

# ARCHIVES AND RECORDS CENTER ACCREDITATION MANUAL

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 SEVENTH-DAY ADVENTIST® CHURCH

**astr**

Office of  
Archives, Statistics,  
and Research







## Table of Contents

<b><i>Introduction to the ASTR Accreditation Program</i></b> .....	<b>1</b>
<b><i>Definitions</i></b> .....	<b>5</b>
<b><i>Collections Worksheet</i></b> .....	<b>9</b>
<b><i>Records Center Accreditation Specifications – Emerging</i></b> .....	<b>11</b>
<b><i>Evaluators’ Score Sheet - Records Center – Emerging</i></b> .....	<b>13</b>
<b><i>Records Center Accreditation Specifications – Recognized</i></b> .....	<b>17</b>
<b><i>Evaluators’ Score Sheet - Records Center – Recognized</i></b> .....	<b>19</b>
<b><i>Records Center Accreditation Specifications – Approved</i></b> .....	<b>23</b>
<b><i>Evaluators’ Score Sheet - Records Center – Approved</i></b> .....	<b>25</b>
<b><i>Archives Accreditation Specifications – Emerging</i></b> .....	<b>29</b>
<b><i>Evaluators’ Score Sheet – Archives - Emerging</i></b> .....	<b>31</b>
<b><i>Archives Accreditation Specifications – Recognized</i></b> .....	<b>35</b>
<b><i>Evaluators’ Score Sheet – Archives - Recognized</i></b> .....	<b>37</b>
<b><i>Archives Accreditation Specifications – Approved</i></b> .....	<b>41</b>
<b><i>Evaluators’ Score Sheet – Archives - Approved</i></b> .....	<b>43</b>
<b><i>Records Center and Archives Accreditation Specifications – Center of Excellence</i></b> .....	<b>47</b>
<b><i>Evaluators’ Score Sheet – Records Center and Archives – Center of Excellence</i></b> .....	<b>50</b>
<b><i>Evaluators’ Comparative Worksheet</i></b> .....	<b>55</b>
<b><i>After the Accreditation Visit: What Comes Next</i></b> .....	<b>56</b>



## Introduction to the ASTR Accreditation Program

### Goal

Accreditation is a quality assurance process through which a recordkeeping facility of the Seventh-day Adventist Church can demonstrate that it meets the minimum recordkeeping standards and guidelines recommended by the Office of Archives, Statistics, and Research (ASTR). ASTR is committed to improving the quality of records management in Adventist Church organizations worldwide. Implementing and supporting an effective recordkeeping accreditation program within these organizations will provide a vital tool for quality on-site records management. Furthermore, once accredited, with its proficiency certified, records centers, archives, or libraries will be better placed to ensure the deposit of current records from all entities within an organization, and the transfer of historic records from administrative headquarters for long-term preservation.

### Background

The General Conference Archives, part of ASTR, serves as archives and records center for the General Conference headquarters. In addition, it supports the world of recordkeeping in the 13 world divisions of the General Conference and has been mandated by the world Church to coordinate, supervise, and provide quality control to denominational archives, records centers, and research centers around the world. Deriving its authority from General Conference Working Policy (BA 70 – Retention & Safeguarding of Records) and Executive Committee actions, ASTR has a track record of visiting division headquarters, providing counsel, training seminars, and records-management consultancy to support division efforts in establishing and maintaining records-management programs. In a desire to develop this support further, and to provide benchmarks for records-management at all levels, ASTR has developed this Accreditation Program.

### Why Have an Accreditation Program

The task of accreditation is based on the philosophy that each denominational entity, operated in the name of the Seventh-day Adventist Church, assumes the dual responsibility of fulfilling the expectations of its constituency and of supporting the Church's mission. Accreditation of an institution by ASTR signifies that the institution has a purpose appropriate to service the recordkeeping needs of those in its constituency and has the resources, programs, and services sufficient to accomplish the institution's goals.

Accreditation plays a significant role in fostering confidence in the recordkeeping of the Church and its various entities. Accreditation serves to maintain minimum standards, enhance institutional effectiveness, and provide inter-institutional recognition.

### Benefits of an Accreditation Program

- 1) ***Accreditation optimizes record content, record quality and record accessibility.*** The foremost benefit is that your record holdings are now systematically maintained in a manner consistent not just with ASTR's holdings and recommendations, but in a manner that best facilitates your staff and external records researchers accessing those records. Your records are now kept in a systematic manner that best ensures that these records are accessible each and every time they are needed.
- 2) ***Accreditation improves recordkeeping processes while enhancing the skills and knowledge of your staff.*** With your records maintained in accordance with ASTR recommendations, all of your records staff members are now trained to perform the same activities each and every time. This unanimity in performance ensures that your department's record keeping is professionally organized and operated.

- 3) ***Accreditation reflects achievement and facilitates the best way to ensure maintaining the unique history and heritage that those records comprise.*** Organizing and maintaining your holdings in a manner consistent with accreditation standards evidences that you have strived to reach a level of achievement commensurate with only the best recordkeeping centers within the world church. It evidences that you were committed to, and achieved, a measure of excellence.
- 4) ***Accreditation demonstrates your desire for excellence in the recordkeeping profession.*** Your attainment of accreditation reflects the fact that you are committed to a recordkeeping performance that is globally recognized by ASTR. It signifies that you want the very best in your recordkeeping and practices and have done what is necessary to earn that hallmark.
- 5) ***Accreditation ensures greater professional recognition from peer facilities while promoting peer efforts to also gain accreditation.*** Your path to accreditation encourages a cycle towards recordkeeping excellence. As Church recordkeeping facilities around the world become aware of the accreditation process, they will recognize the professional achievement involved in attaining accreditation. As recordkeeping facilities gain accreditation, the more that other recordkeeping facilities become aware of the process. The more that other recordkeeping facilities become aware of the process and peer recognition of that achievement, the more that recordkeeping facilities will want to gain accreditation.

## Standards

The Office of Archives, Statistics, and Research (ASTR) holds to the principle that denominational accreditation is not dependent upon regional, state, or national requirements. Nevertheless, many of the criteria established by ASTR coincide with international archives and records management standards.

The accrediting standards used by the Office of Archives, Statistics, and Research comprise the criteria for accreditation. These criteria are subject to periodic evaluation and provide consistent guidelines for the evaluation of archives and records centers.

## Levels of Accreditation

ASTR currently recognizes four (4) levels of accreditation:

- 1) **Emerging** – The entry level for records-management accreditation, this is for records centers and archives that still have some way to go towards achieving officially approved status, but that have made steps towards the higher standards. Accreditation allows progress to be recognized, while the accreditation process will help “Emerging” archives and records centers in identifying areas for improvement. It is intended to be transitional, an intermediate step between no accreditation and “Recognized”.
- 2) **Recognized** – The next level of recordkeeping accreditation, it reflects implementation of the basic foundations of ASTR’s recommended protocols for quality recordkeeping. We encourage efforts to subsequently strive towards the second level of accreditation wherever appropriate and possible.
- 3) **Approved** – The highest level of recordkeeping accreditation, it signifies the record keeping entity’s desire to maintain and operate records in the best possible manner.
- 4) **Center of Excellence** – The gold standard for those entities privileged to operate both a records center and an archives. It signifies that they have achieved ASTR’s highest accreditation standard. It is a hallmark of quality recordkeeping reflecting the most committed and the very best recordkeeping entities.



## Eligibility, Application, and Survey Processes

- 1) All church organizational units operated under the auspices of a World Division of the Seventh-day Adventist Church and all institutions with denominational status are eligible, and encouraged, to request accreditation.
- 2) Each World Division will contact all known recordkeeping Church entities within that Division and will apprise the appropriate individuals of accreditation – encouraging them to contact ASTR and/or to utilize its dedicated records accreditation webpages: <https://www.adventistarchives.org/accreditation>.
- 3) Both an Introduction to the Accreditation Process narrative and forms for each sought level of accreditation are available on our site and are downloadable (URL as above). Further information or questions may be addressed to [archives@gc.adventist.org](mailto:archives@gc.adventist.org).
- 4) Requests for accreditation will be processed in a timely manner by ASTR. At present, there are no costs to requesting accreditation.
- 5) A recordkeeping Church entity desiring to be accredited at Recognized or above must take part in a virtual walkthrough of the accreditation criteria with ASTR.
- 6) An on-site survey will be conducted by an ASTR Evaluation team (for division headquarter archives and records centers and GC institutions; and for union or conference level, as funds permit or circumstances dictate) or by ASTR-approved Evaluation teams made up of personnel assigned by the respective division and trained and approved by ASTR.
- 7) Prior to the visit there will be a request for specific documentation from the entity being surveyed. Upon submission of that documentation and its evaluation from the assigned Evaluation team, a site visit will be scheduled.
- 8) Upon completion of the Evaluation team site visit, copies of all completed survey applications, Evaluator-requested documentation, Evaluator-completed survey forms, and Evaluator site visit remarks and recommendations will be forwarded to ASTR's offices.
- 9) ASTR will review all submitted documentation and, within ninety (90) days of receipt, will notify the respective recordkeeping entity of whether or not accreditation has been approved.
- 10) On recommendation from ASTR, the General Conference Archives, Statistics, and Research Committee will award accreditations.
- 11) If accreditation has been approved, a Certificate of Accreditation will be issued.
- 12) If accreditation has not been approved, ASTR will apprise the respective recordkeeping entity of deficiency(s) and offer advice as to how best to address them for subsequent re-inspection.
- 13) Accreditations are typically valid for a period of five (5) years from the date of issuance. However, at the Evaluation team's discretion:
  - a. "Emerging" accreditations may be valid for three years;
  - b. Accreditations for "Recognized" or "Approved" may be conditional and for a period shorter than five years.
- 14) All accredited recordkeeping entities will be notified by ASTR within six (6) months of accreditation expiration to ensure ample time to apply for re-inspection to maintain accreditation.



## Definitions

The following terms have been taken and adapted from *A Glossary of Archival and Records Terminology* (Society of American Archivists, 2005). Terms that only apply to Centers of Excellence are starred with an asterisk (\*).

