Archive Service Accreditation

Guidance

November 2014

ARCHIVE SERVICE ACCREDITATION GUIDANCE

Contents:

Introduction to this guidance

This guidance aims to help archive services to understand the purpose of the scheme, how to make an application and how each requirement of the standard applies to their service. It is divided into two sections:

1. Introducing the scheme
2. Guidance on the detailed requirements of the standard

1. INTRODUCING THE SCHEME

The development of the scheme

Archive Service Accreditation has been developed through a process of consultation and co-creation with the archive sector across the UK. In 2012 a combination of workshops and an online co-creation process discussed in detail the potential format and structure of an accreditation scheme for UK archive services. Over 1000 contributions were made by over 500 individuals. Between September and December 2012 20 archive services piloted the standard and the application process. Pilots were from across the spectrum of archive services in the UK and were a range of service sizes and collection formats. Feedback from pilots, assessors and the archive sector was then used to create the scheme and standard in March 2013.

Who is eligible for the scheme?

There is a clear set of eligibility criteria that archive services must meet to be eligible for participation in the Archive Service Accreditation scheme. These have been drawn up to help the assessing bodies prioritise applications in this first round. The detailed criteria are in the document Eligibility Criteria.

There are 6 criteria, of which **all 6 should be met** to ensure eligibility for participation in the scheme. If only 4 criteria are clearly met then you should discuss your possible eligibility with your assessing body. These criteria are based upon:

1. Definition of an Archive Service

2. Size of the archive collection

3. Provision of access

4. Digital records

5. Staffing

6. Storage

Accredited archive service status is granted by the UK Archive Service Accreditation Panel, based upon an assessment of the achievement of the Archive Service Accreditation Standard by the responsible assessing body.

How the scheme works

Archive services are invited to apply for accredited archive service status by the relevant home nation assessor body. Even if you are not invited to apply immediately you can begin the process of assessing how far the service needs to progress to become accredited.

Getting started

You should begin by checking your eligibility for the scheme as outlined above. The next step is to assess the scale of your service on the document called the Scalability Table. This will allow you to use the scaled guidance effectively.

Archive services which piloted the scheme recommended bring together a team to assess your service against the requirements. This team might include collections care and conservation staff, access staff, representatives from other departments or even outside experts. It is unlikely that you will meet all the requirements immediately and you should produce a development plan which will enable you to meet the requirements of the standard. Delivering this plan may take a number of months or longer, but this preparation is vital to enable you to make a successful application and to get the most out of working towards accreditation.

Getting help

The main point of advice and support for applicants is at The National Archives website at http://www.nationalarchives.gov.uk/archives-sector/archive-service-accreditation.htm. Here applicants will find up to date information and documentation. For particular advice about any aspect of the scheme you should contact your assessing body:

Training for the scheme will be provided by the Archives and Records Association, Scottish Council on Archives and the Welsh Government.

How your application will be assessed

Assessment is by either The National Archives, the Welsh Government through its CyMAL (Museums, Archives and Libraries Wales) division, the Public Record Office of Northern Ireland or the National Records of Scotland/Scottish Council on Archives. A percentage of applications are validated by a mixed review team consisting of these bodies and in some cases peer reviewers.

Assessment and validation teams will be examining how far each service meets the requirements of the standard based on the full range of evidence submitted.
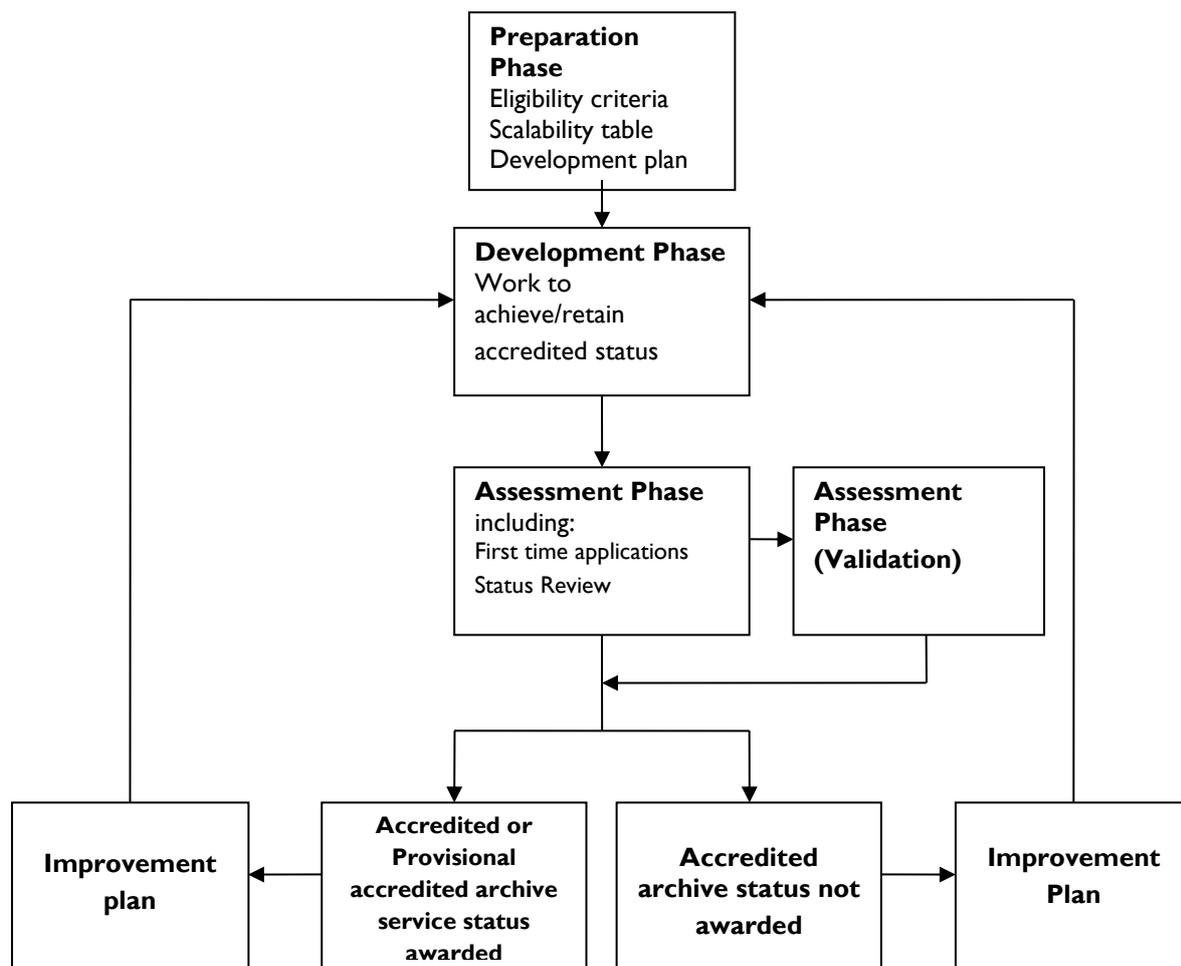
Award of accredited archive service status

