



**Report on UK Applications and Awards
for Archive Service Accreditation
(June 2016- May 2017)**

Introduction

This report offers an overview of how the rollout of Archive Service Accreditation is progressing across the UK since its launch in June 2013, with a particular focus on the rollout period June 2016 to May 2017. It outlines how applicant archive services are achieving against the standard both at module and at requirement level, as a preliminary indicator of the areas of greatest strength across UK archives, and those areas of ongoing development need.

The report provides the following information:

- 1) Number of applications for Archive Service Accreditation and applications for the Review Stage of Archive Service Accreditation across the UK
- 2) Number of archive services who were awarded Archive Service Accreditation across the UK
- 3) Applications by type of archive service
- 4) Validation visits undertaken by assessing bodies
- 5) Achievement at module level
- 6) Achievement at requirement level
- 7) Analysis of requirement and improvement actions

This report is based on the total number of applications reviewed for Archive Service Accreditation by an Archive Service Accreditation Panel. It does not include applications whose review was deferred by a Panel, other than in Sections 1-3 of the report (Number of applications for Archive Service Accreditation across the UK), as these applications do not have a confirmed outcome or assessment.

The appendix holds further statistical information about Archive Service Accreditation for 2013 to May 2016 for reference where this has not been included in the report.

Executive Summary

Since the launch of Archive Service Accreditation in June 2013, there have been seventy-six applications for Archive Service across the UK and the total number of applications is increasing year on year with twenty-eight applications received from across the UK 2016-2017. Assessor bodies continue to make validation visits to all applicant archive services.

The first cohort of Accredited Archive Services submitted their Review Stage applications during 2016 -2017 and all retained their accredited status following the Archive Service Accreditation Panel in March.

Reflecting the planned rollout out of the programme in England and Wales, applications from archive services that are identified as belonging to the group *Local authority type 2* still represent a significant percentage of all applicants (54%).

This year there was an increase in the number of awards of Provisional Accreditation. Of the twenty-eight applicant archive services, 22 % were awarded Accreditation on a provisional basis.

In terms of achieving against the requirements of the standard, *Module 2: Collections* continues to be the weakest area overall and reflects both that some archives are continuing to manage problematic storage and the continuing need to plan for cataloguing of collections. The need to develop capacity for the management of born digital collections is another area of identified weakness and is again reflected in achievement against requirement *1.4 Resources: Spaces* together with the need in some archive services to expand and develop capacity for the storage of analogue and records.

Every archive service receives feedback on their application for Archive Service Accreditation. This includes required and improvement actions.

Common themes for required actions include:

- developing new accommodation, including storage space
- improving environmental conditions in storage areas
- developing capacity to ingest and store born digital records

Common themes for improvement actions include:

- building on developments for the management of born digital records
- improving the transfer of records from the parent organisation
- improving storage conditions
- developing outreach and learning underpinned by research into audience needs
- developing online information for access to collections

1) Number of applications for Archive Service Accreditation and applications for the Review Stage of Archive Service Accreditation

Applications for Archive Service Accreditation

	Total	England	Northern Ireland	Scotland	Wales
Number of Applications (2013 to May 2014)	14	12	0	1	1
Number of Applications (June 2014 to May 2015)	14	10	0	2	2
Number of Applications (June 2015 to May 2016)	20	15	0	2	3
Number of Applications (June 2016 to May 2017)	28	24	0	1*	3
Total Number of Applications (2013 to May 2017)	76	61	0	6	9

*One application was reviewed by a joint assessment team from TNA and the NRS as the archive service is based in Scotland although the Head Office is based in England

Since the launch of Archive Service Accreditation in June 2013, seventy-six archive services have completed an application for Archive Service Accreditation across the UK – sixty-one in England, six in Scotland and nine archive services in Wales.

The total number of applications across the UK for 2016-2017 has again increased, with a significant increase of applications in England.

The figures for the period June 2016 to May 2017 include an application in England which was deferred by an application panel earlier in 2016. Similarly the figures for June 2015 to May 2016 (England) include an application which was previously deferred from June 2014 to May 2015.

Applications for the Review Stage of Archive Service Accreditation

	Total	England	Northern Ireland	Scotland	Wales
Number of Review Stage Applications	0	7	0	0	0

The first cohort of accredited archive services also submitted their Review Stage applications in 2016/2017.