### **\*Acid-free**

A medium is acid-free when it has a pH of 7.0 or greater when manufactured.

### **\*Appraisal**

1. The process of identifying materials offered to an archives that have sufficient value to be accessioned.

and/or 2. The process of determining the length of time records should be retained, based on legal requirements and on their current and potential usefulness.

### **Archives**

1. The division within an organization responsible for maintaining the organization's records of enduring value.

and/or 2. The building (or portion thereof) housing archival collections.

### **Archivist**

An individual with responsibility for management and oversight of an archival repository or of records of enduring value. This individual may be responsible for appraising, acquiring, arranging, describing, preserving, and providing access to records of enduring value, according to the principles of provenance, original order, and collective control to protect the materials' authenticity and context.

### **\*Base-buffered**

A medium (like paper, folder, or box) that has been treated with an alkaline substance in order to protect items against damage caused by acidic paper.

### **\*Bit loss/bit rot**

The corruption of the lowest level of electronic data in transmission or during storage.

### **\*Checksum**

A mathematical value used in a simple error-detection method to verify data.

### **\*Climate-controlled space**

A space used for the storage of records and archival material where temperature and relative humidity can be controlled and measured.

### **\*Collection development**

The function within an archives that establishes policies and procedures used to select materials that the archives will acquire, typically identifying the scope of creators, subjects, formats, and other characteristics that influence the selection process.

### **Collection management**

The function within an archives that implements policies and procedures used to provide administration, organization, supervision, and oversight over archival materials, including acquisition, appraisal, processing, and access.

### **\*Copyright**

A property right that protects the interests of authors or other creators of works in tangible media (or the individual or organization to whom copyright has been assigned) by giving them the ability to control the reproduction, publication, adaptation, exhibition, or performance of their works.

For example, copyright law in the United States deems works to be the property of the creator for a certain amount of time, even after the creator's death. Presently, if something was created prior to 1924, copyright no longer applies unless the creator or their heirs renew the copyright.

In most cases, the legal entity representing the church holds the copyright to works produced by that entity.

However, national laws on copyright differ widely, and those laws should be consulted when creating a copyright statement for an entity.

### **\*Deed of gift**

An agreement transferring title to property without an exchange of monetary compensation. This differs from a Memorandum of Understanding in that the property is permanently transferred rather than loaned.

### **Electronic record**

Data or information that has been captured and fixed for storage and manipulation in an automated system and that requires the use of the system to render it intelligible by a person.

### **\*Electronic records manager**

An individual responsible for the administration of programs for the efficient and economical handling, protecting, and disposing of electronic records

### **\*Finding aid**

A tool that facilitates discovery of information within a collection of records, usually containing a description of records that gives the archives physical and intellectual control over the materials and that assists internal and external researchers to gain access to and understand the materials. These come in a wide variety of formats, including card indexes, guides, inventories, shelf and container lists, and registers. The most common finding aid is a single document that places the archival materials in context by consolidating information about the collection, such as acquisition and processing; provenance, including administrative history or biographical note; scope of the collection, including size, subjects, media; organization and arrangement; and an inventory of the series and the folders.

### **\*High-density shelving**

Shelving designed so that rows can be moved next to each other, with no intervening aisle, to provide dense storage. Depending on the system, compact shelving may be moved using a manual crank or an electric motor. (High-density shelving has also been called compact shelving, mobile shelving, mobile aisle shelving, and movable shelving.)

### **\*Manuscript librarian**

An individual responsible for acquiring, providing access to, and managing collections of manuscripts.

### **Memorandum of Understanding**

An agreement between two or more parties regarding the housing and keeping of records with enduring value without an exchange of monetary compensation. This differs from a deed of gift in that the records are loaned rather than permanently transferred.

**Processing**

The arrangement, description, and housing of materials for storage and use by patrons.

A collective term used in archival and records management that refers to the activity required to gain intellectual control of records, papers, or collections, including accessioning, arrangement, culling, boxing, labeling, description, preservation and conservation.

**Record, archival**

Materials created or received by an entity in the conduct of their affairs and preserved due to its enduring value in a historical sense.

**Records center**

A location used for storage of inactive and semi-current records before those records are destroyed or transferred to an archives.

**Records management**

The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition.

**Records manager, designated**

An individual whose responsibilities include the administration of programs for the efficient and economical handling, protecting, and disposing of records throughout their life cycle.

**\*Records manager, dedicated**

An individual responsible for the administration of programs for the efficient and economical handling, protecting, and disposing of records throughout their life cycle.

**\*Remote storage**

Facilities for housing materials away from where they are used; off-site storage. Remote storage can be used for inactive or low-use materials or for keeping copies of vital or essential records to protect against the destruction of the records due to a disaster.

**Researcher, external**

An individual who uses the collections and services of an archives or records center and comes from outside the institution or entity producing and keeping the records.

**Researcher, internal**

An individual who uses the collections and services of an archives or records center and comes from within the institution or entity producing and keeping the records.

**Retention schedule**

A document that identifies and describes an organization's records, usually at the series level, provides instructions for the disposition of records throughout their life cycle.

**\*Social media coordinator**

An individual responsible for coordinating and creating content across social media platforms.

## VITAL RECORDS

*General Conference Working Policy* BA 70 15 provides as follows:

1. All organizations and institutions shall give special attention to the permanent preservation and security of their own vital records, such as articles of incorporation, constitutions and bylaws, minutes of boards or governing committees, property records and other legal documents, and also church properties that are of an intellectual nature, such as trademarks and copyrights.
2. The secretary of each division shall forward to the General Conference Office of Archives, Statistics, and Research a true copy of the articles of incorporation of all legal bodies within the division, the division committee minutes, and the board minutes of division institutions.
3. The treasurer/chief financial officer (or other designated officer) of each division shall index, identify, and file property records as follows:
  - a. All deeds, mortgages, contracts, and other documents covering the acquisition and holding of real property by any Seventh-day Adventist organization or institution within the division's territory, and documents of an intellectual nature relating to church properties, such as trademarks and copyrights. At the discretion of the division, documents relating to local churches, primary schools, and residences may instead be maintained by union or conference/mission/field organizations.
  - b. A list or index of such documents, with a brief description of relevant information such as location, name of legal body holding title, original cost, date acquired, and summary of major improvements or additions shall be maintained, and a copy transmitted annually to the General Conference Office of Archives, Statistics, and Research.
4. A designated officer of the Treasury of the General Conference shall forward to the General Conference Office of Archives, Statistics, and Research copies and data relating to property holdings of the General Conference Corporation and of General Conference institutions as specified in paragraph 3. above.

## Collections Worksheet

**Directions:** This worksheet is required. Please complete this form regarding the materials that your entity holds. Note: If you are applying for Center of Excellence, you must fill out *all* sections.

### Archives

How many boxes containing archival material does your institution have?	
What is the current linear measurement (meters or feet) of these archival holdings?	
What formats of materials are included in your archival holdings? <input type="checkbox"/> Paper                      Approx. amount: _____ <input type="checkbox"/> Photographs              Approx. amount: _____ <input type="checkbox"/> Audio                      Approx. amount: _____ <input type="checkbox"/> Film                      Approx. amount: _____ <input type="checkbox"/> Electronic records      Approx. amount: _____	<input type="checkbox"/> Other ( <i>describe</i> ):  _____  How frequently are the collections used by staff members and by researchers?  _____
How would you generally rate the preservation level of your archival holdings? <input type="checkbox"/> Very poor <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good <input type="checkbox"/> Very good <input type="checkbox"/> Excellent	At what rate (expressed in boxes per year) are the collection(s) expected to grow?  _____  How frequently are the collections used by staff members and by researchers?  _____

### Records Center

How many records boxes are transferred yearly into the records center?	
What formats of materials are included in these transfers? <input type="checkbox"/> Paper                      Approx. amount: _____ <input type="checkbox"/> Photographs              Approx. amount: _____ <input type="checkbox"/> Audio                      Approx. amount: _____ <input type="checkbox"/> Film                      Approx. amount: _____ <input type="checkbox"/> Electronic records      Approx. amount: _____	<input type="checkbox"/> Other ( <i>describe</i> ):  _____
What is the general rating of the preservation level of your records holdings? <input type="checkbox"/> Very poor <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good <input type="checkbox"/> Very good <input type="checkbox"/> Excellent	At what rate (expressed in boxes per year) is the records center to grow? _____  How frequently are there requests for materials held in the records center? _____

## Websites and Social Media

Please list the URL(s) of any websites related to your archives or records center:

Please list any social media accounts (ie, Twitter handle, etc.) of your archives or records center:

How often is material published on your social media accounts? \_\_\_\_\_

Who handles the researching, writing, scheduling, and publishing of social media posts? \_\_\_\_\_

\_\_\_\_\_



**A. Staffing**

1. Is the Secretary directly responsible for the management of the records center?
2. Is there a designated records manager who reports to the Secretary?
3. Is there an institutional committee who oversees records management?

**B. Oversight**

1. Are vital records (cf. WP BA 70-15) secure?
2. Are retrievals and returns to the records center recorded?
3. Is there an organizational plan for the records center?

**C. Retention Schedule**

1. Is there a retention schedule?
2. Has the retention schedule been updated within the last five years?
3. Is the retention schedule in harmony with GC Working Policy BA 70 10?
4. Does the retention schedule include electronic records?

**D. Physical Locations and Preservation**

1. Is there an inventory of the holdings of the records center?
2. Is the storage space safe for staff to access?
  - a. Are items clearly and permanently marked for easy retrieval?
  - b. Is the storage space well-lit?
  - c. Are shelving units stable?
  - d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas?
3. Does the physical location(s) allow for materials to be preserved?
  - a. *Fire Safety*
    - i. Is the records center room fireproof?
    - ii. Is there a fire alarm system in the records center?
    - iii. Is there a fire extinguisher in the records center?
    - iv. Is fireproof filing equipment used?
    - v. Are permanent records stored in a fireproof cabinet?
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe.
  - b. *Security*
    - i. Can access to the storage space be controlled?
    - ii. Is a sign-out/in procedure used for accessing the records center?
    - iii. Is access to the records center restricted?
    - iv. Is the records center secured against break-ins?
  - c. *Environment*
    - i. Is the storage space dry and watertight?
    - ii. Is humidity controlled in the records center?
      1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist?

