

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) _____

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

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 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) _____

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) _____

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

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

Archives subsection score: _____ /106

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 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 excellence status until those policies are created

Recommendation for status: _____