

# ARCHIVES AND RECORDS CENTRE ACCREDITATION HANDBOOK

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 SEVENTH-DAY ADVENTIST® CHURCH

**astr**  
Office of  
Archives, Statistics,  
and Research



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## 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 records 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 and 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 researcher's accessing those records. Your records are now kept in a systematic manner that best ensures that this 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 have still 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 “Recognition”.
- 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 entity's 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 apply for 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) Each completed application will be processed in a timely manner by ASTR. There are no application costs at present.
- 5) 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.
- 6) Prior to 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.
- 7) 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.
- 8) 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.
- 9) On recommendation from ASTR, the General Conference Archives, Statistics, and Research Committee will award accreditations.
- 10) If accreditation has been approved, a Certificate of Accreditation will be issued.
- 11) 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.
- 12) 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
- 13) 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 1923, 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

## **\*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.



## Records Center Accreditation Specifications – Emerging

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### Staffing and Oversight

Is there a designated records manager?

Is there a committee who oversees records management?

### Physical Locations and Preservation

Is the storage space safe to use?

Is the storage space well-lit?

Are shelving units stable?

Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas?

Does the physical location(s) allow for materials to be preserved?

Can access to the storage space be controlled?

Is the storage space dry and watertight?

Have measures been taken to prevent and protect against leaks?

Have measures been taken to prevent and extinguish fires?

Have measures been taken to control termites, mice, and other pests?

Are there any current measures or plans to introduce measures to control the level of humidity in the physical location?

Are storage spaces accessible in an acceptable timeframe (within a week)?

Are storage spaces adequate for current needs?

Is there a working relationship between the records center and the institutional IT department?

### Policies

Are vital records (cf. WP BA 70-15) secure?

Is there a retention schedule that has been updated within the last five years?

Are electronic records included in the retention schedule?

Are there disaster policies and plans?

**Evaluators' Score Sheet – Records Center – Emerging**

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**A. Staffing and Oversight** (10 points total)

1. Is there a designated records manager? (0-5 points) \_\_\_\_\_
2. Is there a committee whose terms of reference include records management? (0-5 points) \_\_\_\_\_

**Section score:** \_\_\_\_\_/10

**B. Physical Locations and Preservation** (74 points total)

1. Is the storage space safe to use? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **50%** of following questions to receive any points from this subsection:

- a. Is the storage space well-lit? (0-5 points) \_\_\_\_\_
- b. Are shelving units stable? (0-5 points) \_\_\_\_\_
- c. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points) \_\_\_\_\_

*B1 subsection score:* \_\_\_\_\_/15

2. Does the physical location(s) allow for materials to be preserved? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **60%** of following questions to receive any points from this subsection:

- a. Can access to the storage space be controlled? (0-10 points) \_\_\_\_\_
- b. Is the storage space dry and watertight? (0-10 points) \_\_\_\_\_
- c. Have measures been taken to prevent and extinguish fires? (0-10 points) \_\_\_\_\_
- d. Have measures been taken to control termites, mice, and other pests? (0-10 points) \_\_\_\_\_
- e. Are there any current measures or plans to introduce measures to control the level of humidity in the physical location? (0-10 points) \_\_\_\_\_

*B2 subsection score:* \_\_\_\_\_/50

3. Are storage spaces accessible in an acceptable timeframe (within a week)? (0-3 points) \_\_\_\_\_
4. Is storage space adequate for current needs? (0-3 points) \_\_\_\_\_
5. Is there a working relationship between the records center and the institutional IT department? (0-3 points) \_\_\_\_\_

*B3-5 subsection score:* \_\_\_\_\_ / 9

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

**Evaluators' Score Sheet – Records Center – Emerging**

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**C. Policies** (20 points total)

1. Are vital records (cf. WP BA 70-15) secure? (0-5 points) \_\_\_\_
2. Is there a retention schedule that has been updated within the last five years? (0-5 points) \_\_\_\_
3. Are electronic records included in the retention schedule? (0-3 points) \_\_\_\_\_
4. Are there disaster policies and plans? (0-3 points) \_\_\_\_\_

**Section score:** \_\_\_\_\_/16

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

B section score: \_\_\_\_\_/74

C section score: \_\_\_\_\_/16

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

**Things for Evaluators to Remember**

- Applicant *must* achieve an overall minimum of 60% to achieve emerging status (minimum of 60 points)
- Questions are scored along a range of points, which means that partial points are possible
- If Section A has a score of less than half the total number of section 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
- If either B1 or B2 have a score of less than 50%, applicant is not eligible to achieve emerging status until issues are corrected
- If C1 has a score of zero points, applicant is not eligible to achieve emerging status until vital records are secure
- If Section C has an overall section score of less than 50%, applicant is not eligible to achieve recognized status until those policies are created

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



## Records Center Accreditation Specifications – Recognized

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### Staffing

Is there a designated archivist, whether the designee is part-time or full-time?

Does the designated archivist have access to anyone trained in dealing with archival material?

### Oversight

Is there a committee whose terms of reference include archives and records management?

### Physical Locations and Preservation

Is the storage space safe to use?

Is the storage space well-lit?

Are shelving units stable?

Are there ladders or stepladders, commensurate with shelving, available to allow access to high areas?