- iii. Does the records center have an acceptable temperature range for long-term storage?
- iv. Have measures been taken to prevent and protect against leaks?
- v. Have measures been taken to control termites, mice, and other pests?
- d. *Accessibility of records*
  - i. Are storage spaces accessible in an acceptable timeframe (within a week)?
  - ii. Are storage spaces adequate for current needs?
- 4. Is there a working relationship between the records center and the institutional IT department?
- 5. Are there disaster policies and plans? Please describe.

## Evaluators' Score Sheet - Records Center – Emerging

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### A. Staffing (8 points total)

1. Is the Secretary directly responsible for the management of the records center? (0-3 points)
2. Is there a designated records manager who reports to the Secretary? (0-2 points)
3. Is there an institutional committee who oversees records management? (0-3 points)

Section A score: \_\_\_\_\_/8

### B. Oversight (10 points total)

1. Are vital records (cf. WP BA 70-15) secure? (0-5 points)
2. Are retrievals and returns to the records center recorded? (0-2 points)
3. Is there an organizational plan for the records center? (0-3 points)

Section B score: \_\_\_\_\_/10

### C. Retention Schedule (13 points total)

1. Is there a retention schedule? (0-3 points)
2. Has the retention schedule been updated within the last five years? (0-3 points)
3. Is the retention schedule in harmony with GC Working Policy BA 70 10? (0-5 points)
4. Does the retention schedule include electronic records? (0-2 points)

Section C score: \_\_\_\_\_/13

### D. Physical Locations and Preservation (69 points total)

1. Is there an inventory of the holdings of the records center? (0-3 points)
2. Is the storage space safe for staff to access? *D2 subsection score* \_\_\_\_\_ / 11
  - a. Are items clearly and permanently marked for easy retrieval? (0-2 points)
  - b. Is the storage space well-lit? (0-3 points)
  - c. Are shelving units stable? (0-3 points)
  - d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-3 points)
3. Does the physical location(s) allow for materials to be preserved? *D3 subsection score* \_\_\_\_ / 51
  - a. *Fire Safety*
    - i. Is the records center room fireproof? (0-3 points)
    - ii. Is there a fire alarm system in the records center? (0-3 points)
    - iii. Is there a fire extinguisher in the records center? (0-3 points)
    - iv. Is fireproof filing equipment used? (0-3 points)
    - v. Are permanent records stored in a fireproof cabinet? (0-3 points)
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe. (0-1 point)
  - b. *Security*
    - i. Can access to the storage space be controlled? (0-3 points)
    - ii. Is a sign-out/in procedure used for accessing the records center? (0-3 points)

- iii. Is access to the records center restricted? (0-3 points)
  - iv. Is the records center secured against break-ins? (0-3 points)
- c. *Environment*
- i. Is the storage space dry and watertight? (0-3 points)
  - ii. Is humidity controlled in the records center? (0-3 points)
    - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist? (0-2 points)
  - iii. Does the records center have an acceptable temperature range for long-term storage? (0-3 points)
  - iv. Have measures been taken to prevent and protect against leaks? (0-3 points)
  - v. Have measures been taken to control termites, mice, and other pests? (0-3 points)
- d. *Accessibility of records*
- i. Are storage spaces accessible in an acceptable timeframe (within a week)? (0-3 points)
  - ii. Are storage spaces adequate for current needs? (0-3 points)
4. Is there a working relationship between the records center and the institutional IT department? (0-2 points)
5. Are there disaster policies and plans? Please describe. (0-2 points)

**Section D score: \_\_\_\_/69**

## For Evaluators

Remember:

- a. Applicant *must* achieve an overall minimum of 60% to achieve emerging status (minimum of 60 points)
- b. Questions are scored along a range of points, which means that partial points are possible
- c. If Section A has a score of less than half the total number of section points [equal to or less than 3 points], applicant is not eligible to achieve emerging status until records manager has been designated and/or until committee whose terms of reference include records management is created
- d. If B1 has a score of zero points, applicant is not eligible to achieve emerging status until vital records are secure
- e. If Section C has an overall section score of less than 50% [6.5 points is 50%], applicant is not eligible to achieve emerging status until the issues with the retention schedule have been addressed
- f. If D2 has a score of less than 50% [5.5 points is 50%], or D3 has a score of less than 60% [30.6 points is 60%], applicant is not eligible to achieve emerging status until issues are corrected

A section score: \_\_\_\_\_/8

B section score: \_\_\_\_\_/10

C section score: \_\_\_\_\_/13

D section score: \_\_\_\_\_/69

**Total score: \_\_\_\_\_/100**

*Observations:*

**Recommendation for status:** \_\_\_\_\_



**A. Staffing**

1. Is there a designated records manager, whether the designee is part-time or full-time?
2. Does the designated records manager have access to someone with training in records management?
3. Is there an institutional committee whose terms of reference include records management?

**B. Oversight**

1. Are vital records (refer to WP BA 70-15) secure?
2. Is there an organizational plan for the records center?
3. Are retrievals and returns to the records center recorded?
4. Are there policies governing access to the records?

**C. Retention Schedule**

1. Is there a retention schedule?
2. Has the retention schedule been updated within the last two years?
3. Has the retention schedule been applied to records?
4. Is the retention schedule in harmony with GC Working Policy BA 70 10?
5. How are electronic records included in the retention schedule?

**D. Physical Locations and Preservation**

1. Is there an inventory of the holdings of the records center?
2. Is the storage space safe to use?
  - a. Are items clearly and permanently marked for easy retrieval?
  - b. Is the storage space well-lit?
  - c. Are shelving units stable?
  - d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas?
3. Does the physical location(s) allow for materials to be preserved?
  - a. *Fire Safety*
    - i. Is the records center room fireproof?
    - ii. Is there a fire alarm system in the records center?
    - iii. Is there a fire extinguisher in the records center?
    - iv. Is fireproof filing equipment used?
    - v. Are permanent records stored in a fireproof cabinet?
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe.
  - b. *Security*
    - i. Can access to the storage space be controlled?
    - ii. Is a sign-out/in procedure used for accessing the records center?
    - iii. Is access to the records center restricted?
    - iv. Is the records center secured against break-ins?
  - c. *Environment*
    - i. Is the storage space dry and watertight?

- ii. Are there adequate and appropriate measures to control the level of humidity in the physical location?
    - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist?
  - iii. Does the records center have an acceptable temperature range for long-term storage?
  - iv. Have measures been taken to prevent and protect against leaks?
  - v. Have measures been taken to control termites, mice, and other pests?
  - vi. Are acid-free boxes used to house records?
  - d. *Accessibility of records*
    - i. Are storage spaces accessible in an acceptable timeframe (within 48 hours)?
    - ii. Are storage spaces adequate for current needs?
4. Is there a working relationship between the records center and the institutional IT department?
5. Are there disaster prevention and recovery policies and plans? Please describe.



## Evaluators' Score Sheet - Records Center – Recognized

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### A. Staffing (10 points total)

1. Is there a designated records manager, whether the designee is part-time or full-time? (0-3 points)
2. Does the designated records manager have access to someone with training in records management? (0-2 points)
3. Is there an institutional committee whose terms of reference include records management? (0-5 points)

Section A score: \_\_\_\_\_/10

### B. Oversight (15 points total)

1. Are vital records (refer to WP BA 70-15) secure? (0-5 points)
2. Is there an organizational plan for the records center? (0-3 points)
3. Are retrievals and returns to the records center recorded? (0-2 points)
4. Are there policies governing access to the records? (0-5 points)

Section B score: \_\_\_\_\_/15

### C. Retention Schedule (25 points total)

1. Is there a retention schedule? (0-5 points)
2. Has the retention schedule been updated within the last two years? (0-5 points)
3. Has the retention schedule been applied to records? (0-5 points)
4. Is the retention schedule in harmony with GC Working Policy BA 70 10? (0-5 points)
5. How are electronic records included in the retention schedule? (0-5 points)

Section C score: \_\_\_\_\_/25

### D. Physical Locations and Preservation (70 points total)

1. Is there an inventory of the holdings of the records center? (0-3 points)
2. Is the storage space safe for staff to access? D2 subsection score \_\_\_\_\_ / 11
  - a. Are items clearly and permanently marked for easy retrieval? (0-2 points)
  - b. Is the storage space well-lit? (0-3 points)
  - c. Are shelving units stable? (0-3 points)
  - d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-3 points)
3. Does the physical location(s) allow for materials to be preserved? D3 subsection score \_\_\_\_ / 52
  - a. *Fire Safety*
    - i. Is the records center room fireproof? (0-3 points)
    - ii. Is there a fire alarm system in the records center? (0-3 points)
    - iii. Is there a fire extinguisher in the records center? (0-3 points)
    - iv. Is fireproof filing equipment used? (0-3 points)
    - v. Are permanent records stored in a fireproof cabinet? (0-3 points)
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe. (0-1 point)
  - b. *Security*

- i. Can access to the storage space be controlled? (0-3 points)
  - ii. Is a sign-out/in procedure used for accessing the records center? (0-3 points)
  - iii. Is access to the records center restricted? (0-3 points)
  - iv. Is the records center secured against break-ins? (0-3 points)
- c. *Environment*
- i. Is the storage space dry and watertight? (0-3 points)
  - ii. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-3 points)
    - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist? (0-2 points)
  - iii. Does the records center have an acceptable temperature range for long-term storage? (0-3 points)
  - iv. Have measures been taken to prevent and protect against leaks? (0-3 points)
  - v. Have measures been taken to control termites, mice, and other pests? (0-3 points)
  - vi. Are acid-free boxes used to house records? (0-1 point)
- d. *Accessibility of records*
- i. Are storage spaces accessible in an acceptable timeframe (within 48 hours)? (0-3 points)
  - ii. Are storage spaces adequate for current needs? (0-3 points)
4. Is there a working relationship between the records center and the institutional IT department? (0-2 points)
5. Are there disaster prevention and recovery policies and plans? Please describe. (0-2 points)