The Review Stage is a ‘check in’ for archive services three years after the initial award of accreditation. Archive services report to their home nation assessor bodies on any changes since the award of Accreditation, for examples changes in resourcing, structure, premises or new or revised policies and plans surrounding collections and access.

2) Applications by type of archive service

Archive Service Accreditation uses formal [scalability](#) to identify the types of archive service applying and to outline the expectations for different types and sizes of archive service. We here share the breakdown of types of archive services according to that scalability.

Application by type of archive service June 2016 to May 2017

<u>June 2016 to May 2017</u>	Total	England	Northern Ireland	Scotland	Wales
Local authority type 1	1	1	0	0	0
Local authority type 2	15	13	0	0	2
Other public sector type 1	0	0	0	0	0
Other public sector type 2	8	7	0	0	1
Private and third sector type 1	1	1	0	0	0
Private and third sector type 2	2	1	0	1	0
Private and third sector type 3	1	1	0	0	0
Total	28	24	0	1*	3

(Figures include deferred application) (*The archive service is located in Scotland although the Head Office of the organisation is based in England)

Applications from archive services that are identified as belonging to the group *Local authority type 2* (which includes all local authority-based Places of Deposit in England and Wales, even if their overall size of collection and audience is small) still represent a significant percentage of all applicants (54%).

Other public sector type 2 is the second largest group in terms of applications and includes group includes a number of national museums and university archives.

Private and third sector remains the smallest group of applicants.

Application by type of archive service 2013 to May 2017

<u>2013 to May 2017</u>	Total	England	Northern Ireland	Scotland	Wales
Local authority type 1	2	1	0	1	0
Local authority type 2	39	33	0	0	6
Other public sector type 1	2	1	0	0	1
Other public sector type 2	17	13	0	3	1
Private and third sector type 1	2	2	0	0	0
Private and third sector type 2	7	6	0	1	0
Private and third sector type 3	5	5	0	0	0
Total	74	61	0	5	8

The spread of applications from the types of archive services across the home nations reflects the planned rollout programme across each of the home nations. For example, for The National Archives, as assessor body in England, local authority archive services which are Places of Deposit are a priority group during the initial rollout, but archive services which were ineligible to participate in previous standard schemes are also encouraged to apply for Archive Service Accreditation. The Welsh Government is inviting local authority archive services to apply for accreditation according to an agreed timetable. In Scotland, the Scottish Council on Archives and National Records of Scotland manage limited assessment capacity for the scheme's early years.

3) Number of validation visits undertaken by home nation assessor bodies

When assessing an application for Archive Service Accreditation, assessor bodies can also make a visit to the applicant archive service. This is an opportunity for the assessor to validate elements of the application, review any documentation not suitable to be submitted as part of the application, and also to view the site.

The home nation assessor bodies are:

- The National Archives (TNA) for England
- Public Record Office of Northern Ireland (PRONI) for Northern Ireland
- National Records of Scotland (NRS) and Scottish Council on Archives (SCA) for Scotland
- The Welsh Government Museums, Archives and Libraries Division Wales (MALD), for Wales

Validation visits for applications for Archive Service Accreditation

June 2016 to May 2017	TNA	PRONI	NRS/SCA	MALD
Yes	100%	N/A	100%	100%
No	0	N/A	0	0

In Scotland and Wales, where the assessor bodies have committed to visit to 100% of applicant services, this has been achieved. In England, where the policy is to visit a minimum of 25% of applicant archive services at each round, The National Archives have achieved 100 % visits by the assessment team, due to the relatively small number of applicants during this period and the need to train the assessment and peer reviewer teams.

Validation visits for Review Stage applications for Archive Service Accreditation

June 2016 to May 2017	TNA	PRONI	NRS/SCA	MALD
Yes	14%	N/A	N/A	N/A
No	0	N/A	N/A	N/A

In England the assessors decided to make only one site visit out of the seven Review Stage applicants. One site visit was made to review locations not seen during the original assessment round.

Number of archive services awarded accredited status

The award of Archive Service Accreditation is decided by the Archive Service Accreditation Panel. There are three potential outcomes:

- Accredited: The archive service has demonstrated that it meets the standard
- Provisionally Accredited: The archive service is close to meeting the requirements of the standard. Provisional Accreditation is awarded for up to two years so one or two significant areas of development can be addressed.
- Not Accredited: The archive service requires development in significant areas to meet the standard.