Does the physical location(s) allow for materials to be preserved?

Can access to the storage space be securely controlled?

Is the storage space dry and watertight?

Have measures been taken to prevent and protect against leaks?

Have measures been taken to prevent and extinguish fires?

Have measures been taken to control termites, mice, and other pests?

Are there adequate and appropriate measures to control the level of humidity in the physical location?

Is the storage space accessible within forty-eight (48) hours?

Is the storage space adequate for current needs?

What is the relationship between the archives and the institutional IT department?

### Policies

What policies govern researchers' access to the materials, including restricted materials?

Are there policies related to external researchers?

Is there a researcher's agreement?

Is there a researcher's code of conduct?

Are vital records (refer to WP BA 70-15) secure?

Are there policies dealing with restrictions of material?

Is there a collection management policy?

Are there disaster policies and plans?

Does any policy deal with electronic records? If yes, which ones?

Is there an established policy for creating Memoranda of Understanding with donors?

Does the policy address what can trigger the return of an item?

Does the policy address the conditions of preservation for an item?

Does the policy address potential restrictions on access to an item?

## Evaluators' Score Sheet - Records Center - Recognized

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### A. Staffing and Oversight (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 records management training? (0-2 points) \_\_\_\_\_
3. Is there a committee whose terms of reference include archives and records management? (0-5 points) \_\_\_\_\_

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

### B. Physical Locations and Preservation (80 points total)

1. Is the storage space safe to use? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **80%** of following questions to receive any points from this subsection:

- a. Is the storage space well-lit? (0-5 points) \_\_\_\_\_
- b. Are shelving units stable? (0-10 points) \_\_\_\_\_
- c. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points) \_\_\_\_\_

B1 subsection score: \_\_\_\_\_/20

2. Does the physical location(s) allow for materials to be preserved? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **80%** of following questions to receive any points from this subsection:

- a. Can access to the storage space be controlled? (0-10 points) \_\_\_\_\_
- b. Is the storage space dry and watertight? (0-10 points) \_\_\_\_\_
- c. Have measures been taken to prevent and protect against leaks? (0-5 points) \_\_\_\_\_
- d. Have measures been taken to prevent and extinguish fires? (0-5 points) \_\_\_\_\_
- e. Have measures been taken to control termites, mice, and other pests? (0-5 points) \_\_\_\_\_

B2 subsection score: \_\_\_\_\_/35

3. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-10 points) \_\_\_\_\_

4. Is the storage space accessible within forty-eight (48) hours? (0-5 points) \_\_\_\_\_

5. Is the storage space adequate for current needs? (0-5 points) \_\_\_\_\_

6. Is there a working relationship between the records center and the institutional IT department? (0-5 points)

B3-6 subsection score: \_\_\_\_\_/25

Section score: \_\_\_\_\_/80

## Evaluators' Score Sheet - Records Center - Recognized

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### C. Policies (35 points total)

1. Are there policies governing access to the material to both internal and external researchers? (0-5 points) \_\_\_\_\_
2. Are there disaster policies and plans? (0-5 points) \_\_\_\_\_
3. Is there a retention schedule? (0-5 points) \_\_\_\_\_
4. Are vital records (refer to WP BA 70-15) secure? (0-5 points) \_\_\_\_\_
5. Has the retention schedule been updated within the last two years? (0-5 points) \_\_\_\_\_
6. Has the retention schedule been applied to records? (0-5 points) \_\_\_\_\_
7. Are electronic records included in the retention schedule? (0-5 points) \_\_\_\_\_

**Section score:** \_\_\_\_\_/35

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

B section score: \_\_\_\_\_/80

C section score: \_\_\_\_\_/35

Total score: \_\_\_\_\_/125

### Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 50% to achieve recognized status
- Questions are scored along a range of points, which means that partial points are possible
- If the applicant does not hold electronic records, sections related to those records are optional
- If A1 has a score of zero points, applicant is not eligible to achieve recognized status until archivist has been designated
- If B1 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
- If either C1 *or* C2 have a score of less than 80%, applicant is not eligible to achieve recognized status until issues are corrected
- If either D1 or D6 have a score of less than 60%, applicant is not eligible to achieve recognized status until those policies are created
- If Section D has an overall section score of less than 60%, applicant is not eligible to achieve recognized status until those policies are created

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



## Records Center Accreditation Specifications – Approved

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### Staffing

Is staffing sufficient for adequate processing and preservation of materials?

Is there a designated records manager, whether the designee is part-time or full-time?

Has the designated records manager been trained to deal with records? *or* Does the designated records manager have access to someone with that training?

### Oversight

Is there a committee whose terms of reference include archives and records management?

Does the committee receive reports on the records center at least annually?

### Physical Locations and Preservation

Is the storage space safe to use?

Is the storage space well-maintained?

Is the storage space well-lit?

Are shelving units stable?

Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas?

Does the physical location(s) allow for preservation of the materials?

Can access to the storage space be controlled?

Is the storage space dry and watertight?

Have measures been taken to prevent and protect against leaks?

Have measures been taken to prevent and extinguish fires?

Have measures been taken to control termites, mice, and other pests?

Are there adequate and appropriate measures to control the level of humidity in the physical location?

Is the storage space easily and rapidly accessible?