**Section D score: \_\_\_\_\_/70**

## For Evaluators

Remember:

- a. Applicant *must* achieve an overall minimum of 65% to achieve recognized status (minimum of 78 points).
- b. Questions are scored along a range of points, which means that partial points are possible.
- c. If the applicant does not hold electronic records, questions related to such are optional.
- d. If A1 has a score of zero points, applicant is not eligible to achieve recognized status until records manager has been designated.
- e. If A3 has a score of zero points, applicant is not eligible to achieve recognized status until committee whose terms of reference include archives and records management is created.
- f. If B1 has a score of zero points, applicant is not eligible to achieve recognized status until vital records are secure.
- g. If Section C has an overall section score of less than 60% [15 points is 50%], applicant is not eligible to achieve recognized status until the issues with the retention schedule have been addressed.
- h. If C1 has a score of zero points, applicant is not eligible to achieve recognized status until retention schedule is created and implemented.
- i. If D2 has a score of less than 50% [5.5 points is 50%], or D3 has a score of less than 60% [31.2 points is 60%], applicant is not eligible to achieve emerging status until issues are corrected

A section score: \_\_\_\_\_/10

B section score: \_\_\_\_\_/15

C section score: \_\_\_\_\_/25

D section score: \_\_\_\_\_/70

**Total score: \_\_\_\_\_/120**

*Observations:*

**Recommendation for status:** \_\_\_\_\_



**A. Staffing**

1. Is staffing sufficient for adequate processing and preservation of materials?
2. Is there a designated records manager, whether the designee is part-time or full-time?
3. Has the designated records manager been trained to deal with records? *or* Does the designated records manager have access to someone with that training?
4. Is there an institutional committee whose terms of reference include records management?
5. Does the committee receive reports on the records center at least annually?

**B. Oversight**

1. Are vital records (refer to WP BA 70 15) secure?
2. Is there an organizational plan for the records center?
3. Are retrievals and returns to the records center recorded?
4. Are there policies governing access to the records?

**C. Retention Schedule**

1. Is the retention schedule regularly updated (i.e., within the last two (2) years)?
2. Is the retention schedule regularly applied to records?
3. Is the retention schedule in harmony with GC Working Policy BA 70 10?
4. How are electronic records included in the retention schedule?

**D. Physical Locations and Preservation**

1. Is there an inventory of the holdings of the records center?
2. Is the storage space safe to use?
  - a. Are items clearly and permanently marked for easy retrieval?
  - b. Is the storage space well-maintained?
  - c. Is the storage space well-lit?
  - d. Are shelving units stable?
  - e. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas?
3. Does the physical location(s) allow for preservation of the materials?
  - a. *Fire Safety*
    - i. Is the records center room fireproof?
    - ii. Is there a fire alarm system in the records center?
    - iii. Is there a fire extinguisher in the records center?
    - iv. Is fireproof filing equipment used?
    - v. Are permanent records stored in a fireproof cabinet?
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe.
  - b. *Security*
    - i. Can access to the storage space be controlled?
    - ii. Is a sign-out/in procedure used for accessing the records center?
    - iii. Is access to the records center restricted?
    - iv. Is the records center secured against break-ins?

c. *Environment*

- i. Is the storage space dry and watertight?
- ii. Are there adequate and appropriate measures to control the level of humidity in the physical location?
  1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist?
- iii. Does the records center have an acceptable temperature range for long-term storage?
- iv. Have measures been taken to prevent and protect against leaks?
- v. Have measures been taken to control termites, mice, and other pests?
- vi. Are acid-free boxes used to house records?

d. *Accessibility of records*

- i. Are storage spaces easily and rapidly accessible?
  - ii. Are storage spaces adequate for foreseen needs?
  - iii. Does the storage space allow for expansion of holdings?
4. Is there a good working relationship between the records center and the institutional IT department?
  5. Are there disaster prevention and recovery policies and plans?
  6. Do the disaster prevention and recovery policies and plans address electronic records?

## Evaluators' Score Sheet - Records Center – Approved

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### A. Staffing (20 points total)

1. Is staffing sufficient for adequate processing and preservation of materials? (0-5 points)
2. Is there a designated records manager, whether the designee is part-time or full-time? (0-5 points)
3. Has the designated records manager been trained to deal with records? *or* Does the designated records manager have access to someone with that training? (0-5 points)
4. Is there an institutional committee whose terms of reference include archives and records management? (0-3 points)
5. Does the committee receive reports on the records center at least annually? (0-2 points)

Section A score: \_\_\_\_\_/20

### B. Oversight (16 points total)

5. Are vital records (refer to WP BA 70 15) secure? (0-5 points)
6. Is there an organizational plan for the records center? (0-3 points)
7. Are retrievals and returns to the records center recorded? (0-3 points)
8. Are there policies governing access to the records? (0-5 points)

Section B score: \_\_\_\_\_/ 16

### C. Retention Schedule (25 points total)

5. Is there a retention schedule? (0-5 points)
6. Is the retention schedule regularly updated (i.e., within the last two (2) years? (0-5 points)
7. Is the retention schedule regularly applied to records? (0-5 points)
8. Is the retention schedule in harmony with GC Working Policy BA 70 10? (0-5 points)
9. How are electronic records included in the retention schedule? (0-5 points)

Section C score: \_\_\_\_\_/ 25

### D. Physical Locations and Preservation (109 points total)

1. Is there an inventory of the holdings of the records center? (0-3 points)
2. Is the storage space safe to use? *D2 subsection score: \_\_\_\_\_/ 25*
  - a. Are items clearly and permanently marked for easy retrieval? (0-2 points)
  - a. Is the storage space well-maintained? (0-5 points)
  - b. Is the storage space well-lit? (0-5 points)
  - c. Are shelving units stable? (0-10 points)
  - d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-3 points)
3. Does the physical location(s) allow for materials to be preserved? *D3 subsection score \_\_\_\_ / 66*
  - a. *Fire Safety*
    - i. Is the records center room fireproof? (0-3 points)
    - ii. Is there a fire alarm system in the records center? (0-3 points)
    - iii. Is there a fire extinguisher in the records center? (0-3 points)

- iv. Is fireproof filing equipment used? (0-3 points)
- v. Are permanent records stored in a fireproof cabinet? (0-3 points)
- vi. Have any additional measures been taken to prevent and extinguish fires? Please describe. (0-1 point)

b. *Security*

- i. Can access to the storage space be controlled? (0-3 points)
- ii. Is a sign-out/in procedure used for accessing the records center? (0-3 points)
- iii. Is access to the records center restricted? (0-3 points)
- iv. Is the records center secured against break-ins? (0-3 points)

c. *Environment*

- i. Is the storage space dry and watertight? (0-3 points)
- ii. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-5 points)
  - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist? (0-3 points)
- iii. Does the records center have an acceptable temperature range for long-term storage? (0-3 points)
- iv. Have measures been taken to prevent and protect against leaks? (0-3 points)
- v. Have measures been taken to control termites, mice, and other pests? (0-3 points)
- vi. Are acid-free boxes used to house records? (0-3 points)

d. *Accessibility of records*

- i. Are storage spaces easily and rapidly accessible? (0-5 points)
- ii. Are storage spaces adequate for foreseen needs? (0-5 points)
- iii. Does the storage space allow for expansion of holdings? (0-5 points)

- 4. Is there a good working relationship between the records center and the institutional IT department? (0-5 points)
- 5. Are there disaster prevention and recovery policies and plans? Please describe. (0-5 points)
- 6. Do the disaster prevention and recovery policies and plans address electronic records? Please describe. (0-5 points)

**Section D score:** \_\_\_\_\_/109



## For Evaluators

Remember:

- a. Applicant *must* achieve an overall minimum of 70% to achieve approved status (minimum of 119 points).
- b. Questions are scored along a range of points, which means that partial points are possible.
- c. If the applicant does not hold electronic records, questions related to those records are optional.
- d. If A2 has a score of zero points, applicant is not eligible to achieve approved status until records manager has been designated.
- e. If A4 has a score of zero points, applicant is not eligible to achieve approved status until committee whose terms of reference include archives and records management is created.
- f. If B1 has a score of zero points, applicant is not eligible to achieve approved status until vital records are secure.
- g. If Section C has an overall section score of less than 60% [15 points is 60%], applicant is not eligible to achieve recognized status until the issues with the retention schedule have been addressed.
- h. If C1 OR C2 OR C3 have a score of zero points, applicant is not eligible to achieve approved status until retention schedule is created and implemented.
- i. If either D2 *or* D3 have a score of less than 80% [D2, 20 points is 80%; D3, 52.8 points is 80%], applicant is not eligible to achieve approved status until issues are corrected.

A section score: \_\_\_\_\_/20

B section score: \_\_\_\_\_/16

C section score: \_\_\_\_\_/25

D section score: \_\_\_\_\_/109

**Total score: \_\_\_\_\_/170**

*Observations:*

**Recommendation for status:** \_\_\_\_\_



**A. Staffing**

1. Is the Secretary directly responsible for the management of the archives?
2. Is there a designated archivist who reports to the Secretary?
3. If the designated archivist is not trained in archival science, does the designated archivist have access to anyone trained in dealing with archival material?
4. Does the archives report to an institutional committee? Which one?

**B. Oversight**

1. Are vital records (refer to WP BA 70-15) secure?
2. Are retrievals and returns to the archives recorded?
3. Is there a collection management policy?
4. Is there an organizational plan for the archives?
5. Does any archives policy include electronic records?

