

Archive Services

Resilience Model

***Helping archive services from all sectors to survive and thrive!***

**Version one, July 2018**

Introduction

**What is the Archive Service Resilience Model?**

This Resilience Model is designed to help archive services from all sectors respond to the challenges and opportunities of the current working environment. Honest, incisive and challenging review using this Model provides an ideal springboard for transformational change and incremental improvement, which will enable your service to achieve **enhanced resilience** and **impact.**

**How is it used?**

The Model is mainly used as the basis for effective organisational review, either as part of a parent body review or a standalone archive services review, using the following techniques:

* **analysis of data**
* **self-assessment**
* **peer-led challenge / peer review**
* **best practice benchmarking**
* **systemic improvement planning**

It can also be used as the basis for partnership agreements and learning and development programmes.

There are no badges or awards involved in using the Model; it simply helps your team to pursue improvement in all aspects of the way the organisation operates in order to develop resilience and achieve sustainable outcomes. This requires only time, commitment, collective self-awareness and honesty!

Importantly, this is an **improvement** tool, not a **compliance** tool; no archive service is expected to achieve all elements of the Model and no one ever will! Teams can choose which areas for improvement they want to work on, based on their specific circumstances.

Using the Model is an investment and valuable aid, which will help organisations to improve, whilst demonstrating to partners, funders and onlookers that the organisation is serious about improvement; not as a one-off but as a way of working.

**Who is it designed for?**

The Model is designed for any type of archive service in any sector. If you are not responsible for any of the functions covered by the Model (e.g. developing strategy, or managing the buildings), you will need to work with the functions responsible for these areas during the review. This often creates a valuable opportunity to enhance collaborative working. If this is not possible, you could simply focus your review on the areas that you directly manage (e.g. collaborative working).

**Structure and Content**

The Model comprises ten sections, known as **Characteristics**: the first nine of these relate to how an archive service should operate in order to achieve enhanced resilience and impact; the last one relates to the results achieved by the service.

Organisational review using the criteria in these sections provides a comprehensive view of the progress of the archive service and generates valuable improvement activity. Continual improvement in each of the first nine Characteristics gives the archive services increased capability to design and deliver services which are more beneficial for more people and which achieve greater value for money. At the same time this will increase workforce satisfaction, development and resilience.

The structure and logic of the Model is shown below:

**Leadership**

**Forward Planning**

**Collaborative Working**

**Community Consultation and Engagement**

**Outcomes Focus**

**Innovative and services which meet the needs and expectations of the community**

**More people gaining the benefits of archive services, which achieve greater value for money and workforce satisfaction and development**

**Workforce Management and Development**

**Management System and Governance**

**Management of Financial and Physical Resources**

**Continual Improvement**

Each of the Characteristics have been defined (based on established principles). They have also been broken down into key features of resilient archive services. This helps the team to understand the Characteristics and conduct effective service review and provides a means of incorporating national initiatives and priorities into the Model. Links to relevant guidance documentation is also included to help you understand the criteria and pursue improvement in this area.

The criteria within this Model reflect the Archive Service Accreditation Standard; we have shown these links in the relevant sections. This enables you to adopt one improvement programme (as opposed to two separate ones). In practice this means that your service reviews and improvement activity will provide key evidence for your Accreditation application.

**The Model**

**Characteristic One: Leadership**

**Resilient archive services are led by visionary, forward-thinking and self-determined leaders who are passionate about continual improvement and making a difference to people and communities through archival services.**

This includes leaders:

* developing and agreeing a clear and compelling vision and purpose for the archive service and communicating this with all stakeholders, to provide a steady steer for decision-making and activity.
* establishing, communicating and acting as role models of a set of values
* being a powerful influencer and advocate and campaigning for the archive and the archive services
* enabling and supporting continual development and innovation of the services, to meet the needs and expectations of the community
* passionately seeking organisational, team and individual improvement, driving the organisation forward and being a role model of continuous improvement
* connecting to and building valuable relationships within relevant public, commercial and civil society sector bodies (including those with the responsibility for strategic commissioning)

