Western Cape Government

Cultural Affairs and Sport

# How to organise, manage and care for your archive:

## A guide for community organisations in South Africa

This guide to archiving for community organisations has been compiled by the Western Cape Archives and Records Service (WCARS) Cape Town, South Africa. This guide has been made available free of charge as part of WCARS public programming activities. It is made freely available for non-commercial use, display, broadcast, performance and distribution. Attribution in the event of copying, display, broadcast, modification or reuse is requested.

June 2024

Western Cape Government

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# How to organise, manage and care for your archive:

## *A guide for community organisations in South Africa.*

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## About this guide

This guide is for anyone who works for, or with, a community organisation. It will show you how to begin to organise, manage and care for the different kinds of materials (paper documents, newspaper clippings, banners, plaques, trophies, framed certificates and photographs) that your organisation has collected over the years that document its activities.

This guide is intended to provide a broad overview of how to get started in organising, managing and caring for an archive. Organising an archive can seem an overwhelming and difficult goal. There are many things to think of and do. This guide will provide knowledge to tackle each aspect of organising, managing and caring for an archive. It will also provide some of the practical steps on how to achieve an organised and well-maintained archive, one step at a time.

Although this guide has been written with community archives in mind, there is plenty of advice and tips for anyone who has family documents that they want to organise and care for. This guide can show you how to formalise existing arrangements for caring for family documents and provide ideas on how to organise your family's documents.

## Why archive?

Archives are important. For many people, they are the "memory" of the organisation, and often reflect important information on the community it serves. For others, a well organised archive is the cornerstone of good governance for an organisation, as documents and information can be quickly retrieved, aiding transparency, audit compliance and organisational accountability. For others, an archive is about heritage – the documenting of past activities and members – a rich source of information that is a source of pride in the organisation's accomplishments over the years. An archive is all these things, and much more.

Collected and safeguarded over many years, the materials are also an investment in staff and volunteer time, not to mention of storage space. But over time, as materials accumulate, things can become difficult to find. It can be hard to know just how much and what is in a collection. The number of materials can be overwhelming. Starting to organise an archive can be a very daunting undertaking, there is much to do, and it can seem that the work is never-ending. This guide will show you how to start organising your archive; how to put procedures in place so that the work becomes easier to do.

One of the important things to remember as you embark on this journey, is that your archive may already be doing many of these things. This guide will help you recognise some of the things already in place and being done in your archive. It will also show you how to fill in any missing gaps, and how to link tasks together to establish a flow of work, so that bit-by-bit you work towards building an organised archive.

**The benefits of a well organised archive**

Once a collection is organised, it becomes easier to find things. It also becomes easier to better manage the materials, for example by identifying multiple duplicates that can be discarded to make way for other materials. It becomes easier to control the movement of materials, so items are not removed without authorisation. It becomes easier to identify and plan for improvements in storage and care, as well as to identify problems that could affect the survival of the collection and get them sorted out.

Organising the collected materials into an organised archive has the benefit of:

- Knowing what materials / information is in the archive.
- The ability to locate documents and answer queries from researchers efficiently.
- Integrating newly acquired materials into the existing collection quickly.
- Compliance with auditing procedures that require information on the scope and nature of the collection, including for the purposes of insurance valuation.
- Leaving the collection on a more soundly organised footing for the next generation of archivists and organisation members, so that the work of building the archive can continue.
- Controlling access to materials and ensure that there is no unauthorised removal of materials.

Archives are increasingly being recognised as part of an organisation's assets. It contains information about the organisation's past work, staff, volunteers, activities and the community it serves. To be of benefit, information needs to be found quickly and easily. This requires an organised archive.

**How the guide is organised**

Organising and managing an archive focuses on four main areas:

1. How to get started organising the materials in your archive.
2. How to safeguard the archival materials from harm and damage (preservation).
3. How to provide access to information, including: accommodating and managing research, exhibition, digitisation, and how to prevent any unauthorised removal of items.
4. What records management is and how it fits into the archiving picture.

To help you with technical archiving terms and concepts, there is a glossary at the back of this guide. The glossary will help guide you recognise terms commonly used in archiving when reading other sources of information about archives.

At the back of this guide, you will also find additional useful information on aspects of organising and managing an archive in the addendum section of the guide. The addenda include more detail on specific elements of archiving, including: how to document donations; how to make a basic inventory of a box of materials; what to include in a collections management policy, and a basic archival appraisal scheme amongst other things.

# Part One

# How to organise an archive:

**What an archive is, how it acquires materials, how materials are accessioned, sorted and organised, and how to list them.**

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**What is an archive?**

An archive is a collection of information, preserved for future generations. The work of the archive is to organise, manage and care for the many materials on which that information is written, printed or recorded on. Archives of all sizes exist all over the world. Some archives are created by official bodies such as governments, businesses or professional organisations, while others are private collections or smaller community-based organisations. No matter the size of the archive, all need to follow similar principles of organising, managing and caring for their records.

The kind of information found in an archive is usually that which is no longer useful on a day-to-day basis to an organisation but is still important and needs to be kept for future reference. These materials are then transferred to an archive to free up space for other documents in daily use in the organisation's office. There are other ways in which materials can come to an archive, including donation, purchase and as "legacy" items placed in the archive simply because they are seen as "old".

**What does an archive keep?**

An archive refers to the documents and other items in its care as "records." Records can take any form, as long as contains information. Traditionally, the kinds of records associated with an archive have been paper-based documents such as letters, reports, minutes of meetings, maps, etc. However, three-dimensional objects can also have informational content. Increasingly, even these traditional types of documents are now in electronic formats, which also require organising and managing.

There are also a number of other non-paper technologies such as sound recordings, and audio-and-visual recordings, that are now part of archival collections. Other kinds of objects such as artworks, textiles, clothing, trophies, and ceremonial awards, can also be found in an archive. Archives usually do not accept published material.

The materials kept by an archive are referred to as records with "enduring value" or "historical significance". This means that records are identified as having information that will be important to future generations. Information that is considered to be important will provide evidence of the organisation's work, functions, activities and impact on the community it serves or represents.

Archives do not keep everything. A selection is made as to what is kept and what is discarded, as there is limited space and resources to create and maintain an archive in the long term. To help the decision-making, a collection policy is useful to spell out what is considered for acquiring by an archive, and what will not kept. This guide will provide more information on how the selection process works that identifies what materials are kept by an archive, as well as information on a collections policy, with a checklist (addendum 2) in the addendum section.

**What does an archive do?**

Archives have four areas of functioning, they are:

1. Collecting and keeping materials

Materials can arrive in an archive in different ways: they can be transferred from elsewhere or from the parent-organisation, they can be donated by people outside of the organisation, they can even be purchased.

Archives are popularly thought to keep "everything". The reality is that with limited storage space and resources, decisions about what to keep and what to discard need to be taken when material coming into the archives is appraised. Ideally, there is a set of rules or guidelines that will help you to take those decisions in a logical and systematic way (while also having a little bit of flexibility to make exceptions where necessary). These guidelines are usually contained in policy and procedure documents that lay out the focus of the archive and what it will consider for collection.

2. Organising and managing archival materials

Materials need to be organised in order to be able to find information efficiently. The work to organise an archive includes organising unorganised materials (arrangement), separating categories of material into logical groups (for example, photographs and audio-visual formats), integrating new and donated materials into the existing collection (arrangement), compiling and/or updating indexes and finding aids (description), and drawing up a filing plan to manage the overall system for how materials are to be filed in the archive.

Managing materials includes keeping records about what materials are consulted, as well as when they were consulted and by whom (access) and how they are stored and protected from pests and harm (preservation). Keeping a record of records consulted speaks to the relevance of the archive to both staff and researchers. Once you begin to note down the in-person visits, emails and telephonic queries, you may well realise that the archive is much busier than previously thought. Information like this can help justify further and continued investment in maintaining an archive. Tracking use not only helps with recording the use of the archive, but also for security considerations: this ensures that there is no unauthorised removal of materials and that materials are returned to their storage place once they have been consulted. It will also include the documentation and oversight of longer-term usage of materials for exhibition and/ or loan purposes, as well as more unusual usage of the materials (such as for filming and photography).

3. Providing access to information

Providing access to the archival materials may be limited to staff and members of the organisation or may be open to include members of the public and researchers. Access may be physical (i.e., in-person consultation in the organisation's archive), or virtual (i.e., digitised records placed on the internet of via a secure portal). There needs to be rules and procedures for granting access to records to ensure that there is no unauthorised removal of records, and that no harm comes to records during their handling of them by researchers.