**C. Physical Locations and Preservation**

5. Is there an inventory of the holdings of the archives?
6. Is the storage space safe for staff to access?
  - a. Are items clearly and permanently marked for easy retrieval?
  - b. Is the storage space well-lit?
  - c. Are shelving units stable?
  - d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas?
7. Does the physical location(s) allow for materials to be preserved?
  - a. *Fire Safety*
    - i. Is the archives room fireproof?
    - ii. Is there a fire alarm system in the archives?
    - iii. Is there a fire extinguisher in the archives?
    - iv. Is fireproof filing equipment used?
    - v. Are permanent records stored in a fireproof cabinet?
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe.
  - b. *Security*
    - i. Can access to the storage space be controlled?
    - ii. Is a sign-out/in procedure used for accessing the archives?
    - iii. Is access to the archives restricted?
    - iv. Is the records center secured against break-ins?
  - c. *Environment*
    - i. Is the storage space dry and watertight?
    - ii. Is humidity controlled in the archives?
      1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist?
    - iii. Does the archives have an acceptable temperature range for long-term storage?
    - iv. Have measures been taken to prevent and protect against leaks?

- v. Have measures been taken to control termites, mice, and other pests?
- d. *Accessibility of records*
  - i. Are storage spaces adequate for current needs?
  - ii. Are there policies governing researchers' access to the materials, including restricted materials? Please describe.
  - iii. How does the archives handle donations of archival material? Please describe.
- 8. Is there a working relationship between the archives and the institutional IT department?
- 9. Are there disaster policies and plans? Please describe.

## Evaluators' Score Sheet – Archives - Emerging

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### A. Staffing (10 points total)

1. Is the Secretary directly responsible for the management of the archives? (0-3 points)
2. Is there a designated archivist who reports to the Secretary? (0-3 points)
3. If the designated archivist is not trained in archival science, does the designated archivist have access to anyone trained in dealing with archival material? (0-2 points)
4. Does the archives report to an institutional committee? Which one? (0-2 points)

Section A score: \_\_\_\_\_/10

### B. Oversight (16 points total)

1. Are vital records (refer to WP BA 70-15) secure? (0-5 points)
2. Are retrievals and returns to the archives recorded? (0-3 points)
3. Is there a collection management policy? (0-3 points)
4. Is there an organizational plan for the archives? (0-2 points)
5. Does any archives policy include electronic records? (0-3 points)

Section B score: \_\_\_\_\_/16

### C. Physical Locations and Preservation (74 points)

1. Is there an inventory of the holdings of the archives? (0-3 points)
2. Is the storage space safe for staff to access? B2 subsection score: \_\_\_\_\_/11
  - a. Are items clearly and permanently marked for easy retrieval? (0-2 points)
  - b. Is the storage space well-lit? (0-3 points)
  - c. Are shelving units stable? (0-3 points)
  - d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-3 points)
3. Does the physical location(s) allow for materials to be preserved? C3 subsection score: \_\_\_\_\_/54
  - a. *Fire Safety*
    - i. Is the archives room fireproof? (0-3 points)
    - ii. Is there a fire alarm system in the archives? (0-3 points)
    - iii. Is there a fire extinguisher in the archives? (0-3 points)
    - iv. Is fireproof filing equipment used? (0-3 points)
    - v. Are permanent records stored in a fireproof cabinet? (0-3 points)
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe. (0-1 point)
  - b. *Security*
    - i. Can access to the storage space be controlled? (0-3 points)
    - ii. Is a sign-out/in procedure used for accessing the archives? (0-3 points)
    - iii. Is access to the archives restricted? (0-3 points)
    - iv. Is the archives secured against break-ins? (0-3 points)
  - c. *Environment*
    - i. Is the storage space dry and watertight? (0-3 points)

- ii. Is humidity controlled in the archives? *(0-3 points)*
  - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist? *(0-2 points)*
- iii. Does the archives have an acceptable temperature range for long-term storage? *(0-3 points)*
- iv. Have measures been taken to prevent and protect against leaks? *(0-3 points)*
- v. Have measures been taken to control termites, mice, and other pests? *(0-3 points)*
- d. *Accessibility of records*
  - i. Are storage spaces adequate for current needs? *(0-3 points)*
  - ii. Are there policies governing researchers' access to the materials, including restricted materials? Please describe. *(0-3 points)*
  - iii. How does the archives handle donations of archival material? Please describe. *(0-3 points)*
- 4. Is there a working relationship between the archives and the institutional IT department? *(0-3 points)*
- 5. Are there disaster policies and plans? Please describe. *(0-3 points)*

**Section C score: \_\_\_\_\_/74**

## For Evaluators

### Remember:

- a. Applicant *must* achieve an overall minimum of 60% to achieve emerging status (minimum of 60 points).
- b. Questions are scored along a range of points, which means that partial points are possible.
- c. If Section A has a score of less than half the total number of section points [equal to or less than 5 points], applicant is not eligible to achieve emerging status until archivist has been designated.
- d. If Section B has an overall section score of less than 50% [8 points is 50%], applicant is not eligible to achieve emerging status until those policies are created.
- e. If B1 has a score of zero points, applicant is not eligible to achieve emerging status until vital records are secure.
- f. If either C2 or C3 have a score of less than 50%, applicant is not eligible to achieve emerging status until safety and preservation issues are corrected.

A section score: \_\_\_\_\_/10

B section score: \_\_\_\_\_/16

C section score: \_\_\_\_\_/74

**Total score: \_\_\_\_\_/100**

*Observations:*

**Recommendation for status:** \_\_\_\_\_





## Archives Accreditation Specifications – Recognized

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### A. Staffing

1. Is there a designated archivist, whether the designee is part-time or full-time?
2. Does the designated archivist have access to anyone trained in dealing with archival material?
3. Is there an institutional committee whose terms of reference include archives and records management?

### B. Oversight

1. Are vital records (refer to WP BA 70-15) secure?
2. Are there policies governing researchers' access to the materials, including restricted materials?
  - a. Are there policies related to external researchers?
  - b. Is there a researcher's agreement?
  - c. Is there a researcher's code of conduct?
3. Are there policies dealing with restrictions of material?
4. Is there a collection management policy?
5. Does any archives policy deal with electronic records? Please describe.
6. Does any policy deal with electronic records? If yes, which ones?
7. What processes or procedures does the applicant have in place for creating and using Memoranda of Understanding?
  - a. Do these processes address what can trigger the return of an item?
  - b. Do these processes address the conditions of preservation for an item?
  - c. Do these processes address potential restrictions on access to an item?

### C. Physical Locations and Preservation

1. Is there an inventory of the holdings of the archives?
2. Is the storage space safe to use?
  - a. Are items clearly and permanently marked for easy retrieval?
  - b. Is the storage space well-lit?
  - c. Are shelving units stable?
  - d. Are there ladders or stepladders, commensurate with shelving, available to allow access to high areas?
3. Does the physical location(s) allow for materials to be preserved?
  - a. *Fire Safety*
    - i. Is the archives room fireproof?
    - ii. Is there a fire alarm system in the records center?
    - iii. Is there a fire extinguisher in the records center?
    - iv. Is fireproof filing equipment used?
    - v. Are permanent records stored in a fireproof cabinet?
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe.
  - b. *Security*
    - i. Can access to the storage space be controlled?
    - ii. Is a sign-out/in procedure used for accessing the archives?
    - iii. Is access to the archives restricted?
    - iv. Is the archives secured against break-ins?
  - c. *Environment*

- i. Is the storage space dry and watertight?
  - ii. Are there adequate and appropriate measures to control the level of humidity in the physical location?
    - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist?
  - iii. Does the archives have an acceptable temperature range for long-term storage?
  - iv. Have measures been taken to prevent and protect against leaks?
  - v. Have measures been taken to control termites, mice, and other pests?
  - vi. Are acid-free boxes used to house records?
- d. *Accessibility of records*
- i. Are storage spaces accessible in an acceptable timeframe (within 48 hours)?
  - ii. Are storage spaces adequate for current needs?
4. Is there a working relationship between the archives and the institutional IT department?
5. Are there disaster prevention and recovery policies and plans? Please describe.

## Evaluators' Score Sheet – Archives - Recognized

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### A. Staffing (10 points total)

1. Is there a designated archivist, whether the designee is part-time or full-time? (0-3 points)
2. Does the designated archivist have access to anyone trained in dealing with archival material? (0-2 points)
3. Is there an institutional committee whose terms of reference include archives and records management? (0-5 points)

Section A score: \_\_\_\_\_/10

### B. Oversight (33 points)

1. Are vital records (refer to WP BA 70-15) secure? (0-5 points)
2. Are there policies governing researchers' access to the materials, including restricted materials? B2 subsection score: \_\_\_\_\_/6
  - a. Are there policies related to external researchers? (0-2 points)
  - b. Is there a researcher's agreement? (0-2 points)
  - c. Is there a researcher's code of conduct? (0-2 points)
3. Are there policies dealing with restrictions of material? (0-5 points)
4. Is there a collection management policy? (0-3 points)
5. Does any archival policy deal with electronic records? Please describe. (0-5 points)
6. What processes or procedures does the applicant have in place for creating and using Memoranda of Understanding? B6 subsection score: \_\_\_\_\_/9
  - a. Do these processes address what can trigger the return of an item? (0-3 points)
  - b. Do these processes address the conditions of preservation for an item? (0-3 points)
  - c. Do these processes address potential restrictions on access to an item? (0-3 points)

Section B score: \_\_\_\_\_/33

### C. Physical Locations and Preservation (77 points total)

1. Is there an inventory of the holdings of the archives? (0-3 points)
2. Is the storage space safe to use? C2 subsection score: \_\_\_\_\_/11
  - a. Are items clearly and permanently marked for easy retrieval? (0-2 points)
  - b. Is the storage space well-lit? (0-3 points)
  - c. Are shelving units stable? (0-3 points)
  - d. Are there ladders or stepladders, commensurate with shelving, available to allow access to high areas? (0-3 points)
3. Does the physical location(s) allow for materials to be preserved? C3 subsection score: \_\_\_\_\_/53
  - a. Fire Safety
    - i. Is the archives room fireproof? (0-3 points)
    - ii. Is there a fire alarm system in the archives? (0-3 points)
    - iii. Is there a fire extinguisher in the archives? (0-3 points)
    - iv. Is fireproof filing equipment used? (0-3 points)
    - v. Are permanent records stored in a fireproof cabinet? (0-3 points)
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe. (0-1 point)

