

## Records Center and Archives Accreditation Specifications – Center of Excellence

### 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**

1. Is there an inventory of the holdings of the records center?
2. Is there an inventory of the holdings of the archives?
3. Are any physical locations compliant with the highest requirements of local laws regarding health and safety?
4. 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?
5. 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?
6. Is there a cooperative, collaborative relationship between the archives/records center and the institutional IT department?
7. 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?
8. 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?
9. Are disaster policies and plans comprehensive and appropriate to the center's location?
10. How do the disaster policies and plans address electronic holdings?

Evaluators' Score Sheet – Records Center and Archives – Center of Excellence

**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*
- Are archival materials appropriately appraised? (0-5 points)
  - Does the policy address copyright? (0-5 points)
  - 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)

- Is there a retention schedule? (0-5 points)
- Is the retention schedule regularly updated (i.e., within the last two (2) years)? (0-5 points)
- Is the retention schedule regularly applied to the records? (0-5 points)
- 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)

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