It is useful to draw up procedures for the more unusual kinds of access that may be requested from time-to-time, such as filming and photography for documentaries or other purposes, the loan and exhibition of materials, etc. Though unusual, requests of this nature can happen, and it is always helpful to have some sort of existing guide as to how to proceed so that the archival materials do not suffer loss or harm, and that staff or the functioning of the archives is not unduly prejudiced during these unusual events. These unusual activities include filming and photography for documentaries or other purposes, the loan and exhibition of archival materials by other institutions or organisations. Though unusual, requests of this nature can happen, and it is always helpful to have some sort of existing guide as to how to proceed.

4. Caring and safeguarding

The care of archival materials includes storage, cleanliness of the storage environment and safeguarding from dangers such as pests and mould. Care also extends to how the archival materials are handled and used by both staff and researchers. The umbrella term for all these activities is "preservation." Preservation includes any and all activities aimed at ensuring the continued survival of the archival materials, so that future generations may also benefit.

**Electronic records**

Increasingly, records coming into archives will be in electronic format. The managing and care of these records is a field on its own. In future updates of the guide, we hope to bring you information on this aspect of archiving.

The best advice is to first have your physical records sorted and managed properly before you begin to actively collect electronic records. Once you do begin to receive them, the order and classification of your paper-based records can guide your implementation of a similar electronic system.

**In conclusion…**

There is lots to do in organising an archive. It does not matter if it you are starting something completely new or are starting to organise an archive from piles of accumulated documents or are updating an existing archive. This guide has been designed to show you how to organise an archive, and to show you how the different aspects of archiving all fit together.

The task of organising an archive can seem overwhelming at the start. The important thing to remember is to break the larger tasks into smaller parts and tackle them one at a time. In this way you will begin to see steady and sustainable progress. Rome was never built in a day.

Bear in mind that some things may be easier to achieve than others. Many times, it will seem that the road to your destination is unending. Keep going. Acknowledge and celebrate your victories, both big and small as the come to you. Remember also, to look back from time-to-time and see all that you have achieved and the progress you have made, as it can be all too easy to see the work that remains and not the work that has been done.

## Summary

**What is an archive?**

- Where information that is no longer used on a day-today basis is kept for future consultation.
- Information (records) can be both physical (paper and books on shelves) and virtual (digital).
- Information kept in an archive has been identified and selected for retention, as it is of enduring value or is of historical significance.

**What does an archive keep?**

- Records identified as being of “enduring” or “historical” value.
- These records provide evidence of the work, activities, functioning and impact of an organisation.
- Primary source material (created in a particular time in the past), not secondary sources (published material).

**What does an archive do?**

- An archive collects, stores, organises and cares for archival materials.
- There are four main functions of an archive:
    - Collecting and keeping information/archival materials.
    - Organising and managing information/archival materials.
    - Providing access to information.
    - Caring for the archival materials to prevent harm and loss to information.

**What are the benefits of an organised archive?**

- The size and scope of the archive’s contents are known (that is, how much and what the information is).
- Information can be found quickly.
- Budget planning and management for the needs of the archive is made easier when the scope (how much there is) and contents (what there is) of an archive are known.
- Audit compliance, and good governance requirements are met.
- Archives are increasingly viewed as institutional assets of the organisation. Assets need to be recorded and maintained for audit compliance.

**How to organise "legacy" materials in an archive: collections management**

"Collections management" is the umbrella term for the many different tasks of organising and managing an archive. The main aim of collections management is to organise all the records so that it is known what is in the archive, as well as where to find it.

For many archives, where materials have built up over the years, starting to organise the existing materials will probably be the most practical way of making a start to organising an archive. The accessioning, organising and management of donated, "orphaned" or purchased archival materials can be dealt with using the collections management approach, but with some adjustments for these materials.

Collections management consists primarily of administrative responsibilities to organise and list the collection, to establish routines for how the collection can be used (access) and how the collection should be looked after (preservation).

**What is collection management?**

Collections management is the systematic and planned process of building, maintaining and preserving archival materials. Collections management is broken up into different components, these are:

- Acquisition, appraisal, accessioning.
- Arrangement and description.
- Conservation / preservation.
- Providing access to information/archival materials.
- Management and administration of the acquisition, arrangement and description, conservation / preservation and provision of access to information work of the archive (e.g., policies, registers of donations, staff matters, etc).

Archives can have more than just records produced by an organisation's administration and correspondence. It can also have library-type materials. Libraries typically have "publications", published works that traditionally have been printed books, magazines and journals which are now increasingly available in electronic format. An archive can have other sorts of collections donated materials and large collections of photographs. All of these different types of "collections" need slightly different methods to organise. This is why we talk about "collections management". But when we talk about the total materials held by an archive, we talk about the "holdings" of an archive.

**The role of policy documents in the organising and management of archives**

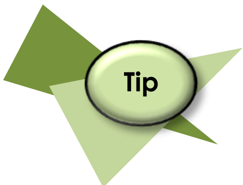
Policy documents guide the functioning of an archive. They spell out in broad terms what the archives will acquire and how the archive will organise, manage and care for their materials.

Policy documents that address the running of an archive are often referred to as a "collections management policy."

With everything that needs to be done to organise an archive, compiling a collections management policy can just seem like extra work. However, a policy that guides the functioning of an archive is important and necessary. A collection management policy is a holistic strategy for determining what to collect and what not to collect. It will also address how the collection is to be organised, cared for and made accessible.

Policy documents are important, even for small archive. They formalise in writing how the archive will acquire and organise materials, as well as how it will care for materials and help people wanting to access the collection for research purposes. Written policy documents provide transparency as to how the archive functions and provides its services. Policy documents help to justify the allocation of resources towards the work on an archive, and also provide a kind of standard that the work of the archive can be assessed against.

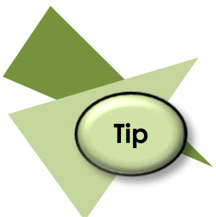
Policy documents do not have to be long. It is possible that one policy document may address all the functions of the archive: acquisition of materials, accessioning, arrangement and description, preservation and the provision of access. Usually, these documents have policy statements addressing the different functions of an archive. However, If one of the areas of an archive's functioning is expanded, it may be necessary to write up an expanded policy for that aspect.




In many cases a written policy is simply the formalising of the work already being done by those working with archival materials. One approach to policy formulation is to simply write down how things are done and use that as the basis for creating a collections management policy.

Policy documents are a standard requirement for auditors and provide proof of good governance. It can also be a way to show just how much work goes into the organising and caring for a collection, as well as helping with queries. They show how much a collection of archival materials is a living and dynamic thing, and not just a storeroom where old documents are dumped.

Policies are usually reviewed every few years to make sure that their provisions remain current and relevant to the functioning of an archive, or after any major change in how the archive functions. Updating policies from time-to-time is important. Policies are never intended to be written in stone; they are intended to reflect the operational realities of an archive.




Policy documents are usually broad statements of intent ("to collect and preserve"). Procedures will fill in the broad detail of policy statements and provide the practical steps to achieve a stated policy goal.

For example, the policy statement that the archive exists "To collect materials related to ABC organisation" may be expanded on with additional policy statements on whether the archive will accept materials through donations, but not purchase. Materials from the organisation will be transferred to the archive, every 10 years (or on some other time scale). The procedures will specify the process for accepting and documenting donations, and materials transferred to the archive.

In addendum 2 on page 80 there are recommendations on what to include in a policy document for your archive. There are also examples of policy documents for archives (and their sister institutions, libraries and galleries) on the internet to look at.

**Some thoughts on family archives and policy-writing**

Policy documents for family archives can be useful, though they need not be as formal as for an organisation. It can still help to write things about the family papers down: what the family papers are about and who they are for, who will keep them and how copies of historical documents will be distributed amongst family members.

A family archive policy can specify how the documents are to be used within the family, for example that digital copies will be made available to school learners for school projects, but not the originals. Or, family members wanting to frame old photographs or documents, can be given digital copies of these documents to display. Displaying original photographs and documents can lead to fading and light-damage over time. Using digital surrogates can help preserve the original documents as well as allowing everyone interested to have their own copy of a photograph or document.

A document that formalises the existing informal arrangements around who looks after the documents can be useful to plan for the future of the family archive. It can create an opportunity for discussion about how the family records should be looked after. Succession, or who will take over the archive or certain documents when a family custodian of archives or documents passes on, can also be discussed. It is not uncommon for family documents and photographs to end up unwanted in bins or in second-hand shops, unbeknownst to other family members who may have had an interest in them.

## Summary

**What is collections management?**

Collections management is the umbrella term for the organising and management of archival materials, it includes the following tasks:

- Acquisition of archival materials
- Accessioning, appraisal_and of archival materials
- Arrangement and description of archival materials
- Preservation of archival materials
- Providing access to information/archival materials

**What is the role of policy documents in collections management?**

- Policy documents outline, broadly, how an archive will go about doing its tasks of acquisition, appraisal, accessioning, arrangement and description, preservation and providing access to information/archival materials.