Is the storage space adequate for foreseen needs?

Does the storage space allow for expansion of holdings?

Is there a good working relationship between the records center and the institutional IT department?

### Policies

Are there policies governing access to the material to both internal and external researchers?

Are there disaster policies and plans?

Are electronic records addressed in these policies and plans?

Is there a retention schedule?

Are vital records (refer to WP BA 70 15) secure?

Is the retention schedule regularly updated (i.e., within the last two (2) years)?

Is the retention schedule regularly applied to records?

Are electronic records included in the retention schedule?

Evaluators' Score Sheet - Records Center – Approved

**A. Staffing and Oversight** (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 a 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 score: \_\_\_\_\_/20

**B. Physical Locations and Preservation** (90 points total)

1. Is the storage space safe to use? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **80%** of following questions to receive any points from this subsection:

- 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? (0-5 points) \_\_\_\_\_

B1 subsection score: \_\_\_\_\_/25

2. Does the physical location(s) allow for materials to be preserved? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **80%** of following questions to receive any points from this subsection:

- a. Can access to the storage space be controlled? (0-10 points) \_\_\_\_\_
- b. Is the storage space dry and watertight? (0-10 points) \_\_\_\_\_
- c. Have measures been taken to prevent and protect against leaks? (0-5 points) \_\_\_\_\_
- d. Have measures been taken to prevent and extinguish fires? (0-5 points) \_\_\_\_\_
- e. Have measures been taken to control termites, mice, and other pests? (0-5 points) \_\_\_\_\_

B2 subsection score: \_\_\_\_\_/35

3. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-10 points) \_\_\_\_\_

4. Is the storage space easily and rapidly accessible? (0-5 points) \_\_\_\_\_

5. Is the storage space adequate for foreseen needs? (0-5 points) \_\_\_\_\_

6. Does the storage space allow for expansion of holdings? (0-5 points) \_\_\_\_\_

7. Is there a good working relationship between the records center and the institutional IT department? (0-5 points) \_\_\_\_\_

B3-7 subsection score: \_\_\_\_\_/30

Section score: \_\_\_\_\_/90

## Evaluators' Score Sheet - Records Center – Approved

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### D. Policies (25 points total)

1. Are there policies governing access to the material to both internal and external researchers? (0-5 points) \_\_\_\_\_
2. Are there disaster policies and plans? (0-5 points) \_\_\_\_\_
  - a. Are electronic records addressed in these policies and plans? (0-5 points) \_\_\_\_\_
3. Is there a retention schedule? (0-5 points) \_\_\_\_\_
4. Are vital records (refer to WP BA 70 15) secure? (0-5 points) \_\_\_\_\_
5. Is the retention schedule regularly updated (i.e., within the last two (2) years)? (0-5 points) \_\_\_\_\_
6. Is the retention schedule regularly applied to records? (0-5 points) \_\_\_\_\_
7. Are electronic records included in the retention schedule? (0-5 points) \_\_\_\_\_

Section score: \_\_\_\_\_/40

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

B section score: \_\_\_\_\_/90

C section score: \_\_\_\_\_/40

Total score: \_\_\_\_\_/150

### Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 60% to achieve approved status (minimum of 90 points)
- Questions are scored along a range of points, which means that partial points are possible
- If the applicant does not hold electronic records, sections related to those records are optional
- If A2 has a score of zero points, applicant is not eligible to achieve approved status until records manager has been designated
- 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
- If either B1 *or* B2 have a score of less than 80%, applicant is not eligible to achieve approved status until issues are corrected
- If C3 has a score of zero points, applicant is not eligible to achieve approved status until retention schedule is created and implemented
- If Section C has an overall section score of less than 60%, applicant is not eligible to achieve approved status until those policies are created
- **Recommendation for status:** \_\_\_\_\_



### **Staffing and Oversight**

Is there a designated archivist?

If the designated archivist is not trained in archival science, does the designated archivist have access to anyone trained in dealing with archival material?

Is there a committee who oversees the archives?

### **Physical Locations and Preservation**

Is the storage space safe to use?

Is the storage space well-lit?

Are shelving units stable?

Are there ladders or stepladders, commensurate with shelving, available to allow access to high areas?

Does the physical location(s) allow for materials to be preserved?

Is the storage space dry and watertight?

Are there any current measures or plans to introduce measures to control the level of humidity in the physical location?

Have measures been taken to prevent and extinguish fires?

Have measures been taken to control termites, mice, and other pests?

Can access to the storage space be securely controlled?

Is the storage space adequate for current needs?

Is there a working relationship between the archives and the institutional IT department?

### **Policies**

Are vital records (refer to WP BA 70-15) secure?

Is there a collection management policy?

What policies govern researchers' access to the materials, including restricted materials?

Are any policies or plans related to dealing with disasters? If yes, which ones?

Are electronic records included in any archives policy?

Does the archives accept donations? If so, what policies deal with donations?

