



ACCREDITED
ARCHIVE SERVICE

Archive Service Accreditation

Application form

November 2014

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Reference only

INTRODUCTION TO YOUR ARCHIVE SERVICE

A. Applicant details

Governing body name:	
Governing body address:	
Postcode:	
Name of Archive Service: (this will be the name on the Accreditation certificate)	
ARCHON code(s):	
Website:	
Joint services: Please state for which organisations you provide an archive service, and comment on the basis on which service is provided.	
Accredited museum number: (if applicable)	

B Please select the type of archive service that most closely describes your organisation.

Descriptions of each type of archive service are available in the scalability table for this scheme.

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

Reference Only

C Main contact:

This should be the most senior member of staff of the archive service.

Title:	
First name:	
Last name:	
Job title/position:	
Correspondence address:	
Postcode:	
Telephone number:	
Email address:	

For reasons of speed and cost we prefer contact by email. If you wish to be contacted by post, via the main archive service address, please tick this box:

D If you would like to receive communication in alternative formats, please let us know.

If other please advise:

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B. Service and Collection details

The archive collection

A Please provide details of the size of your archive collection using one of the following:

Items Linear metres Cubic metres

Whichever measurement is chosen should be used throughout the form.

B If applicable, please provide the size of your born digital collection:
Gigabytes

If you need to provide an explanation for any of the figures in questions A or B please provide it here:

C If you do not meet the eligibility criterion for size of archive collection but have sought advice from your assessing body, please provide details here:

D Do you hold collections comprising the following archival materials? Please provide a brief description of the formats covered by your collection. Please add any formats not listed.

Format	Description (no more than 100 words each)
Paper	
Parchment	
Photographs	
Audio visual	
Electronic media	
Maps	

Reference only

The archive service

E. How are the following services provided? For delivery method please choose from:

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

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

Service	Delivery Method	Description
Archives Services		
Records Management		
Corporate lead on Freedom of Information		
Corporate lead on Data Protection		
Electronic Records Management		
<i>Collection care and conservation</i>		
Remedial conservation of archives		
Preventive conservation of archives		
Digitisation of physical archives		
Digital repository for born-digital archives		
<i>Stakeholders and their experiences</i>		
Access to surrogate copies of archives		
Outreach/audience		

development work		
Research service for governing body staff		
Research service for external users		
Learning services		
Printed reference material		

F Please provide details of the public usage of your archive service as follows:

	Use of resources	Are the figures for archive use only? Yes/No	Total number	Additional information
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?			
3	Number of items produced in the last year			Method of calculation used:
4	Number of appearances of exhibitions in the last year			
5	Number of learning events held in-house in the last year			
6	Number of learning events held outside in the last year			
7	Total attendance of learning events in the last year			
8	Enquiries received by post, email and telephone in the last year			
9	Estimated number of visits to the network resources (website) in the last year			
10	Estimated number of page impressions and user visits to archive services online research resources hosted by commercial providers in the last year			

11	Estimated number of page impressions and user visits to the archive service's online catalogues in the last year			
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G Please provide details of any usage of your archive service which is not covered by the public usage above, as follows:

Examples could include internal promotional activities, corporate heritage publicity, file production for internal organisational use, tours for new staff etc.

	Use of resources	Are the figures for archive use only? Yes/No	Total number	Additional information
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?			
3	Number of items produced in the last year			Method of calculation used:
4	Number of appearances of exhibitions in the last year			
5	Number of learning events held in-house in the last year			
6	Number of learning events held outside in the last year			
7	Total attendance of learning events in the last year			
8	Enquiries received by post, email and telephone in the last year			
9	Estimated number of visits to the network resources (website) in the last year			
10	Estimated number of page impressions and user visits to the archive service's online catalogues in the last year			

H If the last full year has been unusual in terms of closure or a new service and this has impacted on your service please provide details:

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Funding of the archive service

I Please provide an indication of which of the following broad bands the total headline annual budget for the archive service falls into:

Under £50,000 pa	
£50,001-£100,000pa	
£100,001-£250,000 pa	
£250,001-£500,000 pa	
£500,000- £750,000 pa	
£750,000-£1 million pa	
£1million-£2 million pa	
Over £2 million pa	

Note

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.