**What is the difference between records management and collections management?**

- Records management is concerned with the record before it reaches the archive. It plans for the transfer of a record to the archive by identifying those records which will go to the archive ("selection"), and those which will not (i.e., are disposed of).
- Collections management is concerned with the record once it has arrived at the archive. Collections management includes all the tasks to document how the record is integrated into the archive (accession, arrangement and description), how it is used (access) and how it is cared for (preservation).

**Acquiring materials**

Archival materials can come to an archive in different ways:

1. Through planned transfer from the organisation's parent body or administrative section, as part of a records management protocol. Occurring at scheduled intervals. See part four of this guide for more information on records management.
2. Through "legacy" or historic placement in an archive or storeroom over the years. These records may have varying amounts of documentation about their acquisition, or none at all.
3. As "orphan" items, with no information as to how they got there or from whom or where they came from.
4. Through donations from person associated with the organisation, as well as from persons outside the organisation.
5. Items may be purchased.

**Why is it important to know where materials come from?**

Archival materials are not individually arranged like library books. They are also not arranged according to subject matter. Because of the high number of individual items, archival materials are arranged as a collection or group, rather than as individual items. The basic organising principle is called "provenance" – where the materials came from. Materials from the same source (for example, a government department, a chapter of a youth organisation, a congregation, or other type of organisation) are generally kept together and organised as a grouping within an archive's holdings.

When taken as a whole, the documents shed light on the activities of the record's creator. The value of archival materials is in their relationship with one another, rather than as stand-alone items. It is the relationship between the different records that the archive tries to preserve. This relationship provides the context (background information) for the record's creation.

This means that records are organised and stored in the same sequence as that in which they were created. This has two broad considerations:

1. Where they came from (what organisation or department, office, division of an organisation); and
2. When they were created (chronologically, or by date created, also called the "principle of original order").

When it comes to non-paper kinds of records: works of art, clothing, flags, banners, etc. – it is not possible to interfile these items with paper documents, due to the impracticality of the different sized items and items that may damage each other if stored together. Three-dimensional objects are usually stored elsewhere on appropriate shelving, but cross referenced in indexes and finding aids so that there is a record of these item's "placement" in the overall scheme of the archive (as well as information as to where to find the item).

The process of listing archival collection materials is called "archival description". Archival description is the process where the final order of the sorted materials is listed to create an inventory. An inventory, when used as a guide to the archive's records is called a "finding aid."

The finding aid is a tool that helps researchers and staff to quickly find the relevant information and avoids scratching around in boxes of materials (something that can cause damage to the materials from rough handling). The finding aids also help to standardise information about the archival materials, so that the researcher is not dependant on the personal knowledge of the archivist or staff member present.

In archives where there has been no archival description of the materials, or in the case of a large backlog of materials that has not yet been organised, making a very basic inventory can help begin the process of organising records. A basic inventory (or "box list") has the following elements: (1) a title (e.g., "Smith Family papers"); (2) dates that the papers cover; (3) the amount of material in it; and (4) a paragraph about its contents. Please see addendum 1 on page 79 for more detailed information on "How to make a box list" for more information on how to do this. Later, the materials can be more fully arranged and described.

**Final thoughts…**

It is important to know how materials come into an archive. Each has implications for how the materials are processed. Each way of acquiring (or just having-) materials needs to be managed (acquisition) and documented (accessioning).

Accessioning is often a good place to start organising your archive. As new materials enter the archive, they can be processed using updated listing and sorting procedures that you have started to put into place. The backlog of unprocessed or partly processed materials can then be fed into the accessioning process as it expands.

- Addendum 3 on page 85 there is information about how to manage and document the donation of materials to your archive.

## Summary

### How do materials come into an archive?

- Planned transfer of records from the organisation's offices.
- "Legacy" collections that have built up over the years.
- Donations
- Purchase
- "Orphan" works with absolutely no information., found in the archive.

### Why is the distinction important?

- Each has its own administrative procedures to document the materials that have been acquired, and to integrate them into the collection.
- Where materials come from is an important organising principle in an archive (provenance). Materials from the same source (for example, a government department, a chapter of a youth organisation, a congregation, or other type of organisation) are generally kept together and organised as a grouping within an archive's holdings.

### Why is an acquisition procedure important to an archive?

- It is the process by which the archive takes legal and physical ownership of an item (custody).
- The process needs to be documented (accessioning) to prove legal custody of records.
- It is a good starting point for putting in place procedures to better organise and manage an archive.

**What is accessioning?**

Accessioning is the formal process whereby an archive takes legal and physical custody of archival materials. It is also the process whereby the archive organises the materials and integrates them into the existing holdings (or collection-) of materials.

Accessioning can be applied to both new materials coming into the archive, as well as organising any previously unorganised materials held by an archive.

If an archive does some basic processing work immediately after receiving new archival materials, that material can quickly be made available for consultation by researchers and staff. Basic processing includes compiling a list of contents for of the materials received (listing). A preliminary and basic listing is a great way to do some basic sorting (e.g., identifying duplicate materials or materials that are not withing the collecting scope of the archive), and basic listing of the contents, so that they can be located if needed. More in depth organising of the materials (appraisal and arrangement) can be done later.

**Deciding what to keep: appraisal of materials**

Before deciding what to accept or keep, an archivist will survey the records to determine if the materials will be accepted and kept, what will be better housed in other institutions (like a library or resource centre). "Appraisal" is the word given to the assessment of the contents and their condition and is part of the accessioning process.

Appraisal can be said to begin even before materials are accepted. A collections management policy that spells out what an archive will consider accepting already establishes a guide and helps with decision-making.

Appraisal, once the materials have been accepted, consists of different levels of assessment throughout the accessioning process. There is a preliminary survey of the materials when materials are offered to the archive, or after they are acquired. It may not always be possible to do an appraisal of materials before receiving them, sometimes this happens only after the materials are acquired. For unprocessed materials already in the archive, this can happen long after they have been acquired by the archive. In an archive that still needs to be organised, start where you can and how you find things, working forwards towards appraising materials, listing and sorting them.

Later, there is a more in-depth final appraisal of the materials when the final sorting of the materials happens. You will find information on this final sorting (arrangement) and appraisal on pages 25-27.

**How to begin: doing a preliminary survey of the materials**

When receiving material or beginning to organise unprocessed materials in an archive, it is important to understand the extent (how much there is) and condition (if the materials are damaged or not) of the material.

Questions to ask include: Did what arrive match what was expected? Is anything missing? Are there major preservation concerns: are materials badly damaged or infested with mould?

**Documenting the accession**

The accession will need to be properly documented. See the following section (on page 18) for detailed information about how to do this with the register and accessions record.

See page 22 for more information on accessioning three-dimensional objects in an archive.

**Labelling the materials**

At minimum, label the box with the accessions number. If you have the time, it is a good idea to label the items inside as well. Use a soft pencil to write the accessions number on each item, Do not use a permanent marker or khoki-type pen, the ink of these tends to spread into the fibres of the paper and creates a stain that is difficult to remove. Write on the back of photographs with pencil. Do not use "Post-It" notes or any kind of self-adhesive sticker labels, the adhesives will affect paper over time and the adhesive of sticker-type labels tends to fail with time leading to the loss of the label.

If you label the individual items, now is a good time to begin to make a preliminary list of the contents. List contents of box, as well as condition, and anything that may have been identified for discarding. Note the author of the document (which can be a person or an organisation), date and broad categories of document (e.g., memorandum, meeting minutes, report, publicity material, etc.). Multiple copies of the list may be required, for example one copy goes into the box, another copy is forwarded to the administration office, one copy is put aside for use by researchers to consult, and other is kept for the archive's own records.

See pages 18 in the next section for more information about the accessions register and accessions records to document the accession.

See pages 22 for more information on labelling three-dimensional objects in an archive.

**Rehousing and labelling materials during accession**

A common practise when doing the preliminary sorting of archival materials is to remove them from the containers in which they arrived in and put them into the protective enclosures that the archive uses for its storage. This part of the process is known as "rehousing". The reason for discarding the containers that the materials first came in are that pests and other contaminants can be accidentally brought into the rest of the archive. It can also be that the containers that the materials came in are not good for long term storage of archival materials, or of the type of material stored in the container. The rehousing process is a chance to get a good look at the materials to see if they are damaged in some way and to do a basic sorting of the materials.

Boxes and other forms of housing (e.g. folders, envelopes, etc) are then labelled, allowing for the easy locating of materials. Labels should clearly display the accession number (or another identifier like call number), box number, and title. Labels can be printed or can be clearly written with marker on the outside of the box. Using a standardised table format or template can be useful to keep the language and numbering consistent. Consider creating a standardised approach for where and how labels are attached to individual items and any housings. Keeping labelling consistent is very helpful when several staff members or volunteers are working to bring in and process accessions. Generally, labelling and other marking techniques should not damage any archival materials.