The Panel can advise deferment of an application if the archive service is undergoing a period of significant change, for example change in governance or change in service offer.

<u>June 2016 to May 2017</u>	Total	England	Northern Ireland	Scotland	Wales
Accredited	21	17	0	1	3
Provisionally Accredited	6	6	0	0	0
Not Accredited	0	0	0	0	0

Twenty one archive services were awarded full accreditation by the Archive Service Accreditation Panel and six archive services were provisionally accredited. There are an increasing number of archive services receiving the award 'provisionally accredited'. From June 2016 to May 2017 22 % of archive services awarded accreditation were provisionally accredited where as from 2013 to May 2017 as a whole, 12 % of archive services awarded accreditation were provisionally accredited. This is likely to be explained by the fact that, particularly in England, archive services that have significantly poor storage either in terms of environmental conditions or lack of expansion space are now applying for Archive Service Accreditation while planning for a move to enhanced accommodation as Places of Deposit are now a priority applicant group until the end of 2017

All archive services that were assessed as part of the Review Stage for Archive Service Accreditation retained their accredited status.

For the total number of accredited archive services 2013 to May 2017 see appendix A.

4) **Achievement at module level of Archive Service Accreditation**

Each application receives an overall assessment at each of the three modules within the Accreditation standard, in addition to a detailed assessment against each requirement or sub-requirement. A 'Not Met' in any module would make Accreditation impossible to award.

June 2016 to May 2017	Met	Partially Met	Not Met
Organisational Health	26	1	0
Collections	20	7	0
Stakeholders and their Experiences	27	0	0

Twenty six of the accredited archive services met the standard overall for Organisational Health. In the case of the archive service that partially met the standard it was felt that the archive service was operating under severe difficulties in terms of resourcing although delivery of the service remained effective.

Twenty of the accredited archive services also met the standard overall for Collections and seven archive services partially met the standard in this area. In these cases this was due to a significant number of requirements assessed as partially met in this area, particularly surrounding storage, environmental monitoring and approach to cataloguing, including extensive cataloguing backlogs.

All twenty seven of the accredited archive services met the standard overall for Stakeholders and their Experiences.

2013 to May 2017	Met	Partially Met	Not Met
Organisational Health	71	2	0
Collections	60	12	1
Stakeholders and their Experiences	72	1	0

5) Achievement at requirement level of Archive Service Accreditation

Each application also receives a specific assessment against each requirement or sub-requirement of the standard. This allows a more in-depth analysis of how an archive service performs against each element of the standard.

a) Requirements for Module: Organisational Health

Organisational Health checks those areas which underpin the long term acquisition, preservation and accessibility of archive collections.

June 2016 to May 2017	Met	Partially Met	Not met
1.1 Mission Statement	26	1	0
1.2 Governance	27	0	0
1.3 Forward Planning	24	3	0
1.4 Resources: Spaces	12	15	0
1.5 Resources: Finance	25	2	0
1.6 Resources: Workforce	24	3	0

Requirement **1.4 Resources: Spaces** continues to be the weakest area and for the first time two archive services were assessed as partially meeting requirement **1.5 Resources: Finance**.

All twenty seven services were assessed as meeting requirement 1.2 fully.

With regard to requirement **1.4 Resources: Spaces** 44 % of applicant archive services met this requirement fully. Where archive services did not satisfy this requirement, this represents a lack of expansion space for storing collections – either analogue or digital – and in some cases a lack of reading room space or collections management space. Twenty four out of twenty seven (89%) applicant archive services were assessed as meeting the requirement **1.3 Forward Planning** fully. Where archive services were assessed as partially meeting this requirement, it was felt that the archive services should introduce greater monitoring of progress against plans and ensure that planning was integrated more closely across the service.

Two out of the twenty seven archive services (7%) were assessed as partially meeting requirement **1.5 Resources: Finance**. In both cases the archive service was unable fully either to demonstrate sustainable levels of funding to enable the delivery long term goals or to support current levels of service delivery.

