to develop awareness and capacity.

Q95 and Q96 Assessment and management of analogue risk

Archive services should examine the risks to their collections and manage those risks. These risks might arise from any of the 10 agents of deterioration: physical forces; thieves and vandals; dissociation; fire; water; pests; pollutants; light; incorrect temperature and incorrect humidity. This risk assessment should be regularly reviewed and updated. Where material is stored away from the location it is produced, such as in an outstore or commercial storage, risks which may arise during the transfer process should also be assessed. The risk assessment should also cover these outstores, including conditions offered by commercial providers.

Scaled guidance: relevant to specific archive types and scale

Private and third sector archive type 1

The minimum level should be: basic packaging of archives using archive quality materials (e.g. boxes, Melinex sleeves). Clear set of access rules that protect sensitive materials. Basic research access rules (reading room - pencils only, invigilated access).

Private and third sector archive type 2

The minimum level should be: basic packaging of archives using archive quality materials (e.g. boxes, Melinex sleeves). Clear set of access rules that protect sensitive materials. Basic research access rules (reading room - pencils only, invigilated access). Basic monitoring of temperature and humidity with weekly checks.

Local authority, other public sector archives and private sector type 3

Larger archives: full fire risk management strategy, which may include automatic fire suppression and does include appropriate detection and alarm systems covering sensitive alarms within repository and detection/alarms for whole building.

Environmental conditions are monitored, controlled and data can be produced to evidence this in at minimum broad compliance with current standards. If water risk is identified include water alarms, maintenance regime. Security: alarm system linked to constant monitoring or directly to emergency services. Where digital collections are held, periodic checking of data integrity is essential in addition to security and control of the storage environment.

Q97 Storage not meeting PD5454:2012 or BS4971/EN16893

If a service has storage that does not meet either of these standards in full this does not automatically preclude a service from being accredited. However, the service does need to demonstrate a full understanding of the risks arising from the storage situation and explain how these risks are managed.

Q98 Environmental monitoring data

Applicants for Archive Service Accreditation are asked to produce 12 months of environmental monitoring records. This should be for the most recent 12-month period for which you can provide data.

The records should be in the form of an overview chart no more than 2x A4 size for each strongroom. If you have an existing reporting document that shows the environmental conditions over the period then please submit this instead. If you are unable to generate an overview chart for all storage areas then please provide the information in a report format. Records should only be submitted in PDF format to guarantee that all assessors can read them.

If you have acquired a newly built or adapted storage area within the one-year period then please provide the temperature and humidity records as requested but note issues at the relevant question.

Q100 Assessment and management of digital preservation risk

This requirement asks you to undertake a self-assessment using version two of the NDSA's four levels of preservation, which considers five areas of risk to digital holdings. Use the comment box to explain areas of complexity, key risks and barriers to progress. The basic updated NDSA model is shown below, but for more information see <https://ndsa.org/activities/levels-of-digital-preservation/> and particularly *Implementation Guide* <https://osf.io/nt8u9/> which explores the approach in full.

Functional Area	Level			
	Level 1 (Know your content)	Level 2 (Protect your content)	Level 3 (Monitor your content)	Level 4 (Sustain your content)
Storage	<p>Have two complete copies in separate locations</p> <p>Document all storage media where content is stored</p> <p>Put content into stable storage</p>	<p>Have three complete copies with at least one copy in a separate geographic location</p> <p>Document storage and storage media indicating the resources and dependencies they require to function</p>	<p>Have at least one copy in a geographic location with a different disaster threat than the other copies</p> <p>Have at least one copy on a different storage media type</p> <p>Track the obsolescence of storage and media</p>	<p>Have at least three copies in geographic locations, each with a different disaster threat</p> <p>Maximize storage diversification to avoid single points of failure</p> <p>Have a plan and execute actions to address obsolescence of storage hardware, software, and media</p>
Integrity	<p>Verify integrity information if it has been provided with the content</p> <p>Generate integrity information if not provided with the content</p> <p>Virus check all content; isolate content for quarantine as needed</p>	<p>Verify integrity information when moving or copying content</p> <p>Use write-blockers when working with original media</p> <p>Back up integrity information and store copy in a separate location from the content</p>	<p>Verify integrity information of content at fixed intervals</p> <p>Document integrity information verification processes and outcomes</p> <p>Perform audit of integrity information on demand</p>	<p>Verify integrity information in response to specific events or activities</p> <p>Replace or repair corrupted content as necessary</p>
Control	<p>Determine the human and software agents that should be authorized to read, write, move, and delete content</p>	<p>Document the human and software agents authorized to read, write, move, and delete content and apply these</p>	<p>Maintain logs and identify the human and software agents that performed actions on content</p>	<p>Perform periodic review of actions/access logs</p>
Metadata	<p>Create inventory of content, also documenting current storage locations</p> <p>Backup inventory and store at least one copy separately from content</p>	<p>Store enough metadata to know what the content is (this might include some combination of administrative, technical, descriptive, preservation, and structural)</p>	<p>Determine what metadata standards to apply</p> <p>Find and fill gaps in your metadata to meet those standards</p>	<p>Record preservation actions associated with content and when those actions occur</p> <p>Implement metadata standards chosen</p>
Content	<p>Document file formats and other essential content characteristics including how and when these were identified</p>	<p>Verify file formats and other essential content characteristics</p> <p>Build relationships with content creators to encourage sustainable file choices</p>	<p>Monitor for obsolescence, and changes in technologies on which content is dependent</p>	<p>Perform migrations, normalizations, emulation, and similar activities that ensure content can be accessed</p>

Supporting documentation needed

Procedural manuals will be required to be presented as evidence during validation visits

Where evidence may be found

Preservation manual

Risk assessment

Evidence of achievement of stable conditions, pest monitoring outcomes, fire brigade liaison etc.

Procedural manuals including volunteer handbooks

Questions to consider when formulating responses

- Have we identified the specific risks to our collections and managed them as far as possible?
- Are these procedures robust, regularly reviewed, well understood and comprehensive?
- Do the procedures follow the collections care and conservation policy and implement the collections care and conservation plan?
- Are the procedures monitored to ensure quality control?
- Do we have good established relationships with external providers who support our collections care procedures (e.g. facilities management, fire brigade, security monitoring services, expert conservation advice when not available in-house)?
- Do we have sufficient provision for preservation of digital materials at present, and if not, what are our plans to develop this?