- b. *Security*
    - i. Can access to the storage space be controlled? (0-3 points)
    - ii. Is a sign-out/in procedure used for accessing the archives? (0-3 points)
    - iii. Is access to the archives restricted? (0-3 points)
    - iv. Is the archives secured against break-ins? (0-3 points)
  - c. *Environment*
    - i. Is the storage space dry and watertight? (0-3 points)
    - ii. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-3 points)
      - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist? (0-2 points)
    - iii. Does the archives have an acceptable temperature range for long-term storage? (0-3 points)
    - iv. Have measures been taken to prevent and protect against leaks? (0-3 points)
    - v. Have measures been taken to control termites, mice, and other pests? (0-3 points)
    - vi. Are acid-free boxes used to house records? (0-2 points)
  - d. *Accessibility of records*
    - i. Are storage spaces accessible in an acceptable timeframe (within 48 hours)? (0-3 points)
    - ii. Are storage spaces adequate for current needs? (0-3 points)
4. Is there a working relationship between the archives and the institutional IT department? (0-5 points)
  5. Are there disaster prevention and recovery policies and plans? Please describe. (0-5 points)

**Section C score:** \_\_\_\_\_ / 77

### For Evaluators

Remember:

- a. Applicant *must* achieve an overall minimum of 65% to achieve recognized status (minimum of 78 points).
- b. Questions are scored along a range of points, which means that partial points are possible.
- c. If the applicant does not hold electronic records, sections related to those records are optional.
- d. If A1 has a score of zero points, applicant is not eligible to achieve recognized status until archivist has been designated.
- e. If A3 has a score of zero points, applicant is not eligible to achieve recognized status until committee whose terms of reference include archives and records management is created.
- f. If Section B has an overall section score of less than 60% [21 points is 60%], applicant is not eligible to achieve recognized status until those policies are created.
- g. If B1 has a score of zero points, applicant is not eligible to achieve recognized status until vital records are secure.
- h. If either B2 or B6 have a score of less than 60% [B2, 4.8 points is 60%; B6, 5.4 points is 60%], applicant is not eligible to achieve recognized status until those policies are created.
- i. If either C2 *or* C3 have a score of less than 80% [C2, 8.8 points is 80%; C3, 42.4 points is 80%], applicant is not eligible to achieve recognized status until issues are corrected.

A section score: \_\_\_\_\_/10

B section score: \_\_\_\_\_/33

C section score: \_\_\_\_\_/77

**Total score:** \_\_\_\_\_/120

*Observations:*

**Recommendation for status:** \_\_\_\_\_



**A. Staffing**

1. Is staffing sufficient for adequate processing and preservation of materials?
2. Is there a designated archivist, whether the designee is part-time or full-time?
3. Has the designated archivist been trained to deal with archival material? *or* Does the designated archivist have access to someone with that training?
4. Is there an institutional committee whose terms of reference include archives and records management?
5. Does the committee receive reports on the archives at least annually?

**B. Oversight**

1. Are vital records (refer to WP BA 70 15) secure?
2. Are there policies governing access to the material?
  - a. Are there policies related to external researchers?
  - b. Is there an application to conduct research?
  - c. Is there a researcher's agreement?
  - d. Is there a researcher's code of conduct?
3. Are there policies dealing with restrictions of material?
4. Is there an appropriate collection management policy?
5. Do policies provide for continuing and expanding access to the material?
6. Is there a long-term archival preservation policy?
7. How does the long-term archival preservation policy address electronic records?
8. What processes or procedures does the applicant have in place for creating and using Memoranda of Understanding?
  - a. Do these processes address what can trigger the return of an item?
  - b. Do these processes address the conditions of preservation for an item?
  - c. Do these processes address potential restrictions on access to an item?
9. Do the policies of the archives fit with the wider goals of the parent institution? Please describe.

**C. Physical Locations and Preservation**

1. Is there an inventory of the holdings of the archives?
2. Is the storage space safe to use?
  - a. Are items clearly and permanently marked for easy retrieval?
  - b. Is the storage space well-maintained?
  - c. Is the storage space well-lit?
  - d. Are shelving units stable?
  - e. Are there metal ladders or stepladders, commensurate to the shelving, available to allow access to high areas?
3. Does the physical location(s) allow for preservation of the materials?
  - a. *Fire Safety*
    - i. Is the archives room fireproof?
    - ii. Is there a fire alarm system in the records center?
    - iii. Is there a fire extinguisher in the records center?
    - iv. Is fireproof filing equipment used?

- v. Are permanent records stored in a fireproof cabinet?
- vi. Have any additional measures been taken to prevent and extinguish fires? Please describe.

b. *Security*

- i. Can access to the storage space be controlled?
- ii. Is a sign-out/in procedure used for accessing the archives?
- iii. Is access to the archives restricted?
- iv. Is the archives secured against break-ins?
- v. If electronic records are kept, are the records stored on a local server or on other denominational servers, rather than in the cloud?

c. *Environment*

- i. Is the storage space dry and watertight?
- ii. Are there adequate and appropriate measures to control the level of humidity in the physical location?
  - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist?
- iii. Does the archives have an acceptable temperature range for long-term storage?
- iv. Have measures been taken to prevent and protect against leaks?
- v. Have measures been taken to control termites, mice, and other pests?
- vi. Are acid-free boxes used to house records?

d. *Accessibility of records*

- i. Are storage spaces easily and rapidly accessible?
  - ii. Are storage spaces adequate for foreseen needs?
  - iii. Does the storage space allow for expansion of holdings?
- 4. Is there a good working relationship between the archives and the institutional IT department?
  - 5. Are there appropriate disaster policies and plans, including recovery from potential disasters?
  - 6. Do these disaster policies and plans address electronic records?



## Evaluators' Score Sheet – Archives - Approved

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### A. Staffing (20 points total)

1. Is staffing sufficient for adequate processing and preservation of materials? (0-5 points)
2. Is there a designated archivist, whether the designee is part-time or full-time? (0-5 points)
3. Has the designated archivist been trained to deal with archival material? *or* Does the designated archivist have access to someone with that training? (0-5 points)
4. Is there a committee whose terms of reference include archives and records management? (0-3 points)
5. Does the institutional committee receive reports on the archives at least annually? (0-2 points)

Section A score: \_\_\_\_\_/20

### B. Oversight (55 points total)

1. Are vital records (refer to WP BA 70 15) secure? (0-5 points)
2. Are there policies governing access to the material? *B1 subsection score: \_\_\_\_\_/8*
  - a. Are there policies related to external researchers? (0-2 points)
  - b. Is there an application to conduct research? (0-2 points)
  - c. Is there a researcher's agreement? (0-2 points)
  - d. Is there a researcher's code of conduct? (0-2 points)
3. Are there policies dealing with restrictions of material? (0-5 points)
4. Is there an appropriate collection management policy? (0-5 points)
5. Do policies provide for continuing and expanding access to the material? (0-5 points)
6. Is there a long-term archival preservation policy? (0-5 points)
7. How does the long-term archival preservation policy address electronic records? (0-5 points)
8. What processes or procedures does the applicant have in place for creating and using Memoranda of Understanding? *B7 subsection score: \_\_\_\_\_/9*
  - a. Do these processes address what can trigger the return of an item? (0-3 points)
  - b. Do these processes address the conditions of preservation for an item? (0-3 points)
  - c. Do these processes address potential restrictions on access to an item? (0-3 points)
9. Do the policies of the archives fit with the wider goals of the parent institution? Please describe. (0-8 points)

Section B score: \_\_\_\_\_/55

### C. Physical Locations and Preservation (125 points total)

1. Is there an inventory of the holdings of the archives? (0-3 points)
2. Is the storage space safe to use? *C2 subsection score: \_\_\_\_\_/28*
  - a. Are items clearly and permanently marked for easy retrieval? (0-3 points)
  - b. Is the storage space well-maintained? (0-5 points)
  - c. Is the storage space well-lit? (0-5 points)
  - d. Are shelving units stable? (0-10 points)
  - e. Are there metal ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points)
3. Does the physical location(s) allow for preservation of the materials? *C3 subsection score: \_\_\_\_\_/79*
  - a. *Fire Safety*
    - i. Is the archives room fireproof? (0-3 points)
    - ii. Is there a fire alarm system in the archives? (0-3 points)
    - iii. Is there a fire extinguisher in the archives? (0-3 points)

- iv. Is fireproof filing equipment used? (0-3 points)
  - v. Are permanent records stored in a fireproof cabinet? (0-3 points)
  - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe. (0-1 point)
- b. *Security*
- i. Can access to the storage space be controlled? (0-3 points)
  - ii. Is a sign-out/in procedure used for accessing the archives? (0-3 points)
  - iii. Is access to the archives restricted? (0-3 points)
  - iv. Is the archives secured against break-ins? (0-3 points)
  - v. If electronic records are kept, are the records stored on a local server or on other denominational servers, rather than in the cloud? (0-5 points)
- c. *Environment*
- i. Is the storage space dry and watertight? (0-5 points)
  - ii. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-5 points)
    - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist? (0-3 points)
  - iii. Does the archives have an acceptable temperature range for long-term storage? (0-5 points)
  - iv. Have measures been taken to prevent and protect against leaks? (0-5 points)
  - v. Have measures been taken to control termites, mice, and other pests? (0-5 points)
  - vi. Are acid-free boxes used to house records? (0-3 points)
- d. *Accessibility of records*
- i. Are storage spaces easily and rapidly accessible? (0-5 points)
  - ii. Are storage spaces adequate for foreseen needs? (0-5 points)
  - iii. Does the storage space allow for expansion of holdings? (0-5 points)
4. Is there a good working relationship between the archives and the institutional IT department? (0-5 points)
5. Are there appropriate disaster policies and plans, including recovery from potential disasters? (0-5 points)
6. Do these disaster policies and plans address electronic records? (0-5 points)

**Section C score: \_\_\_\_\_/125**

## For Evaluators

Remember:

- a. Applicant *must* achieve an overall minimum of 70% to achieve approved status (minimum of 140 points).
- b. Questions are scored along a range of points, which means that partial points are possible.
- c. If the applicant does not hold electronic records, sections related to those records are optional.
- d. If A2 has a score of zero points, applicant is not eligible to achieve approved status until archivist has been designated.
- e. If A4 has a score of zero points, applicant is not eligible to achieve approved status until committee whose terms of reference include archives and records management is created.
- f. If Section B has an overall section score of less than 60% [33 points is 60%], applicant is not eligible to achieve approved status until those policies are created.
- g. If B1 has a score of zero points, applicant is not eligible to achieve recognized status until vital records are secure.
- h. If either B1 or B8 have a score of less than 60% [B1, 4.8 points is 60%; B8, 5.4 points is 60%], applicant is not eligible to achieve approved status until those policies are created.
- i. To gain full points in C3a, applicant should have a built-in fire suppression system.
- j. If either C2 *or* C3 have a score of less than 80% [C2, 22.4 points is 80%; C3, 68.8 points is 80%], applicant is not eligible to achieve approved status until issues are corrected.
- k. In C5, “appropriate disaster plans and policies” should address *recovery* from disasters, not just prevention.