By rehousing, labelling, and preparing the boxes for use at the time of accession, there is less confusion about the contents of the accession, as there has already been a preliminary check and listing of contents made. This means that it is easier to find for later more in-depth processing and researchers will be able to locate contents from the basic list.

## Summary

### What is accessioning?

- Taking legal and physical possession of an item by an archive (custody).
- It does not matter if the items arrive as a result of transfer, donation, purchase or some other means, all need to be accessioned. Some types of materials may need slightly differing documentation procedures (for example, donations). It is also a process whereby the taking custody is documented and the item(s) are integrated into the existing archive's holdings.
- It can also be a process to formalise the custody of items already in the archive ("legacy" materials), but about which there is little or no information as to how they came to be there.
- Appraisal is part of the accessioning process where it is ascertained what records to accept and/or keep and what can be disposed of. This is especially the case if records coming into the archive have clearly not been sorted in any way.
- Appraisal is also an opportunity to survey the condition of the records, and identify damaged or infested records before they enter the archive.

### What is the accessioning process in an archive?

- There are two aspects: (1) documenting the process of taking custody, and (2) basic processing work to understand what the items are (what information they contain and what dates they cover in the organisation's history and where they belong in the archive).

### Basic processing work includes:

- Documenting of the accession (see the next section on page 18, for information on this).
- Checking and surveying the items /contents.
- Compiling a basic box list.
- Rehousing (reboxing).

**Keeping a record: documenting the accession is an important step**

Documenting the accession is an important step in the processing of archival materials. It is a step with important legal implications. Documenting the accession is the legal confirmation of the archive taking ownership of materials (custody). It will provide proof of ownership and serve as a master list of the archive's holdings in the event of a disaster when it must be determined how much of an archive was lost or damaged in the event of a disaster.

Documenting an accession is also an important ethical step for an archive. It transparently demonstrates what the archive has taken responsibility for by deciding to acquire. It implies a commitment in human and materials resourcing on the part of the archive to care and maintain.

Accessions are formally documented using an accession register and an accession record. You will find more information about the accessions record on the next page (page 19).

Consider including photographs in the documentation of three-dimensional objects (see page 22 for more information on accessioning three-dimensional objects), as well as for any important or valuable items. Photo-documentation can be really useful in the event of theft, for a reference picture to provide the police and for insurance purposes in the event of loss.

**The accessions register**

Accession registers are important in three ways:

1. As legal proof of ownership of materials held by the archive.
2. Proof of the extent of materials in the archive's custody. In the case of loss or theft, it is proof that the archives had possession of "x" item.
3. As the basis for calculating for insurance cover, and for good-governance and auditing purposes.

Having separate registers for materials donated and materials transferred through a planned transfer can be useful to distinguish two different ways that materials come into an archive. Collectively, the registers are a record of all materials in the archives' custody.

The accessions register can also be used to record un-accessioned and "orphan" materials that are discovered in the archives. If you haven't already got a register, you can enter your current collections into your new register retrospectively, recording information to the best of your knowledge. Add each new item or collection of items as they are accessioned into your archive.

The register is a bound book or spreadsheet in which accessions are entered as they are received. As important legal and governance evidence, it is critical that they are kept safe and secure. Additionally, duplicate or backup copies need to be kept at a safe location off-site. In the event of a catastrophic loss of the archives, the accession register will be an important proof of what it has in its holdings. In these cases, they will be important in determining how much of an archive was lost in the event of a disaster.

An accession register records much of the information collected in your accession form, starting with the unique reference number of the item or collection of items. The accession number is different to the catalogue reference which individual items will be assigned when you get to the cataloguing stage.

Each register entry records the following information:

- The archive's reference code for the accession.
- The name of the person receiving the records.
- Where or whom the materials have come from.
- The location where the collections or items have been stored, such as a shelf reference number.
- And lastly, if the accession is on loan, there should be space to record the date it was returned.
- When storing the collection, note where you store the new accession – you can use a spreadsheet to keep track of what is kept on each shelf or in each cupboard. If necessary, indicate the number of parts, for example part 1 of 5. This allows you to check if something has gone missing.
- Record the location even if it is going to be temporary. It's good to have location control over your collections in case of an emergency; so that everyone knows where the accessions are stored, not just the person who received it.

**The accessions record**

The accessions record consists of information that documents how the archival materials were acquired, from whom and what they are. The accessions record is therefore, much broader in scope than the accessions register entry.

Information that will typically be included in an accession record includes basic descriptive information about the materials, who the donor or seller is, what is in the materials and how much material there is. Also included is information on whether there are any restrictions on the archival materials acquired. Restrictions can vary from restrictions on access for a certain period, or the requirement to apply for permission form the donor's family /estate for access. Restrictions may also include restrictions on publishing all or part of the donation.

Any restrictions on the materials need to be noted, as does the fact that there are no restrictions the materials. Additional legal and ethical requirements include information on copyright that exists on any of the materials as well as an agreement to transfer copyright to the archive. Measures to protect of privacy and personal information also needs to be included. Information about materials that are not going to be kept by the archive also needs to be documented.

Accessions records are also important to the functioning of the archive and need to be safely and securely stored. Bear in mind that that there is sensitive personal information contained in the documentation, and where restrictions may apply to the access and use of materials donated to the archive, that this information may too be sensitive and not for dissemination.

Accessions records should ideally be copied and stored in a secure off-site location in the event of a disaster.

See also addendum 3 on page 85 for a sample donation form, information for the donation form will need to be included in the accessions record.

## Summary

**Why document an accession?**

- Documenting accession is an important step in the processing of archival materials.
- There are important legal and ethical implications.

**Legal implications of documenting an accession**

- Legal confirmation of the archive taking ownership of materials (custody).
- Proof of ownership and serve as a master list of the archive's holdings in the event of a disaster or loss.

**Ethical implications of documenting an accession**

- Transparently demonstrates what the archive has taken responsibility for by deciding to acquire.
- Implies a commitment on the part of the archive to care and maintain.

**What documentation is used to record the accession in the archive?**

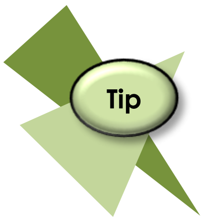
- Accessions register and an accessions record.
- Photo-documentation (photographs of the item).
- Any correspondence with a donor or about the planned transfer of materials also forms part of the accession documentation and is part of the broader record of the accession, even if filed separately from the accessions register and record.

**Accessioning three-dimensional objects**

Three-dimensional objects such as trophies, commemorative plaques, flags, pennants, badges, costume and uniform clothing, etc need slightly different accessioning methods. Unlike books and documents, dates of manufacture, title and name of maker may not be easy to find out. To ensure that objects are correctly recorded, additional descriptive information is needed, and additional historical information should be recorded where it is available.

Protective housing, storage and labelling methods may have to be adapted to accommodate these items in storage.

Just like with paper-based materials, an accessions register entry and an accessions record needs to be created to document the acquisition of three-dimensional objects by an archive. It may be a good idea to have a separate register for three-dimensional objects.




It is good practise to include photographs of a three-dimensional object in the accessions record. Three-dimensional objects are complex items and can be tricky to describe in words. Images are useful when accompanied by a written description. Images are also useful in the case of theft or some other form of loss. Take images of front and back, as well as sides, top and bottom views.

Taking measurements of the item is also a good idea. It gives a sense of the object's size. Measure not only height and width, but also on the diagonal and the circumference. Including a ruler or some easily relatable item for giving a sense of scale can also be helpful.

**Labelling three-dimensional objects**

Just like with paper-based archival materials, objects do need to be marked or labelled with accession numbers and any collection numbering. Each object is individually numbered to identify and distinguish it from all other objects in the archive. All the information relating to an object is filed according to this unique number. An accession record should have a photograph along with the correct accession register number.

Labelling or marking three dimensional objects can be tricky because they are not of a uniform shape or material. Writing a number directly on an object has been the traditional way of labelling or marking objects.

Labels must:

- Be secure – must not be able to be removed by accident.
- Be reversible – even after some time.
- Not cause damage to the object.

- Be discreet but visible - discreet so as not to detract from the object or obscure information but visible to minimise handling.

Some objects cannot have a label applied directly to the surface of the object and still follow the guidelines above. In these cases, attach the label in a secure way so that it cannot be separated from the object by accident.

Examples of different labelling methods:

- Textiles must not be marked directly. Attach a label by either sewing it onto the textile or attaching it with a loop of thread stitched through the textile. Place the label where it is convenient for staff to access. Make sure any labels can be tucked out of the way or are placed on the back of a textile, so that the label is not visible if the textile is put on display.
- Items such as coins, stamps, badges, etc., cannot be marked. Place them in envelopes that are labelled. Specialist collector storage pockets and envelopes can be purchased to help store items such as these.
- If an object consists of different parts or is in pieces (fragmented), all parts of the object must be labelled.