## Evaluators' Score Sheet – Archives - Emerging

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### A. Staffing and Oversight (10 points total)

1. Is there a designated archivist? (0-3 points) \_\_\_\_\_
2. 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) \_\_\_\_\_
3. Is there a committee who oversees the archives? (0-5 points) \_\_\_\_\_

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

### B. Physical Locations and Preservation (60 points total)

1. Is the storage space safe to use? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **50%** of following questions to receive any points from this subsection:

- a. Is the storage space well-lit? (0-5 points) \_\_\_\_\_
- b. Are shelving units stable? (0-10 points) \_\_\_\_\_
- c. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points) \_\_\_\_\_

B1 subsection score: \_\_\_\_\_/20

2. Does the physical location(s) allow for materials to be preserved? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **60%** of following questions to receive any points from this subsection:

- a. Is the storage space dry and watertight? (0-5 points) \_\_\_\_\_
- b. Are there any current measures or plans to introduce measures to control the level of humidity in the physical location? (0-5 points) \_\_\_\_\_
- c. Have measures been taken to prevent and extinguish fires? (0-5 points) \_\_\_\_\_
- d. Have measures been taken to control termites, mice, and other pests? (0-5 points) \_\_\_\_\_

B2 subsection score: \_\_\_\_\_/20

3. Can access to the storage space be securely controlled? (0-10 points) \_\_\_\_\_

4. Is the storage space adequate for current needs? (0-5 points) \_\_\_\_\_

5. Is there a working relationship between the records center and the institutional IT department? (0-5 points)

B3-5 subsection score: \_\_\_\_\_/20

Section score: \_\_\_\_\_/60

## Evaluators' Score Sheet – Archives - Emerging

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### C. Policies (50 points total)

1. Are vital records (refer to WP BA 70-15) secure? (0-10 points) \_\_\_\_\_
2. Is there a collection management policy? (0-5 points) \_\_\_\_\_
3. What policies govern researchers' access to the materials, including restricted materials? (0-10 points) \_\_\_\_\_
4. Are any policies or plans related to dealing with disasters? If yes, which ones? (0-10 points) \_\_\_\_\_
5. Are electronic records included in any archives policy? If yes, which policies? (0-10 points) \_\_\_\_\_
6. Does the archives accept donations? If so, what policies deal with donations? (0-5 points) \_\_\_\_\_

Section score: \_\_\_\_\_/50

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

B section score: \_\_\_\_\_/60

C section score: \_\_\_\_\_/50

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

### Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 60% to achieve emerging status (minimum of 72 points)
- Questions are scored along a range of points, which means that partial points are possible
- If Section A has a score of less than half the total number of section points, applicant is not eligible to achieve emerging status until archivist has been designated and/or until committee whose terms of reference include the archives is created
- If either B1 or B2 have a score of less than 50%, applicant is not eligible to achieve emerging status until issues are corrected
- If C1 has a score of zero points, applicant is not eligible to achieve emerging status until vital records are secure
- If Section C has an overall section score of less than 50%, applicant is not eligible to achieve recognized status until those policies are created

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



## Archives Accreditation Specifications – Recognized

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### Staffing

Is there a designated archivist, whether the designee is part-time or full-time?

Does the designated archivist have access to anyone trained in dealing with archival material?

### Oversight

Is there a committee whose terms of reference include archives and records management?

### Physical Locations and Preservation

Is the storage space safe to use?

Is the storage space well-lit?

Are shelving units stable?

Are there ladders or stepladders, commensurate with shelving, available to allow access to high areas?

Does the physical location(s) allow for materials to be preserved?

Can access to the storage space be securely controlled?

Is the storage space dry and watertight?

Have measures been taken to prevent and protect against leaks?

Have measures been taken to prevent and extinguish fires?

Have measures been taken to control termites, mice, and other pests?

Are there adequate and appropriate measures to control the level of humidity in the physical location?

Is the storage space accessible within forty-eight (48) hours?

Is the storage space adequate for current needs?

What is the relationship between the archives and the institutional IT department?

### Policies

What policies govern researchers' access to the materials, including restricted materials?

Are there policies related to external researchers?

Is there a researcher's agreement?

Is there a researcher's code of conduct?

Are vital records (refer to WP BA 70-15) secure?

Are there policies dealing with restrictions of material?

Is there a collection management policy?

Are there disaster policies and plans?

Does any policy deal with electronic records? If yes, which ones?

Is there an established policy for creating Memoranda of Understanding with donors?

Does the policy address what can trigger the return of an item?

Does the policy address the conditions of preservation for an item?

Does the policy address potential restrictions on access to an item?

## Evaluators' Score Sheet – Archives – Recognized

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### A. Staffing and Oversight (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 a committee whose terms of reference include archives and records management? (0-5 points) \_\_\_\_\_

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

### B. Physical Locations and Preservation (80 points total)

1. Is the storage space safe to use? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **80%** of following questions to receive any points from this subsection:

- a. Is the storage space well-lit? (0-5 points) \_\_\_\_\_
- b. Are shelving units stable? (0-10 points) \_\_\_\_\_
- c. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points) \_\_\_\_\_

B1 subsection score: \_\_\_\_\_/20

2. Does the physical location(s) allow for materials to be preserved? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **80%** of following questions to receive any points from this subsection:

- a. Can access to the storage space be securely controlled? (0-10 points) \_\_\_\_\_
- b. Is the storage space dry and watertight? (0-10 points) \_\_\_\_\_
- c. Have measures been taken to prevent and protect against leaks? (0-5 points) \_\_\_\_\_
- d. Have measures been taken to prevent and extinguish fires? (0-5 points) \_\_\_\_\_
- e. Have measures been taken to control termites, mice, and other pests? (0-5 points) \_\_\_\_\_