Reference only

SECTION 1: ORGANISATIONAL HEALTH

1.1 Mission statement

A. What is the mission statement of your archive service?

B. Please provide the document(s) in which it is published and list on the application evidence table at the end of this form.

1.2 Governance and management structures

C. What is the name of the governing body of the archive service?

D. Please describe the legal status of the archive service.

E. Is the archive service, or its parent body/bodies, registered with Companies House?

Yes No

If you selected yes, please provide your company number:

F. Is the archive service, or its parent body/bodies, registered with the Charity Commission (England and Wales) or the Office of the Scottish Charity Regulator?

Yes No

If you selected yes, please provide your charity number:

G. Please provide a copy of your archive service’s current constitution (if applicable) and list on the evidence table at the end of this form.

H. Which of the following best describes the management arrangements of your archive service?

<input type="checkbox"/>	the governing body manages the archive service and does not have a wider remit.
<input type="checkbox"/>	the governing body has set up a managing committee(s) to manage the archive service.
<input type="checkbox"/>	a legally separate managing organisation manages the archive service.
<input type="checkbox"/>	the governing body has a wider remit, e.g. a local authority/ other public sector body, business or charity with broader aims.
<input type="checkbox"/>	other

I. With reference to the guidance, please describe the management arrangements of your archive service.

J. Please submit evidence of these arrangements, listing documents on the evidence table at the end of this form. These should include an organogram or flowchart illustrating how the archive service management relates to the governing body.

1.3 Forward Planning

K. Please provide a copy of your Forward plan and list on the evidence table at the end of this form.

L. If your evidence relating to this requirement is integrated with another document, or divided between two or more documents, please detail below. (no more than 100 words)

M. Please outline how your Forward plan has been developed - cross reference to Collections Management and Access Plans as appropriate. (no more than 200 words)

N. Please confirm the date of the next review of your Forward plan.

O. Please describe how progress towards the key objectives of your Forward plan is measured.

P. Comment on the extent to which your Forward plan for the last two years has been delivered, and the reasons why any elements may not have been delivered.

1.4 Resources: buildings and storage

Building and Storage Headlines

Q. Please indicate the size of your archival holding. Information should be provided in either cubic metres (preferable) or linear metres, and in gigabytes for digital holdings. The same unit of measurement should be used throughout the table and should match the unit of measurement used throughout the application. Please consult the glossary for clarity about definitions.

	<i>Total physical holdings</i>	<i>Total born-digital holdings</i>
<i>Archival holdings</i>		
<i>Records Management holdings</i>		
<i>Other holdings e.g. objects</i>		
<i>Total holdings</i>		
<i>Vacant storage</i>		
<i>Total capacity</i>		

R. Please estimate how many years' expansion capacity your current premises provide using the guidance provided. If you have less than 5 years' expansion capacity, please explain your strategy for providing additional suitable space.

Expansion capacity : Years

Expansion Strategy (no more than 200 words):

S. If you do not have a plan in place for the storage and ingest of born-digital materials please provide details of your strategy to have this in place within the next 5 years, if relevant to the mission and purpose of your service. If this plan is included in a larger document (e.g. a wider preservation strategy), then please note, attach and list on the evidence table.

T. Please provide details of each site on which you provide public access or store archives:

No of site	Name and address of site	Whether storage or collections access & engagement only or both	Terms of occupancy ¹	Whether shared or sole occupant ²	% of collection located at site	Any specialist storage on site	Current proposed end date of occupancy
1							
2							
3							
4							
5							

U. Please describe how sites where you provide public access meet the capacity and needs of your expected user numbers. This should include individual researchers and group visitors where applicable.

¹ E.g. Owned, freehold, leasehold, licensed or temporary hire, permission to occupy, PFI development.