Never remove old numbers. They are part of the history of object. Old labelling tells the history of ownership and of how the archive may have managed its collection materials in the past. Make sure your labelling is consistent, so you know which is your current number.

See addendum 4 page 87 for more informational on the kind of accession record to create for objects.

## Summary

### How to accession three dimensional objects

- Three-dimensional objects such as trophies, commemorative plaques, flags, pennants, badges, costume and uniform clothing, etc., need slightly different accessioning methods.
- Compared to books, the title and name of maker may not be easy to find out.
- To ensure that objects are correctly recorded, additional descriptive information is needed, and additional historical information should be recorded where it is available.
- Different materials will need different labelling methods.

### Documenting three-dimensional object accessions

- An accession register entry, and an accessions record needs to be created to document the acquisition of three-dimensional objects by an archive.
- It may be a good idea to have a separate register for three-dimensional objects.
- It is good practise to include photographs of a three-dimensional object in the accessions record.

### Labelling considerations

- Labelling must not cause damage to the object.
- Labelling must be done in a consistent manner.
- Labelling must be:
    - secure,
    - seversible,
    - discreet but visible.
- Never remove old numbers that are part of the history of object.
- If an object consists of different parts or is in pieces (fragmented), all parts of the object must be labelled.

**Appraising the accessioned material**

"Appraisal" is part of the accessioning process. It is the assessment (or appraisal) of the records to determine their subject matter and their condition. During the appraisal process, records not intended to be kept are identified and removed. The kind of records that will not be kept includes any duplicate or ephemeral materials. The appraisal process also separates out materials that cannot be stored with the rest of the materials as its format may cause damage to the paper records (for example, cassette tapes, film on reels, etc.).

During the appraisal process, archival materials are assessed for their legal, evidential, and historical value. Appraisal blends an assessment of the content and subject-matter of the records with an evaluation of materials for their storage needs, while also identifying materials that will not be retained by the archive.

The archivist doing the appraisal will physically sort through and check the content of the records they are sorting. The archivist will also mentally assess and categorise materials into an archival scheme for organising records. Appraisal work is both physical and mental.

Appraisal will help to:

- Know exactly the size (how much there is) and scope (what it covers, including what time period, and what activities or transactions the materials document).
- Get a sense of how much work there will be to further process the materials.
- See how important the materials are to the overall mission of the archives, and if these materials must be prioritised for further processing or set aside for a later date.
- Accomplish some sorting and listing of the materials, which can be used as a basic index to what they contain, if no further processing will happen at this point.
- Identify any materials with preservation issues (such as deteriorating paper, decomposing elastic bands, mould or insect infestations, etc.)
- Provide information when advocating for additional resources (time, people, funds) to complete additional processing.

**Sorting of materials during appraisal**

The first step to take is to begin to identify and sort the following materials from each other. This may have already been done when the materials were received, and a preliminary sorting or survey of the materials was done.

If a preliminary sorting has already been done, you can move on to doing the final sorting and ordering of the materials (see section on arrangement), and removal of materials that will either not be kept or kept separately like duplicates.

A basic sorting will identify the following:

- Permanent and historically significant records.
- Identifying types of records that will not be kept: ephemeral and extraneous records
- Identifying duplicate materials.
- Identifying (and removing- any other materials that can cause damage to records (rubber bands, metal paper clips, etc.).

**How to identify the types of records that will not be kept by the archive: ephemeral and extraneous records**

The best place to start in organising archival records, is to sort what will not be kept from what will be kept, before moving onto organising the remainder.

Identify short term (or ephemeral-) records. These are the kinds of records that are only kept for short periods before they are disposed of. Certain types of records can and should be destroyed routinely after a period of three, five or seven years after their creation. These include (but are not limited to):

- Bank statements and cancelled checks
- Invoices and receipts
- Expense reports
- Timecards/sheets
- Meeting planning files
- Duplicates (keep 2 copies of printed or published materials, posters, etc.)
- Insurance records of inactive policies; as well as warranties and instructions for equipment no longer in use.
- Publications, pamphlets, minutes of other organizations (if these may be the only evidence of a defunct community organization, they can be kept in the correspondence or subject files).
- Personnel records (not needed to determine retirement benefits).
- Phone messages
- Unsolicited job applications and curriculum vitae
    - These records have limited time-span administrative value (that is value to the daily operation of the organization) or legal value (that is, a legal requirement that they be retained) only for a limited time. They have little or no long-term historical value. When records are no longer regularly consulted by the organization they become “inactive” records.

Extraneous materials are also removed. Items that are not relevant or that possibly belong elsewhere in the archive. If they belong elsewhere in the archive, they can be set aside for placement where they belong. Certain records may have no relevance to your archive and its holdings. If so, they can be offered to another institution or disposed of.

**Duplicate materials**

Duplicate items that have been identified can be removed. Duplicates can be kept but they are usually stored separately. Duplicates are sometimes kept as “back-ups” in case of the loss of damage to the original exemplar that has been archived. Duplicates can also be disposed of if storage space does not permit them to be kept.

**Identifying (and removing-) any other materials that can cause damage to records.**

Archival materials may have items that can cause damage to the materials. These include metal staples and paperclips that are rusting, bulldog clips that can tear and damage paper, elastics that decompose and stick to archival materials. Thin pink ribbon used to tie documents together can also cause damage by tearing or crumpling paper and should be removed. Inserts like file covers and dividers that are made of acidic materials should also ideally be removed.

To keep records together, metal fasteners and elastics can be replaced with inert plastic clips or file the records in separate acid-free folders. Where metal paper clips cannot be avoided place a slip of paper around the pages where the paper clip is to be placed. The paper will act as a barrier to any potential transfer of rusting stain to the paper from the paper clip.

During this process documents are unfolded and flattened before placing them in storage folders and boxes.

**How to identify permanent and historically significant records**

Some types of records become inactive only after a long time, and then continue to have potential usefulness (or must be retained for legal reasons). These records are permanently retained. These are “permanent” records. They are permanent as the organisation must keep them safe and accessible for the indefinite future. The role of an archive is to be an organisation’s memory. An archive ensures that as staff changes and the organisation evolves, its history remains accessible to present and future generations.

Many other records, such as reports, correspondence, minutes, etc., may have long term (or enduring-) value but cease to have administrative value after three to five years. These records also form part of the archival record of an organisation.

Ultimately, an organisation’s archive should keep and preserve, in the smallest number of records possible: documentation of its origins, purposes, major activities, significant accomplishments, and most important interactions with clients and / or other agencies.

Designating documents or files for either short-term or permanent retention is the at the core of establishing a records management system for an organisation. The designation of documents for short-term or permanent retention is how a retention schedule for an organisation is created.

## Summary

**What is appraisal?**

- The assessment and sorting of new archival materials, or of materials already in the archive that have not been processed.
- It is part of the accessions process in an archive.
- It identifies records of permanent or historical significance and those which will not be kept.
- It includes identifying and removing any duplicates ephemeral materials and separating if materials that cannot be stored next to each other.
- It is the start of the ordering of new materials (arrangement).

**How to begin appraisal: a preliminary sorting**

- Appraisal can be started by doing a quick preliminary check and list of contents ahead of a more in-depth appraisal of the contents.
- The final appraisal will determine the materials to be kept by the archive, as well as their order.

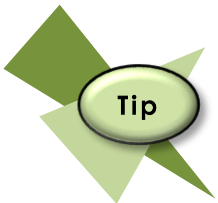
**How to identify materials that will not be kept**

- Ephemeral materials: materials of temporary relevance can be discarded when superseded by other records, e.g., when receipts and quotations are reported in quarterly or annual financial reports, or at stipulated intervals for ephemeral records (for example, after five years).
- Extraneous materials: irrelevant materials, which can be set aside and discarded.
- Duplicates may be kept, in case of loss or damage to the originals – if space permits.
- Materials that can cause harm (e.g., metal clips and staples, rubber bands, etc.).

**What is arrangement?**

Arrangement is also part of the accessioning process in an archive. It is the physical arranging or sorting of the materials that will be kept by the archive into their final order.

After doing a preliminary appraisal, a more in-depth appraisal and the physical arrangement of the materials is done to establish the final order. This will create the final order of the materials to be kept. Doing a preliminary appraisal can help to give you a good overview of the materials, before you tackle them for their final sorting.




In many ways the appraisal and arrangement processes are interlinked. The appraisal of the materials can very much happen at the same time as the materials are arranged into their final order and materials that don't belong are removed. In real life, an archivist will work on both appraising and arranging materials at the same time, both are part of the accessioning process. This guide has separated appraisal and arrangement so that we can better explain each to you.

