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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.

Eligibility, Application and Survey Processes

- 1) All recordkeeping entities operated under the auspices of a World Division of the Seventh-day Adventist Church 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
- 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 Evaluator (division archives and records centers, and union or conference level as funds permit or circumstances dictate) or, by 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 Evaluator(s), a site visit will be scheduled.
- 7) Upon completion of the Evaluator(s)' 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) If accreditation has been approved a Certificate of Accreditation will be issued.
- 10) 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.
- 11) All accreditations are valid for a period of five (5) years from the date of issuance.
- 12) 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

Levels of Accreditation

ASTR conducts onsite evaluations of an institution's Archives and/or Records Center programs. ASTR surveyors assess an institution's program, in operation, to ascertain if ASTR standards have been met. Final scoring will determine which of the following accreditation levels are to be awarded:

- 1) Full
- 2) Conditional
- 3) In Progress

Full Compliance – Full compliance evidences an institution's good practices in successfully meeting standards promoted by the Office of Archives, Statistics and Research, for the levels of performance devised for Archives Accreditation and/or Records Center Accreditation.

Conditional Compliance – Conditional Accreditation is given to institutions that fail to meet one or more key performance areas but, overall, are substantively in compliance with meeting promoted standards. Conditional Compliance implies that institutions have achieved the minimum required total score for the accreditation as a whole, and are committed to addressing the key performance areas that do not as yet meet the promoted standards.”

In Progress – Those institutions that have been inspected by ASTR and failed to achieve either Full Compliance or Conditional Compliance, yet are desirous of securing accreditation and are committed to working towards that end, shall be considered to be In Progress. They shall have one year from the date of that determination to remedy their deficiency and to schedule a new accreditation inspection, the date of which should be no more than 18 months after the initial determination and during which they must demonstrated that they are in Full Compliance or Conditional Compliance

ASTR posts its accreditation standards, and grading, for each level that it reviews. ASTR will work with all interested institutions to identify deficiencies within their organization and offer counsel as to how these deficiencies can best be corrected.

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 semicurrent 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

Working Policy BA 70 15 reads: "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 – Recognized

Staffing

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

Does the designated records manager have access to someone with training in records management?

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 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?

Is the storage space accessible within an acceptable timeframe (e.g. a week, two weeks)?

Is the storage space adequate for current needs?

Is there a 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?

Is there a retention schedule?

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

Has the retention schedule been updated?

Has the retention schedule been applied to records?

Are electronic records included in the retention schedule?

Evaluators' Score Sheet - Records Center - Recognized

A. Staffing (5 points total)

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

Yes ____ = 3 points No ____ = 0 points

2. Does the designated records manager have access to someone with training in records management? Yes ____ = 2 points

No ____ = 0 points

Section score: _____/5

B. Oversight (5 points total)

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

Yes ____ = 5 points No ____ = 0 points

Section score: _____/5

C. Physical Locations and Preservation (70 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? Yes ____ = 10 points No ____ = 0 points

c. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points)

C1 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? Yes ____ = 10 points No ____ = 0 points

b. Is the storage space dry and watertight? Yes ____ = 10 points No ____ = 0 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?

Yes ____ = 5 points No ____ = 0 points

e. Have measures been taken to control termites, mice, and other pests? (0-5 points)

C2 subsection score: _____/35

3. Is the storage space accessible within an acceptable timeframe (e.g. a week, two weeks)? (0-5 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)

Section score: _____/70

D. Policies (35 points total)

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

Yes ____ = 5 points No ____ = 0 points

2. Are there disaster policies and plans? Yes ____ = 5 points No ____ = 0 points
3. Is there a retention schedule? Yes ____ = 5 points No ____ = 0 points
4. Are vital records (refer to WP BA 70-15) secure? Yes ____ = 5 points No = 0 points
5. Has the retention schedule been updated in the last 5 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: _____/5
 B section score: _____/5
 C section score: _____/70
 D section score: _____/35
 Total score: _____/115

Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 50% in order to achieve recognized status
- If A1 has a score of zero points, applicant is not eligible to achieve recognized status until records manager 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 D3 has a score of zero points, applicant is not eligible to achieve recognized status until retention schedule is created and implemented
- 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

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?