Twenty four of the twenty seven applicant archive services were assessed as fully meeting requirement **1.6 Resources: Workforce**. In the case of the two archive services that were assessed as partially meeting this requirement, it was felt in one case that staffing capacity

was significantly stretched in relationship to the range of activities undertaken by the services. In the second case it was felt that creating a new archivist position within the staffing structure would considerably improve delivery of the service.

All but one archive service met requirement 1.1 Mission Statement. In this case the mission statement had yet to be made fully public.

2013 to May 2017

	Met	Partially Met	Not met
1.1 Mission Statement	72	1	0
1.2 Governance	71	2	0
1.3 Forward Planning	66	7	0
1.4 Resources: Spaces	48	25	0
1.5 Resources: Finance	71	2	0
1.6 Resources: Workforce	68	5	

It is worth making clear that in terms of services where decisions were deferred, and so not counted in this analysis, a key weakness was perceived to be around requirement **1.5 Resources: Finance**, and a lack of clarity or significant reduction in this area and around requirement **1.2 Governance** where the archive service was undergoing a significant change in governance arrangements.

b) Requirements for Module: Collections

The Collections module examines an archive service's capability to develop, maintain information about and care for its collections.

<u>June 2016 to May 2017</u>	Met	Partially met	Not Met
2.1 Collections Management	27	0	0
2.2.1 Collections Development Policy	27	0	0
2.2.2 Collections Development Plan	14	13	0
2.3.1 Collections Information Policy	25	2	0
2.3.2 Collections Information Plan	10	17	0
2.3.3 Collections Information Procedures	26	1	0
2.4.1 Collections Care Policy	21	6	0
2.4.2 Collections Care Plan	21	6	0
2.4.3 Collections Care Procedures	10	17	0
2.4.4 Disaster Recovery Plan and Procedures	20	7	0

In this module, all twenty seven applicant archive services were assessed as meeting the requirements **2.1 Collections Management** and **2.2.1 Collections Development Policy**, reflecting the widespread adoption of collecting policies across the sector.

52% of applicant services met the requirement **2.2.2 Collections Development Plan**. Where this requirement was partially met issues included lack of transfer of records from the parent organisation, including transfer mechanism for born digital records, limited planning around delivering the Collections Development Policy, and lack of expansion space which constrained collecting.

93% of applicant archive services were assessed as meeting the requirement **2.3.1 Collections Information Policy**. Where archive services were assessed as partially meeting this requirement it was felt that broadening existing policies (cataloguing) to reflect all current means of recording information about collections would demonstrate more accurately the overall approach of the archive service to its stakeholders. 37% of applicant services were assessed as meeting requirement **2.3.2 Collections Information Plan**. Assessment at partially met usually reflects a substantial level of cataloguing backlog, including the need to improve existing cataloguing information. In other cases assessors identified the need for a more systematic cataloguing plan with defined cataloguing priorities to help tackle a cataloguing backlog.

In the area of collections care, applicant services were generally well aware when there were limitations on the quality of preservation they could offer. An assessment of partially met in policy and/or procedures in this section reflects effective on-going management of potentially problematic storage. The Accreditation Panel has set this down as a precedent. In some cases there is also the need to address capacity to store born digital records. In cases where there was partially met for requirement **2.4.2 Collections Care Planning** it was felt that the archive service needed to develop further their understanding of the risks to collections or to strengthen planning to minimise risks to collections. 26 % of applicant were assessed as partially meeting the requirement **2.4.4 Disaster Recovery Plan and Procedures**. In these cases it was felt that the archive service should either update or test the disaster plan.

2013 to May 2017

<u>2013 to May 2017</u>	Met	Partially met	Not Met
1.1 Collections Management	69	0	0
2.2.1 Collections Development Policy	72	1	0
2.2.2 Collections Development Plan	48	25	0
2.3.1 Collections Information Policy	60	13	0
2.3.2 Collections Information Plan	40	33	0
2.3.3 Collections Information Procedures	70	3	0
2.4.1 Collections Care Policy	61	11	1
2.4.2 Collections Care Plan	62	11	0
2.4.3 Collections Care Procedures	36	36	1
2.4.4 Disaster Recovery Plan and Procedures	64	9	0

Since the launch of Archive Service Accreditation in June 2013 applicant archive services have demonstrated particular strength at policy level in collections development and in collections information procedures.

