

A. Staffing and Oversight

1. Is staffing sufficient for adequate processing and preservation of materials?
2. Is staffing sufficient to allow for supervision for researchers?
3. Is there a dedicated records manager or archivist?
4. Has someone on staff been trained to deal with records management? *or* Is there a trained archivist or manuscript librarian on staff?
5. Is there an electronic records manager?
6. In archives with a social media presence, is there a designated social media coordinator?
7. Is there an institutional committee dedicated to dealing with archives and records management?
8. Does the committee receive reports from the archivist and/or records manager at least biannually?

B. Physical Locations and Preservation

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

C. Policies

I. Archives

1. Are there policies governing access to the material?
 - a. Are there policies related to external researchers?
 - i. Is there an application to conduct research?
 - ii. Is there a researcher's agreement?
 - iii. Is there a researcher's code of conduct?
 - iv. Is a register maintained of visits and topics and research?
 - v. Are finding aids readily available to external researchers?
 - b. Do plans exist for promoting the use of the collections?
 - c. Are there policies dealing with restrictions of material?
 - i. Are materials evaluated from time to time in line with this policy?
2. Do policies provide for continuing and expanding access to the material?
3. Are there ways to freely access archival materials online?
4. Is the archives in collaborative partnership with sister institutions, especially when it comes to acquisitions?
5. Is there a comprehensive and appropriate collection development policy?
6. Is there a comprehensive and appropriate collection management policy?
7. Are disaster policies and plans comprehensive and appropriate to the center's location?
 - a. Does the disaster policy address electronic holdings?
8. Is there a long-term archival preservation policy?
 - a. Are electronic records included in the archival preservation policy?
9. What processes or procedures does the applicant have in place for creating and using Memoranda of Understanding?
 - a. Do these processes address what can trigger the return of an item?
 - b. Is documentation required between lender and lendee?
 - c. Do these processes address the conditions of preservation for an item?
 - d. Do these processes address potential restrictions on access to an item?
10. Is there an established process for creating deeds of gift with potential donors?
 - a. Are archival materials appropriately appraised?
 - b. Does the policy address copyright?
 - c. Has legal counsel evaluated the policy?
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?
12. Are these policies and procedures evaluated on a regular basis?
13. Is the outreach focus of the archives evident in its social media presence and activities?

II. Records Center

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