Tools and resources

ICCROM (International Centre for the Study of the Preservation and Restoration of Cultural Property) *A guide to risk management of cultural heritage* – a detailed methodology for identifying, analysing, evaluating, treating and monitoring risk to cultural heritage

https://www.iccrom.org/sites/default/files/Guide-to-Risk-Management_English.pdf

Collections Trust *Collections Procedures* – a whole range of procedures around managing objects, which can inform archive procedures

<http://collectionstrust.org.uk/spectrum/procedures/>

The National Archives guidance on caring for archives including links into other resources

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/caring-for-archives/>

<https://www.nationalarchives.gov.uk/about/our-research-and-academic-collaboration/our-research-projects/>

National Conservation Service *Benchmarks in Collection Care* – the very popular and long-standing assessment tool to identify collections care issues to inform planning: <http://www.ncs.org.uk/benchmarks3.php>

Library of Congress guidance on care of different formats plus wider preservation issues: <http://www.loc.gov/preservation/care/>

London Fire Brigade, *Fire Safety Guidance: Heritage and Buildings of Special Interest* – useful overview of risk management approaches
[GN80 - Heritage and Buildings of Special Interest \(london-fire.gov.uk\)](http://www.london-fire.gov.uk/gn80-heritage-and-buildings-of-special-interest)

Digital Preservation Coalition, *Digital Preservation Handbook – a guide to the organisational and operational issues to achieve digital preservation*
<http://dpconline.org/handbook>

Digital Preservation Coalition, *Rapid Assessment Model*, provides a means of understanding the organisational health of a digital preservation body, including active preservation at bit-level and above. <https://www.dpconline.org/digipres/implementation-digipres/dpc-ram>

Screen Heritage UK Moving Image Collections Assessment Toolkit - a basic guide to caring for and making accessible moving image collections. It covers collecting, inspecting, storing, handling, preservation copying and documentation.
<http://collectionstrust.org.uk/resource/screen-heritage-uk-moving-image-collections-handbook/>

The Archives and Records Association Best Practice Guidelines – cover a range of topics including conservation subjects and looking after film collections
<https://www.archives.org.uk/resources>

The National Archives *Assessing and Managing the Risks of split-site archive services* – guidance on the issues and how to manage them of having archive services on more than one site
<http://www.nationalarchives.gov.uk/documents/archives/split-site-services.pdf>

2.4.4 Disaster recovery plan and procedures

Significance

If a service is faced with a sudden threat to its collections, such as a flood or fire, it must be able to respond promptly and sensibly to minimise the risk to collections. The best approach is to be proactive in foreseeing the possibility rather than reactive once the event has happened. A plan is vital to provide information on which prompt decisions can be made, possibly in a chaotic situation. A good plan also provides the basis for the service continuing to function and returning to normal once the immediate threat has passed, ensuring business continuity. Finally, preparing a disaster recovery plan enables a service to identify and mitigate potential threats, develop good conservation practices, identify priorities in collections and can provide the opportunity to develop staff, and create cross-service and cross-departmental working,

What assessment is looking for

Disaster recovery and continuity plans are of particular importance and should be based upon a risk assessment of the potential threats. Archive services should consider:

- Risk assessment of threats
- Procedures and processes to be followed before, during and after an emergency event
- Arrangements for the workforce, visitors, collections and business continuity, on all sites and how these are communicated appropriately to different stakeholder groups
- Identification of priority areas of service delivery and planning and resources to deliver these according to circumstance
- How the plan will be developed, disseminated and tested
- Evidence of how the archive service works with the emergency services, and of any other relevant emergency plans
- The procedure for reviewing the disaster recovery and continuity plans

This requirement should cover both analogue and digital materials where appropriate. Disaster plans need to take account of broader circumstances and wider institutional disaster planning and available resources. Plans should be reviewed and approved by top management. Disaster planning may include commercial providers and/or an element of regional/local planning to offer mutual support in the event of a disaster.

There should be evidence that the plan is regularly tested and amended accordingly.

If the collections are housed in commercial storage for which the archive service does not have direct responsibility, the service should have specific plans for disaster recovery at these sites.

Scaled guidance: relevant to specific archive types and scale

Private and third sector archive type 1

A minimum provision would include: a list of important material to be salvaged in priority order; disaster box with key contact information. Have a basic analysis of risks and threats to the collection and identified steps to reduce them e.g. know where the stopcocks are, fuse boxes, and clear risks like valley roofs in need of regular clearing. There may be agreements with larger archive services in the area to provide support in the event of an emergency. Where appropriate, a wider organisational disaster or business continuity plan should acknowledge the needs of unique collections.

Local authority, other public sector archives, Private and third sector archive type 2&3

Full disaster plan, perhaps with support from an external provider. This may be part of a wider institutional plan where relevant but should have clear provision for unique collections.

Q102 Have a disaster plan available for inspection

A disaster recovery and continuity plan should be in place but should not be submitted with an application for Archive Service Accreditation for security reasons. However, it will be examined on a validation visit.

Q103 Development, dissemination, testing and use of disaster recovery plan

Disaster recovery plans and procedures should be tested and reviewed annually as a minimum. The review should include a personnel changes and contact information for staff and support services, changes to buildings, sites and collections. Testing should comprise of a salvage exercise with staff and a visit by fire brigade staff where possible.

Supporting documentation needed

Disaster recovery plan and manual – make available on request

Where evidence may be found

Preservation manual

Questions to consider when formulating responses

- Are risk assessments complete?
- Are all sites covered, including commercial storage?
- Are these procedures robust, regularly reviewed, well understood and comprehensive?
- Are the procedures monitored to ensure quality control?

- Are the procedures tested on a regular basis, with the emergency services where appropriate?
- Are digital materials covered sufficiently?