A section score: \_\_\_\_\_/20

B section score: \_\_\_\_\_/55

C section score: \_\_\_\_\_/125

**Total score:** \_\_\_\_\_/200

*Observations:*

**Recommendation for status:** \_\_\_\_\_



**A. Staffing**

1. Is staffing sufficient for adequate processing and preservation of materials?
2. Is staffing sufficient to allow for supervision for researchers?
3. Is there a dedicated records manager or archivist?
4. Has someone on staff been trained to deal with records management? *or* Is there a trained archivist or manuscript librarian on staff?
5. Is there an electronic records manager?
6. In archives with a social media presence, is there a designated social media coordinator?
7. Is there an institutional committee dedicated to dealing with archives and records management?
8. Does the committee receive reports from the archivist and/or records manager at least biannually?

**B. Oversight**

1. Are vital records (refer to WP BA 70 15) secure?
2. Are there policies governing access to the records center?
  - a. Are the number of completed record requests tracked?
  - b. Are retrievals and returns to the records center recorded?
3. Is there an organizational plan for the records center?
4. Are there policies governing access to the archival material?
  - a. Are there policies related to external researchers?
    - i. Is there an application to conduct research?
    - ii. Is there a researcher's agreement?
    - iii. Is there a researcher's code of conduct?
    - iv. Is a register maintained of visits and topics and research?
    - v. Are finding aids readily available to external researchers?
5. Do plans exist for promoting the use of the archival collections?
6. Are there policies dealing with restrictions of material?
  - a. Are materials evaluated from time to time in line with this policy?
7. Are there ways to freely access archival materials online?
8. Do policies provide for continuing and expanding access to the material?
9. Is there a comprehensive and appropriate archival collection development policy?
10. Is there a comprehensive and appropriate archival collection management policy?
11. Is there a long-term archival preservation policy?
12. How are electronic records included in the archival preservation policy?
13. Is the long-term preservation of the archives included in the institutional strategic plan?
  - a. Are electronic records included in this plan?
14. Is the archives in collaborative partnership with sister institutions, especially when it comes to acquisitions?
15. What processes or procedures does the applicant have in place for creating and using Memoranda of Understanding?
  - a. Do these processes address what can trigger the return of an item?
  - b. Is documentation required between lender and lendee?
  - c. Do these processes address the conditions of preservation for an item?
  - d. Do these processes address potential restrictions on access to an item?

16. Is there an established process for creating deeds of gift with potential donors?
  - a. Are archival materials appropriately appraised?
  - b. Does the policy address copyright?
  - c. Has legal counsel evaluated the policy?
17. Do the policies related to development of, preservation of, and access to the archival holdings fit with the wider goals of the parent institution?
18. Is the outreach focus of the archives evident in its social media presence and activities?
19. Are records center and archives policies and procedures evaluated on a regular basis?

### **C. Retention Schedule**

1. Is there a retention schedule?
2. Is the retention schedule regularly updated (i.e., within the last two (2) years)?
3. Is the retention schedule regularly applied to the records?
4. Is the retention schedule in harmony with GC Working Policy BA 70 10?

### **D. Physical Locations and Preservation**

7. Is there an inventory of the holdings of the records center?
8. Is there an inventory of the holdings of the archives?
9. Are any physical locations compliant with the highest requirements of local laws regarding health and safety?
10. Is the storage space safe to use?
  - a. Are items clearly and permanently marked for easy retrieval?
  - b. Is the storage space well-maintained?
  - c. Is the storage space well-lit?
  - d. What sort of shelving is used in the records center and archives? Is there high-density shelving? Please describe.
  - e. Are all shelving units stable?
  - f. Are there metal ladders or stepladders, commensurate to the shelving, available to allow access to high areas?
11. Does the physical location(s) allow for preservation of the materials?
  - a. *Fire Safety*
    - i. Are the records center and archives fireproof?
    - ii. Is there a fire alarm system in the record center and archives?
    - iii. Is there a separate fire extinguishing system dedicated to the storage space?
    - iv. Is there a fire extinguisher in the records center and archives?
    - v. Is fireproof filing equipment used?
    - vi. Are permanent records stored in a fireproof cabinet?
    - vii. Have any additional measures been taken to prevent and extinguish fires? Please describe.
  - b. *Security*
    - i. Can access to the storage space be consistently and constantly controlled?
    - ii. Is a sign-out/in procedure used for accessing the records center and archives?
    - iii. Is access to the records center and archives restricted?
    - iv. Is the records center and archives secured against break-ins?
    - v. If electronic records are kept, are the records stored on a local server or on other denominational servers, rather than in the cloud?
  - c. *Environment*
    - i. Is the storage space climate-controlled?
    - ii. Is the storage space dry and watertight?

- iii. Are the floors or shelves raised higher to prevent against flood damage?
  - iv. Is humidity consistently and accurately measured?
  - v. Is temperature consistently and accurately measured?
  - vi. Are there adequate and appropriate measures to control the level of humidity in the physical location?
    - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist?
  - vii. Does the archives have an acceptable temperature range for long-term storage?
  - viii. Have measures been taken to prevent and protect against leaks?
  - ix. Have measures been taken to control termites, mice, and other pests?
  - x. Do the materials used for preservation meet archival standards?
    - 1. Are acid-free (or base-buffered) folders used to store archival material?
    - 2. Are acid-free (or base-buffered) boxes used to store archival material?
    - 3. Have materials been removed from hanging folders?
  - d. *Accessibility of records*
    - i. Are storage spaces easily and rapidly accessible?
    - ii. Are storage spaces adequate for present needs?
    - iii. Does the storage space allow for future expansion of holdings?
12. Is there a cooperative, collaborative relationship between the archives/records center and the institutional IT department?
13. Are there dedicated servers for storing electronic records?
  - a. Are there processes (e.g., checksums) to guard against bit rot and otherwise ensure data integrity?
  - b. Are the servers kept in a secure, climate-controlled space?
14. Is there a dedicated offsite server or servers used for backing up electronic records?
  - a. Are those servers in remote locations?
  - b. Are those servers kept in a secure, climate-controlled space?
15. Are disaster policies and plans comprehensive and appropriate to the center's location?
16. How do the disaster policies and plans address electronic holdings?

**A. Staffing** (35 points total)

1. Is staffing sufficient for adequate processing and preservation of materials? (0-5 points)
2. Is staffing sufficient to allow for supervision for researchers? (0-5 points)
3. Is there a dedicated records manager or archivist? (0-5 points)
4. Has someone on staff been trained to deal with records management? *or* Is there a trained archivist or manuscript librarian on staff? (0-5 points)
5. Is there an electronic records manager? (0-5 points)
6. In archives with a social media presence, is there a designated social media coordinator? (0-5 points)
7. Is there an institutional committee dedicated to dealing with archives and records management? (0-3 points)
8. Does the committee receive reports from the archivist and/or records manager at least biannually? (0-2 points)

Section A score: \_\_\_\_\_/35

**B. Oversight** (125 points total)

1. Are vital records (refer to WP BA 70 15) secure? (0-5 points)
2. Are there policies governing access to the records center? B2 subsection score: \_\_\_\_\_ / 10
  - a. Are the number of completed record requests tracked? (0-5 points)
  - b. Are retrievals and returns to the records center recorded? (0-5 points)
3. Is there an organizational plan for the records center? (0-3 points)
4. Are there policies governing access to the material? B4 subsection score: \_\_\_\_\_/10
  - a. Are there policies are related to external researchers, including the following:
    - i. Is there an application to conduct research? (0-2 points)
    - ii. Is there a researcher's agreement? (0-2 points)
    - iii. Is there a researcher's code of conduct? (0-2 points)
    - iv. Is a register maintained of visits and topics and research? (0-2 points)
    - v. Are finding aids readily available to external researchers? (0-2 points)
5. Do plans exist for promoting the use of the archival collections? (0-2 points)
6. Are there policies dealing with restrictions of material? (0-5 points)
7. Are restricted materials evaluated from time to time in line with this policy? (0-3 points)
8. Are there ways to freely access archival materials online? (0-5 points)
9. Do policies provide for continuing and expanding access to the material? (0-5 points)
10. Is there a comprehensive and appropriate archival collection development policy? (0-5 points)
11. Is there a comprehensive and appropriate archival collection management policy? (0-5 points)
12. Is there a long-term archival preservation policy? (0-5 points)
13. How are electronic records included in the archival preservation policy? (0-5 points)
14. Is the long-term preservation of the archives included in the institutional strategic plan? (0-5 points)
15. Are electronic records addressed in the institutional strategic plan? (0-3 points)
16. Is the archives in collaborative partnership with sister institutions, especially when it comes to acquisitions? (0-10 points)
17. What processes or procedures does the applicant have in place for creating and using Memoranda of Understanding? B17 subsection score: \_\_\_\_\_/12
  - a. Do these processes address what can trigger the return of an item? (0-3 points)
  - b. Is documentation required between lender and lendee? (0-3 points)