**How to do the final sorting (appraisal and arrangement) of the materials**

Once the preliminary appraisal has identified the permanent records and separated the ephemera, extraneous and duplicate materials, as well as any damage-causing items such as rubber bands, the final sorting and arrangement of the remaining items can begin.

The first thing to consider is provenance. Are the materials part of an existing group of materials already in the archive? If so, they can be integrated into the other materials. In this case they are usually documents created later than those currently in the archive (this is called an "accrual"). These can then simply be arranged according to the existing divisions and arranged in order of date (chronologically).

If the materials are a new collection or group, then a grouping scheme with the necessary divisions needs to be devised. Please see page 32 for an example of how a hierarchical scheme is devised. Archival arrangement uses a hierarchical structure to organise the archival materials. This means that the materials are sorted in a way that organises or groups the materials into units of information that works from the "high level" (that is, the broad category like "financial information") to more narrower information categories (for example, procurement / purchasing or annual budget information).

This process can go on until it reached the individual document or item level (for example, purchase orders for procurement /purchasing). Because of the large volume of documents an archive can have, it is quite likely that the descriptive listing may only go as far as the higher-level descriptions and not go all the way to individual item level description.

**Fig 1.**

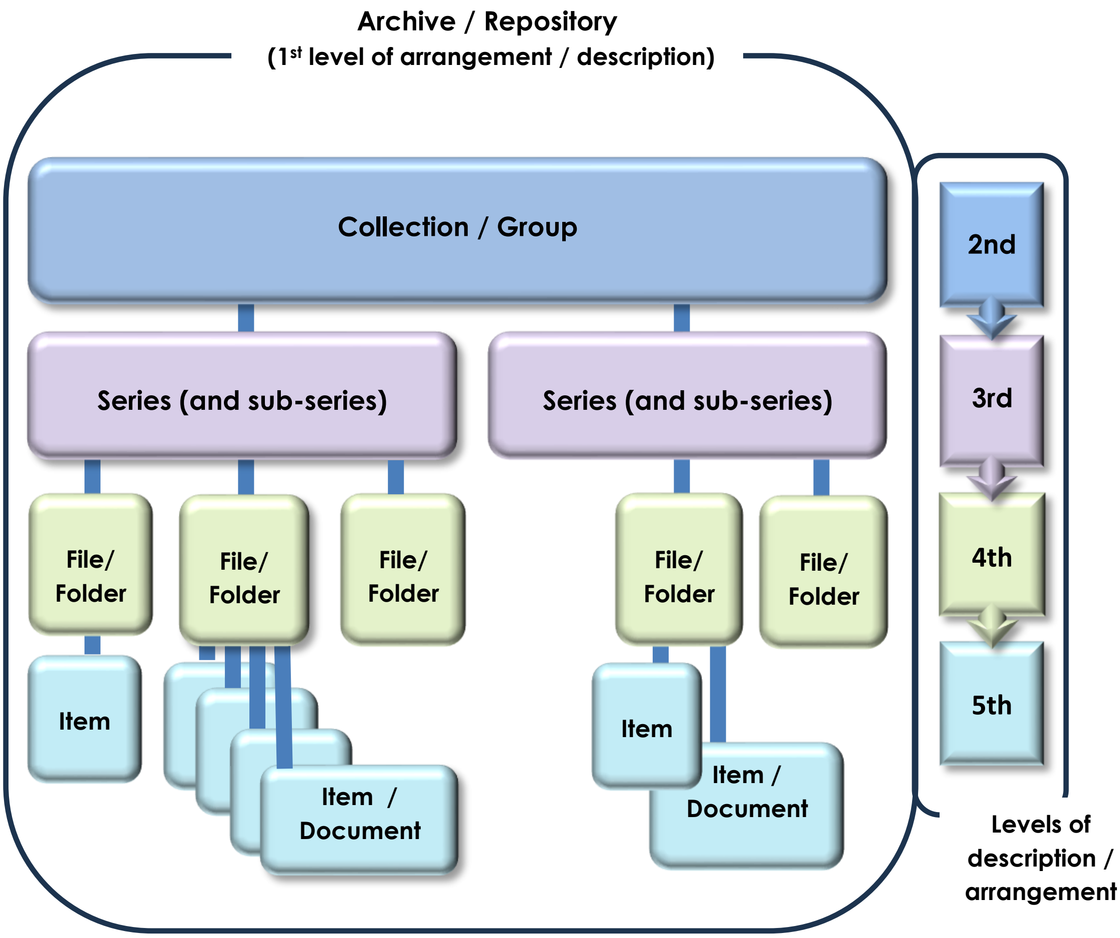
**Diagram showing the hierarchical arrangement of records, or levels of description.**

Archival materials are organised into a hierarchical system. The diagram below illustrates the hierarchical system used to organise information.

The system goes from the broadest possible category (collection / group) to the narrowest possible category of the individual item. Think of it as a template or formula into which to place information.

These categories are also referred to as "levels of description". How much the information is organised and listed, can depend on whether information is organised to level 1, 2, 3, or 4. The finding aids and file plans will reflect a similar ordering of archival materials: from broadest to narrowest category.

On page 32, there is a diagram with an example of how information is put into this template.



This system ensures that information is grouped in a standard way, which makes things easier to find for the researcher, and easier for the archivist to organise and add to as the archive receives more materials.

**Five practical steps to doing the final sorting (arranging) of an archival collection/group**

**Step 1: assess the order in which you find the materials**

First decide if the order in which you have found or received the materials is appropriate. The general rule is to try to keep the materials in the order in which they were originally created.

However, if there is no order – or the original order has been seriously disturbed – you will have to try and determine what the original order could have been. This is where the appraisal process comes in, it gives you an opportunity to assess what the materials are and in what order it needs to be put into, as well as what needs to be removed. It is also why doing a preliminary appraisal helps in determining how much physical sorting (arrangement) may need to be done, before doing the final sorting.

This step can also be done during the preliminary appraisal of the archival materials, a quick look can reveal if materials are jumbled together, or if they are in some sort of order.

**Step 2: begin to establish the hierarchical structure for organising information, by identifying the organisational structure**

Identify the organisation's functions. The functions will give you the broadest possible category of information.

A typical organisation's functions include:

1. Operational, or the day-to-day activities.
2. Administration, includes human resource management, maintenance of buildings and grounds, etc.
3. Financial arrangements, includes budget allocation, procurement / purchasing, etc.

These functions will provide you with the broad "high level" hierarchical structure of an organisation: finance, administration and operational matters (the daily work of the organisation). The daily work of the organisation could be broken up into sub-headings, for example, church services, annual fetes and fundraising activities, community outreach, social events and important festivals.

From the broad "high level" structure (series), you will map out the rest of the hierarchy, working from the broadest category to the most specific. Please see figure 1 on page 30 for an example of how this works.

**Step three: establish and map out the rest of the hierarchy (from series to item level)**

After establishing the organisation's functions (step 2), each function is broken down into "activities". Activities are the major actions undertaken to complete a function. There can be more than one activity associated with a function. For example, the public health promotion function may have activities including: training, reporting, outreach and publishing.

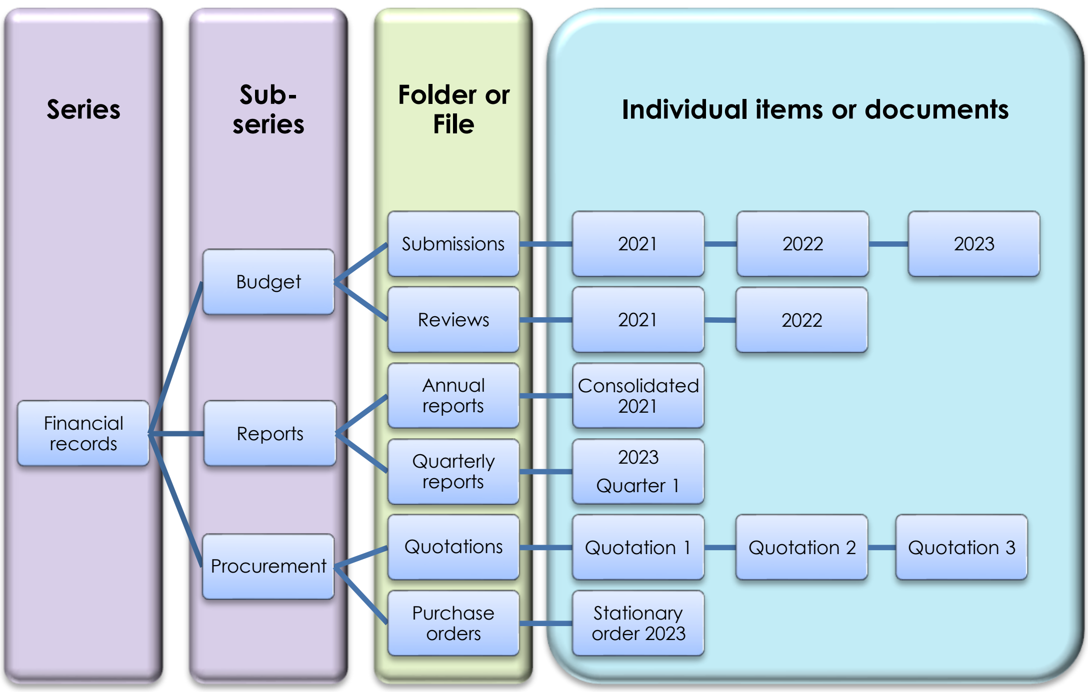
**Figure 2.**

**Diagram showing the hierarchical arrangement of records relating to an organisation's financial records.**

The categories begin the broadest possible category: from "financial records," to more narrower categories, e.g., "budget," reports," etc., and then to the individual items, e.g., annual reports, quotations, etc.