**Links to the Archive Service Accreditation Standard**

* 1. Mission Statement

**What methods and practices do we currently have in place relating to this characteristic?**

**What is our current progress in relation to these characteristics? (tick the most appropriate box)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Evaluation element | 0 | 1 | 2 | 3 | 4 |
| Not at all | Just started | To some extent | To a large extent | Completely |
| **Plan**  To what extent has the organisation developed interlinked methods and practices which achieve the above characteristic? |  |  |  |  |  |
| **Do**  To what extent are these methods and practices implemented systematically across the organisation? |  |  |  |  |  |
| **Check / act**  To what extent does the organisation review and improve the effectiveness and efficiency of these methods and practices? |  |  |  |  |  |
| **Impact**  To what extent have these methods and practices achieved positive results for stakeholders? |  |  |  |  |  |

**Strengths**

**Areas for improvement**

**Characteristic Two:** **Community Consultation and Engagement**

**Resilient archive services are shaped by the needs and expectations of the community that they are established to serve, and designed and delivered in partnership with the community.**

This includes the following:

* developing and maintaining an understanding of the present and future needs, interests and service expectations of users and potential users through consultation and research (e.g. community consultation, user surveys, analysis of population profiles, socio-economics and demographics)
* proactively developing an understanding of the barriers that people face in relation to using the service, and finding ways to overcome these barriers
* proactively seeking, collecting and reviewing ideas from the community about how to develop and improve the service
* continually improving access and engagement in response to the identified needs and interests of the community and the experiences and perception of service users (e.g. through user surveys of user feedback forms)
* working in partnership with the community to develop and deliver the services (e.g. using Friends Groups)
* proactively communicating and marketing the archive service, how to access the collections and services (both on-site and off-site) and the benefits of the services with all parts of the community in a meaningful and engaging way

**Links to the Archive Service Accreditation Standard**

3.1. Access Policies

3.2. Access Plans and Planning

3.3. Access Information, Procedures and Activities

**What methods and practices do we currently have in place relating to this characteristic?**

**What is our current progress in relation to these characteristics? (tick the most appropriate box)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Evaluation element | 0 | 1 | 2 | 3 | 4 |
| Not at all | Just started | To some extent | To a large extent | Completely |
| **Plan**  To what extent has the organisation developed interlinked methods and practices which achieve the above characteristic? |  |  |  |  |  |
| **Do**  To what extent are these methods and practices implemented systematically across the organisation? |  |  |  |  |  |
| **Check / act**  To what extent does the organisation review and improve the effectiveness and efficiency of these methods and practices? |  |  |  |  |  |
| **Impact**  To what extent have these methods and practices achieved positive results for stakeholders? |  |  |  |  |  |

**Strengths**

**Areas for improvement**

**Characteristic Three: Governance and Management System**

**Resilient archive services have a soundly-based, robust and transparent system of governance, management structure and operations, to ensure the long-term collection, preservation and accessibility of its collections and provide the best value for all stakeholders in the short, medium and long-term.**

This includes the following:

* activelyexamining alternative delivery models which could unlock additionalinvestment, achieve enhanced outcomes and which secures the long-term future of the archives (e.g. Trust, Company Limited by Guarantee, Co-operative, etc.)
* establishing an organisational structure with clear and transparent lines of authority and decision-making responsibilities, which enables long-term thinking and planning, innovative service development and effective day-to-day management
* establishing transparent decision-making processes, based on facts, in line with the needs of stakeholders
* creating, agreeing, reviewing and continually updating an integrated approach to collections management, guided by a coherent suite of policies, plans and procedures, which are clearly linked to the archive service purpose and outcomes (covering collections development, information and care, conservation and access)
* using robust project management techniques to support change, improvement, facility development and delivery of the services
* assessing and managing risks to the archives and the organisation and creating contingency plans

**Links to the Archive Service Accreditation Standard**

* 1. Governance and Management Structures

2.1. Collections Management

2.2. Collections Development

2.3. Collections Information

2.4. Collections Care and Conservation

3.1. Access Policies

3.2. Access Plans and Planning

3.3. Access Information, Procedures and Activities

**What methods and practices do we currently have in place relating to this characteristic?**

**What is our current progress in relation to these characteristics? (tick the most appropriate box)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Evaluation element | 0 | 1 | 2 | 3 | 4 |
| Not at all | Just started | To some extent | To a large extent | Completely |
| **Plan**  To what extent has the organisation developed interlinked methods and practices which achieve the above characteristic? |  |  |  |  |  |
| **Do**  To what extent are these methods and practices implemented systematically across the organisation? |  |  |  |  |  |
| **Check / act**  To what extent does the organisation review and improve the effectiveness and efficiency of these methods and practices? |  |  |  |  |  |
| **Impact**  To what extent have these methods and practices achieved positive results for stakeholders? |  |  |  |  |  |