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 (15 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?
Yes ____ = 5 points No ____ = 0 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?
Yes ____ = 5 points No ____ = 0 points

Section score: ____/15

B. Oversight (5 points total)

1. Is there a committee whose terms of reference include archives and records management?
Yes ____ = 3 points No ____ = 0 points
2. Does the committee receive reports on the records center at least annually? (0-2 points)

Section score: ____/5

C. 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-maintained? (0-5 points)
- b. Is the storage space well-lit? (0-5 points)
- c. Are shelving units stable? Yes ____ = 10 points No ____ = 0 points
- d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points)

C1 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? Yes ____ = 10 points No ____ = 0 points
- b. Is the storage space dry and watertight? Yes ____ = 10 points No ____ = 0 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?
Yes ____ = 5 points No ____ = 0 points
- e. Have measures been taken to control termites, mice, and other pests? (0-5 points)

C2 subsection score: ____/35

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

4. Is the storage space adequate for foreseen needs? (0-5 points)
5. Does the storage space allow for expansion of holdings? (0-5 points)
6. Is there a good working relationship between the records center and the institutional IT department? (0-5 points)

Section score: _____/80

D. Policies (25 points total)

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

Yes _____ = 5 points No _____ = 0 points

2. Are there disaster policies and plans? Yes _____ = 5 points No _____ = 0 points

a. Are electronic records addressed in these policies and plans? Yes _ = 5 points No _ = 0 points

3. Is there a retention schedule? Yes _____ = 5 points No _____ = 0 points

4. Are vital records (refer to WP BA 70 15) secure? Yes _____ = 5 points No = 0 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: _____/15

B section score: _____/5

C section score: _____/80

D section score: _____/40

Total score: _____/140

Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 60% in order to achieve approved status
- If A2 has a score of zero points, applicant is not eligible to achieve approved status until records manager has been designated
- If B1 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 C1 *or* C2 have a score of less than 80%, applicant is not eligible to achieve approved status until issues are corrected
- If D3 has a score of zero points, applicant is not eligible to achieve approved status until retention schedule is created and implemented
- If Section D 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: _____

Archives Accreditation Specifications – Recognized

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 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?

Is the storage space accessible within an acceptable timeframe (e.g. a week, two weeks)?

Is the storage space adequate for current needs?

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

Policies

Are there policies governing access to the material to researchers?

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

A. Staffing (5 points total)

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

Yes ____ = 3 points No ____ = 0 points

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

Yes ____ = 2 points No ____ = 0 points

Section score: ____/5

B. Oversight (5 points total)

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

Yes ____ = 5 points No ____ = 0 points

Section score: ____/5

C. Physical Locations and Preservation (70 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? Yes ____ = 10 points No ____ = 0 points

c. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points)

C1 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? Yes ____ = 10 points No ____ = 0 points

b. Is the storage space dry and watertight? Yes ____ = 10 points No ____ = 0 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?

Yes ____ = 5 points No ____ = 0 points

e. Have measures been taken to control termites, mice, and other pests? (0-5 points)

C2 subsection score: ____/35

3. Is the storage space accessible within an acceptable timeframe (e.g. a week, two weeks)? (0-5 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)

Section score: ____/70

D. Policies (43 points total)

1. Are there policies governing access to the material to researchers? 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)

D1 subsection score: _____/6

2. Are vital records (refer to WP BA 70-15) secure? Yes ____ = 5 points No = 0 points
3. Are there policies dealing with restrictions of material? Yes ____ = 5 points No ____ = 0 points
4. Is there a collection management policy? Yes ____ = 5 points No ____ = 0 points
5. Are there disaster policies and plans? Yes ____ = 5 points No ____ = 0 points
6. Does any archival policy deal with electronic records? If yes, which ones?
Yes ____ = 5 points No ____ = 0 points
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)

D7 subsection score: _____/9

Section score: _____/43

A section score: _____/5
B section score: _____/5
C section score: _____/70
D section score: _____/43
Total score: _____/120

Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 50% in order to achieve recognized status
- 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: _____

Archives Accreditation Specifications – Approved

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

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?

Are electronic 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

A. Staffing (15 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?
Yes ____ = 5 points No ____ = 0 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? Yes ____ = 5 points No ____ = 0 points

Section score: _____/15

B. Oversight (5 points total)

1. Is there a committee whose terms of reference include archives and records management?
Yes ____ = 3 points No ____ = 0 points
2. Does the committee receive reports on the archives at least annually? (0-2 points)

Section score: _____/5

C. Physical Locations and Preservation (85 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? Yes ____ = 10 points No ____ = 0 points
- d. Are there metal ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-5 points)

C1 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? Yes ____ = 10 points No ____ = 0 points
- b. Is the storage space dry and watertight? Yes ____ = 10 points No ____ = 0 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? Yes ____ = 5 points No ____ = 0 points
- e. Have measures been taken to control termites, mice, and other pests? (0-5 points)