² If shared occupancy please name other occupants

V. Please describe how the service premises meet the needs of your workforce and planning, identifying any constraints imposed by current premises.

W. Please describe how you are planning towards the expiry dates of all occupancy arrangements and detail agreed management actions – cross reference to Forward plan, as appropriate. (no more than 200 words)

1.5 Resources: finance

To achieve Accreditation, archive services need to demonstrate a sound financial basis by submitting two years of relevant accounts appropriate to their constitutional arrangements.

Organisations with a legally separate managing committee must submit accounts from that organisation in addition to the governing body.

X. Please describe when your financial year starts and finishes. E.g. April to March, July to June.

Y. Has the archive service been in operation for less than two financial years under the current governance structure?

yes no

Z. If you selected 'yes' please indicate how your financial basis will be evidenced for two full financial cycles (no more than 100 words). Please provide this evidence and list on the evidence table at the end of this form.

If you selected ‘no’ please provide copies of the appropriate documentation demonstrating two years’ sound financial basis for the archive service (attach electronic copy and list on the evidence table)

AA. Please describe the role played by archive service managers in financial decision-making processes and budget management, relevant to the archive service. (no more than 200 words)

BB. Please provide a breakdown of your sources of income over the last complete financial year.

Type of funding	Source	% of total income
Governing body		
Central government		
Other government		
Local authority		
Higher Education		
Heritage Lottery Fund		
Arts Council		
Big Lottery		
Recharging		
Earned		
Private investment		
Other		

1.6 Resources: workforce

CC. Please provide a copy of your workforce chart, as described in the guidance. Please do not name individual postholders. (attach electronic copy and list on the evidence table)

If you have any comments to make to clarify the chart and/or identify proportions of staff time, please comment here:

Staff

DD. Please confirm that you employ one or more professionally-qualified staff. If you do not employ professional staff, please explain how you meet the requirement for appropriate levels of professional advice to your service.

EE. Please provide a copy of the role profile and responsibilities of your senior service manager. (Attach electronic copy and list on the evidence table)

FF. Please explain any vacant or frozen posts, including agreed management actions. (no more than 200 words)

GG. Please confirm that all paid employees have a signed employment contract and documentation that sets out their role, responsibilities and expectations.

HH Please describe the types of development opportunities currently offered to your archive service staff and interns. (no more than 250 words)

II. Please describe how you ensure that professional staff are appropriately qualified on appointment and remain so throughout their employment in, or to, the service. This includes employed staff and contractors.

Managing and developing the workforce

JJ. Please indicate whether your archive service, or parent organisation, holds externally validated organisational development accreditation/awards. These are not essential for Archive Service Accreditation but they help to demonstrate meeting the requirements of the standard. (tick all that apply)

Award	Service	Parent Organisation	Review date
Investors in People	<input type="checkbox"/>	<input type="checkbox"/>	
Investors in Volunteers	<input type="checkbox"/>	<input type="checkbox"/>	
Other	<input type="checkbox"/>	<input type="checkbox"/>	

If you selected 'other', please specify here: (no more than 100 words)

KK. Please confirm that appropriate workforce management procedures (as described in the guidance) are available for inspection on request.

LL. Are all new members of the archive service workforce (paid and unpaid) given induction training?

yes no

MM. Are all new members of the governing body and management committee(s) (paid and unpaid) offered training which introduces the archive service?

yes no

If you ticked yes, does the induction of top management include an introduction to the organisation's archive service?

yes no

NN Please describe how you identify the development needs of your archive service workforce? (no more than 250 words)

OO. Please describe the types of future development opportunities planned for your archive service workforce. (no more than 200 words)

Volunteers

PP: Please describe how volunteers are managed and supported in their work.

QQ. Please confirm that all volunteers have an agreement and documentation that sets out their voluntary role and expectations.

RR. Please provide details of the work of volunteers in the last full financial year.