**Strengths**

**Areas for improvement**

**Characteristic Four: Outcomes Focus**

**Resilient archive services focus on agreeing and achieving desired outcomes for all stakeholders.**

This includes the following:

* defining, agreeing and communicating desired outcomes of the archive service in line with its vision and purpose and the identified needs of its community and other stakeholders (i.e. what are we aiming to achieve through our service, for whom?)
* linking these outcomes to the strategy and plans of the parent body and aligning them with higher-level social, economic, environmental, health and educational outcomes for the community (e.g. the outcomes in local community strategy or health strategy)
* prioritising service development activities based on which will have the greatest impact on the desired outcomes
* focussing all activities and plans on achieving the desired outcomes
* establishing ways of measuring, monitoring and predicting the archive service’s performance in relation to achieving the service outcomes
* reviewing and updating the outcomes and priorities on a regular basis

**Links to the Archive Service Accreditation Standard**

* 1. Mission Statement

**What methods and practices do we currently have in place relating to this characteristic?**

**What is our current progress in relation to these characteristics? (tick the most appropriate box)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Evaluation element | 0 | 1 | 2 | 3 | 4 |
| Not at all | Just started | To some extent | To a large extent | Completely |
| **Plan**  To what extent has the organisation developed interlinked methods and practices which achieve the above characteristic? |  |  |  |  |  |
| **Do**  To what extent are these methods and practices implemented systematically across the organisation? |  |  |  |  |  |
| **Check / act**  To what extent does the organisation review and improve the effectiveness and efficiency of these methods and practices? |  |  |  |  |  |
| **Impact**  To what extent have these methods and practices achieved positive results for stakeholders? |  |  |  |  |  |

**Strengths**

**Areas for improvement**

**Characteristic Five: Forward Planning**

**Resilient archive services plan effectively for the long, short and medium term, deploying available resources to greatest effect to ensure that they continue to achieve desired outcomes and remain adaptive and relevant in a changing internal and external environment.**

This includes the following:

* proactively developing and maintaining an understanding of the political, economic, social, technical, environmental and legal environment in which the archive service operates and the strategies of relevant national and local organisations and partnerships
* proactively seeking and learning from best practice from the UK and overseas and developing and maintaining an understanding of what will happen in the archive sector
* developing, communicating and implementing a long and medium term plan for the archive service, which enables the service to achieve enhanced outcomes [(see Characteristic Four)](file:///C:\Users\steve\Dropbox\National%20Culture%20and%20Sport%20Improvement%20strategy%20and%20programme\Culture%20and%20Sport%20Improvement%20Toolkit\Library%20Service%20Benchmarking%20Framework%20-%20version%201.docx#Characteristic4) and to be sustainable, based on the identified needs and expectations of the community (see Characteristic Two), research and performance measurement activity
* identifying the need for, planning and managing major organisational change with a constancy of purpose, ensuring the workforce (including volunteers) are consulted and engaged in the process
* monitoring progress with the long and medium term plan, reviewing its continuing effectiveness and making the necessary changes

**Links to the Archive Service Accreditation Standard**

1.3. Forward Planning

**What methods and practices do we currently have in place relating to this characteristic?**

**What is our current progress in relation to these characteristics? (tick the most appropriate box)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Evaluation element | 0 | 1 | 2 | 3 | 4 |
| Not at all | Just started | To some extent | To a large extent | Completely |
| **Plan**  To what extent has the organisation developed interlinked methods and practices which achieve the above characteristic? |  |  |  |  |  |
| **Do**  To what extent are these methods and practices implemented systematically across the organisation? |  |  |  |  |  |
| **Check / act**  To what extent does the organisation review and improve the effectiveness and efficiency of these methods and practices? |  |  |  |  |  |
| **Impact**  To what extent have these methods and practices achieved positive results for stakeholders? |  |  |  |  |  |