Decisions on the award of accredited archive service status are made by the Accreditation Panel on a regular basis. Applicants receive a copy of the assessment report sent to the panel, which suggests future development priorities for the service. These priorities, together with suggestions from your application team, should inform your service improvement plan over the next few years.

The panel may decide to award provisional accredited archive service status to those services which are close to meeting all the requirements of the standard. This is awarded on the understanding that this status stands for up to 2 years before a new full application will be required. The panel will specify the deadline for a full application in each case.

After 2-3 years your accredited archive service status will be reviewed through the completion of a short form. After a further 2-3 years a new full application will be required to retain your status.

Scheme flowchart

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                        ┌─────────────────────────┐
                        │ Preparation             │
                        │ Phase                   │
                        │ Eligibility criteria    │
                        │ Scalability table       │
                        │ Development plan        │
                        └────────────┬────────────┘
                                     │
                                     ▼
                        ┌─────────────────────────┐
                        │ Development Phase       │◄───────────────┐
              ┌────────►│ Work to                 │                │
              │         │ achieve/retain          │                │
              │         │ accredited status       │                │
              │         └────────────┬────────────┘                │
              │                      │                             │
              │                      ▼                             │
              │         ┌────────────────────┐   ┌──────────────┐  │
              │         │ Assessment Phase   │   │ Assessment   │  │
              │         │ including:         │──►│ Phase        │  │
              │         │ First time         │   │ (Validation) │  │
              │         │ applications       │   │              │  │
              │         │ Status Review      │◄──┤              │  │
              │         └──────────┬─────────┘   └──────────────┘  │
              │              ┌─────┴─────┐                         │
              │              ▼           ▼                         │
┌──────────┐  │  ┌──────────────┐  ┌──────────────┐  ┌──────────┐  │
│Improvement│◄─┤  │ Accredited or│  │ Accredited   │  │Improvement│─┘
│ plan     │  │  │ Provisional  │  │ archive      │  │ Plan     │
└──────────┘  │  │ accredited   │  │ status not   │  └──────────┘
              └──┤ archive      │  │ awarded      │
                 │ service      │  │              │
                 │ status       │  │              │
                 │ awarded      │  │              │
                 └──────────────┘  └──────────────┘
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Figure 1: Representation of the Archive Service Accreditation application process

2. THE DETAILED REQUIREMENTS OF THE STANDARD

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

- understand the purpose of the requirement and the desired outcomes that come from its achievement

- understand the expectations of the requirement, as it relates to their particular archive type and scale

- identify possible supporting evidence

- find tools and resources that might assist with meeting the requirement

The guidance is organised into:

- General guidance: relevant to all applicants

- Scaled guidance: relevant to specific archive types and scales

- Information and supporting documentation needed

- Where evidence may be found

- Questions to consider when formulating responses

- Tools and resources

INTRODUCTION TO YOUR ARCHIVE SERVICE

This section of your application introduces your archive service to the Archive Service Accreditation assessment and validation teams. Archive services are many different sizes and shapes and this section gathers information which will describe your service fully. The team may not know or visit your service and therefore it is important to provide this information comprehensively.

A. Applicant details

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

B. Service and Collection details

Collection

Archive Service Accreditation requires that you have the buildings, 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 the collection covers in a table that might look something like this:

Format	Description (100 words each)
Paper	Most common format for our holdings (90%).
Parchment	We hold a very small number of parchment documents.
Photographs	Photographs are held within collections

	or in the local studies collection. We do not have special photographic storage.
Audio visual	Film is held by the Regional Film Archive.
Electronic media	We hold 450GB on a secure server, representing 3 large collection and multiple small accessions.
Maps	We hold 340 rolled maps and have 10 plan chests

This need not be detailed but should provide an overview of the holdings.

The Archive Service

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	Provided elsewhere in the	Provided by the corporate

Protection	governing body	governance division
Electronic Records Management	Planned within 5 years	We have a plan underway to create a digital repository within 3 years. Please see our plan, reference 2.