Area of work of volunteers	Numbers involved	Approx total hours per annum

SS. Please describe the types of development opportunities currently offered to your archive service volunteers. (no more than 250 words)

SECTION 2: COLLECTIONS

2.1 Collections Management Policies

A Please provide a copy of your policy on collections management and list on the application evidence table at the end of this form.

AND/OR

B Please describe how you ensure a co-ordinated approach to your collection management activity, including the four core areas of collections development, information, care and conservation and access.

2.2 Collections Development

Requirement 2.2.1 Policies on collections development

C Please provide a copy of your policy(or suite of policies) on collections development and list on the application evidence table at the end of this form. There is currently no mandatory model or template for collecting or collections development policies in the UK archive sector.

D Please describe how records from your parent body or bodies are transferred to the archive service. (no more than 300 words)

Requirement 2.2.2 Collections development plans

E Please provide a copy of your plan for collections development and list on the application evidence table at the end of this form.

F Please comment on how recent accessions show your collection development plans in practice.

G Please describe the key issues and risks relating to the legal status of your collections, with regard especially to loans and legacy deposits, and indicate how

these are being addressed (cross reference to relevant forward plans submitted with this application). (maximum 200 words)

2.3 Collections Information

Requirement 2.3.1 Collections information policy

H Please provide a copy of your policy (or suite of policies) on collections information and list on the application evidence table at the end of this form. There is no single standard model or template for a collections information policy. The decision about format will depend on what best suits your organisation.

I Please indicate the current cataloguing standards used by your service:

<input type="checkbox"/>	Full ISAD(G)	<input type="checkbox"/>	In-house standard, in broad conformance with ISAD(G) mandatory
<input type="checkbox"/>	ISAD(G) mandatory elements	<input type="checkbox"/>	Recognised descriptive standard for other media (please specify below)
<input type="checkbox"/>	Cataloguing is not standards based	<input type="checkbox"/>	Other

J If you selected 'other', please specify here. (no more than 50 words)

Requirement 2.3.2 Collections information plans

K Please provide a copy of your plan for collections information and list on the application evidence table at the end of this form.

L Please describe your position with regard to cataloguing using the table below. If you do not have precise details please provide an estimate and describe how you have reached these figures.

Cataloguing state	% of overall collection

Fully catalogued (the expectation is that this will be in accordance with at least the mandatory elements of ISAD(g))	
Fully catalogued (but to a lower standard than ISAD(g))	
Box-listed or roughly-listed material, or collections for which only collection-level descriptions exist	
Completely unlisted collections	

If you need to explain further, please do so here. (no more than 200 words)

M What % of your collection has a full catalogue available online?

N If ISAD(g) is not appropriate for the collections, please note the descriptive standard(s) used below.

Requirement 2.3.3 Collections information procedures

O With reference to the guidance, please describe the documented collections information procedures that are in place.

P Please describe how these procedures are communicated to the workforce and monitored, to ensure quality control. (no more than 200 words)

2.4 Collections Care and Conservation

Requirement 2.4.1 Collections care and conservation policy

Q Please provide a copy of your policy on collections care and conservation and list on the application evidence table at the end of this form. There is no single standard model or template for a collections care and conservation policy. The decision about format will depend on what best suits your organisation. **Disaster recovery and business continuity** are dealt with at 2.4.4.

R Please describe the key collections care and conservation issues for your service and how your policy will address them. Cross reference to your collections care and conservation policy.

Requirement 2.4.2 Collections care and conservation plans

S Please provide a copy of your plan for collections care and conservation and list on the application evidence table at the end of this form.

T Please describe your overall position with regard to collection care using the table below. If you do not have precise details please provide an estimate and describe how you have reached these figures.

Collection care state	% (this column does not typically total 100%)
Percentage of analogue holdings with suitable secondary packaging	
Percentage of analogue holdings which are unstable ³	
Percentage of analogue holdings with a surrogate (digital or microform)	
Percentage of digital holdings within a managed preservation system ⁴	

If you need to explain further, please do so here. (no more than 200 words)

³ 'Unstable' is defined by the Preservation Assessment Survey as material in poor or unusable condition.