This is how archival materials are sorted, using the broadest to narrowest category (that his, hierarchical order) and then by date (that is, in "chronological order").

A file plan will show a similar ordering of archival materials: from broadest to narrowest category, and then arranged by date from earliest to the most recent.



The management of staff can have the following activities: managing leave, performance reviews, and professional development. Financial management function may have activities including: budgeting, reporting, purchasing.

Determining the activities, will give you the next level of the organising hierarchy.

Within each level, records are further arranged chronologically, or alphabetically, or thematically, or according to another appropriate order. Archivists normally try to preserve the original order in which the papers were kept by their creator or recipient. For the most part, the original order is seen as the chronological order.

If there are functions that overlap, create a cross-reference (or description note) for each to ensure that information can be consistently organised.

Do not create unnecessarily complicated hierarchies. For small collections and minimally processed collections, perhaps only one series is needed. All collections will be arranged into at least one series, even minimally processed collections.

**Step four: assign names / titles to each of the organisational functions**

Provide each function with a title / name. Bear the following in mind when choosing a title or name:

- Choose a name / title that is will be easy to recognise and understand.
- Be as consistent and concise when choosing names /title.
- Choose meaningful names based on standard naming conventions.
- Avoid using abbreviations, names of individuals or ambiguous words such as "general", "miscellaneous", "various", or "other".

**Step five: physical sorting of materials, and practical considerations when doing the final sorting**

To do the arrangement, you will need space and working surfaces that can accommodate lots of materials laid out. Long tables are ideal, if you can find them. Camping-type tables that can be folded out for use and then folded up and stowed away work very well for this process. During the arrangement and appraisal, it can be very helpful to lay out the materials to get a good look at them.

You will need good lighting and a clean area to work in. Do not put materials on the floor, as materials can become dirty, damaged and can be affected by flooding if left on the floor. Place materials awaiting arrangement on shelving or empty tables rather than on the floor.

When eating or drinking, do not take your refreshments anywhere near the archival materials. Spills from drinks and splatters from food can easily mark or damage the materials with stains that are difficult to remove.

You will also need some sort of writing material or computer to make your own notes about the order of the materials and note any unusual or interesting items in the materials that is worth noting (see the following section on creating a finding aid for how you will note these interesting materials).

If you are taking notes by hand, keep the following in mind:

- Always use a pencil when taking notes. Pens can accidentally make permanent marks on paper-based materials.
- Do not write your notes while pressing on the archival materials when making your notes, as the pressure of the pencil can make indentations in the archival materials.
- Sharpen pencils away from the working area, over a bin to ensure no shavings get into the materials.
- The use of a mechanical pencil is now discouraged, as bits of the lead tend to snap off and can get into the materials.
- Clear any eraser rubbings away immediately, so they also do not get into the materials.

During the final sorting (arrangement) of the materials, you may want to write any reference codes on individual items and number the pages of any loose documents. Use a soft pencil to do so. Mark in the upper right-hand corner, and on the back of photographs to do so. For any further labelling advice, please see the section on accessioning materials and accessioning three-dimensional materials on pages 18 and 22.

During the final sorting, the removal of any harmful materials like rubber bands and metal items (staples, paperclips, etc.) can be done, if it has not already been done earlier in the appraisal stage.

**Example**

**How to determine the structure, function, and activities of an organisation**

Looking at the structure, function and activities of the organisation or person can help to make sense of the structures found in collections of archival records.

They show how records are produced by these activities and have a "logical"' order of their own. Part of the tasks of arranging and describing an archival collection to make a list of it, is to find the logical order of the documents. This means looking at the documents and getting a sense of their timeline and subject matter.

For example: A community organisation

- A community organisation has (1) a committee, (2) a support team, and (3) an administrative team. This is the organisation's structure. The structure of an organisation determines the kinds of activities it undertakes.
- The community organisation's activities are (1) fundraising, (2) publicity, (3) community visits, (3) community events, (5) administration. The records the community organisation generates reflect these activities.
- The records generated are: (1) financial records, (2) marketing materials, (3) records of visits, (4) planning, meeting minutes and feedback, (5) correspondence.

**How to determine the structure, function, and activities of person's records**

Looking at the activities of the person can help to make sense of the "logical" order of personal records.

For example: A person (a professional writer)

- Professional writer produces (1) books, (2) articles, and (3) publishing. The nature of their work generates certain activities.
- A person's activities are: (1) writing (that is, their written work) but also (2) administration, (3) publicity, (4) events. A person's activities create the kinds of records they will make.
- A person's records include: (1) working papers, includes drafts, unpublished manuscripts, published items like books and articles, etc., (2) correspondence and diaries, (3) marketing materials, (4) speaking notes.

**Tip**

Following the principle of provenance, a person's papers can remain a distinct group in your archive. For example, a national youth organisation's archive will have the main collection / group being "The National Youth Outdoor Organisation of South Africa" and then it may have the "James Dlamini Papers" as a separate group if James Dlamini was a prominent member of the organisation who donated their papers.

## Summary

**What is arrangement and the final sorting of the information?**

- Arrangement is also part of the accessioning process in an archive. It is the physical arranging or sorting of the materials into their final order.
- After doing a preliminary appraisal, a more in-depth appraisal and the physical arrangement of the materials is done.
- This will create the final order that the records will be kept in.

**How are arrangement, appraisal and description linked?**

- The appraisal and arrangement processes are interlinked, they can be done at the same time. Please see the following section for more information on description.

**How to do the final sorting (appraisal and arrangement) of the materials**

- Step 1: Assess the order in which you find the materials and determine if they need to be further sorted and organised (arranged).
- Step 2: Determine which materials will not be kept and separate them from the rest.
- Step 3: Establish the hierarchical structure for organising information, by identifying the organisational structure.
    - Information (records) are organised in a hierarchical manner.
    - Records are organised from the broadest possible category (collection / group) to the narrowest category (item or document) of information.
    - Begin by identifying the functions or the organisation to determine the broadest possible category of information organisation (classification).
- Step 4: establish and map out the rest of the hierarchy (from series to item level).
    - Determine the activities. These are the smaller actions taken to achieve the organisation's functions, these will give you the next level of information organisation.
    - Information will then further be sorted by date, beginning with the earliest date.
- Step 5: assign names / titles to each of the organisational functions, these will serve as the group (or collection) names.
- Step 6: Physically sort the materials into the final order you have mapped out in steps 3-5.

**What is an inventory?**

An inventory is the finalised list of the group or collection of records. The inventory performs a dual role. It is the record of what is in the archive, and it is also a guide to finding records within the archive. In the role as finding aid it is comparable to a library catalogue as an aid to finding the information and is a record of what a library has in its collection. Unlike books in a library, however, an archive does not catalogue every piece of paper or item in the archive in great depth. For the most part, there is simply too much in an archive to do that kind of in-depth work. Instead, the listing in an archive finding aid is often quite broad, for example: "Voter's roll, Cape Town, 1883".

An inventory is structured in three parts: (1) an introduction that explains history of the materials, where they came from (provenance), what they are about and the period they cover (scope); (2) a synopsis, which is a summary of the larger listing of all materials; (3) the larger list of materials, grouped by category and by date, as they have been sorted and organised (arranged and described).

The inventory's introduction can also contain additional information such as the conditions under which a collection may be consulted, what restrictions there may be on the use of the materials, and if they can be copied. This information is usually presented in the front of the inventory, in the introductory part.

When an inventory is used by researchers in the reading room or consulting area, it is referred to as a "finding aid". In most cases it is simply a copy of the compiled inventory that is used be staff and researchers to identify and locate the records wanted for consultation.

