

**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 A 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) \_\_\_\_\_
2. Does the physical location(s) allow for preservation of the materials? *B2 subsection score:* \_\_\_\_\_/80
  - 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) \_\_\_\_\_
3. Do the materials used for preservation meet archival standards? *B3 subsection score:* \_\_\_\_\_/9
  - 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) \_\_\_\_\_
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) \_\_\_\_\_

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- a. Are those servers in remote locations? (0-2 points) \_\_\_\_\_
- b. Are those servers kept in a secure, climate-controlled space? (0-3 points) \_\_\_\_\_

**Section B score:** \_\_\_\_\_/135

**C. Policies** (146 points total)

**I. Archives**

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

- 1. Are there policies governing access to the material? *CI1 subsection score:* \_\_\_\_\_/20
  - a. Are there policies are related to external researchers, including the following:
    - i. Is there an application to conduct research? (0-2 points) \_\_\_\_\_
    - ii. Is there a researcher's agreement? (0-2 points) \_\_\_\_\_
    - iii. Is there a researcher's code of conduct? (0-2 points) \_\_\_\_\_
    - iv. Is a register maintained of visits and topics and research? (0-2 points) \_\_\_\_\_
    - v. Are finding aids readily available to external researchers? (0-2 points) \_\_\_\_\_
  - 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) \_\_\_\_\_
- 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) \_\_\_\_\_
- 9. What processes or procedures does the applicant have in place for creating and using Memoranda of Understanding? *CI9 subsection score:* \_\_\_\_\_/12
  - a. Do these processes address what can trigger the return of an item? (0-3 points) \_\_\_\_\_
  - b. Is documentation required between lender and lendee? (0-3 points) \_\_\_\_\_
  - c. Do these processes address the conditions of preservation for an item? (0-3 points) \_\_\_\_\_
  - d. Do these processes address potential restrictions on access to an item? (0-3 points) \_\_\_\_\_
- 10. Is there an established process for creating deeds of gift with potential donors? *CI10 subsection score:* \_\_\_\_\_/15
  - 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) \_\_\_\_\_
- 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) \_\_\_\_\_

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**II. Records Center**

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

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) \_\_\_\_\_

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

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**For Evaluators**

Remember:

- a. Applicant *must* achieve an overall minimum of 75% to achieve excellence status (minimum of 237 points)
- b. Questions are scored along a range of points, which means that partial points are possible
- c. If A3 or A5 have a score of zero points, applicant is not eligible to achieve excellence status until positions have been created and filled
- d. If A7 has a score of zero points, applicant is not eligible to achieve excellence status until committee whose terms of reference include archives and records management is created
- e. If B1 has a score of zero, applicant is not eligible to achieve excellence status until those standards are met
- f. If B2 has a score of less than 80% [64 points is 80%], applicant is not eligible to achieve excellence status until issues are corrected
- g. If B3 has a score of less than 50% [4.5 points is 50%], applicant is not eligible to achieve full excellence status
- h. 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.
- i. If either CI1, CI7, or CI10 have a score of less than 60% [CI1, 12 points is 60%; CI9, 7.2 points is 60%; CI10, 9 points is 60%], applicant is not eligible to achieve excellence status until those policies are created
- j. If CII1 has a score of zero points, applicant is not eligible for full excellence status until retention schedule is created and implemented
- k. If Section C has an overall section score of less than 60% [87.6 points is 60%], applicant is not eligible to achieve excellence status until those policies are created

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

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

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

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

*Observations:*

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