B2 subsection score: \_\_\_\_\_/35

3. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-10 points) \_\_\_\_\_

4. Is the storage space accessible within forty-eight (48) hours? (0-5 points) \_\_\_\_\_

5. Is the storage space adequate for current needs? (0-5 points) \_\_\_\_\_

6. Is there a working relationship between the records center and the institutional IT department? (0-5 points) \_\_\_\_\_

B3-6 subsection score: \_\_\_\_\_/25

Section score: \_\_\_\_\_/80

### C. Policies (43 points total)

1. What policies govern researchers' access to the materials, including restricted materials? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **60%** of following questions to receive any points in this subsection:

- 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) \_\_\_\_\_

C1 subsection score: \_\_\_\_\_/6

**Evaluators' Score Sheet – Archives – Recognized**

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- 2. Are vital records (refer to WP BA 70-15) secure? (0-5 points) \_\_\_\_\_
- 3. Are there policies dealing with restrictions of material? (0-5 points) \_\_\_\_\_
- 4. Is there a collection management policy? (0-5 points) \_\_\_\_\_
- 5. Are there disaster policies and plans? (0-5 points) \_\_\_\_\_
- 6. Does any archival policy deal with electronic records? If yes, which ones? (0-5 points) \_\_\_\_\_

C2-6 subsection score: \_\_\_\_\_ / 25

- 7. Is there an established policy for creating Memoranda of Understanding with donors? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **60%** of following questions to receive any points in this subsection:

- a. Does the policy address what can trigger the return of an item? (0-3 points) \_\_\_\_\_
- b. Does the policy address the conditions of preservation for an item? (0-3 points) \_\_\_\_\_
- c. Does the policy address potential restrictions on access to an item? (0-3 points) \_\_\_\_\_

C7 subsection score: \_\_\_\_\_ / 9

Section score: \_\_\_\_\_/40

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

C section score: \_\_\_\_\_/80

D section score: \_\_\_\_\_/40

**Total score: \_\_\_\_\_/130**

**Things for Evaluators to Remember**

- Applicant *must* achieve an overall minimum of 50% to achieve recognized status (minimum of 65 points)
- Questions are scored along a range of points, which means that partial points are possible
- If the applicant does not hold electronic records, sections related to those records are optional
- If A1 has a score of zero points, applicant is not eligible to achieve recognized status until archivist has been designated
- 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
- If either B1 *or* B2 have a score of less than 80%, applicant is not eligible to achieve recognized status until issues are corrected
- If either C1 or C6 have a score of less than 60%, applicant is not eligible to achieve recognized status until those policies are created
- If Section C has an overall section score of less than 60%, applicant is not eligible to achieve recognized status until those policies are created

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



### **Staffing**

Is staffing sufficient for adequate processing and preservation of materials?

Is there a designated archivist, whether the designee is part-time or full-time?

Has the designated archivist been trained to deal with archival material? *or* Does the designated archivist have access to someone with that training?

### **Oversight**

Is there a committee whose terms of reference include archives and records management?

Does it receive reports on the archives at least annually?

### **Physical Locations and Preservation**

Is the storage space safe to use?

Is the storage space well-maintained?

Is the storage space well-lit?

Are shelving units stable?

Are there metal ladders or stepladders, commensurate to the shelving, available to allow access to high areas?

Does the physical location(s) allow for preservation of the materials?

Can access to the storage space be controlled?

Is the storage space dry and watertight?

Have measures been taken to prevent and protect against leaks?

Have measures been taken to prevent and extinguish fires?

Have measures been taken to control termites, mice, and other pests

Are there adequate and appropriate measures to control the level of humidity in the physical location?

Is the storage space easily and rapidly accessible?

Is the storage space adequate for foreseen needs?

Does the storage space allow for expansion of holdings?

Is there a good working relationship between the archives and the institutional IT department?

If electronic records are kept, are the records stored on a local server or on other denominational servers, rather than in the cloud?

### **Policies**

Are there policies governing access to the material?

Are vital records (refer to WP BA 70 15) secure?

Are there policies related to external researchers?

Is there an application to conduct research?

Is there a researcher's agreement?

Is there a researcher's code of conduct?

Are visits and topics of research tracked?

Are there policies dealing with restrictions of material?

Do policies provide for continuing and expanding access to the material?

Is there an appropriate collection management policy?

Are there appropriate disaster policies and plans?

Is there a long-term archival preservation policy?

Are electronic records included in the long-term archival preservation policy?

Is there an established policy for creating Memoranda of Understanding with potential partners and/or donors?

Does the policy address what can trigger the return of an item?

Does the policy address the conditions of preservation for an item?

Does the policy address potential restrictions on access to an item?

Do the policies fit with the wider goals of the parent institution?