- c. Do these processes address the conditions of preservation for an item? (0-3 points)
  - d. Do these processes address potential restrictions on access to an item? (0-3 points)
18. Is there an established process for creating deeds of gift with potential donors? *B18 subsection score: \_\_\_\_\_/15*
- a. Are archival materials appropriately appraised? (0-5 points)
  - b. Does the policy address copyright? (0-5 points)
  - c. Has legal counsel evaluated the policy? (0-5 points)
19. Do the policies related to development of, preservation of, and access to the archival holdings fit with the wider goals of the parent institution? (0-5 points)
20. Is the outreach focus of the archives evident in its social media presence and activities? (0-2 points)
21. Are records center and archives policies and procedures evaluated on a regular basis? (0-5 points)

**Section B score: \_\_\_\_\_/ 125**

**C. Retention Schedule** (20 points total)

1. Is there a retention schedule? (0-5 points)
2. Is the retention schedule regularly updated (i.e., within the last two (2) years)? (0-5 points)
3. Is the retention schedule regularly applied to the records? (0-5 points)
4. Is the retention schedule in harmony with GC Working Policy BA 70 10? (0-5 points)

**Section C score: \_\_\_\_\_/ 20**

**D. Physical Locations and Preservation** (180 points total)

1. Is there an inventory of the holdings of the records center? (0-3 points)
2. Is there an inventory of the holdings of the archives? (0-3 points)
3. Are any physical locations compliant with the highest requirements of local laws regarding health and safety? (0-6 points)
4. Is the storage space safe to use? *D4 subsection score: \_\_\_\_\_/ 25*
  - a. Are items clearly and permanently marked for easy retrieval? (0-3 points)
  - b. Is the storage space well-maintained? (0-3 points)
  - c. Is the storage space well-lit? (0-3 points)
  - d. What sort of shelving is used in the records center and archives? Is there high-density shelving? Please describe. (0-3 points)
  - e. Are all shelving units stable? (0-10 points)
  - f. Are there metal ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-3 points)
5. Does the physical location(s) allow for preservation of the materials? *D5 subsection score: \_\_\_\_\_/110*
  - a. *Fire Safety*
    - i. Are the records center and archives fireproof? (0-3 points)
    - ii. Is there a fire alarm system in the record center and archives? (0-3 points)
    - iii. Is there a separate fire extinguishing system dedicated to the storage space? (0-3 points)
    - iv. Is there a fire extinguisher in the records center and archives? (0-3 points)
    - v. Is fireproof filing equipment used? (0-3 points)
    - vi. Are permanent records stored in a fireproof cabinet? (0-3 points)
    - vii. Have any additional measures been taken to prevent and extinguish fires? Please describe. (0-1 point)

- b. *Security*
- i. Can access to the storage space be consistently and constantly controlled? (0-3 points)
  - ii. Is a sign-out/in procedure used for accessing the records center and archives? (0-3 points)
  - iii. Is access to the records center and archives restricted? (0-3 points)
  - iv. Is the records center and archives secured against break-ins? (0-3 points)
  - v. If electronic records are kept, are the records stored on a local server or on other denominational servers, rather than in the cloud? (0-3 points)
- c. *Environment*
- i. Is the storage space climate-controlled? (0-10 points)
  - ii. Is the storage space dry and watertight? (0-5 points)
  - iii. Are the floors or shelves raised higher to prevent against flood damage? (0-5 points)
  - iv. Is humidity consistently and accurately measured? (0-5 points)
  - v. Is temperature consistently and accurately measured? (0-5 points)
  - vi. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-10 points)
    1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist? (0-3 points)
  - vii. Does the archives have an acceptable temperature range for long-term storage? (0-3 points)
  - viii. Have measures been taken to prevent and protect against leaks? (0-3 points)
  - ix. Have measures been taken to control termites, mice, and other pests? (0-3 points)
  - x. Do the materials used for preservation meet archival standards? *D5cx subsection score: \_\_\_\_/9*
    1. Are acid-free (or base-buffered) folders used to store archival material? (0-3 points)
    2. Are acid-free (or base-buffered) boxes used to store archival material? (0-3 points)
    3. Have materials been removed from hanging folders? (0-3 points)
- d. *Accessibility of records*
- i. Are storage spaces easily and rapidly accessible? (0-5 points)
  - ii. Are storage spaces adequate for present needs? (0-5 points)
  - iii. Does the storage space allow for future expansion of holdings? (0-5 points)
6. Is there a cooperative, collaborative relationship between the archives/records center and the institutional IT department? (0-5 points)
7. Are there dedicated servers for storing electronic records? (0-5 points)
- c. Are there processes (e.g., checksums) to guard against bit rot and otherwise ensure data integrity? (0-2 points)
  - d. Are the servers kept in a secure, climate-controlled space? (0-3 points)
8. Is there a dedicated offsite server or servers used for backing up electronic records? (0-5 points)
- e. Are those servers in remote locations? (0-2 points)
  - f. Are those servers kept in a secure, climate-controlled space? (0-3 points)
9. Are disaster policies and plans comprehensive and appropriate to the center's location? (0-5 points)
10. How do the disaster policies and plans address electronic holdings? (0-3 points)

**Section D score: \_\_\_\_/ 180**

## For Evaluators

Remember:

- a. Applicant *must* achieve an overall minimum of 75% to achieve excellence status (minimum of 270 points).
- b. Questions are scored along a range of points, which means that partial points are possible.
- c. If A3 or A5 have a score of zero points, applicant is not eligible to achieve excellence status until those positions have been created and filled.
- d. If A7 has a score of zero points, applicant is not eligible to achieve excellence status until committee whose terms of reference include archives and records management is created.
- e. If Section B has an overall section score of less than 60% [75 points is 60%], applicant is not eligible to achieve excellence status until those policies are created.
- f. If B1 has a score of zero, applicant is not eligible to achieve excellence status until vital records are secure.
- g. If either B2, B4, B17, or B18 have a score of less than 60% [B2, 6 points is 60%; B4, 6 points is 60%; B17, 7.2 points is 60%; B18, 9 points is 60%], applicant is not eligible to achieve excellence status until those policies are created.
- h. If C1 has a score of zero points, applicant is not eligible for full excellence status until retention schedule is created and implemented.
- i. If D3 has a score of zero, applicant is not eligible to achieve excellence status until those standards are met.
- j. If D4 has a score of less than 80% [20 points is 80%], applicant is not eligible to achieve excellence status until issues are corrected.
- k. If D5 has a score of less than 50% [55 points is 50%], applicant is not eligible to achieve full excellence status.
- l. The second question in D5d is in reference to the space needed for the present needs of the institution; the third question in D5d refers to future space needs. These are two different concerns for the institution, albeit related concerns.

A section score: \_\_\_\_\_/35

B section score: \_\_\_\_\_/125

C section score: \_\_\_\_\_/20

D section score: \_\_\_\_\_/180

**Total score: \_\_\_\_\_/360**

*Observations:*

**Recommendation for status:** \_\_\_\_\_



## Evaluators' Comparative Worksheet

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This sheet may be used to record scores for an applicant under different specifications, as sometimes evaluators may (but are not required to) assess an applicant under two different sets of specifications (*i.e.*, Emerging and Recognized, or Recognized and Approved) or may assess an applicant's records center at one level and its archives at a different level.

<p><b>Records Center – Emerging</b></p> <p>A section score: ____/8            B section score: ____/10            C section score: ____/13            D section score: ____/69  <b>Total score: ____/100</b></p>	<p><b>Archives – Emerging</b></p> <p>A section score: ____/10            B section score: ____/16            C section score: ____/74  <b>Total score: ____/100</b></p>
<p><b>Records Center – Recognized</b></p> <p>A section score: ____/10            B section score: ____/15            C section score: ____/25            D section score: ____/70  <b>Total score: ____/120</b></p>	<p><b>Archives – Recognized</b></p> <p>A section score: ____/10            B section score: ____/33            C section score: ____/77  <b>Total score: ____/120</b></p>
<p><b>Records Center – Approved</b></p> <p>A section score: ____/20            B section score: ____/16            C section score: ____/25            D section score: ____/109  <b>Total score: ____/170</b></p>	<p><b>Archives – Approved</b></p> <p>A section score: ____/20            B section score: ____/55            C section score: ____/125  <b>Total score: ____/200</b></p>
<p><b>Records Center and Archives – Center of Excellence</b></p> <p>A section score: ____/35            B section score: ____/125            C section score: ____/20            D section score: ____/180  <b>Total score: ____/360</b></p>	

## **After the Accreditation Visit: What Comes Next**

The Office of Archives, Statistics, and Research (ASTR) will now review all submitted documentation and, within ninety (90) days of receipt, will recommend to the General Conference Archives, Statistics, and Research Committee whether or not to approve the respective recordkeeping entity's accreditation status. If accreditation has been approved, a Certificate of Accreditation will be issued.

Accreditations are typically valid for a period of five (5) years from the date of issuance. However, at the Evaluation team's discretion: a. "Emerging" accreditations may be valid for three years; and b. Accreditations for Recognized or Approved may be conditional and for a period shorter than five years. All accredited recordkeeping entities will be notified by ASTR within six (6) months of accreditation expiration to ensure ample time to apply for re-inspection to maintain accreditation.

**All accredited entities, regardless of level,** should update ASTR within twelve (12) months regarding what has been done in response to any recommendations made by the Evaluation team.

**If accreditation has not been approved,** ASTR will apprise the respective recordkeeping entity of deficiencies (if any) and offer advice as to how best to address them for subsequent re-application and inspection.

**If accreditation is conditional,** the recordkeeping entity must send an update to the entity's next highest administrative unit as well as ASTR about what has been done to meet those conditions. As soon as conditions are met, the 'conditional' status can be reassessed by ASTR and, in the case of organizational records centers, the parent division.

**If a recordkeeping entity (at any stage of the accreditation process) experiences a change in circumstances, including disasters,** the entity must apprise ASTR of anything that could affect its accreditation.