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

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 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 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?

Note: Eighty percent (80%) of the following questions must be achieved 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?

Note: Fifty percent (50%) of the following questions must be achieved 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

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?
   **Note:** Sixty percent (60%) of the following questions must be achieved to receive any points in this subsection:
   a. Are there policies 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) ____

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?
   **Note:** Sixty percent (60%) of the following questions must be achieved 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?
   **Note:** Sixty percent (60%) of the following questions must be achieved 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

**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) ______
Evaluators’ Score Sheet – Records Center and Archives – Center of Excellence

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 CI11 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 excellence status until those policies are created

Recommendation for status: ____________________________________