## Evaluators' Score Sheet - Archives – Approved

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### A. Staffing and Oversight (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 committee receive reports on the archives at least annually? (0-2 points) \_\_\_\_\_

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

### B. Physical Locations and Preservation (95 points total)

1. Is the storage space safe to use? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **80%** of following questions to receive any points from this subsection:

- 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 metal ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points) \_\_\_\_\_

B1 subsection score: \_\_\_\_\_/25

2. Does the physical location(s) allow for materials to be preserved? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **80%** of following questions to receive any points from this subsection:

- a. Can access to the storage space be controlled? (0-10 points) \_\_\_\_\_
- b. Is the storage space dry and watertight? (0-10 points) \_\_\_\_\_
- c. Have measures been taken to prevent and protect against leaks? (0-5 points) \_\_\_\_\_
- d. Have measures been taken to prevent and extinguish fires? (0-5 points) \_\_\_\_\_
- e. Have measures been taken to control termites, mice, and other pests? (0-5 points) \_\_\_\_\_

B2 subsection score: \_\_\_\_\_/35

3. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-10 points) \_\_\_\_\_

4. Is the storage space easily and rapidly accessible? (0-5 points) \_\_\_\_\_

5. Is the storage space adequate for foreseen needs? (0-5 points) \_\_\_\_\_

6. Does the storage space allow for expansion of holdings? (0-5 points) \_\_\_\_\_

7. Is there a good working relationship between the records center and the institutional IT department? (0-5 points) \_\_\_\_\_

8. 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) \_\_\_\_\_

B3-8 subsection score: \_\_\_\_\_/35

Section score: \_\_\_\_\_/95

Evaluators' Score Sheet - Archives – Approved

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**C. Policies** (57 points total)

1. Are there policies governing access to the material? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **60%** of following questions to receive any points in this subsection:

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) \_\_\_\_\_

C1 subsection score: \_\_\_\_\_/8

2. Are vital records (refer to WP BA 70 15) secure? (0-5 points) \_\_\_\_\_

3. Are there policies dealing with restrictions of material? (0-5 points) \_\_\_\_\_

3. Do policies provide for continuing and expanding access to the material? (0-5 points) \_\_\_\_\_

4. Is there an appropriate collection management policy? (0-5 points) \_\_\_\_\_

5. Are there appropriate disaster policies and plans? (0-5 points) \_\_\_\_\_

6. Is there a long-term archival preservation policy? (0-5 points) \_\_\_\_\_

a. Are electronic records included in the long-term archival preservation policy? (0-5 points) \_\_\_\_\_

C2-6 subsection score: \_\_\_\_\_ / 35

7. Is there an established policy for creating Memoranda of Understanding with potential partners and/or donors?

Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **60%** of following questions to receive any points in this subsection:

a. Does the policy address what can trigger the return of an item? (0-3 points) \_\_\_\_\_

b. Does the policy address the conditions of preservation for an item? (0-3 points) \_\_\_\_\_

c. Does the policy address potential restrictions on access to an item? (0-3 points) \_\_\_\_\_

C7 subsection score: \_\_\_\_\_/9

8. Do the policies fit with the wider goals of the parent institution? (0-8 points) \_\_\_\_\_

C8 subsection score: \_\_\_\_\_ / 8

**Section score:** \_\_\_\_\_/60

## Evaluators' Score Sheet - Archives – Approved

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

B section score: \_\_\_\_\_/95

C section score: \_\_\_\_\_/60

**Total score:** \_\_\_\_\_/175

### Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 60% to achieve approved status (minimum of 105 points)
- Questions are scored along a range of points, which means that partial points are possible
- If the applicant does not hold electronic records, sections related to those records are optional
- If A2 has a score of zero points, applicant is not eligible to achieve approved status until archivist has been designated
- 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
- If either B1 *or* B2 have a score of less than 80%, applicant is not eligible to achieve approved status until issues are corrected
- If either C1 or C7 have a score of less than 60%, applicant is not eligible to achieve approved status until those policies are created
- If Section C has an overall section score of less than 60%, applicant is not eligible to achieve approved status until those policies are created

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



**Staffing**

- Is staffing sufficient for adequate processing and preservation of materials?
- Is staffing sufficient to allow for supervision for researchers?
- Is there a dedicated records manager or archivist?
- Has someone on staff been trained to deal with records management? *or* Is there a trained archivist or manuscript librarian on staff?
- Is there an electronic records manager?
- In archives with a social media presence, is there a designated social media coordinator?

**Oversight**

- Is there a committee dedicated to dealing with archives and records management?
- Does the committee receive reports from the archivist and/or records manager at least biannually?

**Physical Locations and Preservation**

- Are any physical locations compliant with the highest requirements of local laws regarding health and safety?
- Does the physical location(s) allow for preservation of the materials?
  - Can access to the storage space be consistently and constantly controlled?
  - Is the storage space climate-controlled?
  - Are the floors or shelves raised higher to prevent against flood damage?
  - Have measures been taken to prevent and protect against leaks?
  - Have measures been taken to prevent and extinguish fires?
  - Is there a separate fire extinguishing system dedicated to the storage space?
  - Is humidity consistently and accurately measured?
  - Is temperature consistently and accurately measured?
  - Is the storage space easily and rapidly accessible?
  - If needed, is there high-density shelving?
  - Are any ladders or step-ladders commensurate to the shelving?
  - Is the storage space adequate for present needs?
  - Have measures been taken to control termites, mice, and other pests?
- Do the materials used for preservation meet archival standards?
  - Are acid-free (or base-buffered) folders used to store archival material?
  - Are acid-free (or base-buffered) boxes used to store archival material?
  - Have materials been removed from hanging folders?
- Are there adequate and appropriate measures to control the level of humidity in the physical location?
- Does the storage space allow for future expansion of holdings?
- Is there a cooperative, collaborative relationship between the archives/records center and the institutional IT department?
- Are there dedicated servers for storing electronic records?
  - Are there processes (e.g., checksums) to guard against bit rot and otherwise ensure data integrity?
  - Are the servers kept in a secure, climate-controlled space?
- Is there a dedicated offsite server or servers used for backing up electronic records?
  - Are those servers in remote locations?
  - Are those servers kept in a secure, climate-controlled space?