C2 subsection score: _____/35

3. Is the storage space easily and rapidly accessible? (0-5 points)
4. Is the storage space adequate for foreseen needs? (0-5 points)
5. Does the storage space allow for expansion of holdings? (0-5 points)
6. Is there a good working relationship between the records center and the institutional IT department? (0-5 points)
7. Are electronic records stored on a local server or on other denominational servers, rather than in the cloud? (0-5 points)

Section score: _____/85

D. Policies (55 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)

D1 subsection score: _____/8

2. Are vital records (refer to WP BA 70 15) secure? Yes ____ = 5 points No = 0 points
3. Are there policies dealing with restrictions of material? Yes ____ = 5 points No ____ = 0 points
3. Do policies provide for continuing and expanding access to the material? (0-5 points)
4. Is there an appropriate collection management policy? Yes ____ = 5 points No ____ = 0 points
5. Are there appropriate disaster policies and plans? Yes ____ = 5 points No ____ = 0 points
6. Is there a long-term archival preservation policy? Yes ____ = 5 points No ____ = 0 points
 - a. Are electronic records included in the long-term archival preservation policy? (0-5 points)
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)

D7 subsection score: _____/9

8. Do the policies fit with the wider goals of the parent institution? (0-5 points)

Section score: _____/55

A section score: _____/15

B section score: _____/5

C section score: _____/85

D section score: _____/55

Total score: _____/160

Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 60% in order to achieve approved status
- If A2 has a score of zero points, applicant is not eligible to achieve approved status until archivist has been designated
- If B1 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 C1 *or* C2 have a score of less than 80%, applicant is not eligible to achieve approved status until issues are corrected
- If either D1 or D7 have a score of less than 60%, applicant is not eligible to achieve approved status until those policies are created
- If Section D 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: _____

Records Center and Archives Accreditation Specifications – Center of Excellence

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 foreseen 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?

Does the storage space allow for 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 fit with the wider goals of the parent institution?

Are these policies and procedures evaluated on a regular basis?

If open to a broader community, does the archives have a social media presence?

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

A. Staffing (30 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? Yes ____ = 5 points No ____ = 0 points
4. Has someone on staff been trained to deal with records management? or Is there a trained archivist or manuscript librarian on staff? Yes ____ = 5 points No ____ = 0 points
5. Is there an electronic records manager? Yes ____ = 5 points No ____ = 0 points
6. In archives with a social media presence, is there a designated social media coordinator? (0-5 points)

Section score: ____/30

B. Oversight (5 points total)

1. Is there a committee dedicated to dealing with archives and records management?
Yes ____ = 3 points No ____ = 0 points
2. Does the committee receive reports from the archivist and/or records manager at least biannually?
Yes ____ = 2 points No ____ = 0 points

Section score: ____/5

C. Physical Locations and Preservation (215 points total)

1. Are any physical locations compliant with the highest requirements of local laws regarding health and safety?
Yes ____ = 21 points No ____ = 0 points

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?
Yes ____ = 10 points No ____ = 0 points
- b. Is the storage space climate-controlled? Yes ____ = 10 points No ____ = 0 points
- c. Are the floors or shelves raised higher to prevent against flood damage?
Yes ____ = 10 points No ____ = 0 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? Yes ____ = 5 points No ____ = 0 points
- f. Is there a separate fire extinguishing system dedicated to the storage space?
Yes ____ = 5 points No ____ = 0 points
- f. Is humidity consistently and accurately measured? Yes ____ = 5 points No ____ = 0 points
- g. Is temperature consistently and accurately measured? Yes ____ = 5 points No ____ = 0 points

- h. Is the storage space easily and rapidly accessible? (0-5 points)
- i. If needed, is there high-density shelving? (0-5 points)
- j. Are any ladders or step-ladders commensurate to the shelving? (0-5 points)
- k. Is the storage space adequate for foreseen needs? (0-5 points)
- l. Have measures been taken to control termites, mice, and other pests? (0-5 points)

C2 subsection score: _____/155

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?
 Yes _____ = 3 points No ____ = 0 points
 - b. Are acid-free (or base-buffered) boxes used to store archival material?
 Yes _____ = 3 points No ____ = 0 points
 - c. Have materials been removed from hanging folders? (0-3 points)