In many cases lack of expansion space which constrains proactive collecting is reflected in the overall assessment for requirement **2.2.2 Collections Development Plan**.

Significant cataloguing backlogs are again reflected in the nature of assessments under requirement **2.3.3 Collections Information Plan**.

50% of applicant services were assessed as partially meeting requirement **2.4.3 Collections Care Procedures**. This is largely due to ongoing problems with environmental conditions within repositories and reflects the sector-wide challenge from existing building stock.

c) Requirements for Module: Stakeholders and their Experiences

This module checks an archive service’s ability to provide and develop access to its collections, in response to its community’s needs.

June 2016 to May 2017

June 2016 to May 2017	Met	Partially met	Not met
3.1 Access Policy	26	1	0
3.2.1 Understanding Audiences	23	4	0
3.2.2 Analysing Audiences	26	1	0
3.2.3 Planning for Audiences	25	2	0
3.3.1 Information on Access	23	4	0
3.3.2 Procedures for user access	27	0	0
3.3.3 A variety of means of access	27	0	0

All twenty seven applicant archive services met the requirement **3.3.2 Procedures for user access**. This is in line with expectations that the vast majority of archive services have established routine means for users to consult original materials.

All twenty seven applicant archive services were also assessed as fully meeting the sub-requirement **3.3.3 A variety of means of access are available**. This means that archive services are recognising that different audiences may wish to engage with collections in different ways depending on nature of the collection and the mission of the archive service.

96%of archive services met the sub-requirement **3.2.2 Analysing Audiences**. Archive services that were assessed as partially met under this requirement were felt to have

insufficient mechanisms in place to gather feedback to feed into ongoing development of the service.

Similarly, in the case of sub-requirement **3.2.1 Understanding audiences**, 85 % of applicant services were assessed as meeting this sub-requirement. In the case of those archive services that partially met this sub-requirement It was felt that the archive services collected insufficient information about the needs of some of their stakeholder groups, for example current and potential audiences.

85% of applicant archive service also met the sub-requirement **3.3.1 Information on access**. Reasons for archive services partially meet this sub-requirement include a lack of information about the collections online for the type of archive service or that the opening hours were too limited for the type of archive service and its community.

2013 to May 2017	Met	Partially met	Not met
3.1 Access Policy	66	7	0
3.2.1 Understanding Audiences	65	8	0
3.2.2 Analysing Audiences	67	6	0
3.2.3 Planning for Audiences	69	4	0
3.3.1 Information on Access	67	6	0
3.3.2 Procedures for user access	72	1	0
3.3.3 A variety of means of access	72	1	0

The spread of assessed requirements and sub-requirements can be explained as in the commentary above. In the case of 3.1 Access Policy, for archive services that partially met this requirement this was due to the policy needing formal approval, the need to broaden the policy to include access restrictions or the current ambitions of the service, or the absence of an overarching policy.

7) Required and Improvement Actions

Every archive service receives feedback on their application for Archive Service Accreditation reflecting how their service performs against each requirement of the standard. Part of this feedback is in the form of required and improvement actions which provide guidance on where the service can meet the standard more effectively. Required Actions must be carried out to continue to meet the standard and retain Archive Service Accreditation in the future. Improvement Actions are to support development of the archive service.

By module

June 2016 to May 2017	Improvement actions	Required Actions
Organisational Health	46	41
Collections	83	65
Stakeholders and their Experiences	54	16

By requirement

June 2016 to May 2017	Improvement Actions	Required Actions
1.1	4	0
1.2	7	1
1.3	10	5
1.4	15	28
1.5	3	2
1.6	7	5
2*	1	0
2.1	4	0
2.2	20	3
2.2.1	6	4
2.2.2	8	4
2.3*	8	2
2.3.1	5	1
2.3.2	12	2
2.3.3	7	0
2.4*	12	18
2.4.1	1	4
2.4.2	6	8
2.4.3	8	11
2.4.4	5	8
3	1	0
3.1	10	1

3.2*	18	4
3.2.1	5	1
3.2.2	5	3
3.2.3	3	2
3.3*	6	0
3.3.1	3	4
3.3.2	1	1
3.3.3	2	0

*Note that some actions reflect a general improvement need in an area such as collections care or audience planning, and may be set at requirement rather than sub-requirement level.

a) Required actions:

Common themes

- *Developing new accommodation, including storage space, and improving environmental conditions in the storage areas*
- *Developing capacity to ingest and store born digital records*

Organisational Health: In this area, required actions covered a number of different themes:

- a need for new accommodation, including storage space for either analogue or digital records (or both), including progressing current plans in these areas
- securing funding to resource new facilities or maintain current staffing levels or new roles
- formalising service level agreements
- developing income generation

Collections: Assessors identified the largest number of required actions in this module. The actions covered the following areas.

- developing knowledge and capacity to collect and manage born digital records
- preservation and risk management in stores, including environmental improvements, ongoing security and building management systems (this is a mandatory required action for services which do not have fully PD5454-compliant storage), access to professional conservation advice, formal risk assessment of collections, test disaster plan.
- improving cataloguing state of collections

Stakeholders and their Experiences: Assessors identified the smallest number of required actions in this module. Actions covered the following areas:

- develop data-gathering to improve understanding of audiences and their needs
- improve strategic planning and prioritisation of stakeholder engagement, including implementation of any plans
- improve disabled access
- improve website information about collections and accessing these including an online catalogue
- enable access to born digital records

Improvement actions:

Common themes

- *Building on digital preservation developments*
- *Improving transfer of records from parent organisation*
- *Improving storage and accommodation for archive service*
- *Developing the access offer including outreach and learning, in particular through audience research*
- *Developing online information and remote access, including catalogue*
- *Policy review and publication on the website*

Improvement actions tend to be fairly diverse and are often more specific to individual archive services and their circumstances. There are nonetheless some trends.

Organisational Health: Assessors identified the least number of improvement actions in this module, covering all requirements of this module with the following themes: developing the mission statement; diversifying funding; improved monitoring of forward plans, more opportunities to access training. A significant number relate to requirement 1.4 with storage, accommodation and digital preservation recurrent action points here.

Collections: Assessors identified the greatest number of improvement actions for archive services relating to requirements in this module (which has the largest number of requirements). Actions relate to widening policies to reflect current practice; testing the disaster plan; continued development of digital preservation practice; reducing cataloguing backlogs; continuing to manage the preservation environment; developing planning to support delivery of collection's policies, improving the transfer of records from the parent body organisation.

Stakeholders and their Experiences: Assessors identified a number of improvement actions in this module. The actions cover the following themes: developing and building on existing partnership work to strengthen the reach of the archive service; developing the analysis of data gathered surrounding audiences; improving website information; developing outreach and learning activities to reach wider audiences;

Review Stage

As part of the Review Stage application, accredited archive services report any changes to their archive services, for example in resourcing, restructuring, forward planning, revised policies. This means the original assessment against each requirement can potentially change.

The table below shows where changes were made to the original assessment following the initial application for Archive Service Accreditation.

2016-2017 Module level

	Organisational Health	Collections	Stakeholder and their Experiences
Met to partially met	1	0	0
Partially met to met	0	1	0
Partially met to not met	0	0	0

2016-2017 Requirement level

Requirement	Met to partially met	Partially met to met
1.1	0	0
1.2	1	0
1.3	0	0
1.4	0	0
1.5	0	0
1.5	0	0
1.6	1	0
2.1	0	0
2.2.	0	0
2.2.1	0	0
2.2.2	0	1
2.3	0	0
2.3.1	0	0
2.3.1	0	1
2.3.2	0	2
2.3.3	0	1
2.4	0	0
2.4.1	0	0
2.4.2	0	0
2.4.3	0	1
2.4.4	0	0
3.1	0	2

3.2	0	0
3.2.1	0	0
3.2.2	0	0
3.2.3	0	0
3.3	0	0
3.3.1	0	0
3.3.2	0	0
3.3.3	1	0

There were three changes at requirement level from met to partially met for requirements 1.2, 1.6 and 3.3.3.

There were four changes in requirement level from partially met to met reflecting the formal approval of a new policy or the review of an outdated policy and these changes reflect how archive services are making progress surrounding collections over time and being affected by changes as seen in module one and two in the shorter term.

Appendix

This section contains additional statistical information about Archive Service Accreditation which has been included for reference, relating to applications for Archive Service Accreditation received 2013 to May 2016. It can be useful to draw comparisons over time between the statistical information held here and that in the main report.

1 Applications by type of archive service

<u>2013 to May 2015</u>	England	Northern Ireland	Scotland	Wales
Local authority type 1	0	0	1	0
Local authority type 2	11	0	0	2
Other public sector type 1	1	0	0	1
Other public sector type 2	4	0	2	0
Private and third sector type 1	0	0	0	0
Private and third sector type 2	2	0	0	0
Private and third sector type 3	3	0	0	0

<u>June 2015 to May 2016</u>	England	Northern Ireland	Scotland	Wales
Local authority type 1	0	0	0	0
Local authority type 2	9	0	0	2
Other public sector type 1	0	0	0	0
Other public sector type 2	2	0	1	1
Private and third sector type 1	1	0	0	0
Private and third sector type 2	2	0	0	0
Private and third sector type 3	1	0	0	0

2) Validation visits made in response to applications

2013 to May 2016	England	Northern Ireland	Scotland	Wales
2013 –May 2014	93%	N/A	100%	100%
June 2014 to May 2015	100%	N/A	100%	100%
June 2015 to May 2016	100%	N/A	100%	100%

3) Number of archive services awarded accredited status

2013 to May 2014	Total	England	Northern Ireland	Scotland	Wales
Accredited	12	10	0	1	1
Provisionally Accredited	2	2	0	0	0
Not Accredited	0	0	0	0	0

June 2014 to May 2015	Total	England	Northern Ireland	Scotland	Wales
Accredited	12	8	0	2	2
Provisionally Accredited	0	0	0	0	0
Not Accredited	1	1	0	0	0

<u>June 2015 to May 2016</u>	Total	England	Northern Ireland	Scotland	Wales
Accredited	18	13	0	2	3
Provisionally Accredited	1	1	0	0	0
Not Accredited	0	0	0	0	0

<u>2013 to May 2017</u>	Total	England	Northern Ireland	Scotland	Wales
Accredited	63	48	0	6	9
Provisionally Accredited	9	9	0	0	0
Not Accredited	1	0	0	0	0

4) Achievement at module level

2013 to May 2014	Met	Partially Met	Not Met
Organisational Health	14	0	0
Collections	11	3	0
Stakeholders and their Experiences	14	0	0

May 2014 to June 2015	Met	Partially Met	Not Met
Organisational Health	13	0	0
Collections	11	1	1
Stakeholders and their Experiences	13	0	0

June 2015 to May 2016	Met	Partially Met	Not Met
Organisational Health	18	1	0
Collections	18	1	0
Stakeholders and their Experiences	18	1	0

5) Achievement at requirement level

Organisational Health

2013 to May 2014	Met	Partially Met	Not met
1.1 Mission Statement	14	0	0
1.2 Governance	14	0	0
1.3 Forward Planning	12	2	0
1.4 Resources: Building	12	2	0
1.5 Resources: Finance	14	0	0
1.6 Resources: Workforce	14	0	0

June 2014 to May 2015	Met	Partially Met	Not met
1.1 Mission Statement	13	0	0
1.2 Governance	12	1	0
1.3 Forward Planning	12	1	0
1.4 Resources: Spaces	9	4	0
1.5 Resources: Finance	13	0	0
1.6 Resources: Workforce	13	0	0

June 2016 to May 2017	Met	Partially Met	Not met
1.1 Mission Statement	19	0	0
1.2 Governance	18	1	0
1.3 Forward Planning	18	1	0
1.4 Resources: Spaces	15	4	0
1.5 Resources: Finance	19	0	0
1.6 Resources: Workforce	17	2	0

Collections

<u>2013 to May 2014</u>	Met	Partially met	Not Met
1.1 Collections Management	13	1	0
2.2.1 Collections Development Policy	13	1	0
2.2.2 Collections Development Plan	13	1	0
2.3.1 Collections Information Policy	10	4	0
2.3.2 Collections Information Plan	7	7	0
2.3.3 Collections Information Procedures	12	2	0
2.4.1 Collections Care Policy	12	2	0
2.4.2 Collections Care Plan	12	2	0
2.4.3 Collections Care Procedures	8	6	0
2.4.4 Disaster Recovery Plan and Procedures	14	0	0

<u>June 2014 to May 2015</u>	Met	Partially met	Not Met
1.1 Collections Management	13	0	0
2.2.1 Collections Development Policy	13	0	0
2.2.2 Collections Development Plan	8	5	0
2.3.1 Collections Information Policy	7	6	0
2.3.2 Collections Information Plan	11	2	0
2.3.3 Collections Information Procedures	13	0	0
2.4.1 Collections Care Policy	12	0	1
2.4.2 Collections Care Plan	10	3	0
2.4.3 Collections Care Procedures	9	3	1
2.4.4 Disaster Recovery Plan and Procedures	12	1	0

<u>June 2015 to May 2016</u>	Met	Partially met	Not Met
2.1 Collections Management	16	3	0
2.2.1 Collections Development Policy	19	0	0
2.2.2 Collections Development Plan	13	6	0
2.3.1 Collections Information Policy	18	1	0
2.3.2 Collections Information Plan	12	7	0
2.3.3 Collections Information Procedures	19	0	0
2.4.1 Collections Care Policy	16	3	0
2.4.2 Collections Care Plan	19	0	0
2.4.3 Collections Care Procedures	9	10	0
2.4.4 Disaster Recovery Plan and Procedures	18	1	0

Stakeholders and their experiences

2013 to May 2014	Met	Partially met	Not met
3.1 Access Policy	11	3	0
3.2.1 Understanding Audiences	14	0	0
3.2.2 Analysing Audiences	14	0	0
3.2.3 Planning for Audiences	14	0	0
3.3.1 Information on Access	14	0	0
3.3.2 Procedures for user access	13	1	0
3.3.3 A variety of means of access	14	0	0

June 2014 to May 2015	Met	Partially Met	Not met
3.1 Access Policy	13	0	0
3.2.1 Understanding Audiences	12	1	0
3.2.2 Analysing Audiences	12	1	0
3.2.3 Planning for Audiences	12	1	0
3.3.1 Information on Access	13	0	0
3.3.2 Procedures for user access	13	0	0
3.3.3 A variety of means of access	13	0	0

June 2015 to May 2016	Met	Partially met	Not met
3.1 Access Policy	16	3	0
3.2.1 Understanding Audiences	16	3	0
3.2.2 Analysing Audiences	15	4	0
3.2.3 Planning for Audiences	18	1	0
3.3.1 Information on Access	17	2	0
3.3.2 Procedures for user access	19	0	0
3.3.3 A variety of means of access	18	1	0

6)Required and Improvement actions at Requirement Level

2013 to May 2014	Required actions set	Improvement actions set
1.1	1	1
1.2	1	3
1.3	0	4
1.4	0	11
1.5	0	4
1.6	1	6
2.1	0	4
2.2.1	1	0
2.2.2	0	2
2.3.1	1	2
2.3.2	0	1
2.3.3	0	0
2.4.1	1	3
3.1	0	8
3.2.1	0	0
3.2.2	0	0
3.2.3	0	3
3.3.1	0	1
3.3.2	2	3
3.3.3	0	3

June 2014 to May 2015	Required actions set	Improvement actions set
1.1	0	0
1.2	0	4
1.3	2	0
1.4	8	15
1.5	0	1
1.6	0	4
2.1	0	3
2.2.1	0	4
2.2.2	1	8
2.3.1	0	5
2.3.2	1	2
2.3.3	0	1
2.4	3	7
2.4.1	0	3
2.4.2	3	0
2.4.3	2	2
2.4.4	4	0
3.1	0	4

3.2.1	0	0
3.2.2	0	0
3.2.3	0	2
3.3.1	0	3
3.3.2	0	2
3.3.3	0	2

June 2015 to May 2016	Improvement Actions	Required Actions
1.1	3	1
1.2	3	3
1.3	4	3
1.4	17	9
1.5	6	0
1.6	6	3
2*	1	0
2.1	8	0
2.2		
2.2.1	7	0
2.2.2	5	1
2.3*	3	1
2.3.1	0	0
2.3.2	7	2
2.3.3	0	0
2.4*	7	0
2.4.1	1	2
2.4.2	3	1
2.4.3	6	11
2.4.4	2	3
3		
3.1	9	1
3.2*	5	0
3.2.1	8	1
3.2.2	3	1
3.2.3	5	1
3.3*	2	1
3.3.1	1	0
3.3.2	0	2
3.3.3	3	0