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.

The application also requires that you provide details of the public and other use of your collections. This is to aid assessment of your eligibility for the scheme and to provide useful background information. The information required matches the requirements of CIPFA for local authority archive services.

Other use is defined as use for and with anyone not included in the public use listed above.

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 of 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 of learning events in the last year	Total of 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 and 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. A2A/Archives Hub etc visits 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	

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.

SECTION 1 Organisational Health

1.1 Mission statement

General guidance: relevant to all applicants

General guidance:

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.**'

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 in different layers and in more than one type of document. Archive Service Accreditation requires that these layers are described and that there should be a clear connection between the layers.

All stakeholders should be aware of the mission of the archive service and the mission should direct decision making and activity.

Scaled guidance: relevant to specific archive types and scale

Local authority archive services:

An archive service's mission may be expressed within several layers and different levels of documentation 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

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.

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
Could consist of a short statement with a brief description of the collection, the interest of the creators and of potential researchers in the terms of access.

Information and supporting documentation needed

Mission statement

Where evidence may be found (in addition to above)

Cultural strategy

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

TNA Guidance: Raising the Profile of your Archive Service
http://www.nationalarchives.gov.uk/documents/archives/effective-communications.pdf

London Heritage Change Programme

http://www.londoncouncils.gov.uk/policylobbying/culturetourismand2012/lcip/heritage.htm

1.2 Governance and management structures

General guidance: relevant to all applicants

This requirement asks you to demonstrate 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 and be able to describe how these arrangements work in practice.

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

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 national Archive Service Accreditation 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. West Yorkshire Joint Services, 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

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.

Management arrangement 1

This arrangement might apply when a group of organisations provide a joint service which 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.

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.

Information and supporting documentation needed

Information on application form

Archive service current constitution/service level agreement

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

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?

Tools and resources

TNA Website

http://www.nationalarchives.gov.uk/archives-sector/managing-and-governing.htm

1.3 Forward Planning

General guidance: relevant to all applicants

This requirement seeks to assess how far the archive service has planned for sustainable, long-term achievement of its mission. The forward plan is concerned with execution and delivery. It links the mission of the archive service to the practical management of the service.

Definition of forward plan

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 workplans (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 the 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.

At the point of assessment the forward plan should cover at minimum 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 the strategic framework must be in place. Archive services should plan within a timescale appropriate to their organisation and should only create a forward plan specifically for Archive Service Accreditation if a plan is not already in place in any format.

A useful forward plan will be a living document, subject to ongoing review and assessment. Part of this review is to assess achievements and to learn from failure to deliver. Archive services should reflect on whether planning has been effective in the past, and what factors have caused plans to change or underachieve.

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.

Information and supporting documentation needed

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

Information on application form

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 form a forward plan that is evidence based and has the support of all of the stakeholders and workforce?

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?

Tools and resources

London Heritage Change Programme

http://www.londoncouncils.gov.uk/policylobbying/culturetourismand2012/lcip/heritage.htm

 TNA Website

http://www.nationalarchives.gov.uk/archives-sector/managing-performance.htm

http://www.nationalarchives.gov.uk/archives-sector/forward-planning.htm

http://www.nationalarchives.gov.uk/archives-sector/research-reports.htm

1.4 Resources: buildings and storage

General guidance: relevant to all applicants

This requirement assesses the stability of the occupancy of buildings and storage housing archive services. It also examines the suitability of these buildings for visitors and workforce.

It is essential that premises have capacity for all relevant activities. This section therefore asks you to reflect on on-site visitor facilities, and whether these meet the needs and numbers of visitors.

Where an on-site service is offered, this should include 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 the size of group visits offered routinely and those included in the forward plan/audience development plan.

Adequate space to work is a key underpinning to delivering under Sections 2 and 3 of the Archive Service Accreditation standard. Examples of activities which may be undertaken and require sufficient space and facilities include conservation and preservation, sorting and cataloguing large collections, digitisation, and group work for volunteers.

The quality of buildings as collections storage and the impact of this are dealt with throughout section 2.4 Collections care and conservation.

Measuring storage

Storage capacity for born digital records and digital materials is covered in this section and is measured in gigabytes (GB).

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 space (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.

Specialist storage refers to storage for specific media e.g. digital repository, audio visual storage. If born-digital records fall within your remit but you are not currently storing them, we ask that you have a strategy in place for managing these within the next 5 years.

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.

Information and supporting documentation needed

Information on application form

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?

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

Managing split-site archive services (forthcoming TNA)

Digital preservation guidance from The National Archives
http://www.nationalarchives.gov.uk/information-management/projects-and-work/digital-preservation.htm

The National Archives, *Planning a new record repository*.
http://www.nationalarchives.gov.uk/documents/information-management/memo2.pdf

1.5 Resources: finance

General guidance: relevant to all applicants

This requirement seeks to assess the financial stability and capabilities of the archive service. It is essential that archive services have the financial stability to deliver their stated mission/purpose. 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.

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.

If the archive service has not been in existence for 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, 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.

Archive services are asked to show the % of funding from each funding stream.

Scaled guidance: relevant to specific archive types and scale

Private and third sector archive services type 1 & 2

The archive service should be able to 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 be able to 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 which 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?

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?

Tools and resources

 'Funding the Archives 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

TNA Website – Finding Funding

http://www.nationalarchives.gov.uk/archives-sector/finding-funding.htm

1.6 Resources: workforce

This requirement seeks to assess whether the workforce available to the archive service is appropriate, well managed and provided with sufficient development opportunities.