Tools and resources

The National Archives *Protecting archives and manuscripts against disasters* – a guide to preparing reacting to flood, fire and terrorist/bomb attack plus writing a recovery plan

<http://www.nationalarchives.gov.uk/documents/information-management/memo6.pdf>

The US National Archive and Records Administration *Disaster response and recovery* - a series of online guides for dealing with damaged material

<https://www.archives.gov/preservation/disaster-response>

IFLA *Disaster planning* – a guide for libraries and archives covering prevention, preparedness, response and recovery

https://archive.ifla.org/VI/6/dswmedia/en/pdf/txt_sini.pdf

ISO21110: 2019 *Information and documentation — Emergency preparedness and response*: an international standard for emergency planning, response and recovery for all types of an archive, library or museum collections in light of other existing plans. It provides responders and other stakeholders with an outline for planning, responding and recovering, and outlines a cycle of preparing for and reviewing a plan.

SECTION 3: Stakeholders and Their Experiences

Archive Service Accreditation recognises that different types of archive service are established to meet the needs of different communities and therefore have different sets of stakeholders, with different access and engagement interests.

This section seeks to explore access based upon the following definitions:

Communities: the standard is based on the concept of a community or communities that the archive service is constituted to serve. In this specific sense the word ‘community’ does not necessarily refer simply to the population of a political unit or physical area (e.g. a local authority or town). For many archive services the communities will extend beyond the formal boundaries of its responsible body (government, educational institution, private or voluntary organisation). The archive service will probably serve multiple communities: local, national and international; different communities of researchers and of other types of direct and indirect users and of non-users. Different elements of the communities may attract different priorities, types and levels of service. The ‘communities’ to be served are defined through the stated purpose of the archive services and embraces both users and other stakeholders.

Stakeholders: corporate bodies or defined groups or persons with an interest in the present and future activities of the archive service. Stakeholders may include those with a financial interest (including taxpayers in relation to a public service, office holders (e.g. politicians, committee members), executives, employees, suppliers, customers and the local community. In archive services there are two important additional groups: (1) depositors - the donors or lenders of records; and (2) future users, the purpose of the preservation of records.

Access: Right, opportunity or means of finding, using or approaching items and/or information about items. This is a wide definition of access that includes on-site and off-site access, support for the core business of the governing body, digital access and outreach and learning activities. Related to access is:

Engagement: Engagement means more than simply contact with archives and archive services; it also involves understanding and a sense of personal value, ownership, and empowerment. Engagement may be with internal and/or external stakeholders.

3.1 Stakeholders Policies

Significance

Ultimately archives are collected so they can be used. Having a clearly thought out and planned approach to providing access to and engagement with collections ensures that the service is identifying and meeting the needs of the stakeholders specific to their own service be they the general public, internal to the organisation, onsite or remote, current or potential service users. The policy provides the rationale and aspiration for access and engagement and drives for planning and implementing how stakeholders are engaged with collections.

What assessment is looking for

Your policy (or suite of policies) on stakeholders should show how you meet the requirements relating to all stakeholders. It should outline all the methods of access to collections and means of engagement with the archives, including areas such as outreach and education where relevant. The policy should describe any restrictions placed upon access as part of collections care, statutory compliance or policy of the governing body. The archive service should also show how this policy is communicated to its stakeholders, and ensure that it is easy for potential users to understand how they may engage with collections.

Archive Service Accreditation acknowledges that levels of collections access and engagement should be appropriate to the organisation's mission statement and the nature and scale of its collection.

The policy, and all other stakeholder engagement documentation, should be appropriate to the type of users and other stakeholders of the individual service. Some services are primarily focused on providing services to internal users so their access offer will be focused on internal or selective external audiences and stakeholders. Smaller services may have a smaller range of stakeholders than large services and so will deliver a smaller scale access offer and documentation that reflects this.

Q105 – Provide a copy of the access and engagement policy (or suite of policies)

As a general guide policies on access and engagement should include:

- a definition of the community or communities served and a description of how the organisation aims to provide access to its archive services, collections and facilities, in line with its mission statement.
- a commitment to identify and comply with relevant legislation and ethical codes in relation to access and engagement.
- a commitment to plan and develop access and engagement, including seeking to meet the needs of communities and stakeholders

- information on the restrictions and responsibilities surrounding the use of archives and how these are communicated to stakeholders.
- information on means of access e.g. use of surrogates, handling, exhibition and display, copying and reproduction.
- a commitment to use/promote (or not) certain forms of access to archives e.g. publication of research, outreach to groups, promotion on intranet, use of social media, appearances in exhibitions internally and externally, support for institutional fundraising or other social media.
- a commitment to promoting a culture of customer care, ensuring that all stakeholders are provided with courteous, effective assistance.

Access and engagement methods

Policies should cover how access is provided on-site and off-site, both digital and physical, provided by the archive service or through partnerships. They should outline when and how surrogates are available to users. The archive service should also consider the different needs of different users, alongside any access restrictions for different stakeholder groups, and make these explicit in the policy.

Access restrictions

Policies should cover how people can engage with the archives on-site and off-site, both digitally and physically, whether provided by the archive service or through partnerships. They should outline how this is managed and how risk of damage is mitigated. The responsibility of the users in delivering this should be clear and communicated.

The archive service should examine and provide details of any legislative impact on access. It should also advise of any charges that may be incurred i.e. commercial licensing, media work. The policy should describe the management of any access restrictions by depositors or as the result of legislation or organisational policy. A non-exhaustive list of legislation that might impact on the work of the service includes:

<ul style="list-style-type: none"> • Local Government (Records) Acts 1962 	<ul style="list-style-type: none"> • Freedom of Information Act 2000
<ul style="list-style-type: none"> • Local Government Act 1972 	<ul style="list-style-type: none"> • Freedom of Information (Scotland) Act 2002
<ul style="list-style-type: none"> • Public Records Act 1958, as amended 1967 	<ul style="list-style-type: none"> • Local Government (Scotland) Act 1994
<ul style="list-style-type: none"> • Public Records (Scotland) Act 2011 and predecessors 	<ul style="list-style-type: none"> • Current Data Protection legislation
<ul style="list-style-type: none"> • Public Records (Jersey) Law 2002, as amended 2006 	<ul style="list-style-type: none"> • Tithe Document Rules 1960 and 1963
<ul style="list-style-type: none"> • The Local Government (Access to Information) Act 1985 	<ul style="list-style-type: none"> • Parochial Records and Registers Measure
<ul style="list-style-type: none"> • Public Libraries and Museums Act 1964 	<ul style="list-style-type: none"> • Environmental Information Regulations 2004