⁴ A system which follows the OAIS model

Requirement 2.4.3 Routine collections care procedures

Disaster recovery and continuity are dealt with at 2.4.4.

U Please outline how you have assessed and managed the risks to your collections.

V Please list the main risks to your collections at each site and how you have addressed these risks. We would specifically like information on security, fire and water risks and risks to digital materials, but please add any additional relevant risks.

Site	Risk	Action

W Please outline the proportions of archive storage which do not broadly meet PD5454:2012 and how these areas are managed. Please include reference to all storage areas outlined above:

X With regard to the guidance, please supply copies of your temperature and humidity records for the last 12 months.

Attached

If you need to clarify any recorded anomalies please record them here:

Y Please describe how your preventive conservation procedures are communicated to the workforce and monitored, to ensure quality control. (no more than 200 words)

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Requirement 2.4.4 Disaster recovery plan and procedures

Z Please confirm that your disaster and recovery plan is available for inspection.

Date the plan was last reviewed	
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AA Please explain how your plan and procedures have been developed, disseminated, tested and used when required. (no more than 200 words)

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Reference Only

SECTION 3: Stakeholders and their Experiences

3.1 Access Policy

A Please describe your community and stakeholders, with reference to the definitions provided in the guidance. (no more than 500 words)

B Please provide a copy of your access policy (or suite of policies) and list on the application evidence table at the end of this form. There is no single standard model or template for an access policy. The decision about format will depend on what best suits your organisation.

C Please describe how these policies are communicated to stakeholders. (no more than 300 words)

D Please describe how your archive service ensures that all relevant archive access legislation is identified, applied, reviewed and communicated to stakeholders. (no more than 300 words)

E Please describe your decision-making process for establishing any non-statutory access restrictions. (no more than 200 words)

F Please indicate whether your archive service, or parent organisation, holds externally validated visitor assurance or customer service accreditation/awards (tick all that apply): Participation in visitor assurance schemes/awards is not a requirement for Archive Service Accreditation but can provide valuable evidence of a commitment to customer care.

Award	Service	Parent Organisation	Review date
Customer Service Excellence	<input type="checkbox"/>	<input type="checkbox"/>	
VAQAS	<input type="checkbox"/>	<input type="checkbox"/>	
VAQAS Cymru	<input type="checkbox"/>	<input type="checkbox"/>	
VisitScotland	<input type="checkbox"/>	<input type="checkbox"/>	
Other	<input type="checkbox"/>	<input type="checkbox"/>	

G If you selected 'other', please specify here: (no more than 50 words)

H Please attach a copy of your externally validated certification and list on the application evidence table at the end of this form.

I If your archive service does not hold externally validated certification, please describe your approach to ensuring all stakeholders are catered for here. (no more than 500 words)

3.2 Access Plans and Planning

Requirement 3.2.1 Understanding your community

J Please describe how you identify the needs and interests of the stakeholder groups which make up the community you serve. (no more than 300 words)

Requirement 3.2.2 Analysing stakeholder needs and interests

K Please describe the processes you use to analyse and evaluate your current operation in the light of the information gathered about stakeholder needs and interests. (no more than 300 words)

L Please describe how your knowledge of your stakeholder groups has influenced your priorities for access planning.

M Please provide one or more examples of your evaluation and analysis activity. Please attach your example(s) and list on the application evidence table at the end of this form.

N Please describe how you specifically address the needs of users with disabilities and particular access requirements in the management of your service. (no more than 300 words)

O Please describe how you specifically research and plan learning and/or outreach experiences that are appropriate to the scale and mission of your archive service. (no more than 300 words)

Requirement 3.2.3 Documented plans to improve access

P Please describe your plans for improving access, in response to the needs and interests of your community. (no more than 300 words)

Alternatively, please upload planning documentation on access improvements, if you have it.