General guidance: relevant to all applicants

Introduction

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 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.*

The eligibility criteria for Archive Service Accreditation state:

> *Your archive service must be managed by competent staff[1], with access to professional archival expertise appropriate to the type and nature of the organisation and collection.*

This requirement seeks to assess whether the workforce is appropriate to the archive service mission and governance arrangements. In particular, 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.

Workforce chart:

This chart should indicate:

- Entire workforce
- Full time and part time staff
- Project staff
- Temporary staff

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[1] As described in PAS 197 "Competent person - someone who has the necessary and sufficient training, knowledge, experience, expertise, skills, and/or other qualities to complete their allotted task safely and effectively "

- 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 it is responsible for. 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.

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.

Managing and developing the workforce

For the workforce there should also be appropriate management procedures. These should include recruitment procedures, personal development procedures, appraisals, sickness management, performance management etc.

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. For volunteers this should be an agreement setting out roles and expectations, as described by Volunteering England in their guide to paperwork for managing volunteers (http://www.volunteering.org.uk/component/gpb/whatpaperworkdoineed). This should clearly state that the agreement is voluntary, to avoid creating an arrangement which may be seen as an employment contract.

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.

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
- Ongoing professional CPD opportunities such as ARA's Registration Scheme and PACR for conservators

Recognising that general lack of awareness of the work of archive services is a common concern, a requirement has been included in Archive Service Accreditation to undertake induction training for new members of the workforce. Included here are staff members, volunteers, members of the governing body and top management.

Finally this requirement asks how you ensure that staff and contractors have the appropriate qualifications and experience for their role, on appointment and going forwards. This can be evidenced by describing your recruitment and development practices and by describing how you support and ensure continuing professional development.

Volunteers

Alongside the workforce chart you should provide a table which lists 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
- 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.

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 ongoing professional development, including the Archives and Records Association Registration scheme where appropriate.

For professional conservation staff, qualified means holding a recognised qualification in Conservation or equivalent and evidence of ongoing professional development. This should include participation in Professional Accreditation of Conservator-Restorers (PACR) and/or the Archives and Records Association Certificate in Archive Conservation where appropriate.

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.

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

Information on application form

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

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?

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

Investing in Volunteers Standard 2010 http://iiv.investinginvolunteers.org.uk/

Case studies for volunteering http://www.archives.org.uk/campaigns/volunteering-awards.html

Archives and Records Association statement on volunteering

http://www.archives.org.uk/campaigns/volunteering.html

Archives and Records Association *Volunteering in Collection Care* http://www.archives.org.uk/images/documents/VOLUNTEERING_in_COLLECTIONS_CARE_-_GUIDE-1.pdf

Museum of London *Volunteer Training Bank*

http://www.museumoflondon.org.uk/corporate/about-us/regional-programmes/volunteer-training-bank/

Volunteering England *Good Practice Bank*

http://www.volunteering.org.uk/goodpractice

Wales Council for Voluntary Action

http://www.wcva.org.uk/advice-guidance/volunteers

Volunteer Development Scotland

http://www.vds.org.uk/

Volunteer Now (Northern Ireland)

http://www.volunteernow.co.uk/

The National Archives website:

 http://www.nationalarchives.gov.uk/archives-sector/developing-your-workforce.htm

Research Reports http://www.nationalarchives.gov.uk/archives-sector/research-reports.htm

Case Studies: http://www.nationalarchives.gov.uk/archives-sector/case-studies.htm

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.

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 collection 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 follows the guidelines of PAS 197 and 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.

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 which 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

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).
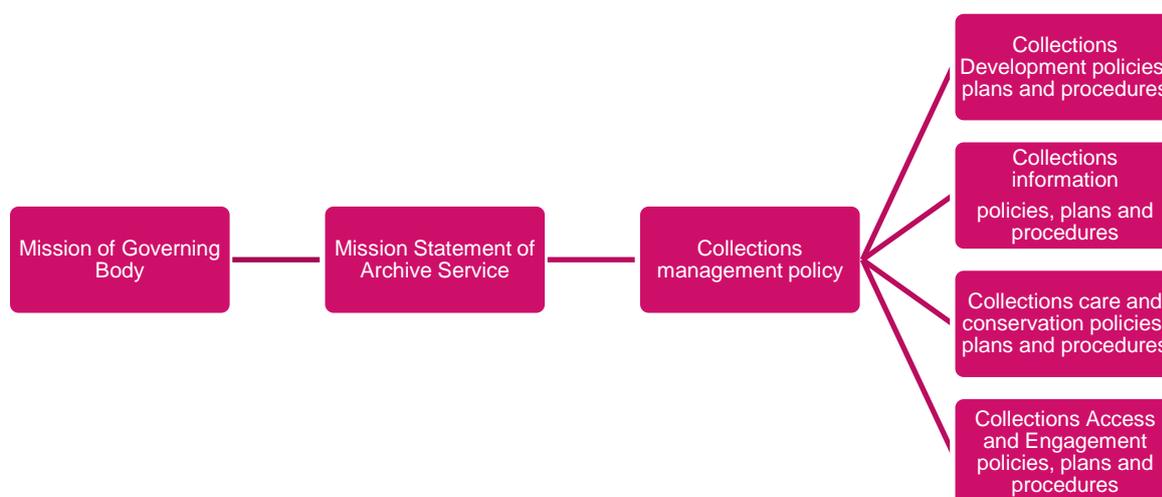
Figure 2 Connections between mission statement and collections management policy and areas of collections management[2]

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 PAS 197: 2009, *Code of practice for cultural collections managemen*t.

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

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

If services do not have an overarching Collections Management Policy, they should describe in requirement 2.1 how they ensure an integrated policy approach to the four core areas of collections management activity – development, information, care and conservation, and access.

2.2 Collections Development

2.2.1 Policies on Collections Development

General guidance: relevant to all applicants

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.

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 collection 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 which 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*.

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

Information and supporting documentation needed

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

Information on application form

Where evidence may be found

Collecting/acquisitions policies

Terms of deposit/transfer

Disposals policy

Appraisal/selection policy

Collection 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 collection 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 Guidance on Developing Collections

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

The National Archives *Archive collection policy statements – Checklist of suggested contents* http://www.nationalarchives.gov.uk/documents/archives/archive-collection-policy.pdf

The National Archives *Collection Development T*ools and Gui*dance*

http://www.nationalarchives.gov.uk/documents/archives/collection-development-tools-and-guidance.pdf

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

http://www.nationalarchives.gov.uk/documents/information-management/loanagreement.pdf

The National Archives, *Deaccessioning and disposal*

(forthcoming)

2.2.2 Collections Development plans

General guidance: relevant to all applicants

The collection 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.

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 collection 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.

Collections development plans should be produced in consultation with other organisations collecting in a similar community and this should be evidenced.

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 disposal of items?

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 which allow us to develop these collections with confidence?

Tools and resources

The National Archives, *Developing Collections*

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

The National Archives, Collection Development Tools and Guidance (draft)

http://origin.nationalarchives.gov.uk/documents/information-management/collection-development-tools-and-guidance.pdf

The National Archives *Surveying historical records: some guidelines*

http://www.nationalarchives.gov.uk/documents/information-management/surveying-historical-records.pdf

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

http://www.nationalarchives.gov.uk/documents/information-management/loanagreement.pdf

2.3 Collections Information

2.3.1 Policies on Collections information

General guidance: relevant to all applicants

Here we look at the policy on collection 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.

Archive services may find it useful to use the collections information policy to describe 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. 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 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 collection information should be considered and, if implemented, the policy should cover how the data will be managed.

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. This covers ownership, intellectual property rights and specific record keeping legislation/guidelines such as Public Records Acts, Manorial Documents Rules and the Parochial Registers and Records Measure 1978. For example, the archive service may have longstanding collections with unclear ownership and managing such legacy issues should be included in the plan.

Additional legacy issues which should be examined under collections information policies are in the cataloguing of collections. For example there may be a backlog of unaccessioned collections or a history of poor cataloguing. Archive Service Accreditation uses the following categories to describe cataloguing state:

- 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

- Full catalogue available online

The policy should be supported by top management and reviewed regularly.

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 which 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 which 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 http://www.collectionstrust.org.uk/collections-skills/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 : http://www.archives.org.uk/images/documents/namingrules.pdf

Websites:

 UK Archives Discovery Network (UKAD)**:** http://www.ukad.org/

 The National Archives

 http://www.nationalarchives.gov.uk/archives-sector/documenting-collections.htm

Archives and Records Association *Guide to Archival Standards*

http://www.archives.org.uk/si-dsg/guide-to-standards.html

Research Reports:

National Archives compendium of research reports

http://www.nationalarchives.gov.uk/archives-sector/research-reports.htm

Case studies:

Collections Development

http://www.nationalarchives.gov.uk/archives-sector/collections-development.htm

Online Access

http://www.nationalarchives.gov.uk/archives-sector/online-access.htm

2.3.2 Collections Information Plan

General guidance: relevant to all applicants

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.

The collections information plan should cover:

- How you plan to improve existing collection 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
- 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, having limited accruals, in a good state 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.

Information and 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

Websites:

http://www.archives.org.uk/si-dsg/guide-to-standards.html

http://www.nationalarchives.gov.uk/archives-sector/documenting-collections.htm

http://www.nationalarchives.gov.uk/archives-sector/research-reports.htm

2.3.3 Clear and documented procedures for core collections information

General guidance: relevant to all applicants

The archive service should document its core collections information procedures and ensure they are understood and applied by the workforce. 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.

Scaled guidance: relevant to specific archive types and scale

None

Information and supporting documentation needed

Completed application form

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 procedure

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

Websites:

 The National Archives *Documenting Collections*

http://www.nationalarchives.gov.uk/archives-sector/documenting-collections.htm

The National Archives *Cataloguing and Archive networks*

http://www.nationalarchives.gov.uk/archives-sector/cataloguing-and-archives-networks.htm

2.4 Collections care and conservation

2.4.1 Policies on collections care and conservation

General guidance: relevant to all applicants

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 explain the conservation philosophy and any analysis behind collections care and conservation decisions. Such decisions will be based on the organisation's mission and be made in response to an assessment of risk and stakeholder needs and interests. They are closely linked to the collections development and collections access policies.

Detailed guidance for the standards of collections care and conservation can be found in PD5454:2012 *Guidance for the storage and exhibition of archival materials*. This document outlines best practice for storage environment, repository site and construction, fire protection and prevention and packaging. Of particular interest are the guidelines for collections care, including environmental control and temperature and humidity.

Detailed guidance on managing environmental conditions for cultural collections, covering temperature, relative humidity, light and pollution can be found in PAS 198:2012 *Specification for managing environmental conditions for cultural collections.* This document assists archive services in managing environmental conditions to prevent rapid deterioration or irreversible damage, taking into account the need to limit energy consumption. It recommends creating an environmental management strategy based upon environmental data and environment risk assessment.

A collections care and conservation policy should reference and take into account the best practice laid down in these documents.

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
- Housekeeping
- Environmental monitoring
- Environmental control
- Packaging
- Disaster recovery and continuity

- Finances
- Statement of responsibility
- Approach to risk assessment and management

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 PD5454.

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 Archives 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, 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 PD5454:2012. This includes the appropriate storage environment (including parameters of temperature and humidity), building site and construction, and fire protection and prevention. A full environmental specification as detailed in PAS198 may be an effective way of achieving this environment.

Local authority Type1, Public Sector Type 1 and Private and third sector Type 1&2

These archive services should aim for at minimum broad compliance with PD 5454:2012. 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

Volunteering in collection care Best Practice Guide –ARA,

http://www.archives.org.uk/latest-news/volunteering-in-collections-care-new-best-practice-guide.html

Digital Preservation Coalition: Digital Preservation Handbook: http://www.dpconline.org/publications/digital-preservation-handbook and case studies: http://www.dpconline.org/advice/case-notes.

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

PD5454:2012 *Guidance for the storage and exhibition of archival materials*

PAS 198:2012 *Specification for managing environmental conditions for cultural collections*

The National Archives *Caring for archives*

http://www.nationalarchives.gov.uk/archives-sector/caring-for-archives.htm

Collections Trust, Benchmarks in Collection Care http://www.collectionstrust.org.uk/benchmarks-in-collections-care

British Library Collection Care, Building a preservation policy,
http://www.bl.uk/aboutus/stratpolprog/collectioncare/publications/booklets/building_a_preservation_policy.pdf

Digital Preservation Coalition, Digital Preservation Business Case Toolkit:
http://wiki.dpconline.org/index.php?title=Digital_Preservation_Business_Case_Toolkit

The Screen Heritage UK Moving Image Collections Assessment Toolkit
http://www.collectionstrust.org.uk/collections-link/screen-heritage-uk-moving-image-collections-handbook

Precedents

Repositories which had lower than PD5454:2012-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 monitor and/or improve storage conditions in these cases.

2.4.2 Collections Care and conservation plan

General guidance: relevant to all applicants

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 collection care in the archive service, and aims to improve collections care over time.

Detailed guidance for the techniques of collections care can be found in PD5454:2012 *Guidance for the storage and exhibition of archival materials*. Of particular interest are the guidelines for environmental control, temperature and humidity, packaging and exhibition. A collections care and conservation plan should reference and take into account the guidelines laid down in this document.

Collections care and conservation planning should also identify future plans for remedial conservation, including an approach to prioritisation.

Issues which 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 and should cover both physical and digitals 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 collection care and conservation, in which case your application should refer to the relevant sections.

Scaled guidance: relevant to specific archive types and scale

None

Information and 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

How will we deliver the collection care priorities described by our collection care and conservation plan?

Is our plan based on a robustly-based assessment of collection 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

Collections Trust, Benchmarks in Collection Care
http://www.collectionstrust.org.uk/benchmarks-in-collections-care

Digital Preservation Coalition, *Digital Preservation Handbook*
http://www.dpconline.org/advice/preservationhandbook

The Screen Heritage UK Moving Image Collections Assessment Toolkit
http://www.collectionstrust.org.uk/collections-link/screen-heritage-uk-moving-image-collections-handbook

Websites:

http://www.nationalarchives.gov.uk/archives-sector/caring-for-archives.htm

http://www.nationalarchives.gov.uk/information-management/projects-and-work/conservation-research-development.htm

2.4.3 Clear documented procedures for collections care

General guidance: relevant to all applicants

The archive service should document its procedures for routine collections care and ensure they are understood and applied by the entire workforce. 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 (if applicable)
- Using and creating surrogates
- Identifying material unfit for production

Guidelines on many of these issues are found in PD 5454 and PAS198.

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.

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.

Applicants for Archive Service Accreditation will be asked to produce 12 months of environmental monitoring records. These 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 they can be read by all assessors.

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.

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 PD5454. 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.

Information and supporting documentation needed

Completed application form

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.

Questions to consider when formulating responses

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 collection care procedures (e.g. 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

The National Archives *Managing a split-site archive service*
http://www.nationalarchives.gov.uk/documents/archives/split-site-services.pdf

British Library Collections Care provides a large number of resources of which a few are mentioned here:

British Library *Basic preservation*
http://www.bl.uk/aboutus/stratpolprog/collectioncare/publications/booklets/basic_preservation.pdf

British Library *Cleaning*
http://www.bl.uk/aboutus/stratpolprog/collectioncare/publications/booklets/cleaning_books_and_documents.pdf

British Library *Pests*
http://www.bl.uk/aboutus/stratpolprog/collectioncare/publications/booklets/managing_pests_in_paper-based_collections.pdf

British Library *Mould*
http://www.bl.uk/aboutus/stratpolprog/collectioncare/publications/booklets/mould_outbreaks_in%20library_and_archive_collections.pdf

British Library Preservation Advisory Centre *Photocopying of library and archive materials* http://www.bl.uk/blpac/pdf/photocopy.pdf

Digital Preservation Coalition, *Digital Preservation Handbook* http://www.dpconline.org/advice/preservationhandbook

Websites:

The National Archives *Caring for archives*

http://www.nationalarchives.gov.uk/archives-sector/caring-for-archives.htm

The National Archives *Conservation research and development*

http://www.nationalarchives.gov.uk/about/conservation-research-development.htm

2.4.4 Disaster recovery plan and procedures

General guidance

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.
- 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.

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 brigade staff where possible.

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.

A disaster recovery and continuity plan should be in place but is not required to be submitted with an application for archive service accreditation for security reasons. However, it will be examined on a validation visit.

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 an external provider. This may be part of a wider institutional plan where relevant but should have clear provision for unique collections.

Information and supporting documentation needed

Completed application form

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 *Conservation research and development*

http://www.nationalarchives.gov.uk/about/conservation-research-development.htm

The National Archives *Planning a new record repository*

http://www.nationalarchives.gov.uk/documents/information-management/memo2.pdf

The National Archives *Protecting archives and manuscripts against disasters*

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

British Library, Collections care planning e-resource:
http://www.bl.uk/aboutus/stratpolprog/collectioncare/publications/e-learning/index.html

SECTION 3: Stakeholders and Their Experiences

Archive Service Accreditation recognises that different archive types 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:

Community: 'Community' - the standard is based on the concept of a community which 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 community will extend beyond the formal boundaries of its responsible body (government, educational institution, private or voluntary organisation). The archive 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 community may attract different priorities, types and levels of service. The 'community' to be served is defined through the stated purpose of the archive service. Community embraces both 'stakeholders' and 'users'.

Stakeholders: persons, corporate bodies or defined groups with an interest in the present and future activities of the *archive service.* Stakeholders include those with a financial interest (including tax payers 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 which includes on-site and off-site access, support for the core business of the governing body, digital access and outreach and learning activities. A sub-set of 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, empowerment. Engagement is a subset of access. Engagement may be with internal and/or external stakeholders.

3.1 Access Policy

General guidance: relevant to all applicants

Your policy (or suite of policies) on access should show how you meet the requirements relating to access for all stakeholders. It should outline all the methods of access to collections and means of engagement with the archives. 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 being communicated to its stakeholders.

As a general guide policies on access should include:

- a definition of the community 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.
- 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.

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.

Access methods

Policies on access should cover methods which are both on-site and off-site, both digital and physical. 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 stakeholders, and make these explicit in the policy.

Access restrictions

Access policy (or suite of policies) should explain how access is balanced against the need to ensure collection care. They should outline how this is managed and how risk of damage is mitigated. The responsibility of the users in delivering this policy 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:

- Local Government (Records) Acts 1962
- Local Government Act 1972
- Public Records Act 1958, as amended 1967
- Public Records (Scotland) Act 2011 and predecessors
- Public Records (Jersey) Law 2002, as amended 2006
- The Local Government (Access to Information) Act 1985
- Public Libraries and Museums Act 1964
- Local Government (Wales) Act 1994 s60
- The Public Records Act (Northern Ireland) 1923
- Companies Act 2006 and predecessors

- Freedom of Information Act 2000
- Freedom of Information (Scotland) Act 2002
- Local Government (Scotland) Act 1994
- Data Protection Act 1998
- Tithe Document Rules 1960 and 1963
- Parochial Records and Registers Measure
- Environmental Information Regulations 2004
- Manorial Document Rules 1959 and 1967
- Isle of Man Public Records Act 1999
- Charities Act 2006 and predecessors

Additional considerations for Access

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

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

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.

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.

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]

Information and supporting documentation needed

Information on application form

Directory entry in discovery.nationalarchives.gov.uk

Access policy or suite of policies/documents

Externally validated visitor assurance accreditation/award (if available)

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[3] www.byig-wlb.org.uk/English/using/Pages/CyngoriGyrffCyhoeddus.aspx

Where evidence may be found

Access policy

User services policy

Community Engagement policy

Outreach 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

Questions to consider when formulating responses

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 access the collections?

Are any restrictions to access clear and publicised?

Is the balance between collection care and access planned and explained ?

Does the service provide a range of means of access to its archives that are proportionate to its mission and purpose?

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 community
- 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 access
- A commitment to promoting a culture of customer care

Tools and resources

PSQG Standard for Access to Archives
http://www.archives.org.uk/images/documents/access_standard_2008.pdf

Revisiting Collections http://www.collectionstrust.org.uk/collections-skills/revisiting-collections Understanding the Equality Act (2010) (forthcoming)

Websites:

Developing your audience (The National Archives)

http://www.nationalarchives.gov.uk/archives-sector/developing-your-audience.htm

Community engagement (The National Archives)

http://www.nationalarchives.gov.uk/archives-sector/community-engagement.htm

Learning (The National Archives)

http://www.nationalarchives.gov.uk/archives-sector/education.htm

http://www.nationalarchives.gov.uk/archives-sector/informal-learning.htm

Legislation (The National Archives)

http://www.nationalarchives.gov.uk/information-management/legislation-and-regulations.htm

Research Reports

http://www.nationalarchives.gov.uk/archives-sector/research-reports.htm

Case studies:

http://www.nationalarchives.gov.uk/archives-sector/audience-development.htm

http://www.nationalarchives.gov.uk/archives-sector/learning.htm

3.2 Access Plans and Planning

3.2.1 Understanding your community

General guidance: relevant to all applicants

This section requires that you have assessed the needs and interests of your community and have plans in place which enable you to meet the requirements of existing and potential stakeholders and improve services. Consultation should include examinations of access preferences, barriers to participation and levels of awareness of the service. Results of consultation 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 community and stakeholders. For example community and stakeholders may include depositors, funders and local communities as well as direct service users.

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

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 consulting stakeholders, including existing and potential users, internal and external users. Consultation can be undertaken 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. The archive service should be able to show how the results of the consultation are fed back into the forward planning and policy making 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

Information on application form

Where evidence may be found

PSQG Survey of Visitors to British Archives results

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

Questions to consider when formulating responses

What is the community we are constituted to serve?

What do we know about our community and how can we find out more?

How do we find out their needs/barriers to access?

Have we examined off-site and on-site users equally?

Tools and resources

The National Archives *Developing Access and Participation*
http://www.nationalarchives.gov.uk/documents/developing-access-and-participation.pdf

The National Archives *Effective Communication: Raising the Profile of Your Archive Service* http://www.nationalarchives.gov.uk/documents/archives/effective-communications.pdf

3.2.2. Analysing stakeholder needs and interests

General guidance: relevant to all applicants

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.

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 analyse data on stakeholder needs and interests, including existing and potential users, internal and external users. The PSQG visitor surveys are a good starting point for this, but services should investigate other means to regularly analyse stakeholder needs.

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. The service should examine the needs and interests of priority users and may look to a broader community if appropriate.

Information and supporting documentation needed

Information on application form

An example of evaluation and analysis activity

Where evidence may be found

Service Forward plan

PSQG Survey of Visitors to British Archives results

Audience development plans

Digitisation strategy

Heritage Lottery Activity plans

Community Engagement plans

Marketing plans

Focus group reports

User group meeting reports

Questions to consider when formulating responses

How have we responded to stakeholder needs? Where are our priorities?

What barriers do we plan to remove? What stakeholder needs do we seek to meet?

Do we know who our stakeholders are? Do we know when they change? What are our priority stakeholders – internal or external? How do we work with them and assess what we can offer?

Tools and resources

The National Archives D*eveloping Access and Participation*
http://www.nationalarchives.gov.uk/documents/developing-access-and-participation.pdf

The National Archives *Understanding Your Community toolkit resources*
http://www.nationalarchives.gov.uk/archives-sector/understanding-your-community.htm

3.2.3 Documented plans to improve access

General guidance: relevant to all applicants

This requirement follows on from those which 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.

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

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

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 activities. You should describe your target audiences, access 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 access 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 access it. The archive service should use a variety of promotional methods to reach their target audiences and should test these methods.

Information and supporting documentation needed

Information on application form

Where evidence may be found

Service Improvement plan

Publicity/communications plan

Volunteering strategy

Corporate heritage strategy

Access plan

Audience development 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?

Do we need to review opening hours and/or our online offer to meet stakeholder needs?

Tools and resources

The National Archives D*eveloping Access and Participation*
http://www.nationalarchives.gov.uk/documents/developing-access-and-participation.pdf

The National Archives *Understanding Your Community toolkit*
http://www.nationalarchives.gov.uk/archives-sector/understanding-your-community.htm

3.3 Access Information, Procedures and Activities

This section of the standard covers :

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

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

General guidance: relevant to all applicants

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.

Services should have examined how best to provide access to collections and services, while protecting the collections and allowing ease of access. 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.

Practical information on how to access 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
- 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 /

e.g. teaching packs	lecture theatre
• Social media (e.g. Facebook, Flickr, Twitter)	• Meeting rooms
• Information and advice provided on-site by trained archive staff	• Reprographic facilities/services
• Information and advice provided remotely by trained archive staff (i.e. by telephone, email or post)	• Printed publications, including catalogue guides
• Paid research service	• Schools /student visits and projects
• Advance/remote ordering	• Community outreach services – activities and events
• Media articles and features	• Facilitated access to content provided through intermediaries (individuals or groups)
• Digitised analogue collections	• Other
• Born-digital materials	•

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

Externally	**Internally**
• Printed publicity material	• Printed publicity material
• Information on own organisation's website	• Manned information/ welcome point
• Links on related/partner	• Information boards

websites

- Social media
- Directional signage
- Entries in general telephone and service directories (e.g. Yellow Pages)
- Floor plans
- Maps and directions (in printed or digital form)
- Public computer points
- Public transport information
- Signposting
- Site plans
- Information boards

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

None

3.3.2 Procedures for user access processes and standards

This requirement ensures that procedures and standards are in place for access services and are communicated to stakeholders. We also seek to assess whether these procedures and services are effective in providing an archive service.

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

- Reader registration
- Seat reservations and booking systems
- New user induction
- Use of finding aids
- Ordering and returning documents
- Making an off-site enquiry
- Special access to restricted access or 'unfit' documents
- 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.

General guidance: relevant to all applicants

None.

Scaled guidance: relevant to specific archive types and scale

None

Information and supporting documentation needed

Information on application form

Where evidence may be found

Procedural handbook

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

Service website: information for visitors

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 they communicated effectively?

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

None

3.3.3 A variety of means of access to the collections and archive services are available.

General guidance: relevant to all applicants

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

Methods of accessing archives and archive services might include:

- Receiving the results of research undertaken by archive staff
- Using digitised archives
- 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
- Depositing/transferring a collection
- Advocating for the service
- Financial support for the service
- Participating in the co-creation of catalogues and indexes
- Participating in corporate memory activities
- Participating in an ongoing project
- Using the collections for legal or brand support

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 access 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 access 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 access it. The archive service should use a variety of methods to allow users to access 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?

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 D*eveloping Access and Participation* http://www.nationalarchives.gov.uk/documents/developing-access-and-participation.pdf

The National Archives *Understanding Your Community toolkit* http://www.nationalarchives.gov.uk/archives-sector/understanding-your-community.htm