<ul style="list-style-type: none"> Local Government (Wales) Act 1994 s60 	<ul style="list-style-type: none"> Manorial Document Rules 1959 and 1967
<ul style="list-style-type: none"> The Public Records Act (Northern Ireland) 1923 	<ul style="list-style-type: none"> Isle of Man Public Records Act 1999
<ul style="list-style-type: none"> Companies Act 2006 and predecessors 	<ul style="list-style-type: none"> Charities Act 2006 and predecessors
<ul style="list-style-type: none"> Re-use of Public Sector Information Regulations 2015 	<ul style="list-style-type: none"> Charities Act (Northern Ireland) 2013
<ul style="list-style-type: none"> Safeguarding regulations 	

Additional considerations for Access and Engagement

All archive services should have an up to date directory entry in discovery.nationalarchives.gov.uk

The access and engagement policy or suite of policies should be published online where possible.

The policy should be supported by top management and reviewed regularly following stakeholder feedback to ensure that barriers to use are removed where possible.

Scaled guidance: relevant to specific archive types and scale

Local Authority and Other Public Sector Archives

The policies on collections access and engagement should state why and how specific classes of records have restricted access under the Freedom of Information, Data Protection and other similar acts.

The archive service should provide details of the opening hours of its public searchroom and details of its remote services.

For Type 1 Local Authority and Other Public Sector Archives the policies may be part of the policy of a larger organisation. In this instance these provisions should be mentioned specifically.

Private and third sector archives

It is understood that these archive services may have a more internal focus than other types of archive services and this should be explained in the policy (or suite of policies). The provisions for internal and external access should be clear and well promoted to all sections of the community or communities.

The access policy (or suite of policies) should state why and how specific classes of records have restricted access under organisational policy or legislation. It should clearly indicate how decisions on granting access to collections are made.

The provision of some form of public access to collections is an eligibility criterion for the Archive Service Accreditation Scheme. This can be via a publicly available searchroom or through mediated methods such as online provision or research by the archive service workforce. The archive service should provide specific details of how it meets this criterion.

Organisations that provide services to people in Wales

The Welsh Language Act 1993 establishes the principle of language equality and notes specific steps to be followed by public bodies such as local authorities, health boards and government agencies – including organisations outside Wales that provide services to people in Wales.³

There are a number of schemes which externally validate visitor assurance or customer service accreditation/awards e.g. Customer Service Excellence. These could be used to demonstrate the effective implementation of your access policies and are requested as evidence if you have acquired them. They are not obligatory for Archive Service Accreditation as it is recognised that externally validated visitor awards are not appropriate for all types of services.

Supporting documentation needed

Directory entry in discovery.nationalarchives.gov.uk

Access and engagement policy or suite of policies/documents for engaging with stakeholders

Externally validated visitor assurance accreditation/award (if available)

Where evidence may be found

Access policy

User services policy

Community Engagement policy

Outreach policy

Inclusion policy

Safeguarding policy

Social media policy

Service Charter

Statement on access to restricted materials

Loan policy

Exhibition and display policy

Media policy

Reproduction policy

Web policy

Externally validated visitor assurance accreditation/award

<http://www.legislation.gov.uk/ukpga/1993/38/contents>

Questions to consider when formulating responses

- Do we know who the main stakeholders for the service are, what they require from the service and how they can/could benefit from the service?
- Who are our potential users and stakeholders and how could they benefit from the service?
- Do we understand and engage with our internal stakeholders proactively? How is this demonstrated in policy and planning?
- Does the service provide a range of means to engage with its archives that are proportionate to its mission and purpose?
- Does the level of provision of public access meet the scaled requirements outlined above? Is the level provided appropriate to the organisation's mission statement and the nature and scale of its collection?
- Is it clear and publicised to all stakeholders how they can engage with the collections?
- Are any restrictions to access clear and publicised?
- Is the balance between collection care and access planned and explained?
- Have we identified and applied all relevant legislation? Have the legal limitations applied been explained to stakeholders?

Does the policy include information regarding:

- Definition of communities
- Commitment to meet relevant legislation and ethical codes
- Description of the access restrictions and responsibilities
- Information on the means of access
- A commitment to use/promote (or not) certain forms of engagement
- A commitment to promoting a culture of customer care

Tools and resources

PSQG *Standard for Access to Archives 2008* – enables services to assess how they provide access across

<https://www.archives.org.uk/resources>

The National Archives, *Equality and Diversity: understanding the Equality Act (2010)*

<https://www.nationalarchives.gov.uk/archives-sector/legislation/equality-and-diversity/>

The National Archives *Inclusive Practice* - A range of resources to help develop inclusive practice within an archive service

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/running-your-organisation/inclusion/introduction-to-inclusion/>

The Collections Trust *Revisiting Collections* – a toolkit for users to add to collections information and provide new perspectives on their collections

[Revisiting Collections – Collections Trust](#)

The National Archives *Legislation and Regulations* – guidance on how statutory requirements affect archives and their provision of access to collections

<https://www.nationalarchives.gov.uk/archives-sector/legislation/>

The National Archives *Research Reports* – includes a section on “Developing your archives’ and ‘Demonstrating Impact’

<https://www.nationalarchives.gov.uk/archives-sector/case-studies-and-research-reports/research-reports/>

3.2 Stakeholder Plans and Planning

This section is about how your service analyses the current and potential need for your service from your stakeholders and communities and how the service is planning to meet that need. Throughout the planning process, it is vital to ensure that access and engagement encourages diversity of use across your community or communities. This may be delivered in partnership or through wider organisational activity such as education and outreach teams with a wider remit.