Q Please provide one or more examples of audience development activity which demonstrates how the archive service is exploring new or innovative approaches to access, in line with your organisation’s mission statement. (please attach and list on the evidence table at the end of this form)

3.3 Access Information, Procedures and Activities

Requirement 3.3.1 Practical information on how to access collections and archive services

R Do you provide on-site access to collections and services?

Yes Continue with question S

No Continue with question V

S Please describe how you provide access to collections and services on-site including pattern of opening hours, and any out-of-hours and appointment-only arrangements. (no more than 300 words).

T Public facilities

Please confirm what public facilities are available for on site visitors (tick all that apply):

<input type="checkbox"/>	Toilets	<input type="checkbox"/>	Catering / refreshments
<input type="checkbox"/>	Car parking	<input type="checkbox"/>	Web access
<input type="checkbox"/>	Meeting rooms	<input type="checkbox"/>	Good access to public transport
<input type="checkbox"/>	Facilities to allow inclusive access for people with disabilities	<input type="checkbox"/>	Other

U If you selected ‘other’ or wish to clarify, please specify here. (no more than 100 words)

V Please describe how you provide access to collections and services off-site. (no more than 300 words)

W Please explain how your on-site and off-site access arrangements are designed to meet your users' needs, with due regard to practical operational considerations. (no more than 300 words)

X Please describe how practical information on how to access collections and archive services, both on-site and off-site, is communicated to stakeholders.

Requirement 3.3.2 Procedures for user access

Y Please indicate the access procedures in place and describe how these are communicated to users:

	Access Procedure	Communication method
<input type="checkbox"/>	Reader registration	
<input type="checkbox"/>	Seat reservations and booking systems	
<input type="checkbox"/>	New user induction	
<input type="checkbox"/>	Use of finding aids	
<input type="checkbox"/>	Ordering and returning documents	
<input type="checkbox"/>	Making an off-site enquiry	
<input type="checkbox"/>	Special access to 'closed' or 'unfit' documents	
<input type="checkbox"/>	Document handling	
<input type="checkbox"/>	Obtaining copies (on and off-site)	
<input type="checkbox"/>	Accessing born-digital records	
<input type="checkbox"/>	Making a comment or complaint	
<input type="checkbox"/>	Accessing records or indexes on partner websites	
<input type="checkbox"/>	Research service (paid or otherwise/ internal and external)	

<input type="checkbox"/>	Procedure for taking photographs of documents	
<input type="checkbox"/>	Other	

Z If you selected 'other' or need to clarify, please specify here. (no more than 100 words)

AA Please describe your processes for reviewing access information and procedures, with reference to requirements 3.2.2 and 3.2.3. (no more than 200 words)

Requirement 3.3.3 A variety of means of access is available

BB With due regard to the definition of access, please describe the various ways that you provide for your community to access the collections and archive services. This may be independently or in partnership with others, on-site or off-site and in person or remotely. (no more than 400 words)

Application evidence table

Please list below the evidence that you wish to submit for each question on the application form.

Policy documents

A policy document cannot be robust if it is out of date or written in isolation without approval. To test the robustness of all policy documents please list all policy documents submitted, along with their review dates and means of approval. Where applicable, evidence of approval should be attached.

We recognise that some organisations may delegate powers to approve policy to staff. In these cases we will expect evidence of this delegation in the form of a job description or a signed minute of a meeting.

If the documents are published online please give the URL and relevant document version number/publication date.

Application form Question number	Evidence Document title (s)	URL	Last reviewed	Next reviewed	Means of approval (Meeting/delegated powers/other)
3.AA	<i>Access policy</i>		2010	2014	<i>Delegated powers to archive service manager</i>
<i>ditto</i>	<i>Digital policy</i>		2011	2013	<i>Portfolio holder approval</i>
3.N	<i>Evaluation and analysis activity</i>		2012	Not applicable	Not applicable

Application evidence table

If policy approval is via delegated powers please describe these powers below and provide evidence, which should be listed on the form above: