

ASSESSMENT QUESTIONNAIRE LOCAL AUTHORITY ARCHIVE SERVICES (ENGLAND & WALES) 2010

GUIDANCE NOTES FOR COMPLETION

1 Introduction

- 1.1 The National Archives has a duty under section 4.1 of the Public Records Act 1958 to inspect and approve the standards of provision by places of deposit for public records outside the National Archives, and also a more general duty under the Royal Warrant of the Historical Manuscripts Commission to promote and assist the proper preservation and storage of records and to assist those wishing to use them for study or research. The National Archives discharges these duties in relation to archive repositories in part by collecting and assessing information from repositories about their governance, storage facilities, documentation and access and preservation arrangements.
- 1.2 This information is collected partly through the medium of periodic on-site inspections, but in order to increase the currency and comprehensiveness of its data, and to provide a basis of benchmarking information which services can use to develop improvement plans for their services, The National Archives supplements this approach through the use of self-assessment questionnaires to some categories of archive service. This approach was adopted for local authority archive services in England and Wales in 2007 and 2008, and in 2010 we are repeating the exercise to ensure that our information remains up to date. Over the next couple of years we hope to move to a form of accreditation scheme which will incorporate similar data gathering and which will replace self-assessment.
- 1.3 This questionnaire is not designed to investigate provision for records management in the authority, although it does explore the connection of the archive service to such arrangements. A risk assessment tool is available on the TNA website for use on a self-assessment basis (<http://www.nationalarchives.gov.uk/recordsmanagement/code/default.htm>), which is designed to demonstrate the extent of a public body's compliance with the Code of Practice on Records Management issued by the Lord Chancellor under s.46 of the Freedom of Information Act 2000. Authorities who wish to measure the quality of their records management arrangements are advised to use this tool, and The National Archives will be pleased to offer support to them in doing so (contact rmadvisory@nationalarchives.gov.uk for support).

2 General Matters

- 2.1 This document gives guidance on the completion of the questionnaire including, where appropriate, examples of the kind of information to be supplied. As in 2008 there is a single form for England & Wales this year, which includes one question to be answered only by repositories in Wales.
- 2.2 This year the questionnaire again takes the form of an Excel spreadsheet; the questions are very similar to those asked in 2008, allowing for comparison of the results obtained by services in the two years. Answers may be cut and pasted from previous returns where they remain accurate and up to date, but on this occasion the option to refer back to previous returns has been removed so that the return is easier to score and to use as a source of information. It should be completed electronically and submitted by e-mail with any enclosures as additional attachments to asd@nationalarchives.gov.uk. If you cannot open or use the Excel spreadsheet, please contact kevin.mulley@nationalarchives.gsi.gov.uk, so that arrangements can be made for you to complete the questionnaire in another format. For those less familiar with Excel, the following top tips may be useful:

To start a new line within a cell	Alt+Enter
To add a blank row to the spreadsheet	Click on the row number at the left hand end of the row to highlight the row, then click the insert tab and select Rows. There is also a toolbar icon for this function.
To duplicate the row(s) containing a question to enable multiple responses	Click on the row number(s) at the left-hand end of the rows you want to copy, then key Ctrl+C to copy them. Then go through the procedure for adding a blank row above; instead of a blank row the system will paste in the copied rows.
If your answer is longer than Excel will display in a single field	Add a new blank row to the spreadsheet immediately below the line you have been completing and continue your answer in that line in the box below the original answer.

For visual clarity, headings in the spreadsheet are highlighted in blue or grey and example answers are highlighted in pale yellow.

- 2.3 The deadline for receipt of completed questionnaires is Monday 9 August 2009. As in previous years we will accept late submissions for about a month after that, but institutions which expect to make a late return must notify us in advance. Authorities will be advised of their assessment score in early December and will have an opportunity to appeal against the results and if necessary to submit additional evidence thereafter. Final results will be announced after any appeals have been determined and will be published on our website.
- 2.4 In submitting a return the authority authorises the National Archives to publish statistical data based on the return and to quote excerpts from answers in its publications, lectures and reports. It also authorises the National Archives to

share the data with the Museums, Libraries & Archives Council, CyMAL, CIPFA, and (for assessment purposes only) with the members of the Self-Assessment Panel. The National Archives undertakes to consult the supplying authority before releasing any repository-specific information that is not already in the public domain in response to any Freedom of Information requests that it receives, and that it will share the data with the bodies named above on the same condition.

- 2.5 Services which operate from more than one location should make a separate response to Section 5 of the questionnaire for each location where you provide public access or store records. Where the answers to other questions would vary between offices, respondents should consider whether they can clearly express the different answers in a single return, e.g. by giving multiple answers to certain questions on which the situation varies between sites. A single return is preferred. However, if respondents consider a single return cannot satisfactorily explain the varying answers between sites, separate full returns for each site may be submitted.
- 2.6 Wherever possible, the questionnaire should be completed in person by the archivist or other officer responsible for the service (or branch office). The questionnaire relates to archives service provision only, but local studies libraries should be included if integrated with archives provision. As far as possible, provision for records management or other non-archival services (e.g. archaeological or museum services) for which the head of service is responsible should be excluded in completing the response.
- 2.7 Respondents should note that some questions are asked for information only, and are not scored; these questions are indicated in the text below. These questions are included either to test what quality of data is available in order to be able to pose an appropriate scored question in future; or because information is needed about an issue which we would otherwise need to collect separately from the self-assessment returns.
- 2.8 The weighting of the answers to different questions has been agreed by a Self-Assessment Advisory Panel appointed by the National Archives, which is broadly representative of the sector. The basis on which questions will be scored is indicated in the guidance notes below, and respondents may wish to calculate and record their own score where this is the product of mechanistic assessment. Respondents may also record their view of what would be an appropriate score where an answer requires more subjective assessment. This will be helpful to the assessor, and may prompt discussion with the respondent if there is a difference of perception, thus avoiding appeals at the end of the process. For scored questions, a box is provided in the spreadsheet for self-scoring.
- 2.9 Most questions invite comments in amplification of the answer given, or request the provision of evidence for the statement made. Respondents are encouraged to add comments at any point if they wish to qualify or enlarge upon the answer given. Comments are invited primarily for the information of The National Archives, but also provide an opportunity for respondents to

qualify or explain a statement. Any comments made in relation to scored questions will be taken into account in determining the score for a particular question.

- 2.10 Depending on the sense of each question, it should either be answered in relation to the current position at the time of writing or, if it refers to your experience over a period of time, should be answered in relation to the financial year 2009/10. Any variations from this general rule will be made clear in the guidance notes.

3 Guidance on individual questions

Preliminary matters

- 3.1 Question 1. State the name of the service to which the return relates in the field provided. Use the comments field to indicate which site(s) are covered in this return if it does not cover the whole service. Our preference is for you to complete one copy of sections 1-4 of the questionnaire for the whole service and one copy of section 5 (buildings, security and environment) of the questionnaire for each site: cut and paste the rows of the questionnaire for section 5 into a new sheet of the workbook for each site. Exceptionally, services may make a full return for each site (e.g. branch offices operating largely independently). Please state the name, address, telephone number and e-mail of the person making the return.

SECTION 1: GOVERNANCE AND RESOURCES

- 3.2 Question 2. This question is included for information only and is not scored. Name only the principal councils (e.g. county councils, unitary councils) included in a formal joint arrangement or which make a financial contribution to the service. If you undertake significant activities (e.g. collecting records, providing outreach services) in other areas, please explain the position and the reasons for it in the comment section. If your service is a joint arrangement between two or more authorities, please state the basis of the joint arrangement and comment on any impact that the existence of a joint arrangement has had on the development of your service. *An example answer is provided in the spreadsheet.*
- 3.3 Question 3. Explain the reporting line from the chief archivist to the Chief Executive and give the names of relevant postholders at the time of writing. If the archive service is provided indirectly (e.g. through a trust), please use this answer to show the line management hierarchy and how this relates to the local authority's executive structure. Indicate with an asterisk (*) which of these officers routinely has access to the relevant Cabinet member or committee.

This year we would also ask you to note in the comments field any discussions about governance or structures which may be taking place in your authority, and which could affect the delivery of your service in future. For

example, this include consideration of outsourcing or strategic commissioning of your service, or of support services such as IT or property on which you rely; or any plans for a move to Trust status or for the adoption of other kinds of devolved governance. This information is asked for information only. *An example answer is provided in the spreadsheet.*

Scoring methodology: Marks are awarded for the seniority of the head of service within the organisation, by counting how many tiers below the chief executive the head of service is located. In the example quoted, Ann Smith is third tier below the Chief Executive. Scale of marks: 3rd tier or above = 3 marks; 4th tier = 2 marks; 5th tier = 1 mark; 6th tier or below = 0 marks.

3.4 Question 4. This question is included for information only. It is designed to identify the person or group with political responsibility for the archive service. Please use the comments field to note any relevant changes since your last self-assessment return. *An example answer is provided in the spreadsheet.*

3.5 Question 5. Please comment in particular on any constraints which may be felt in the freedom of the archivist in charge (within the general framework of the authority's policies) to manage the service in accordance with their professional judgement.

Scoring methodology: This is a recommendation of the *Standard for Record Repositories*. Scale of marks: Yes = 3 marks; no = 0 marks. If the answer given is qualified by comments, judgement may be used in awarding an intermediate mark.

3.6 Question 6. This question is designed to explore the extent to which your institution meets the requirement of the TNA Standard that "the archivist in charge should be responsible to the governing body for an identifiable budget". If your service is an integrated archives/local studies function, the question should be understood to apply to the person in charge of that function (e.g. Local Studies Librarian or Archives/Local Studies Manager). Please tick the most appropriate answer for your service, and use the comments box to enlarge upon it as necessary. Please state whether the budget also covers other areas of activity, such as records management or museums functions. If the person in charge does not have a budget covering all the service costs, please explain who else holds budgets from which the archives service is funded and how decisions to incur expenditure on the archives service are taken. If you do have a separate budget, please supply a copy of the budget for 2010/11. We request a copy of the budget because it can be useful if issues arise during the course of the year on which our advice is sought, and because it may be helpful to us in understanding answers elsewhere in the questionnaire (e.g. on staff training). *An example answer is provided in the spreadsheet.*

Scoring methodology: Yes, budget covers all areas = 6; Yes, but budget covers only some areas = 4; No but clear influence on budget = 2; No and limited influence on budget = 1. Budgets supplied to be checked and scores adjusted as necessary to achieve consistency between responses.

- 3.7 Question 7A. This question asks about revenue budget provision in real terms, i.e. **after** making allowance for inflation, which should be assumed as 2% for salaries and other costs. In answering this question, please disregard any provision for records management or other non-archival services, but include local studies library provision if it is integrated into the archive service. Comments should include an explanation of any variation in the scope or structure of the budget between 2009/10 and 2010/11, such as a transfer of maintenance budget to or from central provision, or the addition of new responsibilities. It would be helpful if you could also indicate whether you are able to control your income targets and whether, if income exceeds targets, you are able to keep and redeploy the surplus. *An example answer is provided in the spreadsheet.*

Question 7B. This question is asked for information this year and is not scored. It is designed to explore whether the service will benefit from capital expenditure in the current financial year. The question is phrased as it is because some authorities allocate capital funding to service departments while others retain it centrally. Please use the comments field to explain what the funding is for. Include capital allocations from internal and external sources (e.g. HLF capital grants). If grants are likely to be spent over more than one financial year, please indicate this.

Scoring methodology: Only Q7A is scored. Given the challenges facing archive services, growth in provision is really needed to allow services to meet the challenges which they face in 2009/10. Scale of marks: (a)=5; (b)=4; (c)=3; (d)=2; (e)=1; (f)=0. Comments will be taken into account to ensure figures are being compared on a like-for-like basis.

- 3.8 Question 8. Please indicate whether total staffing numbers (permanent and temporary staff including project staff) in the service are rising or falling, by choosing the most appropriate statement. Relate the position on 1 April 2010 to the position on 1 April 2009. Include vacant posts providing that these are not 'frozen'. Use the comments space to qualify your answer or to draw attention to any particular changes in the composition of the workforce.

Scoring methodology: Scale of marks: (a)=4; (b)=3; (c)=2; (d)=1; (e)=0. One additional mark can be awarded if comments demonstrate that the staffing establishment is being adapted to reflect current demands on the service (as in the example shown).

- 3.9 Question 9. Information is sought about IIP and Chartermark/Customer Service Excellence status as an indicator of good staff management practices. Expired accreditations will not be counted. Other accreditations claimed should be comparable in scope and purpose.

Scoring methodology: Three marks will be awarded for either IIP or Chartermark/Customer Service Excellence accreditation. Up to three marks will be awarded for other relevant accreditations.

- 3.10 Question 10. Information is sought about the quality and quantity of staff learning and development. Learning can embrace a much wider range of techniques than simply attending training courses, including learning on-line, work shadowing, mentoring, and in-house seminars. Statement (b) refers explicitly to *external* professional training, however. Please comment on the perceived strengths and weaknesses of training provision.

Scoring methodology: a)-h) score 1 point for each tick; deduct one point for each tick on i) or j), subject to a minimum score of 0.

- 3.11 Question 11. This question seeks information about the scope of the service and the extent of the chief archivist's management responsibility. Where a service is provided on behalf of two or more authorities, answer only in respect of the lead authority and comment on variations in the responsibility to partner authorities. Where a service is an integrated archives and local studies or archives and records management service, the question should be read as relating to the service manager, regardless of their professional qualification. It is intended to show to what extent the key attributes of an archive service are managed together, and also whether operational management is being integrated with that of other services. Please comment on any recent or planned future changes in the responsibilities of the chief archivist or equivalent. Please also use the comments field to record any other responsibilities which are not specified in the list.

Scoring methodology. This question is scored for the first time this year. The basis of the marking scheme is that it would be desirable for all the functions listed to be managed together, whereas other functions (e.g. library or museum services) could equally well be managed in alternative configurations. All functions which are in category A score 1 point; those in category B score a half point; categories C and D score 0. Additional responsibilities not included in the list will not attract marks.

- 3.12 Question 12. This question is asked for information only this year. If your answer to Q11 indicates that the chief archivist or equivalent does not have responsibility for the corporate records management function, please explain what arrangements, if any, are in place for corporate records management and for the transfer of records from that system to the archives. Your answer should cover both arrangements for traditional paper etc. formats and digital formats. This question is asked because The National Archives wishes to monitor the perceived increasing disconnection between local government archive services and the information management agenda.
- 3.13 Question 13. This question is asked for information only. It is asked because The National Archives is anxious to ascertain the extent to which local authorities are viewing archive services as contributing to the delivery of corporate priorities. It would be relevant to mention here any reference (explicit or implicit) to the archives service contributing to the delivery of a particular local plan or initiative, as well as any performance monitoring or reporting designed to document that contribution. *We have changed the phrasing of this question completely this year to reflect the increasing diversity*

of governance frameworks and policy priorities within which local government operates. We would welcome suggestions from respondents on ways in which the question could be made more precise in future.

- 3.14 Question 14. This question is designed to explore how your service contributes to the business planning process for your authority. It is desirable that there should be a distinct annual plan that reflects all the planned development activity for the service, which can be used as a management tool through the year. It is also desirable that this plan should be published and that it should be part of a suite of planning documents for the whole authority. Many services now have such a plan, however, as an internal working tool, and either publish or contribute to a more summary plan that reflects corporate performance objectives. Please use the comments field to explain the planning process in your authority and your access to it. This year it would be particularly helpful to have comments on how the business planning process is changing in your authority.

Scoring methodology: (a) scores 3; (b) scores 2; (c) scores 0. One additional mark can be awarded for (d) or (e). If (f) is ticked, deduct one mark (subject to a minimum score of zero).

- 3.15 Question 15A. **If there is a plan for your service, published or unpublished, please supply a copy.** If you contribute to a published plan and have a less formal but more detailed internal document, please send us both. If your plan is not a published document, please indicate whether you wish it to be regarded as a confidential document. Web links to published documents may be provided instead of a copy. This question seeks to provide a basis on which the comprehensiveness and balance of services provided can be assessed. Documents supplied will be assessed to judge the extent to which the ten areas of activity set out in this question are covered in the plan. Services without an existing business plan can set out in this template the key activities they plan to undertake, and this will be used as the basis of a similar assessment; services who only supply a plan for a larger business unit that gives only a partial reflection of their service may also use the template to give more details of the planned work.

Scoring methodology: Up to one mark will be awarded for each category (a)-(j) for which relevant and appropriate actions are quoted. Half and quarter marks may be awarded for limited programmes. Additional marks (up to the maximum of 10) may be awarded for “other activities” that are recorded in the template, or for actions in business plans that fall outside the scope of the ten primary assessment categories.

Question 15B. This new question asks whether you have used the results of self-assessment in 2007 and 2008 to inform the development of your business plan or as the basis of an improvement plan. Please use the comments field to indicate how you have used self-assessment. *An example answer is given in the spreadsheet.*

Scoring methodology: (a)=4; (b)=3; (c)=0.

- 3.16 Question 16. This question seeks information about delivery against your business plan for 2009/10. Please supply a copy of your 2009/10 business plan annotated with end-of-year performance if you have one. Services which do not have to generate an annotated version of their business plan for internal purposes may find it quicker and easier to enter the information in the spreadsheet; adding extra lines as necessary. Please comment as appropriate to explain variations between the plan and what was achieved. *An example entry is given in the spreadsheet.*

Scoring methodology: This question is designed to show that not only are plans made but that they are followed through as far as circumstances permit. Responses will be scored on the basis of successful completion. All targets met within year=10; minor slippage = 8; most targets met = 6; some targets met = 4; limited progress with targets = 2; complete lack of achievement = 0. Account will be taken of extenuating circumstances recorded in the comments section and marks will be adjusted accordingly.

- 3.17 Question 17. This question seeks information about the service's formal policies and the status of these. The focus here is on non-statutory policies, so we do not ask about Health & Safety or equality policies (or Welsh language policy in Wales). Please specify the date of the policy (to assess currency), whether it is a corporate, departmental/directorate or service-specific document; and whether it is a public document. This includes both formal publication in hard copy or on your website, and also making copies available to the public on notice-boards or in the searchroom. If you have new policies or have revised policies since you last completed a self-assessment return, please supply copies. If possible, send these as electronic documents or links to your website. We recommend that policies more than five years old should be reviewed. Comments might for example explain that one document covers both access and education policies; or that a policy is currently under review.

Scoring methodology: Score one point for each service-specific policy less than five years old; half a point for corporate policies less than five years old. Policies more than five years old will not score marks. If a single document covers two or more policy areas, marks will be awarded for each of the policy areas covered. TNA staff scoring returns will use their judgement about whether, in the circumstances of the service, departmental/ directorate policies should score half a mark or a full mark. Up to four additional marks will be available for policies being public documents. These will be awarded depending on the number of policies in place and the proportion of them that are public documents. Marks will not be lost for security, disaster control and fundraising policies not being public.

- 3.18 Question 18. This question is designed to test whether the existence of corporate or service policies and strategies actually shapes the direction of service activity. You are asked to give up to six examples of ways in which you took action in the last twelve months in pursuit of an agreed policy or strategy. *An example answer is given in the spreadsheet.*

Scoring methodology: Score one point for each example given. If an action addresses more than one policy objective (as in the third part of the example answer) up to two marks can be awarded for it.

- 3.19 Question 19. This question seeks information about whether the service has subscribed to the TNA *Standard for Record Repositories* and whether it has been Approved against it. Subscription to the *Standard* is strongly urged by TNA as demonstrating commitment by an authority to progressively raising the standard of its archives service, and as such it demonstrates good governance of the service; approval against the standard is an accolade of a high quality of service. Please note that appointment as a place of deposit for public records does not constitute Approval in this sense. Services which have not subscribed to the standard should use the comments field to explain why they have not chosen, or not been able, to subscribe.

Scoring methodology: Yes=5; No=0 for both parts of the question. 10 marks are available in total. Services which have conditional approval will be marked as approved; services whose approval has been suspended will be scored as unapproved.

SECTION 2: DOCUMENTATION OF COLLECTIONS

- 3.20 Question 20A. This question seeks information about how actively the relationship with depositors is managed. The National Archives believes proactive maintenance of the relationship with major depositors is critical to the health of services, and that this is especially true of the parent authority or authorities of the service. Please indicate the most appropriate statement in each of the three groups. If the service is not a place of deposit for any category of public records, please state this in the comments field. *An example answer is given in the spreadsheet.*

Question 20B. This new question is asked for information only. It asks about planning for the impact of the reduction in the transfer period for public records from 30 years to 20 years. At the time of writing, it is not known when this change will be implemented, but it is anticipated that it will be phased in over 10 years, so that organisations which make regular annual transfers will transfer 2 years worth of records in each year for ten years. Please state what planning has been done for this change, and what problems if any are anticipated with storing the resultant records or handling the volume of transfers. Please also consider whether records beyond public records will be affected, either by the consequent amendments to the period of various FOI exemptions, or because they have traditionally been made available to the public after 30 years by analogy with the Public Records Act.

Scoring methodology: Only Q20A is scored. (a)=4; (b)=2; (c)=0; (d)=4; (e)=2; (f)=0; (g)=4; (h)=2; (i)=0. If the service is not a place of deposit, score the middle group at 0 and reduce the divisor by 4.

- 3.21 Question 21. This question is designed to check whether there is a standard form for contracts with the owners of loaned documents, and if so whether it has been updated to reflect current TNA guidance (issued in 2006).

Scoring methodology: Yes=2; yes but not conformant=1; no=0. Not applicable: no score and reduce divisor by 2.

- 3.22 Question 22. This question is designed to check whether current practice in the recording of accessions is in accordance with best practice. The relevant paragraph of the TNA *Standard for Record Repositories* states that: “at a minimum it should include the date and terms of transfer, the name and address of the transferor, brief details of the records and any reference number necessary to allow the records themselves and any related documentation to be traced”.

Scoring methodology: Yes=2; Yes but not conformant=1; No=0

- 3.23 Question 23. This question seeks to explore the extent to which there are deficiencies in historical practice in the recording of information about terms of deposit. Please comment on the nature of the problems that exist. *An example answer is given in the spreadsheet.*

Scoring methodology: a)=5; b)=4; c)=3; d)=2; e)=1; f) no score and reduce divisor by 5

- 3.24 Question 24. This question seeks to explore the extent to which the service has stayed in touch with the owners of deposited material. Many services have thousands of collections held on loan from private individuals, and although services may have sufficient contact with their major depositors to be aware of, or be informed about, the transfer of ownership of records by inheritance or transfer, information about equivalent changes among other owners may frequently not be known. Please use the comments section to explain your position more fully, and to share any ideas you have adopted for keeping in touch with depositors. *An example answer is given in the spreadsheet.*

Scoring methodology: a)=3; b)=2; c)=1; d) no score and reduce divisor by 3

- 3.25 Question 25. This question seeks to explore the existence of procedures for ensuring that all the material needed for successful management of the collection is captured when it is accessioned. Many repositories now use an accessioning worksheet for this purpose. Please use the comments field to explain how you ensure the requisite data is captured.

Scoring methodology: One point for each option ticked, up to a max of 5.

- 3.26 Question 26. It is good practice to ensure that knowledge about your recent accessions is widely disseminated, even if they are not available before they have been catalogued. This questions seeks information about how you seek to publicise this information locally (publication through the accessions return

to the National Register of Archives is dealt with in the next question). *An example answer is given in the spreadsheet.*

Scoring methodology: Assessing staff to judge extent of publication from comments and assign scores accordingly. Publication online and in hard copy by the service itself and the publication of relevant digests by others would be 2; publishing by the institution alone 1; no regular publication 0.

- 3.27 Question 27. Every archive collecting institution in the UK is asked to make a return of accessions to TNA each year, so that the information can be entered into the National Register of Archives and our knowledge of the location of archives can be kept up to date. A small proportion of institutions fails to respond each year, usually because of workload pressures. This question asks for information about your 2009 return, and provides a further opportunity for data to be submitted. A copy of the template originally distributed in December 2009 can be made available on request. TNA is happy to receive returns for previous years retrospectively if returns have not been made in one or more recent years.

Scoring methodology: Yes=5; Return sent with questionnaire=3; No=0

- 3.28 Question 28. This question seeks information about your current cataloguing standards for multi-level catalogues. Use of full ISAD(G) implies that all the data elements in the ISAD standard are available for use, as in EAD, not that they are necessarily used in relation to every record. Repositories using CALM or ADLIB for cataloguing can assume they achieve conformity with the ISAD(G) mandatory elements. Use the comments space to amplify or explain your answer if necessary; for example if different standards apply to collection-level descriptions.

Scoring methodology: (a)=4; (b)=3; (c)=2; (d)=0.

- 3.29 Question 29. This question seeks information about the past history of cataloguing in your repository. Many services have good contemporary cataloguing practices but a large inheritance of inadequate work from previous generations. Please use the comments field to amplify your answer and explain the history of your current position. *An example answer is given in the spreadsheet.*

Scoring methodology: Answers will be assessed by staff in accordance with the following guidance. To score 6, more than 80% must be in category (a) and not more than 5% in category (d); to score 5, more than 80% must be in category (a) and not more than 10% in category (d); to score 4 at least 80% must be in categories (a) and (b) and not more than 10% in category (d); to score 3 at least 70% must be in categories (a) and (b); to score 2 at least 60% must be in categories (a) and (b); to score 1 at least 50% must be in categories (a) and (b). Anything less than 50% in categories (a) and (b) scores 0.

3.30 Question 30. This question is asked for information only. We are asking it because it will enable us, in conjunction with your answer to question 31, to calculate the average size of accessions and look for significant variations in number and size between authorities. It seeks information about the number of new accessions received, and about the extent to which the management of archival accessions is separated from other categories of material, such as publications, copies of documents etc. For the purposes of this question, accessions of photographs should be counted as archival accessions. If you count accessions by calendar year as opposed to financial year, it is acceptable to give the figure for the calendar year 2009.

3.31 Question 31. This question seeks information to determine whether cataloguing backlogs are growing or shrinking. It seeks to compare the volume of records taken in during the last financial year with the volume of records processed: i.e. those catalogued plus those appraised and discarded. If the volume of records processed exceeds the volume received, backlogs shrink, and vice versa. For the purposes of comparability, it is helpful if the figures can be expressed in cubic metres, but if you hold the data in another form (e.g. standard box-units) you can express it in those terms. The data should relate to the same period as your answer to Question 30, but can be either the calendar or the financial year. Please comment on the situation, and if accessions exceed processing, state what measures are being taken to address the situation.

Scoring methodology: If (c) is more than 100% score 3; 80-100% score 2; 50-80% score 1; less than 50% score 0. If data not available score 0.

3.32 Question 32. When a service establishes its collecting remit, it makes an implicit commitment to the proactive collecting of archives that fall within its remit. This question and the next are designed to explore how far, in practice, services are able to deliver on this commitment, and what constraints limit its ability to do so. Q32 asks about which techniques you use for seeking out material.

Scoring methodology: One mark for each statement that is true.

3.33 Question 33. This question is the corollary of Q32 and asks about the constraints on collecting activity. Options (a) to (c) are fairly self-explanatory. Option (d) would, for example, cover the situation which exists in at least one authority where the Director of Legal Services has forbidden the service to acquire records which raise complex data protection issues lest this should lead the authority into future litigation. Please use the comments column to expand on your answer as appropriate: for example, to indicate how far activity is constrained by each factor that applies.

Scoring methodology: From an initial total of four marks, deduct one mark for each constraint that applies.

3.34 Question 34. This question is asked for information only. We believe that most services will now have some estimate of the size of their problem which

can be reported. You are asked to calculate the size of your cataloguing backlog, expressed in cubic metres, and to state your current estimate of the number of person-years of full-time cataloguing work that would be required to eliminate this backlog. Use the comments field to state whether this figure is an informed guess or based on a study such as Logjam. *An example answer is given in the spreadsheet.*

- 3.35 Question 35. This question seeks to establish how you decide which collections to catalogue next. Please use the comments field to qualify or enlarge on your answer.

Scoring methodology: (a)=5; (b)=4; (c)=3; (d)=2; (e)=1; (f)=0.

- 3.36 Question 36. This question relates to personal, corporate and family name indexing. Services which have an electronic catalogue will obviously rely extensively on free-text retrieval; this is taken as read. Please indicate whether each statement is true or false and comment on your answer as appropriate. If a resource exists but is not comprehensive in its coverage, please indicate roughly what proportion of your records it covers. If you are developing a name authority file, please state whether this is based on the ISAAR(CPF) standard and NCA Rules.

Scoring methodology: (a)=1; (b)=2; (c)=1; (d)=0.5; (e)=0. Marks as shown will be awarded for each statement that is true.

- 3.37 Question 37. This question seeks similar information about place name indexing. Services which have an electronic catalogue will obviously rely extensively on free-text retrieval; this is taken as read. Please indicate whether each statement is true or false and comment on your answer as appropriate. If a resource exists but is not comprehensive in its coverage, please indicate roughly what proportion of your records it covers. Please indicate whether each statement is true or false and comment on your answer as appropriate.

Scoring methodology: (a)=1; (b)=2; (c)=1; (d)=0.5; (e)=0. Marks as shown will be awarded for each statement that is true.

- 3.38 Question 38. This question seeks similar information about subject indexing. Services which have an electronic catalogue will obviously rely extensively on free-text retrieval; this is taken as read. Please indicate whether each statement is true or false and comment on your answer as appropriate. If a resource exists but is not comprehensive in its coverage, please indicate roughly what proportion of your records it covers. Please indicate whether each statement is true or false and comment on your answer as appropriate.

Scoring methodology: (a)=1; (b)=2; (c)=1; (d)=0.5; (e)=0. Marks as shown will be awarded for each statement that is true.

- 3.39 Question 39. This question seeks information about whether you have reviewed your catalogues and indexes to address new research interests, e.g.

by applying the CASBAH methodology (www.casbah.ac.uk) or MLA's "revisiting collections" methodology: (<http://www.collectionslink.org.uk/index.cfm?ct=search.home/resourceGroup/5>)

- . Indicate whether you have done a lot, some, or no work in this area, and outline what has been achieved.

Scoring methodology: (a)=2; (b)=1; (c)=0. The explanation of what has been done will be used by TNA staff to ensure reasonable consistency in self-assessment between repositories.

- 3.40 Question 40. If archival information is going to remain visible to future generations, it is critical that the task of making it accessible on the Internet is completed as quickly as possible. Archival descriptions should be deemed to be fully searchable if they are available on your own website or that of a collaborative project in a format where the full text of the description is exposed to a searching tool. Catalogues mounted only as Word or PDF files would not qualify as 'fully searchable' unless this image is combined with a searchable OCR version. This question asks about your progress to date and your strategy for completing the task. Only the data about progress to date will be scored this year; information about your strategy is sought for reference purposes only.

Scoring methodology: (a)=0; (b)=1; (c)=2; (d)=4; (e)=6; (f)=8; (g)=10. *An example answer is given in the spreadsheet.*

- 3.41 Question 41. The National Register of Archives can only be comprehensive if repositories routinely supply it not just with accessions information but also with copies of new and amended catalogues. The existence of online versions of catalogues does not automatically mean that these will be picked up and linked to the NRA, but where catalogues are online, it is necessary only to send us a table containing the collection reference number and the stable URL of the catalogue. Where no online version exists, we are happy to receive either paper or electronic versions of the catalogue, as is easier for the repository concerned. This question seeks information about your current practice in supplying catalogues.

Scoring methodology: (a) or (b)=3; (c)=1; (d)=0

- 3.42 Question 42. This question seeks information about what progress you have made with amending your finding aids in the light of the Freedom of Information Act. Guidance on the impact of the Act is on the TNA website: to <http://www.nationalarchives.gov.uk/information-management/guidance/f.htm>. Typically, statements that records are "closed for 30 years" or "closed until 2066" are likely to require amendment or qualification.

Scoring methodology: (a)=5; (b)=4; (c)=3; (d)=2; (e)=0; (f)=1.

- 3.43 Question 43. This question is asked for information only, and will not be scored. Please check the information provided about your service on

ARCHON (www.nationalarchives.gov.uk/archon/) carefully and note any corrections that need to be made. Staff of the National Archives routinely look out for information about changes of telephone numbers, opening hours, heads of repository etc. in the professional press and on the archives-nra mailbase, but it is almost inevitable that some will not be picked up, and this questionnaire provides an annual opportunity to check the full data-set. You can amend your ARCHON entry online at any time.

SECTION 3: ACCESS AND THE USER EXPERIENCE

- 3.44 Question 44. This question asks about the identification of relevant managers and staff to users. Statement (a) would be satisfied most obviously by having a manager with a title such as Head of Access Services, but it would be sufficient to record in a public area the identity of the duty manager on any given day. Statement (b) requires the information to be prominently displayed, for example on a notice board near the registration desk. Name badges will be the normal way of fulfilling statement (c), but do not have to give full names – many services just use forenames or badges saying ‘staff’. Small services may feel that (a) and (b) are inappropriate in their circumstances and if so should state that (d) is true. Please use the comments field to expand on any of your answers.

Scoring methodology: for statements (a), (b) and (c) if all three are true, score 5; if two are true, score 3; if one is true, score 1. If (d) is true, reduce divisor to 1.

- 3.45 Question 45. This question seeks information about the length of your opening hours in a standard week (i.e. one with no public holidays). If you are open irregular hours (e.g. first Saturday in the month), average the hours over the weeks in the month, assuming there are four weeks in a month. If some elements of the service are open for longer hours than others (e.g. a library-based service might make surrogates available throughout library opening hours and staff its archives section for a shorter period), count only the hours when original archives may be studied. Credit will be given for longer access to other aspects of service in Q47. Please use the comments field to draw attention to any partial limitations on service, such as production of original documents during more limited hours. Please also note any change in hours since 2008 (e.g. hours reduced from 42 to 37 hours p.w. with effect from 1 April 2009).

Example: Your service is open Mon, Tues, Thurs 9.15-5:00; Wed 9.15-7.30; Fri 9.15-4.45; 1st and 3rd Sat 9.15-12.15: that is 7.75 hours on Mon, Tues and Thurs; 10.25 hours on Wed; 7.5 hours on Thursday; and an average of 1.5 hours per week on Sats; total 42.5 hours per week.

Scoring methodology: (a)=2; (b)=4; (c)=6; (d)=8; (e)=10. Information about changes in hours is for information only, but may be analysed for significant patterns.

- 3.46 Question 46. This question seeks information about the extent of your opening hours when original documents can be consulted outside the normal working week (Monday-Friday, 9-5). If you are open irregular hours, average the hours over the weeks in the month, assuming there are four weeks in a month. Please use the comments field to draw attention to any partial limitations on service, such as production of original documents during more limited hours.

Example: Using the same opening hours mentioned in the example quoted in 3.45, the office is open for 2.5 hours on Wednesday and an average of 1.5 hours on Saturday, outside the normal working week: total 4 hours per week.

Scoring methodology: (a)=2; (b)=4; (c)=6; (d)=8; (e)=10.

- 3.47 Question 47A. This question asks about the services you regularly or frequently provide to users on site other than the regular searchroom service. These activities may take place in dedicated spaces in the building or in the searchroom at times when the service is closed to the public. Include here any regular opening hours for access to aspects of the searchroom service apart from the consultation of original documents (such as access to surrogates). Please also include any other activities which take place regularly (e.g. a Saturday club) or frequently (e.g. lectures on 12 Wednesday afternoons between October and March), but exclude annual or infrequent events, such as an annual open day or Friends' AGM. If you occupy a shared use building, count only those events which relate to archives or archives/local studies resources, or involve the staff of your service. *An example answer is given in the spreadsheet.*

Scoring methodology: One mark for each option ticked, up to a maximum of 5.

Question 47B. This question asks about how many of the activities noted in response to Q47A are taking place outside normal office hours (9am-5pm, Monday to Friday). We have phrased the question in this way because services which are open to the public for very long hours may only be able to offer such services when they are also open to the public; while services with very limited facilities may only be able to offer such services when the searchroom can be put to alternative use.

Scoring methodology: (a)=0; (b)=2; (c)=3; (d)=4; (e)=5.

- 3.48 Question 48. This question seeks information about the extent to which users' responsibilities as well as their rights are made clear to them. Use the comments field to indicate how this is done. *An example answer is given in the spreadsheet.*

Scoring methodology: Yes=3; No=0

- 3.49 Question 49. This question is designed to explore the extent to which you depend on a booking system to manage demand for the service or for

particular facilities. It assumes that you will not operate a booking system unless there is sometimes pressure on space or certain facilities. If you operate a booking system purely because the public expect this facility, tick answer (a). Use the comments field to amplify or qualify your answer.

Scoring methodology: (a)=5; (b)=4; (c)=3; (d)=1; (e)=0.

- 3.50 Question 50. This question asks about the publication of pricing information and other details of copying services.

Scoring methodology: (a)=2; (b)=1; (c)=0.

- 3.51 Question 51. This question asks about the copying services which the institution is able to offer, and the extent to which self-service copying is permitted. Please choose the most appropriate statement in each of the three groups. The term photocopying should be understood to include other similar technical processes, including digital scanning, leading to the production of a copy of an original item. Use the comments field to qualify or amplify your answer.

Scoring methodology: (a)=0; (b)=2; (c)=1; (d)=0; (e)=1; (f)=2; (g)=1; (h)=0. The marks for each answer will be added together to give a total mark for this question.

- 3.52 Question 52. This question seeks information about the adoption of best practice in inducting new users of the service. Please use the comments field to enlarge on the nature of the information and assistance provided.

Scoring methodology: Yes=2; No=0

- 3.53 Question 53. Educational services are provided in very different ways in different authorities, and the term “educational service” is deliberately left open to local interpretation: among many possibilities it could be someone who goes to schools to teach, or who hosts school party visits; it could be someone who trains teachers in the use of local history materials or develops hard copy or online educational packs; or it could be someone who provides 1:1 support for children and undergraduate students who come to pursue their own research. The question seeks information about the extent to which staff are used to provide this kind of educational service. Please use the comments field to amplify or qualify your answer. Indicate whether each statement is true or false.

Scoring methodology: (a)=0; (b)=1; (c)=1; (d)=2; (e)=2. If statement (a) is true, the others must be false. (c) and (d) are mutually exclusive. So the maximum possible score is 5 (b+d+e).

- 3.54 Question 54. This question asks about how you promote your service through published materials. Use the comments field to draw attention to any particularly innovative or unusual ways in which the material is presented.

Scoring methodology: Three or more methods=3; 2 methods=2; 1 method=1; 0 methods=0.

- 3.55 Question 55. This question asks about where you promote your service through published materials. Use the comments field to draw attention to any particularly innovative or unusual ways in which the material is used.

Scoring methodology: Three or more methods=3; 2 methods=2; 1 method=1; 0 methods=0.

- 3.56 Question 56A. It is particularly important that introductory material about the service such as promotional literature, and information about complaints procedures, should be readily accessible to users. This question asks whether such materials are in plain English, and whether they are available in translation. The latter requirement may be met through holding stocks of materials in relevant minority languages or by having access to translation on demand facilities. Repositories in Wales are expected to have materials in English and Welsh. The first statement therefore asks about Plain English *and* Cymraeg Clir, and the second refers to minority languages other than English or Welsh. Please use the comments field to enlarge on your answer.

Scoring methodology: One mark for each statement that is true.

Question 56B. ***This question is asked of repositories in Wales only.*** It asks about the extent to which you provide a bilingual service in Welsh and English. Please tick the answers which are appropriate to your service and use the comments field to amplify or qualify your answer as appropriate. *This question has been changed this year, so please make a full response.*

Scoring methodology: (a)=0; (b)=2; (c)=2; (d)=1; (e)=2. Maximum of seven points available (b+c+d+e).

- 3.57 Question 57. This question is designed to identify whether there are formal service standards for key aspects of your public service, and if so, whether these were met in 2009/10. Please use the comments space to expand on your answer. *An example answer is given in the spreadsheet.*

Scoring methodology: One mark for each standard set, up to a maximum of three marks. For each service standard, one mark for it being met in 2009/10, up to a maximum of three marks.

- 3.58 Question 58. This question is designed to explore the trends in onsite public use. *An example answer is given in the spreadsheet.*

Q58A asks for the actual number of users for information only; the information is needed to calculate the answer in Q64. This question is not scored. Please use the comments field to explain which types of user are included in this figure. If onsite users other than searchroom readers are excluded, state whether you have any separate records of attendances (e.g. volunteers, school groups, exhibition visitors, attendances at lectures etc). If your service

operates a public service from more than one site, please answer the question separately for each site.

Q58B asks you to calculate the percentage change in onsite use over 2008/9. Please use the comments field to explain what you believe to be the reason(s) for the trend shown, and indicate any proposed response to the trend. If your figures in either year were significantly affected by temporary closures or adverse circumstances, please note this in the comments and allowance will be made in scoring the question. If your service operates a public service from more than one site, please answer the question separately for each site.

How to calculate the percentage change: Borset Record Office received 12,100 users in 2008/9 and 12,645 in 2009/10. The % change is $12645 \div 12100 \times 100 - 100 = +4.5\%$ (rounded to one decimal place). The Middleton City Archives, by contrast, received 9,406 visitors in 2008/9 but only 8,550 in 2009/10. The percentage change is $8550 \div 9406 \times 100 - 100 = -9.1\%$ (rounded to one decimal place).

Scoring methodology: (a)=5; (b)=4; (c)=3; (d)=2; (e)=1 (f)=0.

- 3.59 Question 59. Schoolchildren are a key audience for archive services, and yet children visiting in parties or taught by staff visiting schools, are frequently excluded from onsite user statistics. This question seeks information about the scale of school group use. If you do not have records of the number of individuals participating in classes, please use the total number of events held and the average size of a class to make an estimate of attendances: please give this information in the comments field. If you service targets teachers rather than children directly, please select option (f). Please use the comments field to comment on any trends evident in school use. Repositories in England should note whether they expect to be involved in the “cultural offer” to schools.

Scoring methodology: (a)=0; (b)=2; (c)=3; (d)=4; (e)=5; (f)=0, and reduce the divisor to 0.

- 3.60 Question 60. This question has been amended this year to address a perceived lack of fairness in the scoring of institutions with large quantities of records in outstores. It asks about the target time to produce documents for readers in the searchroom, and your success in meeting that target. Target times may be formal customer service standards that are set and formally monitored by the authority, or internal targets that represent expectations of normal performance.

Q60A asks about targets for onsite production of records.

Q60B asks about targets for production from outstores.

Q60C asks what proportion of records are in outstores. If you have two or more outstores to which different target times apply, please indicate all the relevant options and explain what percentage of productions come from each outstore in the comments field.

Q60D asks about the percentage of deliveries that meet the target times. If you do not have measured data, please make an informed estimate of the percentage.

Q60E asks about the evidence on which your performance data is based, and should not be answered if you tick answer (f) to part (c).

Scoring methodology: In part (a) of the question, (a) or (b)=2; (c)=4; (d)=6; (e)=8. In part (b) of the question, (a) or (b)=2; (c)=4; (d)=6; (e)=8. The scores for parts (a) and (b) will be multiplied by the percentage figures for holdings onsite and in outstores give in part (c) of the question. In part (d) of the question, (a) =1; (b)=2; (c)=3; (d)=4; (e)=5 and (f)=0. If answer (f) applies, the final part of the question will not be answered. In part (e) of the question, (a)=3; (b)=2; (c)=1; no answer=0.

- 3.61 Question 61. This question seeks information about the target delivery time for photocopies, microprints and digital copies, and the proportion of orders that are fulfilled in this time. Target times may be formal customer service standards that are set and formally monitored by the authority, or internal targets that represent expectations of normal performance.

Q61A asks about your target time for the processing of orders.

Q61B asks about the percentage of orders that meet the target times. If you do not have measured data, please make an informed estimate of the percentage.

Q61C asks about the evidence on which your performance data is based, and should not be answered if you tick answer (f) to part (b). Use the comments field to amplify or qualify your answer.

Scoring methodology: For the first part of the question (a)=0; (b)=2; (c)=3; (d)=4; (e)=5; for the second part of the question (a) =1; (b)=2; (c)=3; (d)=4; (e)=5 and (f)=0. If answer (f) applies, the third part of the question will not be answered. For the third part of the question (a)=3; (b)=2; (c)=1.

- 3.62 Question 62 This question seeks information about the target time for answering enquiries, and the proportion of enquiries that are dealt with in this time. Target times may be formal customer service standards that are set and formally monitored by the authority, or internal targets that represent expectations of normal performance. Use the comments field to amplify or qualify your answer. For example, the statutory maximum time of 20 working days may be applied to enquiries made under the Freedom of Information Act and a different period to other types of enquiry.

Q62A asks about your target time for the answering enquiries.

Q62B asks about the percentage of enquiries that meet the target times. If you do not have measured data, please make an informed estimate of the percentage.

Q62C asks about the evidence on which your performance data is based, and should not be answered if you tick answer (f) to part (b). Use the comments field to amplify or qualify your answer.

Scoring methodology: For the first part of the question (a)=0; (b)=2; (c)=3; (d)=4; (e)=5; for the second part of the question (a) =1; (b)=2; (c)=3; (d)=4; (e)=5 and (f)=0. If answer (f) applies, the third part of the question will not be answered. For the third part of the question (a)=3; (b)=2; (c)=1.

- 3.63 Question 63. Online access to archive resources is rapidly growing in importance, and enables a wider range and greater number of users to gain benefit from the holdings and knowledge of the service. It is therefore important that online usage is measured, but from previous surveys it is clear that no one measure is widely available to archive services. Therefore, we simply ask you to identify the percentage change in use from 2008/9 to 2009/10 in any overall measure of website use that is available to you. If you count use of different parts of your online offer in different ways, please calculate the percentage change in each measure and average the results. Services which do not have access to sufficiently consistent data to answer the question should choose option (g). Please explain in the comments box the circumstances which have led to this position, as some allowance will be made for circumstances such as changes of recording system. *An example answer is given in the spreadsheet.*

Scoring methodology: (a)=10; (b)=8; (c)=6; (d)=4; (e)=2; (f)=0; (g)=0. If answer (g) is selected, the assessor will consider the reason given for this and has discretion to reduce the divisor to 0.

- 3.64 Question 64. This question asks about your use of user satisfaction surveys. TNA considers that whenever possible, local authority archive services should participate in the PSQG National User Survey unless equivalent data is available from an alternative source. For the purposes of this questionnaire, information about overall satisfaction is sought. Only data from surveys since 1 January 2008 can be accepted. For data from the PSQG survey, combine the scores for the top two categories of satisfaction (good and very good) for the overall satisfaction question. If your data comes from another source, please use the comments space to explain how the survey was conducted. Please use the comments field to state the sample size, as data from very small samples carries a lower degree of confidence. If you have not participated in a user survey in the last three years, please use the comments space to explain why not. If your service operates a public service from more than one site, and you have separate data for each site, please answer the question separately for each site. *An example answer is given in the spreadsheet.*

Scoring methodology: In the first part of the question, Yes=2; No=0; in second part of question (a)=5; (b)=4; (c)=3; (d)=2; (e)=1. If sample size is below 100, deduct 1 mark. If separate answers are given for multiple sites, use the proportion of readers using each site from the answer to Q58A as the basis on which to weight the scores.

- 3.65 Questions 65-72. Similar information about your outreach and audience development services is wanted to that sought in 2008. We are asking these questions because we believe that archive services should be seeking to use

their services and facilities to support the social and cultural policy objectives of the authorities they serve, and that this should be regarded as a core part of the public task of an archive service. If activities contribute to more than one agenda, describe them where they are most relevant and cross-refer from other headings. TNA staff will take such linked statements into account when scoring these questions.

Question 65 asks you to outline the ways you have contributed in 2009/10 to the safer and stronger communities agendas. This could be through aspects of your routine work which have a positive impact or through special projects you have conducted on your own or in partnership with others. We want to know not only what you have done, but what impact it has had, and what evidence you have of that impact, so please quote any statistics or qualitative evidence that may be available. Answers will be assessed and scored on the basis of commitment; innovation; effectiveness; scale and impact. Archive services can contribute strongly to this agenda, for example through supporting community identity, promoting volunteering, and supporting good governance, transparency and evidence-based policy-making through good record-keeping. Focusing programmes on deprived wards can be a way of increasing the impact of activities.

Scoring methodology: Answers will be evaluated by TNA staff, and up to 10 marks will be awarded for this question. Marks will be awarded on the basis of commitment; innovation; effectiveness; scale and impact. Answers from around the country will be compared to ensure consistency of scoring, and marks will be relative to the overall standard of performance in this area.

- 3.66 Question 66 asks you to outline the ways you have contributed in 2009/10 to the outcome for children and young people to enjoy and achieve. This could be through aspects of your routine work which have a positive impact or through special projects you have conducted on your own or in partnership with others. We want to know not only what you have done, but what impact it has had, and what evidence you have of that impact, so please quote any statistics or qualitative evidence that may be available. Answers will be assessed and scored on the basis of commitment; innovation; effectiveness; scale and impact. Archive services can contribute to this agenda, for example through work with teachers and schools; after-school and Saturday clubs; work with gifted pupils; support for students in secondary and higher education undertaking projects, research and work experience.

Scoring methodology: Answers will be evaluated by TNA staff, and up to 10 marks will be awarded for this question. Marks will be awarded on the basis of commitment; innovation; effectiveness; scale and impact. Answers from around the country will be compared to ensure consistency of scoring, and marks will be relative to the overall standard of performance in this area.

- 3.67 Question 67 asks you to outline the ways you have contributed in 2009/10 to the agenda to promote adult health and wellbeing. This could be through aspects of your routine work which have a positive impact or through special projects you have conducted on your own or in partnership with others. We

want to know not only what you have done, but what impact it has had, and what evidence you have of that impact, so please quote any statistics or qualitative evidence that may be available. Answers will be assessed and scored on the basis of commitment; innovation; effectiveness; scale and impact. Archive services can contribute to this agenda, for example through lifelong learning programmes, supporting volunteering, encouraging mental activity in the elderly, reminiscence therapy, and support measures for users with disabilities. In 2007 one service even reported a user who gave up smoking because they wanted to research their family history and couldn't smoke in the searchroom!

Scoring methodology: Answers will be evaluated by TNA staff, and up to 10 marks will be awarded for this question. Marks will be awarded on the basis of commitment; innovation; effectiveness; scale and impact. Answers from around the country will be compared to ensure consistency of scoring, and marks will be relative to the overall standard of performance in this area.

- 3.68 Question 68 asks you to outline the ways you have contributed in 2009/10 to the agenda to tackle social exclusion and promote equality. This could be through aspects of your routine work which have a positive impact or through special projects you have conducted on your own or in partnership with others. We want to know not only what you have done, but what impact it has had, and what evidence you have of that impact, so please quote any statistics or qualitative evidence that may be available. Answers will be assessed and scored on the basis of commitment; innovation; effectiveness; scale and impact. Archive services can contribute to this agenda, for example through supporting good governance, transparency and evidence-based policy-making through good record-keeping; and by supporting social justice through engagement with minority and excluded groups. Focusing programmes on deprived wards can be a way of increasing the impact of activities

Scoring methodology: Answers will be evaluated by TNA staff, and up to 10 marks will be awarded for this question. Marks will be awarded on the basis of commitment; innovation; effectiveness; scale and impact. Answers from around the country will be compared to ensure consistency of scoring, and marks will be relative to the overall standard of performance in this area.

- 3.69 Question 69 asks you to outline the ways you have contributed in 2009/10 to the agenda to support the local economy. This could be through aspects of your routine work which have a positive impact or through special projects you have conducted on your own or in partnership with others. We want to know not only what you have done, but what impact it has had, and what evidence you have of that impact, so please quote any statistics or qualitative evidence that may be available. Answers will be assessed and scored on the basis of commitment; innovation; effectiveness; scale and impact. Archive services can contribute to this agenda, for example through the commercial re-use of information held, by enabling business opportunities in the service industries; by providing services to businesses that enable them to generate value from

their archives; and by supporting adult independent learning at all levels from basic literacy and numeracy to higher education.

Scoring methodology: Answers will be evaluated by TNA staff, and up to 10 marks will be awarded for this question. Marks will be awarded on the basis of commitment; innovation; effectiveness; scale and impact. Answers from around the country will be compared to ensure consistency of scoring, and marks will be relative to the overall standard of performance in this area.

- 3.70 Question 70 asks you to outline the ways you have contributed in 2009/10 to the agenda to support environmental stability. This could be through aspects of your routine work which have a positive impact or through special projects you have conducted on your own or in partnership with others. We want to know not only what you have done, but what impact it has had, and what evidence you have of that impact, so please quote any statistics or qualitative evidence that may be available. Answers will be assessed and scored on the basis of commitment; innovation; effectiveness; scale and impact. Archive services can contribute to this agenda, for example through measures to reduce fuel consumption and carbon emissions; and through contributing historical evidence and images to projects addressing climate change and biodiversity.

Scoring methodology: Answers will be evaluated by TNA staff, and up to 10 marks will be awarded for this question. Marks will be awarded on the basis of commitment; innovation; effectiveness; scale and impact. Answers from around the country will be compared to ensure consistency of scoring, and marks will be relative to the overall standard of performance in this area.

- 3.71 Question 71. This question seeks information about the actions you have taken in the last year, designed to improve services to remote users, including both those elsewhere in the country and overseas and those in the more remote parts of your own authority. We want to know not only what you have done, but what impact it has had, and what evidence you have of that impact. Please highlight any lessons you have learned from your experiences in this area, that could be useful to others. Activities which it would be relevant to mention include the development of online access to your resources, programmes of events targeted at more remote parts of the authority's area, and efforts to attract acquisitions from more far-flung parts of the area you serve.

Scoring methodology: Answers will be evaluated by TNA staff, and up to 10 marks will be awarded for this question. For small urban authorities who indicate that geographical remoteness is not a major issue in their context, the divisor for this question will be reduced to 5. Marks will be awarded on the basis of commitment; innovation; effectiveness; scale and impact. Answers from around the country will be compared to ensure consistency of scoring, and marks will be relative to the overall standard of performance in this area.

- 3.72 Question 72. This new question is designed to ask about your service's use of volunteers.

Question 72A asks simply whether you work regularly with volunteers or not. Please use the comments field to explain the sorts of activities which volunteers undertake in your organisation. If you have already made this clear in your answers to questions 65-71 above, you do not need to repeat the information, but simply refer to the relevant answers.

Q72B asks about the framework within which your volunteers operate. Statements (a) to (e) reflect best practice in the management of volunteers and attract positive marks. Statements (f) to (h) reflect limitations on the use of volunteers and attract negative marks. Use the comments field to qualify any of your answers if necessary.

Scoring methodology: In question 72A, Yes=2; No=0. In question 72B, two marks are available for each statement (a)-(c) that is true and one mark for statements (d) and (e); one mark is deducted for (f) or (g) and two marks are deducted for (h) if these statements are true, subject to a minimum score of 0.

- 3.73 Question 73. This question is asked for information only. It aims to identify strong examples of the secondary use of archival resources, to help demonstrate the wider impact that research in archives can have, and also of the evidential value of archival resources, to help demonstrate the evidential significance of archives. Examples of secondary use might include research contributing to television programmes, books or significant journalism; the interpretation or restoration of historic buildings; or the preparation of museum displays – any type of work which brings the research output to a mass audience. Examples of evidential value might include the use of archives in court cases, establishing the basis for civil claims, as evidence of accountability for decisions, establishing precedents etc.).

SECTION 4: PRESERVATION AND CONSERVATION

- 3.74 Question 74. This question asks about various aspects of the adequacy of the shelving in your storage areas. Indicate which statements which are true for your service, and use the comments field to amplify or qualify your statements as necessary. If respondents are using non-metal shelving for the storage of magnetic media, this should not prevent a positive answer to statement (a).

Scoring methodology: Score one point for each answer (a)-(f) that is ticked. Deduct one point for either (g) or (h), subject to a minimum score of 0.

- 3.75 Question 75. This question asks about the extent to which your records have appropriate secondary protection (boxes and protective packaging). Please choose the option which most closely reflects your circumstances and amplify or qualify your response as necessary in the comments field.

Scoring methodology: (a)=5; (b)=4; (c)=3; (d)=2; (e)=1.

3.76 Question 76. This question asks about the cleaning arrangements for your storage areas. Please choose the option which most closely reflects your circumstances and amplify or qualify your response as necessary in the comments field.

Scoring methodology: (a)=4; (b)=3; (c)=2; (d)=1; (e)=0.

3.77 Question 77. This question asks about the adequacy of your arrangements for the control of pests and fungal infections. Please indicate which of the statements are true for your institution. Use the comments field to amplify or qualify your response as necessary.

Scoring methodology: Score two points for each answer ticked.

3.78 Question 78. This question asks about your use of a preservation assessment survey methodology, such as the National Preservation Office tool or a Preservation Assessment Visit. If you have undertaken such a survey in the last two years, please send us a copy of the survey report. If you have not yet received the report, please send this on when it has been received. If you have the report, please comment on how you propose to address the findings of the survey.

Scoring methodology: Use of NPO tool=3; Preservation Assessment Visit=2; use of an alternative methodology to be scored by TNA staff between 1 and 3; No=0. An extra two marks may be awarded for a positive response to the survey as revealed by the comments made.

3.79 Question 79. Poor handling by staff, volunteers and readers is a major contributor to the continuing deterioration of documents in archives. This question looks at the arrangements you have in place for training staff, volunteers and readers in good practice, and also at the training of staff in disaster preparedness. Please indicate which of the statements are true for your service, and use the comments field to amplify or qualify your answer, and to state how often training is provided and what arrangements are in place to ensure all new staff receive such training.

Scoring methodology: Score two points for each tick (a)-(d)

3.80 Question 80. This question seeks information about the availability of equipment to assist preservation measures in the Record Office, and about the role of staff in promoting safe handling. Please comment on the types of equipment available, the role that staff take, and the adequacy of these arrangements.

Scoring methodology: Yes to both=3; yes to one and not the other=2; No=0

3.81 Question 81. This question asks about your access to remedial conservation facilities, which should be available to all services, whether or not provided in-house. It may be more economic for some services to share facilities with another body or to put work out to the private sector as required. However,

there are advantages in maintaining a professional conservation presence within the service, even if some of the person's time is devoted to work taken in from other bodies or private individuals and recharged. Please use the comments field to amplify or qualify your answer as necessary.

Scoring methodology: (a)=5; (b)=4; (c)=3; (d)=2; (e)=1; (f)=0. If more than one option is selected, record the highest-scoring one.

- 3.82 Question 82. This question asks about the skills and facilities available if you have an in-house conservation facility, so that we can get a picture of the level of professional resource that exists. Please list each of the options that your conservation staff are skilled and equipped to undertake, regardless of whether these are actually undertaken on a regular basis. Use the comments field to amplify or qualify your answer as necessary.

Scoring methodology: One point for each category of work ticked up to a maximum of five. If Q81 shows there is no in-house conservator, score 0 and reduce divisor by 5.

- 3.83 Question 83. This question asks whether your service has systems for recording conservation work needed and undertaken. Use the comments field to amplify or qualify your answer if necessary, and if possible to give an indication of the extent to which work recorded as needed is actually undertaken.

Scoring methodology: Both true=6; One true=3; Both false=0

- 3.84 Question 84. This question seeks information about your current programme to create surrogate copies for searchroom and/or online use. Please indicate the scale of operation of each programme and whether it is operated in-house or in partnership. *An example answer is given in the spreadsheet.*

Scoring methodology: TNA staff to award up to five marks on the basis of scale of activity in relation to size of holdings of the institution.

- 3.85 Question 85. This question asks about the extent to which documents were consulted in surrogate form in your institution in the last year. If you do not count the issue of surrogates (eg if they are on open access), please estimate the percentage they account for and use the comments field to state how you have arrived at this figure. Please also use the comments field to list the main types of document which have been microfilmed or otherwise copied and where the originals are not normally served to the public. *Please note that we have increased the percentages in some of the options since 2008, to maintain the question's discrimination between good and best practice.*

Scoring methodology: (a)=5; (b)=4; (c)=3; (d)=2; (e)=1

- 3.86 Question 86. This question asks whether you accept digital materials for permanent preservation. It should be understood as referring to material generated outside the archives service, rather than to digital surrogates

created by the service, although the latter may require similar management arrangements. Digital materials are now so routinely created as part of the everyday record-keeping of organisations and individuals that an institution which does not accept such materials is at risk of becoming increasingly irrelevant. It is the view of the National Archives that every local authority archive service should be planning to receive such materials on a routine basis in the near future, and indeed it is probable that most repositories have already received some such materials. However, it is professionally responsible for an archivist to be unwilling to accept records which he/she does not have appropriate facilities to preserve. For this reason, institutions which do not accept digital records on principle will be marked down on Question 86 but will not be scored on Question 87.

Scoring methodology: (a)=score 0; (b)=score 2; (c)=score 5.

- 3.87 Question 87. This question asks about the arrangements you have in place to manage digital materials, to preserve them for the long term, and to make them accessible to readers. Like Q86, it should be understood as referring to material generated outside the archives service, rather than to digital surrogates created by the service, although the latter may require similar management arrangements. Please state whether each of the statements is true, partly true or false for your service, and use the comments box to explain what arrangements are in place that give rise to your answer.

Scoring methodology: Two marks will be awarded for each statement that is true; one mark for each statement that is partly true, and no marks for statements that are false. Comments will be evaluated by TNA staff to ensure reasonable consistency between institutions in their self-assessment of the situation, and marks may be adjusted accordingly. Institutions which do not collect digital records (see Q86) will be scored at 0 and the divisor reduced to 0.

SECTION 5: BUILDINGS, SECURITY AND ENVIRONMENT

Please make a separate return of this section of the questionnaire for each site on which you provide public access or store archives. The easiest way to do this may be to copy the rows of the spreadsheet relating to section 5 and paste them into a new sheet of the workbook for each building. Please label the name tabs for the worksheets (at the foot of the screen) so we know which building each sheet refers to (right click on the label and select the 'Rename' option). At the start of each section 5, please state the name of the site and what percentage of the records you hold are stored in this building in the fields provided.

Basis on which scores for different buildings will be combined. If you submit multiple copies of this section of the questionnaire, TNA staff will apply the scoring methodology below and multiply scores for Q87-95 and 97-104 by the stated percentage of the records held in the storage areas concerned, and then add the figures for each storage area together to give overall answers for

each question. For Q.96 and 105-108, the average of the answers from each return in which these questions are relevant will be taken.

- 3.88 Question 88. This question seeks information about the basis on which you occupy the premises that are the subject of this return. Please state the remaining period of any non-freehold arrangement in the comments field, and also give any further information which may be relevant to your security of tenure, such as the existence of disputes with your landlord.

Scoring methodology: Freehold=3; Leasehold with more than 25 years to run=2; other terms=1

- 3.89 Question 89. This question is designed to reveal whether the archive service has sole use of the building and whether the building is freestanding or adjacent to other structures. Please use the comments field to amplify your answer as necessary to convey an understanding of the strengths and weaknesses of the situation.

Scoring methodology: (a)=1; (b)=2;(c)=3; (d)=4.

- 3.90 Question 90. This question is designed to assess the suitability of the building's location in relation to the level of hazard arising from its location and neighbours. There are separate questions later on that explore the hazards arising from the building itself and the functions carried on within it. This is where you should reflect, for example, risks such as flooding from rivers close to the site, the potential for damage from high winds and falling trees in storm conditions; risk of fire arising from the storage of inflammable materials on neighbouring premises, or the risk of terrorist attack arising from location near to a potential target. Please use the comments field to record any examples of actual incidents in the last year.

As last year, we have provided a standard assessment of the severity of risk. Obviously, events can vary in their severity, but in assessing risk we are trying to assess the potential impact of a serious event. If you feel that your particular circumstances mean the severity we have assigned is not appropriate (for example, if you have a quenching system that means a fire should not have a catastrophic impact), you can alter the assessment of severity, but use the comments field to explain why you have done so.

The main focus of attention in this question is on the likelihood of the risk happening to your building, on a scale from 0 to 5 where 0=no risk, 1=very unlikely; 2=unlikely; 3=moderately likely; 4=probable; 5=almost certain sooner or later. Please assess your local circumstances carefully in forming your judgement on the likelihood of the risk, and remember to take into account the probability that Britain's weather is changing, so that we will have hotter summers, more violent rainstorms, and higher winds. Finally multiply the figure for the severity by that for likelihood to establish an overall risk level for each factor (e.g if a risk has a severity of 3 and a likelihood of 4, the overall risk level is 12). *An example answer is given in the spreadsheet.*

Scoring methodology: On each category of risk, for overall risk level 0-1, score 2 points; for overall risk levels 2-9 (or 2-10 for fire risk) score 1 point; for risk levels above 9 (or 10 for fire risk) score 0 points. A maximum of 12 marks is therefore available for this question.

- 3.91 Question 91. This question seeks information about the actual level of vandalism or other crime experienced in the last year. Please use the comments field to give details of any incidents of particular concern, such as examples of the theft of records or attempted arson. Services which share a building (especially a large complex such a civic centre) should only include incidents which did not affect them directly if they had the potential to do so (for example, attempted arson in a library building could easily spread to an archives facility above or below it).

Scoring methodology: (a)=5; (b)=4; (c)=3; (d)=2; (e)=1.

- 3.92 Question 92. This question seeks information about the overall robustness of the building. Moving to a spreadsheet format has necessitated the redesign of this question this year, but the data required for parts (a) to (d) has not changed, and the scoring is the same as last year.

For each of the five aspects of the building, you are asked to select a description of the original strength of the design and appropriateness of the construction and a description of the current condition. We are not looking for a surveyor's opinion but for your view as the building occupant: for example, do you trust the building, or do you need to be vigilant for leaks or other problems? In complex buildings which are not of a single design/construction, you will need to arrive at a composite opinion - perhaps on the basis of considering which boxes you would choose for each part of the building and where the midpoint between them lies.

Please use the comments field to amplify your answers with information that conveys a fuller impression of the robustness of your building.

Example: A building has a flat roof and modern plastic guttering. The roof causes occasional minor leaks and needs constant maintenance but the guttering has been replaced within recent years and is in good condition. You need to come up with a composite assessment that reflects your overall view of both aspects of the building. You might consider that a flat roof is essentially not appropriate for an archive building, and feel that the design was below reasonable expectations; in view of the maintenance requirement, you might feel that 'in poor condition' was appropriate. The guttering, on the other hand, meets essential requirements even if it falls short of ideal robustness, being plastic, and is in excellent condition. The roofing would score 1 and the guttering 3. Averaging between them might lead you to choose as your overall assessment "design below reasonable expectations, in fair to good condition", which would score 2.

Scoring methodology: marks will be awarded for each aspect of the building by reading off scores from the boxes in the table below at the intersection of

the selected statements, for each of the five aspects of the building. A total of 20 marks is available.

	Design unfit for purpose	Design below reasonable expectations	Design meets essential requirements	Design fully meets requirements
Dysfunctional due to condition	0	1	1	1
In poor condition; maintenance urgent	1	1	2	2
Fair to good condition	1	2	3	3
In excellent condition	1	2	3	4

- 3.93 Question 93. This question asks about the adequacy of the maintenance your building receives. Again, we are looking for your impressions as the building occupant, not a professional surveyor's view. Use the comments field to explain any issues with maintenance: are problems caused by lack of funding, poor attention by internal maintenance services, or difficulty in accessing appropriate maintenance personnel?

Scoring methodology: (a)=4; (b)=3; (c)=2; (d)=1; (e)=0.

- 3.94 Question 94. This question is designed to assess the degree of protection of the service from fire hazards. Please tick all of the statements which apply and use the comments field to amplify or qualify your response. For example, you may wish to note improvements which you anticipate will be implemented during the current year, or to note a single limited exception to a statement that you have ticked.

Scoring methodology: for each tick on answers (a) to (j) score 1 point; for each tick on (k) to (m) lose one point, subject to a minimum score of 0.

- 3.95 Question 95. This question is designed to assess the degree of protection of the archives from water hazards. Note that the existence of dry-pipe extinguishing systems in storage areas will not make statement (a) false. Also note that statement (d) only applies to *significant* incidents, i.e. those which put records at risk or had the potential to do so. Please indicate which statements are true and use the comments field to amplify or qualify your response. For example, you may wish to note the impact of flooding or to mention improvements which you anticipate will be implemented during the current year, or to note a single limited exception to a statement that you have ticked.

Scoring methodology: for each tick on answers (a) to (c) score 3 points; if (d) is ticked, deduct 5, subject to a minimum score of 0.

- 3.96 Question 96. This question is designed to assess the degree of protection of the archives from general security hazards. Please indicate which statements

are true and use the comments field to amplify or qualify your response. If the building does not contain a searchroom, please note statement (e) as not applicable. If CCTV is present in particular areas but is not recorded, or if CCTV is present in the searchroom but is not monitored, please state this in the comments field. You may also wish to note improvements which you anticipate will be implemented during the current year, or to note a single limited exception to a statement that you have ticked.

Scoring methodology: Ticks on answers (a) to (e) score 2 points. If (e) is not applicable, reduce the divisor by 2. If CCTV is present but not recorded score 1 mark instead of two.

- 3.97 Question 97A. This question seeks information about searchroom security precautions. Please indicate all the measures used, and use the comments field to reflect on the strengths and weaknesses of your security arrangements.

Scoring methodology: Ticks on answers (a) to (c) score 2 points; ticks on answers (d) to (j) score one point, up to a maximum of four marks. If the building does not contain a searchroom, score 0 and reduce divisor by 10.

Question 97B. This question is asked for information only this year, to provide more information about a matter of current concern. Please explain whether any incidents of theft or malicious damage to documents have come to light in the past year, and what measures were taken to identify and prosecute the culprit. The incident itself need not have happened in the year: sometimes thefts come to light years later. Please also include any instances of attempts to corrupt records by amending them or introducing forged material.

- 3.98 Question 98. This question asks about the monitoring equipment used for recording relative humidity in your storage areas. If you use different methods in different areas, please tick the most commonly used method and use the comments field to explain the actual arrangements. You may also wish to use the comments field note improvements which will be implemented during the current year.

Scoring methodology: (a)=4; (b)=2; (c)=1; (d)=0

- 3.99 Question 99. This question is designed to determine the coverage of environmental control systems in your institution. Please indicate the percentage of records covered by each kind of control mechanism. The question also asks whether there have been any outbreaks of mould in the last year, but exclude mould growth on newly accessioned records which was detected and removed at the document reception stage. Use the comments field to amplify or qualify your answers, for example to give details of the scale of any mould outbreak and what measures you took to address it. If you use dehumidifiers, please indicate whether these are of desiccant or evaporative type. *An example answer is given in the spreadsheet.*

Scoring methodology: (a) or (b) scores 3; (c) to (e) score 1; (f) scores 0. Not all the options are mutually exclusive, so the percentage of records in categories (a) and (b) which score 3 marks and the percentage in category (f) which score 0 marks should be deducted from 100%; and the balance scored at 1.

3.100 Questions 100-103. The recommendations of TNA with regard to temperature and humidity, based on the requirements of BS5454:2000, are as follows. For new buildings, or those with new environmental controls, the targets throughout the strongrooms should be a constant temperature (ie $\pm 1^{\circ}\text{C}$) within the range $16^{\circ}\text{C} - 19^{\circ}\text{C}$ for frequently used material, or [where such distinctions are possible] $13^{\circ}\text{C} - 16^{\circ}\text{C}$ for infrequently used material (which, however, should then be allowed to acclimatise before and after use), and constant relative humidity (ie $\pm 5\%$) within the range $45\% - 60\%$. In the case of buildings fitted out prior to the publication of BS 5454:2000, if a stable environment can be maintained with constant temperature and relative humidity within the ranges $13^{\circ}\text{C} - 18^{\circ}\text{C}$ and $55\% - 65\%$, this will continue to be acceptable provided that no adverse effects to the records themselves are observed.

Because of the complexity and context-sensitivity of BS5454 requirements, questions 100-103 are designed to show the level and extent of control of temperature and humidity in your repository, rather than to measure exact conformity to BS5454. If you are able to supply the data requested in part (a) of each question, please do so. If you cannot supply the data, please choose the most appropriate answer in part (b) of the question. If you can answer part (a) for some storage areas, please do so and indicate what proportion of the records are stored in these areas. If you are answering part (b), and different answers apply to different storage areas, please tick all the answers that apply and indicate the percentage of the records covered by each answer.

Question 100. This question is designed to assess the frequency with which the temperature of the storage areas varies from the recommended range of $13^{\circ}\text{C} - 19^{\circ}\text{C}$. The part (a) question asks "on what percentage of days in 2006/7 were temperatures outside the preferred range ($13^{\circ}\text{C} - 19^{\circ}\text{C}$) recorded in the storage areas". If the temperature of an area was outside the range for any part of a day, the day should be recorded as non-compliant. Ideally, your answer should be based on data for the whole year, but it is acceptable to base it on a sample of 50 days or more provided that these include days from all seasons of the year and are randomly or systematically selected; if your data is based on a sample, please give details in the comments field. Please use the table to give an answer for each storage area, and multiply it by the percentage of the total holdings stored in that area before adding the results together to provide an overall figure. Add rows to the spreadsheet for additional storage areas if necessary. Please use the comments field to indicate what proportion of the non-compliant days were above and below the recommended range. The part (b) question asks you to choose the most appropriate of three alternative statements about temperature control.

Example: Middleshire Record Office has one new strongroom with continuous recording equipment, which shows that conditions were outside the preferred range on 2% of days. This strongroom holds 38% of their material. Part (a) of the question is answered in respect of this room. Two other rooms contain, respectively, 40% and 22% of their holdings but are not regularly monitored, so part (b) is answered in respect of these rooms. The larger room is very little affected by external temperature changes and answer (a) is most appropriate for it. The smaller room is on the south side of the building, has no temperature control system, and fluctuates widely, especially in summer; answer (c) is most appropriate for this room.

Scoring methodology: In part (a) of the question <3%=5; <10%=3; <20%=2; <30%=1; >30%=0. In part (b), answer (a)=3 marks; (b)=1; (c)=0. Maximum marks can only be gained by answering part (a) of the question. In the event that data for part (a) is only available for some storage areas, use the percentage of material in those areas to calculate a composite score. In the example shown, the first room, being less than 3% outside the range, scores 5 marks; the second room, with recorded answer (a), scores 3 marks; the third room, with recorded answer (c), scores 0 marks. The total score is thus $(5 \times 38\%) + (3 \times 40\%) + (0 \times 22\%) = 3.1$.

3.101 Question 101. The question is designed to assess the frequency with which the diurnal variation in the temperature of the storage areas varied by more than the preferred maximum of 1°C. To answer the part (a) question, you will need data that is continuously recorded over each 24 hour period or which is sampled at regular intervals across each 24 hours (e.g. hourly). Ideally, your answer should be based on data for the whole year, but it is acceptable to base it on a sample of 50 days or more provided that these include days from all seasons of the year and are randomly or systematically selected; if your data is based on a sample, please give details in the comments field. Please use the table to give an answer for each storage area, and multiply it by the percentage of the total holdings stored in that area to provide an overall figure in column F. Add rows to the spreadsheet for additional storage areas if necessary. *An example answer is provided in the spreadsheet.*

The part (b) question asks you to choose the most appropriate of three alternative statements about temperature control.

Scoring methodology: In part (a) of the question <5%=5; <15%=3; <30%=2; <50%=1; >50%=0. In part (b), answer (a)=3 marks; (b)=2; (c)=1. Maximum marks can only be gained by answering part (a) of the question. In the event that data for part (a) is only available for some storage areas, use the percentage of material in those areas to calculate a composite score, as with Q100.

3.102 Question 102. This question is designed to assess the frequency with which the relative humidity of the storage areas varies from the recommended range of 45%-60%. The part (a) question asks “on what percentage of days was relative humidity outside the preferred range (45%-60%) recorded in the storage areas”. If the relative humidity of an area was outside the range for

any part of a day, the day should be recorded as non-compliant. Ideally, your answer should be based on data for the whole year, but it is acceptable to base it on a sample of 50 days or more provided that these include days from all seasons of the year and are randomly or systematically selected; if your data is based on a sample, please give details in the comments field. Please use the table to give an answer for each storage area, and multiply it by the percentage of the total holdings stored in that area before adding the results together to provide an overall figure. Add rows to the table for additional storage areas if necessary. Please use the comments field to indicate what proportion of the non-compliant days were above and below the recommended range. *The example answer for Q100 shows how the data should be entered.*

The part (b) question asks you to choose the most appropriate of three alternative statements about temperature control.

Scoring methodology: In part (a) of the question <2%=5; <5%=4; <10%=3; <15%=2; <20%=1; >20% or data not available=0. In part (b), answer (a)=3 marks; (b)=2; (c)=1. Maximum marks can only be gained by answering part (a) of the question. In the event that data for part (a) is only available for some storage areas, use the percentage of material in those areas to calculate a composite score, as with Q100.

- 3.103 Question 103. This question is designed to assess the frequency with which the diurnal variation in the relative humidity of the storage areas varied by more than the preferred maximum of 5%. To answer the part (a) question, you will need data that is continuously recorded over each 24 hour period or which is sampled at regular intervals across each 24 hours (e.g. hourly). Ideally, your answer should be based on data for the whole year, but it is acceptable to base it on a sample of 50 days or more provided that these include days from all seasons of the year and are randomly or systematically selected; if your data is based on a sample, please give details in the comments field. Please use the table to give an answer for each storage area, and multiply it by the percentage of the total holdings stored in that area before adding the results together to provide an overall figure. Add rows to the table for additional storage areas if necessary.

The part (b) question asks you to choose the most appropriate of three alternative statements about temperature control.

Scoring methodology: In part (a) of the question <5%=5; <10%=4; <15%=3; <20%=2; <30%=1; >30% or data not available=0. In part (b), answer (a)=3 marks; (b)=2; (c)=1. Maximum marks can only be gained by answering part (a) of the question. In the event that data for part (a) is only available for some storage areas, use the percentage of material in those areas to calculate a composite score, as with Q100.

- 3.104 Question 104. This question asks about the availability and utilisation of specialised storage for formats other than paper and parchment. For each format, please indicate whether specialised storage exists, and if so estimate

the proportion of the material concerned which is kept within it. Use the comments field to qualify or amplify your answer, and to indicate the standards to which the specialised storage conforms or the temperature and/or relative humidity range which you aim to achieve in it. If you rely on a neighbouring service or a regional facility for specialised storage of any of these formats, please explain the relationship. Account will be taken of such arrangements in the scoring of the question. *An example answer is given in spreadsheet.*

Scoring methodology: Score one point for each category of material actively collected for which a specialised environment is available, up to a maximum of 3, providing that more than 50% of the relevant material is in the specialised storage. If some categories are not actively collected, staff should reduce the divisor accordingly; for example, if only photographs are actively collected, the maximum available score should be reduced to 1.

3.105 Question 105. This question asks about the availability of expansion space for the storage of collections. Please choose the option which most closely reflects your circumstances and amplify or qualify your response as necessary in the comments field. Please also use the comments field to indicate any plans that may exist for the provision of additional or alternative accommodation, such as the acquisition of outstores or early discussions about building a new record office.

Scoring methodology: (a)=0; (b)=2; (c)=5; (d)=8; (e)=10

3.106 Question 106. This question is designed to explore the availability and adequacy of the basic searchroom facilities and equipment. Indicate whether you provide the facility and whether it is adequate or not in terms of space, quantity and quality of equipment. Use the comments field to amplify or qualify your answers as necessary. If the facilities are available elsewhere in the building you occupy, and your users have access to them, answer as if they were in your own department. If the building does not contain a searchroom, please state this in the comments field and leave the options blank. *An example answer is given in the spreadsheet.*

Scoring methodology: One mark for facility provided and half a mark for each that is adequate. If the building does not contain a searchroom, score 0 and reduce divisor by 9.

3.107 Question 107. This question asks about the availability of non-searchroom public facilities in your institution. If you have share a joint facility such as a public restaurant with other services in your building, you should include this but indicate that it is shared. State the seating capacity where this is requested. Use the comments field to give views on the strengths and weaknesses of the facilities, including any issues you have with the accessibility of the facilities for disabled users (DDA compliance). If the building is not designed to receive the public, please state this in the comments field and leave the options blank.

Scoring methodology: One point for each tick, up to a maximum of 5. If the building is not intended to receive the public, score 0 and reduce divisor by 5.

- 3.108 Question 108. This question asks about the existence of staff work areas other than the archive storage. Please indicate whether each of the facilities specified in column C is adequate and appropriate. Adequacy implies sufficient size for the number of staff and volunteers to be accommodated and sufficient equipment for it to fulfil its intended purpose. Appropriateness implies the character of the space, for example its quietness, privacy, or segregation from public areas. Please use the comments field to expand on your answer so as to convey an indication of the strengths and weaknesses of your staff accommodation. If the building is not designed for staff use, please indicate this in the comments field and leave the options blank. *An example answer is given in the spreadsheet.*

Scoring methodology: Score one point for each facility that is adequate and appropriate, up to a maximum of 6. If a facility exists but is not adequate or appropriate, use the comments to assess whether a half mark should be awarded. If the building does not require a facility, reduce the divisor by one; if it does not contain staff areas at all, score 0 and reduce the divisor to 0.

- 3.109 Question 109. Outside major cities, most Record Office users will live too far from the service to make their journey to it on foot or by bicycle. It is therefore important that the building is in a location that is accessible to those arriving by public transport and perhaps by car. This question seeks your assessment of the accessibility of the location by each of these means of transport. Please use the comments field to amplify or qualify your answers if necessary. State in the comments on Q109C your view of whether it is relevant to assess accessibility by private car: this may be the only viable means for users to reach the service in rural areas but could be inappropriate in a metropolitan city location where car journeys are actively discouraged.

Scoring methodology: (a)=1; (b)=2; (c)=3; (d)=4 in each of the three areas. If it is not appropriate to assess access by car, score part (c) as 0 and reduce divisor by 4. If the building is not one to which there is public access, score 0 and reduce divisor by 12.