## **Policies**

### ***Archives***

Are there policies governing access to the material?

Are there policies related to external researchers?

Is there an application to conduct research?

Is there a researcher's agreement?

Is there a researcher's code of conduct?

Is a register maintained of visits and topics and research?

Are finding aids readily available to external researchers?

Do plans exist for promoting the use of the collections?

Are there policies dealing with restrictions of material?

Are materials evaluated from time to time in line with this policy?

Do policies provide for continuing and expanding access to the material?

Are there ways to freely access archival materials online?

Is the archives in collaborative partnership with sister institutions, especially when it comes to acquisitions?

Is there a comprehensive and appropriate collection development policy?

Is there a comprehensive and appropriate collection management policy?

Are disaster policies and plans comprehensive and appropriate to the center's location?

Does the disaster policy address electronic holdings?

Is there a long-term archival preservation policy?

Are electronic records included in the archival preservation policy?

Is there an established process for creating Memoranda of Understanding with potential partners and/or donors?

Does the policy address what can trigger the return of an item?

Is documentation required between lender and lendee?

Does the policy address the conditions of preservation for an item?

Does the policy address potential restrictions on access to an item?

Is there an established process for creating deeds of gift with potential donors?

Are archival materials appropriately appraised?

Does the policy address copyright?

Has legal counsel evaluated the policy?

Do the policies related to development of, preservation of, and access to the archival holdings fit with the wider goals of the parent institution

Are these policies and procedures evaluated on a regular basis?

Is the outreach focus of the archives evident in its social media presence and activities?

### ***Records Center***

Is there a retention schedule?

Is the retention schedule regularly updated (i.e., within the last two (2) years)?

Is the retention schedule regularly applied to the records?

Are vital records (refer to WP BA 70 15) secure?

Are the disaster policies and plans comprehensive and appropriate to the center's location?

Does the disaster policy address electronic holdings?

Are the number of completed record requests tracked?

Are these policies and procedures evaluated on a regular basis?

## Evaluators' Score Sheet - Records Center and Archives - Center of Excellence

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### A. Staffing and Oversight (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 a 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 score: \_\_\_\_\_/35

### B. Physical Locations and Preservation (135 points total)

1. Are any physical locations compliant with the highest requirements of local laws regarding health and safety? (0-6 points) \_\_\_\_\_

B1 subsection score: \_\_\_\_\_/6

2. Does the physical location(s) allow for preservation of the materials? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **80%** of following questions to receive any points from this subsection:

- a. Can access to the storage space be consistently and constantly controlled? (0-10 points) \_\_\_\_\_
- b. Is the storage space climate-controlled? (0-10 points) \_\_\_\_\_
- c. Are the floors or shelves raised higher to prevent against flood damage? (0-10 points) \_\_\_\_\_
- d. Have measures been taken to prevent and protect against leaks? (0-5 points) \_\_\_\_\_
- e. Have measures been taken to prevent and extinguish fires? (0-5 points) \_\_\_\_\_
- f. Is there a separate fire extinguishing system dedicated to the storage space? (0-5 points) \_\_\_\_\_
- g. Is humidity consistently and accurately measured? (0-5 points) \_\_\_\_\_
- h. Is temperature consistently and accurately measured? (0-5 points) \_\_\_\_\_
- i. Is the storage space easily and rapidly accessible? (0-5 points) \_\_\_\_\_
- j. If needed, is there high-density shelving? (0-5 points) \_\_\_\_\_
- k. Are any ladders or step-ladders commensurate to the shelving? (0-5 points) \_\_\_\_\_
- l. Is the storage space adequate for present needs? (0-5 points) \_\_\_\_\_
- m. Have measures been taken to control termites, mice, and other pests? (0-5 points) \_\_\_\_\_

B2 subsection score: \_\_\_\_\_/80

3. Do the materials used for preservation meet archival standards? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **50%** of following questions to receive any points from this subsection:

- a. Are acid-free (or base-buffered) folders used to store archival material? (0-3 points) \_\_\_\_\_
- b. Are acid-free (or base-buffered) boxes used to store archival material? (0-3 points) \_\_\_\_\_
- c. Have materials been removed from hanging folders? (0-3 points) \_\_\_\_\_

B3 subsection score: \_\_\_\_\_/9

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4. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-10 points) \_\_\_\_\_
5. 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) \_\_\_\_\_
- a. Are there processes (e.g., checksums) to guard against bit rot and otherwise ensure data integrity? (0-2 points) \_\_\_\_\_
  - b. 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) \_\_\_\_\_
- a. Are those servers in remote locations? (0-2 points) \_\_\_\_\_
  - b. Are those servers kept in a secure, climate-controlled space? (0-3 points) \_\_\_\_\_