3.2.1 Understanding your communities and stakeholders, and analysing their needs

Significance

A service can only meet the needs of its communities when it understands the nature of those communities and their needs. In doing so, the service can then develop services and activities which are relevant and accessible to individual sectors of those communities, thus ensuring the service remains relevant and valued and use of collections is maximised. By understanding the communities the service can also prioritise where it will focus its activities and thus maximise the return on the investment of resources in engagement work. This understanding helps the service to justify the use of its resources to funders and other influential stakeholders, and demonstrates how the archive service delivers against the needs of such stakeholders. All services should have a clear understanding of how their work supports the mission of their governing body.

Understanding the communities also enables the service to reflect on what it delivers and consider what it should continue, discontinue and begin to do. It provides the opportunity to look at the service holistically, looking at how its collections shape its communities and vice versa, and how the service can integrate activities across collections management and engagement to meet the needs of its communities and stakeholders.

What assessment is looking for

This section requires the archive service to assess the needs and interests of its communities and to think about how this shapes its future work. This enables the archive service to plan to meet the requirements of existing and potential stakeholders and improve the service offer, supporting a resilient service. Consultation should include examinations of access preferences, barriers to participation and levels of awareness of the service. Results of this understanding of stakeholder needs should feed into the Forward plan, access and engagement, and all areas of Collections Management, including collections development, information and care and conservation. Your Forward plan may cover this, in which case your application should refer to the relevant sections.

You should take specific note of the definitions of communities and stakeholders and consider users from within the parent organisation as well as external stakeholders. For example community and stakeholders may include depositors, other teams within your organisation, funders and local communities as well as direct service users. Some services may follow a formal audience segmentation and analysis activity. Others may engage with specific stakeholder groups through user forums, academic round tables, community surveys or through analysing who uses the service and who does not.

Tools for assessing the needs and interests of your community might include:

- User/visitor surveys
- Market research
- Visitors' book
- Comment/feedback facilities
- Monitoring of website/intranet users (virtual visitors)
- Monitoring of social media users
- Use of publicly available statistics
- Focus groups
- Regular user groups
- Open meetings
- Parent body identified priority audiences
- Business process analysis/marketing analysis of business areas
- Work with specialist interest groups
- Workforce feedback
- Depositor liaison
- Analysis of enquiries
- Departmental/directorate meetings for relevant areas of the parent body

The archive service should use all the information gathered on stakeholders to develop a clear view of their needs and interests. Although not all needs can be met, there should be clear influence on forward planning access and engagement, and all areas of collections management, including collections development, information and care and conservation. This should be undertaken in line with the organisation's mission and the scale and nature of the collection. For example, a national institution would be expected to have a detailed plan covering numerous stakeholders and diverse methods of service delivery. A small Type 1 organisation might have a much simpler and smaller scale plan.

Accreditation recognises that some services will have primarily internal or non-public stakeholders. This may be the main focus of their stakeholder analysis and the resultant planning to ensure they are providing appropriate services to meet the needs of their communities. Public-facing services should in turn ensure that they also consider the needs of their internal stakeholders to support the service's resilience and ability to deliver.

Scaled guidance: relevant to specific archive types and scale

Local Authority and Other Public Sector Archives & Private and third sector archives (type 3)

The archive service should have a number of regular methods of finding out the needs of stakeholders, including existing and potential users, internal and external users. This can be achieved in a number of ways, for example, focus groups, user groups/panels, visitor books, comment cards and questionnaires. These should be analysed to produce a clear view of the current audience and influence the intended audience for engagement work, whether this means offering more to key communities and/or seeking to reach out to new audiences. The archive service should be able to show how the results of the needs analysis are fed back into the forward planning and policymaking process.

Private and third sector archives (type 1&2)

The main focus for these archive services is not standardised but is often to serve internal users. The service should examine how it consults with its priority users and should describe this consultation. It should have a clear understanding of how the service fits into its community and governing body and how its work can support the wider mission of the governing body.

Information and supporting documentation needed

Examples of stakeholder identification and analysis

Where evidence may be found

ARA Survey of Visitors to UK Archives results

ARA Distance Enquiry Services Survey

Analysis of user figures

Analysis of levels of use of online resources (internally and externally to the organisation)

User survey or report on internal use

Audience development plans

Reviews of internal communications methods

Heritage Lottery Fund Activity plans

Marketing plans

Focus group reports

User group meeting reports

Service Forward plan
Digitisation strategy
Community Engagement plans

Questions to consider when formulating responses

- What is the community or communities we are constituted to serve?
- Do we know who are the main stakeholders for the service and what they require from the service and how they can/could benefit from the service?
- Who are our potential users and how could they benefit from the service?
- How do we find out their needs/barriers to access?
- Have we examined off-site and on-site users equally?
- How do we use data on use of digital collections to understand our users?
- Are our digital collections fully accessible to users with differing needs?

Tools and resources

London Cultural Improvement Agency a guide to stakeholder management and mapping – a short and practical guide for cultural institutions including identifying, understanding and mapping stakeholders and then using that mapping information
<https://www.londoncouncils.gov.uk/node/4062>

The Collections Trust Revisiting Collections – a toolkit for users to add to collections information and provide new perspectives on their content
<https://collectionstrust.org.uk/resource/revisiting-collections/>

The National Archives, *Equality and Diversity: understanding the Equality Act (2010)*
<https://www.nationalarchives.gov.uk/archives-sector/legislation/equality-and-diversity/>

The National Archives *Talking to your community* – a range of online advice about understanding and engaging your community developing formal and informal learning, and developing audiences generally
<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/talking-to-your-community/>

The Collections Trust Revisiting Collections – a toolkit for users to add to collections information and provide new perspectives on
<https://collectionstrust.org.uk/resource/revisiting-collections/>

The London Mayor's Commission's Task Force on African and Asian Heritage, *Delivering Shared Heritage* report (2005) – although originally issued in hard copy, it is possible to find online versions, including via academia.edu. This report discusses inclusive, participatory approaches to heritage work.

The National Archives *Talking to your community* – a range of online advice about understanding and engaging your community, developing formal and informal audiences, and developing audiences

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/talking-to-your-community/>

The Audience Agency *Case Study* - Manchester Small Museums and Archives Network - Using Audience Spectrum to develop a joint audience survey providing a practical insight into the survey process

<https://www.theaudienceagency.org/insight/manchester-small-museums-and-archives-network>

The National Archives *Developing Access and Participation 2012* – guidance on researching, planning delivering and evaluating access and looking at some key issues such as partnerships, using volunteers, barriers to access and using digital access

<http://www.nationalarchives.gov.uk/documents/developing-access-and-participation.pdf>

The National Archives *Effective Communication: Raising the Profile of Your Archive Service 2013* - guidance on what is effective communication, how to create an effective message, how to put that message across and how to evaluate the impact.

<http://www.nationalarchives.gov.uk/documents/archives/effective-communications.pdf>

MLA *Access for All Self-Assessment Toolkit: Checklist 2 Cultural Diversity for Museums, Libraries and Archives* – a practical tool for assessing a service's performance in cultural diversity across a range of service activities and guidance on planning for key priorities arising from the assessment

http://sharemuseumseast.org.uk/wp-content/uploads/2018/07/MLA-access_for_all_toolkit.pdf

ARA-Accreditation resilience indicator is a self-assessment tool to identify overall service resilience. Many elements relate to the service's engagement with wider stakeholders and can contribute to understanding key relationships:

<https://www.archives.org.uk/what-we-do/resilience-indicator.html>

3.2.2 Documented plans to improve stakeholder engagement

Significance

Plans are the means by which the service's mission and policies are implemented. Planning for engagement provides the mechanism by which a service prioritises the stakeholders in its communities and works out the range, type and scale of access and engagement methods it will use. In so doing the service must decide what resources this will require, what resources are available and how it will meet gaps in that resourcing (e.g. seeking grant funding, using volunteers, developing staff skills). Once the service has a plan it can use this to explain its work to stakeholders, feed into other planning and decision-making processes, engage potential partners and advocate for resources.

The plan also provides the benchmark for measuring the performance of the service and individual staff. Well-thought out stakeholder planning enables a service to make best use of its resources, advocate for its needs and present a professional attitude to all its stakeholders

What assessment is looking for

This requirement follows on from those that analyse stakeholders, their needs and interests. Archive services are required to develop this analysis into a plan to improve access and engagement for their identified community. The archive service should create the plan based on clear evidence of stakeholder needs and interests, in line with the organisation's mission. Planning documentation should be proportionate to the organisation's scale.

This section assesses your plans for a range of activities. The types of activities that may be included here are:

- Publicity, internal and external
- Digital and analogue
- Outreach activities
- Internal promotional activities and liaison with key teams/departments
- Learning projects and programmes
- Engagement projects with specific groups or communities
- Events programmes
- Exhibitions and displays
- Use of social media
- Provision of digitised material online
- Web accessibility
- Publications
- Research services
- Volunteering
- Partnership working

- Contributing data to national and international portals

Scaled guidance: relevant to specific archive types and scale

Local government and publicly funded archive services

Here you should describe in detail your approach and plans to providing a range of access and engagement activities. You should describe your target audiences, engagement activities and means of evaluation. All but the smallest archive services will undertake some form of this work independently, but most services will also undertake such work in partnership with others.

Private and third sector archives (type 1&2)

The main focus for these archive services is not standardised but may be to serve internal stakeholders. Internal stakeholders should be aware of the archive service and how to engage with it. The archive service should use a variety of promotional methods to reach their target audiences and should test these methods.

Supporting documentation needed

Planning documentation on access and engagement improvements

Where evidence may be found

Service Improvement plan
Audience development plan
Publicity/communications plan
Volunteering strategy
Corporate heritage strategy
Access plan
Inclusion plan
Learning plan
Cataloguing plan/Catalogue backlog plan
Forward plan
Heritage Lottery Fund Activity plan

Questions to consider when formulating responses

- How can we best meet the needs of stakeholders?
- How can we remove barriers to access?
- What are our priorities for improving access and how will we achieve them?
- How do we balance online and onsite access development?
- What are our planned methods of engagement?
- What partnerships do we engage in to broaden our access offer?
- Do we need to review opening hours and/or our online offer to meet stakeholder needs?

Tools and resources

The National Archives *Developing Access and Participation 2012* – guidance on reviewing, research, planning, delivering and evaluating access

<http://www.nationalarchives.gov.uk/documents/developing-access-and-participation.pdf>

The National Archives *Understanding Your Community toolkit* – a range of guidance for assessing and planning audience development

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/talking-to-your-community/>

The National Archives *Inclusive Practice* - A range of resources to help develop inclusive practice within an archive service

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/running-your-organisation/inclusion/introduction-to-inclusion/>

Archives West Midlands, *Equality, Diversity and Belonging Self-Assessment Toolkit* enables a quick appraisal of an organisation's current position with regard to equality, diversity, inclusion and belonging across archive service functions.

Elements of the SAT engage with audience engagement and presenting collections to varied audiences, and can support active planning

<https://www.archiveswestmidlands.org.uk/wp-content/uploads/2023/09/EDIB-SAT-Beta-version.pdf>

The Audience Agency *Guide to Audience Development Planning and Top Tips for Getting Started with Audience Development Planning* - includes developing a mission, setting audience goals, Analysis of the current situation and the potential, choosing strategies, setting clear objectives, action planning, evaluation and adaptation

<https://www.theaudienceagency.org/insight/guide-to-audience-development-planning>

Australia Council *Strategic Plan Framework: a guide for arts organisations* – although written for arts organisations this provides a simple toolkit to strategic planning for developing audiences which will be useful to archive services and particularly smaller organisations

https://australiacouncil.gov.au/workspace/uploads/files/arts-organisations-strategic-p-54c1867bca7bf_1.pdf

The Government Digital Services *Service Standard* helps to understand interconnections and to think and plan user requirements in digital services:

<https://www.gov.uk/service-manual/service-standard>.

3.3 Stakeholder Information, Procedures and Activities

This section of the standard covers:

- How the archive service seeks to provide a range of access and engagement activities to its stakeholders and communities
- How the service provides access to information about collections and services, on and off-site

Please note that for the purposes of access 'off-site' refers to delivery of services off-site, not collections held off-site. 'Off-site delivery' means any service that does not require the user to come to the service's premises and includes both physical and digital services and external user engagement.