**Strengths**

**Areas for improvement**

**Characteristic Six: Workforce Management and Development**

**Resilient archive services plan, recruit, manage and develop their professional and volunteer workforce so that the services are delivered to the professional standards demanded by the organisation’s legal obligations and forward planning ambitions, and so that the needs of the workforce are met.**

This includes the following:

* planning the workforce capacity, establishing clear roles and responsibilities and identifying the required competencies and knowledge, to ensure the archive service has the capacity and capability to meet the needs and expectations of its community
* attracting and recruiting professional and volunteer staff with the required competencies and knowledge and the potential to develop, using transparent, accessible and equitable criteria
* supporting professionals and volunteers to develop, learn and improve in line with the needs and expectations of the community, the organisation and the workforce, using a wide range of learning, development and improvement support (e.g. induction, formal and informal training, mentoring, sharing of knowledge, projects, job swaps, learning from partners, etc.)
* developing a team of professionals and volunteers who own collective responsibility for achieving the desired service outcomes, engaging everyone in service development and improvement activity and making the best use of people’s knowledge, skills and creativity
* communicating effectively with each other, giving professionals and volunteers the opportunity to know as much as they need
* helping the professional and volunteer workforce to maintain and develop personal resilience

**Links to the Archive Service Accreditation Standard**

1.6. Resources: workforce

**What methods and practices do we currently have in place relating to this characteristic?**

**What is our current progress in relation to these characteristics? (tick the most appropriate box)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Evaluation element | 0 | 1 | 2 | 3 | 4 |
| Not at all | Just started | To some extent | To a large extent | Completely |
| **Plan**  To what extent has the organisation developed interlinked methods and practices which achieve the above characteristic? |  |  |  |  |  |
| **Do**  To what extent are these methods and practices implemented systematically across the organisation? |  |  |  |  |  |
| **Check / act**  To what extent does the organisation review and improve the effectiveness and efficiency of these methods and practices? |  |  |  |  |  |
| **Impact**  To what extent have these methods and practices achieved positive results for stakeholders? |  |  |  |  |  |

**Strengths**

**Areas for improvement**

**Characteristic Seven: Collaborative Working**

**Resilient archive services establish a wide range of collaborations in order to achieve enhanced outcomes, value for money and sustainability.**

This includes the following**:**

* proactively seeking and establishing collaborations with public, commercial and not for profit sector bodies to develop and deliver an innovate and joined-up heritage service
* collaborating with internal and external partners to improve efficiency and value for money (e.g. through shared resources, joint purchasing and shared back office functions)
* establishing structured mutual peer support arrangements, which make the best use of each other’s skills, knowledge, experience and empathy (e.g. peer coaching and mentoring, sharing of practices, Action Learning Sets and peer review / peer challenge, etc.)
* creating synergy relating to vision, outcomes and values with partners
* developing and maintaining effective relationships with partners, including identifying and resolving any conflicts or tensions to create sustainable collaboration
* continually reviewing the value of collaborations and making the necessary changes

**Links to the Archive Service Accreditation Standard**

**What methods and practices do we currently have in place relating to this characteristic?**

**What is our current progress in relation to these characteristics? (tick the most appropriate box)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Evaluation element | 0 | 1 | 2 | 3 | 4 |
| Not at all | Just started | To some extent | To a large extent | Completely |
| **Plan**  To what extent has the organisation developed interlinked methods and practices which achieve the above characteristic? |  |  |  |  |  |
| **Do**  To what extent are these methods and practices implemented systematically across the organisation? |  |  |  |  |  |
| **Check / act**  To what extent does the organisation review and improve the effectiveness and efficiency of these methods and practices? |  |  |  |  |  |
| **Impact**  To what extent have these methods and practices achieved positive results for stakeholders? |  |  |  |  |  |

**Strengths**

**Areas for improvement**

**Characteristic Eight: Managing Financial and Physical Resources**

**Resilient archive services secure, plan and manage financial and physical resources to ensure the long-term preservation and security of the collections, achieve the desired outcomes and make the service more sustainable.**

This includes the following**:**

* securing and planning financial and physical resources in line with the long and medium term plans (including plans for the future expansion of collections), to ensure sustainability and achievement of the desired outcomes
* monitoring and managing budgets (and cash flow where relevant) in a robust and transparent way, complying with relevant financial regulations and standards, whilst maintaining the flexibility to enable people to respond to opportunities and unexpected situations and support innovation
* proactively seeking and developing diverse and sustainable funding streams, including income generating activities, fundraising, grants and commissioning either independently or part of consortia (e.g. adult social care or health and wellbeing commissions)
* assessing and reducing the risks associated with the physical accommodation of the archives
* planning and implementing preventative maintenance, refurbishment and renewal programmes for facilities and equipment, to optimise performance in the long-term and to ensure they continue to meet the expectations of users
* making the best use of new technology to improve access and service delivery

**Links to the Archive Service Accreditation Standard**

1.4. Resources: buildings and storage

1.5. Resources: finance

**What methods and practices do we currently have in place relating to this characteristic?**

**What is our current progress in relation to these characteristics? (tick the most appropriate box)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Evaluation element | 0 | 1 | 2 | 3 | 4 |
| Not at all | Just started | To some extent | To a large extent | Completely |
| **Plan**  To what extent has the organisation developed interlinked methods and practices which achieve the above characteristic? |  |  |  |  |  |
| **Do**  To what extent are these methods and practices implemented systematically across the organisation? |  |  |  |  |  |
| **Check / act**  To what extent does the organisation review and improve the effectiveness and efficiency of these methods and practices? |  |  |  |  |  |
| **Impact**  To what extent have these methods and practices achieved positive results for stakeholders? |  |  |  |  |  |

**Strengths**

**Areas for improvement**

**Characteristic Nine: Continual Improvement**

**Resilient archive organisations continually improve the way in which they operate to provide enhanced value for all stakeholders.**

This includes the following:

* reviewing the effectiveness and efficiency of the way in which the organisation operates on a cyclical basis, using data and stakeholder perceptions, planning improvement actions and implementing the changes
* encouraging and supporting all staff and volunteers to implement many minor improvements on an ongoing basis
* using ideas from partners, users and non-users to help improve the service provided
* proactively learning from peer organisations and organisations in other sectors to help improve the services
* learning from the past and using this knowledge to improve the future
* implementing a structured approach to systemic problem solving (i.e. solving it so that it doesn’t come back!)

**Links to the Archive Service Accreditation Standard**

**What methods and practices do we currently have in place relating to this characteristic?**

**What is our current progress in relation to these characteristics? (tick the most appropriate box)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Evaluation element | 0 | 1 | 2 | 3 | 4 |
| Not at all | Just started | To some extent | To a large extent | Completely |
| **Plan**  To what extent has the organisation developed interlinked methods and practices which achieve the above characteristic? |  |  |  |  |  |
| **Do**  To what extent are these methods and practices implemented systematically across the organisation? |  |  |  |  |  |
| **Check / Act**  To what extent does the organisation review and improve the effectiveness and efficiency of these methods and practices? |  |  |  |  |  |
| **Impact**  To what extent have these methods and practices achieved positive results for stakeholders? |  |  |  |  |  |

**Strengths**

**Areas for improvement**

**Characteristic 10: Results Achieved**

**Resilient archive services achieve positive results relating to their desired outcomes (see Characteristic Four), the satisfaction of users, the satisfaction, development and resilience of their workforce (including volunteers) and the value for money that they provide.**

This includes the following:

* measuring performance relating to:

1. desired outcomes (e.g. surveys and user numbers)
2. user satisfaction (e.g. user surveys)
3. the satisfaction, development and resilience of the workforce (e.g. through staff surveys, data relating to learning and development, sickness absence, turnover and number of volunteers)
4. value for money (e.g. income and investment generated and cost per head of population / users)

* achieving positive historical trends over at least three years relating to the above results
* achieving positive results relating to external benchmarks where relevant
* linking these results to innovative service design and marketing and other organisational practices which have been implemented (relating to the nine previous Characteristics)

**Strengths**

**Areas for Improvement**

**Key Themes**

**‘Golden Threads’ (i.e. positive themes running through the strengths)**

**‘Fault Lines’ (i.e. reoccurring areas for improvement or clear underlying common causes)**

**Priority Areas for Improvement (bearing in mind your long-term direction and plans)**