B4-8 subsection score: \_\_\_\_\_ /40

Section score: \_\_\_\_\_/135

### C. Policies (146 points total)

#### I. Archives

1. Are there policies governing access to the material? Yes \_\_\_\_\_ No \_\_\_\_\_

**To get a Yes** – Must have **60%** of following questions to receive any points in this subsection:

- a. Are there policies are related to external researchers?
  - 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) \_\_\_\_\_
- b. Do plans exist for promoting the use of the collections? (0-2 points) \_\_\_\_\_
- c. Are there policies dealing with restrictions of material? (0-5 points) \_\_\_\_\_
  - i. Are materials evaluated from time to time in line with this policy? (0-3 points) \_\_\_\_\_

CI1 subsection score: \_\_\_\_\_/20

2. Do policies provide for continuing and expanding access to the material? (0-5 points) \_\_\_\_\_
3. Are there ways to freely access archival materials online? (0-5 points) \_\_\_\_\_
4. Is the archives in collaborative partnership with sister institutions, especially when it comes to acquisitions? (0-10 points) \_\_\_\_\_

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5. Is there a comprehensive and appropriate collection development policy? (0-5 points) \_\_\_\_\_
6. Is there a comprehensive and appropriate collection management policy? (0-5 points) \_\_\_\_\_
7. Are disaster policies and plans comprehensive and appropriate to the center's location? (0-5 points) \_\_\_\_\_  
a. Does the disaster policy address electronic holdings? (0-3 points) \_\_\_\_\_
8. Is the long-term preservation of the archives included in the institutional strategic plan? (0-5 points) \_\_\_\_\_  
a. Are electronic records included in this plan? (0-3 points) \_\_\_\_\_

CI2-8 subsection score: \_\_\_\_\_ /46

9. Is there an established process for creating Memoranda of Understanding with potential partners and/or donors?

**To get a Yes** – Must have **60%** of following questions to receive any points in this subsection:

- a. Does the policy address what can trigger the return of an item? (0-3 points) \_\_\_\_\_
- b. Is documentation required between lender and lendee? (0-3 points) \_\_\_\_\_
- c. Does the policy address the conditions of preservation for an item? (0-3 points) \_\_\_\_\_
- d. Does the policy address potential restrictions on access to an item? (0-3 points) \_\_\_\_\_

CI9 subsection score: \_\_\_\_\_ /12

10. Is there an established process for creating deeds of gift with potential donors?

**To get a Yes** – Must have **60%** of following questions to receive any points in this subsection:

- 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) \_\_\_\_\_

CI10 subsection score: \_\_\_\_\_ /15

11. 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) \_\_\_\_\_

12. Are these policies and procedures evaluated on a regular basis? (0-5 points) \_\_\_\_\_

13. Is the outreach focus of the archives evident in its social media presence and activities? (0-3 points) \_\_\_\_\_

CI11-13 subsection score: \_\_\_\_\_ /13

Archives subsection score: \_\_\_\_\_ /106

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### II. Records Center

1. Is there a retention schedule? (0-5 points) \_\_\_\_\_
  - a. Is the retention schedule regularly updated (i.e., within the last two (2) years)? (0-5 points) \_\_\_\_\_
  - b. Is the retention schedule regularly applied to the records? (0-5 points) \_\_\_\_\_
2. Are vital records (refer to WP BA 70 15) secure? (0-5 points) \_\_\_\_\_
3. Are the disaster policies and plans comprehensive and appropriate to the center's location? (0-5 points) \_\_\_\_\_
4. Does the disaster policy address electronic holdings? (0-5 points) \_\_\_\_\_
5. Are the number of completed record requests tracked? (0-5 points) \_\_\_\_\_
6. Are these policies and procedures evaluated on a regular basis? (0-5 points) \_\_\_\_\_

Records Center subsection score: \_\_\_\_\_/40

**Section score: \_\_\_\_\_/146**

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

B section score: \_\_\_\_\_/135

C section score: \_\_\_\_\_/146

**Total score: \_\_\_\_\_/316**

### Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 75% to achieve excellence status (minimum of 237 points)
- Questions are scored along a range of points, which means that partial points are possible
- If A3 or A5 have a score of zero points, applicant is not eligible to achieve excellence status until positions have been created and filled
- 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
- If B1 has a score of zero, applicant is not eligible to achieve excellence status until those standards are met
- If B2 has a score of less than 80%, applicant is not eligible to achieve excellence status until issues are corrected
- If B3 has a score of less than 50%, applicant is not eligible to achieve full excellence status
- B2.1 is in reference to the space needed for the present needs of the institution; B5 refers to future space needs. These are two different concerns for the institution, albeit related concerns.
- If either CI1, CI7, or CI10 have a score of less than 60%, applicant is not eligible to achieve excellence status until those policies are created
- If CII1 has a score of zero points, applicant is not eligible for full excellence status until retention schedule is created and implemented
- If Section C has an overall section score of less than 60%, applicant is not eligible to achieve recognized status until those policies are created

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