3.3.1 Access to and information on collections and archive services

Significance

Archive services need to offer a realistic and reliable level of service to their communities, within the resources available. Services should engage actively with their communities to explain how they can access collections and related services, and to ensure the community is aware of their work. A structured assessment of how your service provides information on accessing collections and services will enable you to identify good practice, gaps and opportunities for developing methods of communicating information as well as identifying potential audiences and appropriate messages. Such information can be an opportunity to promote the service and present a particular 'brand' to potential users.

What assessment is looking for

This requirement covers providing access to the content of archive collections and how this is communicated to stakeholders. It examines opening hours, location, service delivery interfaces, public facilities, published information and online presence. Where material is stored off-site, assessment also seeks to understand how this can be accessed and how information is presented about this.

Services should have examined how best to provide access to collections and services, while both protecting and allowing ease of access to the collections. In some cases this will be via staff undertaking research on behalf of users or by providing online access to digital images only. There should be practical information on how to access this service. Archive Service Accreditation acknowledges that some questions in this area are not relevant to archive services that provide access only via the online environment.

Access information should be regularly reviewed and updated.

Access to collections and archive services might include:

- Printed publications (catalogues/guides)
- Card indexes/handlists
- Online catalogues within own organisation's website
- Digital catalogues available on site only
- Access to online catalogues in the websites of third parties
- Online exhibitions and activities e.g. teaching packs
- Social media (e.g. Facebook, Flickr, Twitter)
- Information and advice provided on-site by trained archive staff
- Information and advice provided remotely by trained archive staff (i.e. by telephone, email or post)
- Paid research service
- Advance/remote ordering
- Media articles and features
- Digitised analogue collections
- Born-digital materials
- Microfilm and microfiche readers
- Viewing/listening facilities for film and sound recordings
- Facilities/finding aids designed or adapted for users with specific access needs
- On-site space for consulting documents
- Dedicated on-site space for consulting maps/outsize documents
- Dedicated education space / lecture theatre
- Meeting rooms
- Reprographic facilities/services
- Printed publications, including catalogue guides
- Schools /student visits and projects
- Community outreach services – activities and events
- Facilitated access to content provided through intermediaries (individuals or groups)
- Online tutorials
- Other

At a minimum published information about the archive service should cover:

- Location of archive service and how to get there
- Details of archive services and public facilities
- Opening times and arrangements
- Out-of-hours and appointment-only arrangements, if relevant
- Accessibility arrangements

Physical Location

Where an on-site access service is provided you should also consider a number of methods to enable users to locate your archive services:

Externally

- Printed publicity material
- Information on own organisation's website
- Links on related/partner websites
- Social media
- Entries in general telephone and service directories (e.g. Yellow Pages)
- Maps and directions (in printed or digital form)
- Public transport information
- Signposting
- Site plans
- Information boards

Internally

- Printed publicity material
- Manned information/welcome point
- Information boards
- Directional signage
- Floor plans
- Public computer points

Information and supporting documentation needed

Information on application form

Where evidence may be found

Entries in discovery.nationalarchives.gov.uk, Archives Hub, AIM 25, Archives Wales, SCAN or similar.

Archive service website

Archive service/Governing body intranet site

Social Media or networking sites

Questions to consider when formulating responses

- Is it easy to find information about the archive service?
- How do all the community members find out about the archive service?
- Is it easy for users to find specific records and items of interest in the collections?
- Is access to finding aids good?
- Is access information regularly reviewed and updated?

Tools and resources

Many different types of archive services have advice on accessing collections online. This can provide a useful starting point. For example, The National Archives website may give you some ideas

<http://www.nationalarchives.gov.uk/help-with-your-research>

W3C *Web Accessibility Guidelines* - essential guidance on providing accessible websites to users with a variety of needs.

<https://www.w3.org/standards/webdesign/accessibility>

UK public sector websites are currently expected to meet WCAG 2.1

<https://www.w3.org/TR/WCAG21/>

3.3.2 Procedures for stakeholder access

Significance

This can be seen as the pinnacle of all the other work of the archive, the point at which stakeholders can connect with original records. It is important to ensure that the procedures and standards are practical, suitable for the type of user and ensure the continued security and accessibility of collections. Systematically reviewing these processes and standards also gives the service the opportunity to identify opportunities for improvement, streamline processes, overcome gaps in provision and refresh the practical application of standards.

What assessment is looking for

This requirement ensures that effective procedures and standards are in place for access services and that these are communicated to stakeholders.

Procedures for user access will vary according to the mission and scale of the archive service, but may include:

- Reader registration for on-site and/or online access
- Seat reservations and booking systems
- New user induction
- Procedures for internal organisational users where these differ from public procedures
- Use of finding aids
- Ordering and returning documents
- Making an off-site enquiry
- Special access to restricted access or 'unfit' documents
- Access to documents stored off-site
- Document handling
- Obtaining copies (on and off-site)
- Accessing born-digital records
- Making a comment or complaint
- Accessing records or indexes on partner websites
- Research service (paid or otherwise/ internal and external)
- Photography procedure
- Arranging to use services offered to groups

These procedures should be adequate for the expected numbers of users, both on and off-site.

Access processes should be regularly reviewed and updated.

Q125 Addressing needs of users with particular access requirements

This question is not just about your processes and policies but also about your culture, so consider things such as staff training and raising awareness as well as practical solutions. Include online and other remote services as well as on-site.

Q129 Providing access to born-digital records

It is recognised that many archives are in the early stages of providing access to digital records. This question is an opportunity to discuss how you are working on this, and may explain interim procedures rather than seamless procedures. You may find it useful to reference the DLF Levels of Born-Digital Access to outline areas where you make provision and where you are aware of needing to develop further.

Supporting documentation needed

Procedures to be available or explained on request as not all procedures may be documented.

Where evidence may be found

Procedural handbook

Feedback through questions in ARA visitor survey on service quality or other visitor surveys and feedback mechanisms

Service website: information for visitors

Promotional literature for the service

Questions to consider when formulating responses

- Can stakeholders easily access information about your services?
- Are procedures in place to support all relevant methods of access to collections and collections information?
- Are procedures the same for internal users and the public?
- Are they communicated effectively to internal and external users?
- Is there capacity to deal with the numbers off-site and on-site users?
- How do you manage bookings for visits/off-site enquiries?
- What facilities are there for group activities?
- Is your service easy to use and effective in helping the user find information or engage with collections?
- Are access processes regularly reviewed and updated?
- What else should you be doing?

Tools and resources

Digital Library Federation, Levels of Born-Digital Access – a first attempt to define what effective born-digital access looks like. This is a maturity model similar to the Levels of Preservation referenced at 2.4.3, and may similarly be useful to explore strengths and weaknesses of the approach. <https://osf.io/r5f78/>

The National Archives, *Digital Preservation Workflows: Access* – a guide to activities which support access to records in digital formats

<https://www.nationalarchives.gov.uk/archives-sector/projects-and-programmes/plugged-in-powered-up/digital-preservation-workflows/4-access/>.

International Council on Archives *Principles of Access to Archives Technical Guidance on Managing Archives with Restrictions 2012* – guidance on how to develop access policies and procedures and inform the public about access with restricted records

https://www.ica.org/sites/default/files/2014-02_standards_tech-guidelines-draft_EN.pdf

Information Commissioner's Office *Guide to the General Data Protection Regulation (GDPR)*

<https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/>

An online search for 'procedures for accessing archives' will bring up the written procedures made available to the public for a large number of archive services.

3.3.3 A variety of means of engagement with to the collections and archive services is available.

Significance

Engaging stakeholders is an essential element of managing an archive service. This section requires that services provide a range of opportunities for their communities to access collections and services, reflecting the needs of those who make up their community. Delivering a considered range of engagement opportunities ensures that users can choose an engagement method that suits their needs, enabling the most efficient service delivery.

Users' familiarity with archives varies widely. Some are very experienced, seeking detailed information across many collections and aiming spend a long time with original material. Others want precise and fast answers to particular questions including for immediate business requirements, and still others are entirely new to accessing archives, needing guidance and support, and perhaps encountering only a small selection of material. Any of these approaches to using the service could be either through analogue or digital means, on-site or away from the physical location of the service.

The purpose of stakeholder engagement with the service also differs greatly. Some users have personal, possibly sensitive or emotionally powerful reasons for undertaking research. Internal stakeholders may be seeing to engage with archives for legal, branding or communications purposes. Others seek to develop skills or achieve qualifications. Some are undertaking work activities, either for commercial reasons or as a professional academic. Some come for leisure purposes and the sheer joy of delving through historical documents. Some stakeholders make a long-term commitment to the service through serving on friends groups, volunteering or depositing collections on loan. There will be those who find the service or collections by accident and may, if working online or encountering the collections through off-site work with partners, never really appreciate the existence of the service itself. Such communities require different types and levels of service, within the capacity of the archive service to deliver varied opportunities.

What assessment is looking for

All archive services should provide an appropriate range of methods for their communities to engage with the collections and archive services. These may range from research services, to community websites, to volunteering, to working with archive staff on branding exercises. This range will vary according to the organisation's mission and community, and the nature and scale of its collection.

Methods of engaging with archives and archive services might include:

- Receiving the results of research undertaken by archive staff
- Participating in corporate memory activities
- Researching using a partner archive image and index provider e.g. Ancestry.
- Attending a community film show or talk
- Participating in an outreach project in the community
- Undertaking research in the collections
- Using social media
- Visiting website
- Joining a workshop
- Participating in activities as part of a school, student or other learning visit to the service, or by the service external offering visits to learning providers
- Using the collections for inspiration and creativity
- Joining a board or friends group
- Volunteering
- Building partnerships to raise collections profile in new areas
- Depositing/transferring a collection
- Advocating for the service
- Financial support for the service
- Participating in the co-creation of catalogues and indexes
- Using digitised archives
- Participating in an on-going project
- Using the collections for legal or brand support
- Providing different formats to access content (e.g. speech readers or OCR'd content)

Scaled guidance: relevant to specific archive types and scale

Local government, publicly funded archive services and private and third sector archives (type 3)

Here you should describe the range of methods by which your community can engage with archives and archive services. You should describe how you provide outreach, learning and volunteering opportunities with archive collections. All but the smallest archive services will undertake some form of this work independently, but most services will also undertake such engagement work in partnership with others.

Private and third sector archives (type 1&2)

The main focus for these archive services is not standardised but may be to serve internal users. Internal users should be aware of the archive service and how to engage with it. The archive service should use a variety of methods to allow users to engage with and use the collections. There should be some form of public access to be eligible for archive service accreditation.

Information and supporting documentation needed

Information on application form

Where evidence may be found

Service plans

Activity plan

Examples of project outputs

Publicity programme

Questions to consider when formulating responses

- How can users become involved and use the archives besides undertaking research?
- How do we engage people?
- How does my organisation use the archives including to support its wider mission?
- How do our partnerships provide opportunities for access and engagement?
- Do we offer activities both on and off-site, and does this allow our users to engage with our services?

Tools and resources

The National Archives *Developing Access and Participation*

<http://www.nationalarchives.gov.uk/documents/developing-access-and-participation.pdf>

The National Archives *Understanding Your Community toolkit*

<https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/talking-to-your-community/understanding-your-community/>

The Managing Business Archives website shows a range of ways that corporate archives are used to support wider business activity:

<https://managingbusinessarchives.co.uk/case-studies/>

For voluntary sector archives, case studies are available at

<https://www.voluntarysectorarchives.org.uk/case-study/>

Tate *Access and archives toolkit* – sharing of the learning of Tate during its five-year programme which digitised over 52,000 items and pieces from Tate's Archive while developing associated engagement activities at Tate Britain, on the Tate website, and with partners across the UK. Guidance includes funding and managing a digitisation project, designing an archive digitisation project, publishing archive collections online and supporting learning and participation with archives.

<https://www.tate.org.uk/art/archive/archives-access-toolkit>