C3 subsection score: _____/9

- 4. Does the storage space allow for expansion of holdings? (0-5 points)
- 5. Is there a cooperative, collaborative relationship between the archives/records center and the institutional IT department? (0-5 points)
- 6. Are there dedicated servers for storing electronic records? Yes _____ = 5 points No ____ = 0 points
 - a. Are there processes (e.g., checksums) to guard against bit rot and otherwise ensure data integrity?
 Yes _____ = 2 points No ____ = 0 points
 - b. Are the servers kept in a secure, climate-controlled space?
 Yes _____ = 3 points No ____ = 0 points
- 7. Is there a dedicated offsite server or servers used for backing up electronic records?
 Yes _____ = 5 points No ____ = 0 points
 - a. Are those servers in remote locations? Yes _____ = 2 points No ____ = 0 points
 - b. Are those servers kept in a secure, climate-controlled space? Yes _____ = 3 points No ____ = 0 points

Section score: _____/215

D. Policies (146 points total)

I. Archives Yes _____ No _____

- 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? Yes ____ = 2 points No ____ = 0 points
 - ii. Is there a researcher's agreement? Yes ____ = 2 points No ____ = 0 points
 - iii. Is there a researcher's code of conduct? Yes ____ = 2 points No ____ = 0 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? Yes ____ = 2 points No ____ = 0 points
- c. Are there policies dealing with restrictions of material? Yes ____ = 5 points No ____ = 0 points
- i. Are materials evaluated from time to time in line with this policy?
Yes ____ = 3 points No ____ = 0 points

DI1 subsection score: _____/20

2. Do policies provide for continuing and expanding access to the material? Yes ____ = 5 points No ____ = 0 points
3. Are there ways to freely access archival materials online? Yes ____ = 5 points No ____ = 0 points
4. Is the archives in collaborative partnership with sister institutions, especially when it comes to acquisitions?
Yes ____ = 10 points No ____ = 0 points
5. Is there a comprehensive and appropriate collection development policy? Yes ____ = 5 points No ____ = 0 points
6. Is there a comprehensive and appropriate collection management policy? Yes ____ = 5 points No ____ = 0 points
7. Are disaster policies and plans comprehensive and appropriate to the center's location?
Yes ____ = 5 points No ____ = 0 points
- a. Does the disaster policy address electronic holdings? Yes ____ = 3 points No ____ = 0 points
8. Is there a long-term archival preservation policy? Yes ____ = 5 points No ____ = 0 points
- a. Are electronic records included in the archival preservation policy?
Yes ____ = 3 points No ____ = 0 points
9. Is there an established process 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? Yes ____ = 3 points No ____ = 0 points
- b. Is documentation required between lender and lendee? Yes ____ = 3 points No ____ = 0 points
- c. Does the policy address the conditions of preservation for an item?
Yes ____ = 3 points No ____ = 0 points
- d. Does the policy address potential restrictions on access to an item?
Yes ____ = 3 points No ____ = 0 points

DI9 subsection score: _____/12

10. Is there an established process for creating deeds of gift with potential donors? Yes _____ No _____

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

- a. Are archival materials appropriately appraised? Yes ____ = 5 points No ____ = 0 points
- b. Does the policy address copyright? Yes ____ = 5 points No ____ = 0 points
- c. Has legal counsel evaluated the policy? Yes ____ = 5 points No ____ = 0 points

DI10 subsection score: _____/15

11. Do the policies fit with the wider goals of the parent institution? (0-5 points)

12. Are these policies and procedures evaluated on a regular basis? Yes ____ = 5 points No ____ = 0 points

13. If open to a broader community, does the archives have a social media presence? (0-3 points)

Archives subsection score: _____/106

II. Records Center Yes _____ No _____

1. Is there a retention schedule? Yes ____ = 5 points No ____ = 0 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? Yes ____ = 5 points No = 0 points

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

Yes ____ = 5 points No ____ = 0 points

3. Does the disaster policy address electronic holdings? Yes ____ = 5 points No ____ = 0 points

4. Are the number of completed record requests tracked? Yes ____ = 5 points No ____ = 0 points

5. Are these policies and procedures evaluated on a regular basis? Yes ____ = 5 points No ____ = 0 points

Records center subsection score: _____/40

Section score: _____/146

A section score: _____/30

B section score: _____/5

C section score: _____/215

D section score: _____/146

Total score: _____/396

Things for Evaluators to Remember

- Applicant *must* achieve an overall minimum of 75% in order to achieve excellence status
- 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 B1 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 C1 has a score of zero, applicant is not eligible to achieve excellence status until those standards are met
- If C2 has a score of less than 80%, applicant is not eligible to achieve excellence status until issues are corrected
- If C3 has a score of less than 50%, applicant is not eligible to achieve full excellence status
- If either DI1, DI7, or DI10 have a score of less than 60%, applicant is not eligible to achieve excellence status until those policies are created
- If DII1 has a score of zero points, applicant is not eligible for full excellence status until retention schedule is created and implemented
- 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: _____