**Why compile an inventory / finding aid?**

Compiling an inventory / finding aid serves three purposes: (1) the description and management of archival materials (records) by the archive, once they have been processed (accessioned) and are now part of the archive's holdings (arranged); (2) assist in providing access to the materials, as information can now be located in the organised materials (appraised and arranged) and have a finding aid as a tool to help in locating the desired information (description); (3) the information content of the archive is now "preserved" in the finding aid.

**How to compile an inventory / finding aid**

The process of creating a finding aid is called "description." It is useful to think of it as making an index or list of materials. Integrating new materials to an existing group and its inventory is called "accrual."

A finding aid has four parts: (1) a title page with the name of the archival grouping that the materials are now part of; (2) an introduction that provides information on the background and history of the materials; (3) a synopsis, which is a summary of the larger listing of all materials; (4) the larger list of materials, grouped by category and by date, as they have been sorted and organised (arranged and described).

The title page will reflect the name given to the collection or group of archival materials, for example, "Ladysmith Women's Agricultural Society", "Wynberg Chapter, Youth Organisation", etc. The title given to the collection or group should reflect the organisation or contents of the records. If there are specific dates of the organisation's existence, then these should be added to the title, for example "Ladysmith Women's Agricultural Society, 1893 – 1953."

The title page will also need the name of the person who compiled the inventory / finding aid and the date it was compiled, along with the date and name of the person who made each subsequent update to the inventory / finding aid. This provides information about when the work of appraisal and arrangement was done at the archive. The dating of this work is important in several respects. It can show that the original work is now out of date or displayed serious biases or omissions in how the archival material was processed, or if subsequent materials received by the archive require a reorganisation of the archival materials as a whole, with a corresponding reworking of the old finding aids.

While you work through the materials during the appraisal and arrangement stages, keep notes about the interesting materials that you have found, the topics they cover, the dates the materials cover, etc. Use these notes to compile the introduction. Any information supplied by the donor or transferring entity can also help to build a good introduction to the materials and what they are about. Any restrictions on usage, access, copying and reproduction will also need to be noted in the introduction. Information about the physical composition of the materials is also good to include. Content warnings about pejorative, racist and misogynistic language, as well as evidence of violence and harm (trauma), in materials may also need to be included.

The synopsis is a summary of the larger list. Once the larger list is completed, take the broad categories of materials and summarise them for the synopsis. It is likely that you will compile the synopsis after you have completed the listing. A synopsis is almost like a contents page, providing a very broad and overall guide to the materials listed in the finding aid.

Once materials have been appraised and organised (arranged) into their final physical order, they are assigned reference codes. Materials are then labelled with each item's reference code. Materials are then listed in the inventory / finding aid in order of their final arrangement.

**Other things to think about when compiling an inventory / finding aid**

Other helpful things to consider when compiling a finding aid include ensuring that pages of the finding aid are numbered so that loose pages do not get mixed up and making sure that the text is large enough to read easily (including by people who may need visual assistance).

Use a font that is easy to read, which usually means a non-serifed font like the one used to write this guide (Century Gothic, 10 point).

Use a software program that works with the format of an inventory / finding aid. An inventory / finding aid is not just a list of numbers, there is also a descriptive introduction at the start of the finding aid. This means that using a software format like Excell spreadsheet is generally not a good idea for compiling an inventory finding aid.

It is a good idea to bind the pages of the completed inventory / finding aids used for researcher and staff use to ensure that pages of the different finding aids do not get mixed up.

**Maintaining a register of inventories / finding aids**

For any archive, there will be a number of inventories / finding aids. The larger the archive, the more inventories will be compiled. A register of inventories needs to be maintained, with each new inventory created. Unique reference codes should be assigned to each archival group, which should be added to the title page of the relevant inventory. The same inventory reference number can be used for the inventories used as finding aids, there does not need to be a separate register for inventories used as finding aids.

**Inventories in times of disaster, damage or loss to archival materials**

Inventories are more than just a tool to locate information in an archive and a record of the contents of an archive. In the event of a disaster, or some form of large-scale loss or damage to an archive, inventories are important tools (and evidence) of what is in the archive's holdings, and the order in which the materials has been arranged in the storage areas. Inventories can help quantify damage and / or loss of materials based on what is missing from the shelf, when matched with the information in the inventories.

Inventories are, therefore, important tools to manage a recovery from loss or damage to an archive. They are part of the essential documentation an archive needs to have on hand to manage a response to a disaster. They should be considered for inclusion as records that enjoy priority in saving during a post-disaster salvage operation. In the event of a disaster, or of loss to an archive, the finding aids are a basis for calculating loss and / or damage to an archive's holdings. The value of inventories as a means to calculate damage or loss means that copies of inventories should be kept somewhere secure, away from the archive. Measures will need to be taken to ensure that the inventories and the information they contain remain secure at the other location, and to ensure that information about the archive's materials does not fall into the wrong hands or is misused.

**Finding aids and issues of security and confidentiality**

The information that inventories / finding aids contain can reveal quite a bit about the materials kept in an archive and where they are to be found. Unfortunately, this means that individuals intent on stealing items or accessing information they are not entitled to can make use of information contained in inventories / finding aids. Information about sensitive or confidential information may need to be redacted or removed, with other arrangements for listing them and providing access to the information for those entitled to access that information. Inventories / finding aids can also inadvertently advertise valuable materials and their location. Heritage collections, including archives, are not immune to crime. Think carefully about the information that is included in a finding aid, especially if these are going to be made widely available.

**Summary**

**What does an inventory do?**

An inventory does three things:

- Describes and manages (or controls) archival materials once they have been processed and are now part of the archive's holdings.
- When used by researchers in the reading room or consulting area, or by staff, an inventory provides access to the materials. When an inventory is used to locate and access information / records in an archive, they are referred to as finding aids.
- Information content of the archive is now "preserved" in the inventory. Inventories are therefore, a useful tool in calculating loss or harm in the event of a disaster.

**How is an inventory / finding aid compiled?**

- An inventory / finding aid is compiled during the process of appraising and arranging the archival materials. During this final sorting process, the final order of materials is determined.
- A list of the final order of the materials is then compiled.
- Added to the lest of materials is an introduction and synopsis (summary of the list).
- Information about who and when it was compiled (as well as any subsequent updates of the finding aid) also needs to be added, either to the title page or somewhere in the introduction.

**An inventory / finding aid has the following parts:**

- A title page with the name.
- Unique reference or source code for the group
- An introduction that provides information on the background and history of the materials.
- A synopsis (summary) of the listed materials.
- The list of materials, as they have been sorted and organised (arranged and described).

# Part Two

## How to safeguard and care for archival materials:

**Preserving the archive's records for the future, managing the storage environment, pest control and other threats to archival materials; disaster preparedness and planning.**

This guide to archiving for community organisations has been compiled by the Western Cape Archives and Records Service (WCARS) Cape Town, South Africa. This guide has been made available free of charge as part of WCARS public programming activities. It is made freely available for non-commercial use, display, broadcast, performance and distribution. Attribution in the event of copying, display, broadcast, modification or reuse is requested.

## Understanding the concept of archival preservation

### What is archival preservation?

Preservation is an integral part of a cultural heritage institution or collection's mission. Preservation planning should be part of its overall strategic plan.

Preservation is the protection of archival materials through activities that minimize the deterioration of archival materials. It works to minimise the effects of agents of deterioration.

There are 10 recognised agents of deterioration:

1. Physical forces (e.g., damage from dropping items or items falling, etc.)
2. The human element: thieves, vandals, displacers
3. Fire
4. Water
5. Pests (e.g., rodents, mould and fungi, insects, etc.)
6. Pollutants (e.g., gasses, dust, etc.)
7. Light
8. Incorrect temperature
9. Incorrect relative humidity
10. Disassociation – the loss of context or information about the item (e.g., un-/ or mislabelled records, misfiled items, etc.).

A preservation program takes a holistic view of the care of archival materials: how they are stored, used, exhibited, etc. Elements of an archival preservation program include:

- Ideal storage environment (temperature, humidity, light levels, storage furniture, etc.)
- Good housekeeping (keeping the storage areas free of clutter and clean)
- Pest management (Integrated Pest Management, or IPM)
- Protective enclosures: encapsulating, folders, boxes, etc.
- Security
- Digitisation and reformatting
- Disaster management
- Conservation treatment and repair

## Planning for preservation

Preservation planning is a process by which the overall and more specific needs for the care of collection materials are determined, priorities are established, and resources for implementation are identified. Its main purpose of preservation planning is to define a course of action that will allow an institution to set its present and future preservation agendas.

It identifies the actions to take that will take to prevent loss and harm to the collection as a whole.

**Preservation policy and planning**

A preservation policy will outline the areas of preservation concern.  These include storage and handling of archival materials, good housekeeping, pest control measures and monitoring, disaster preparedness, etc.

A preservation plan must dovetail with other key management tools in the institution, such as the collections management policy. The preservation plan cannot be drafted in isolation but needs to be composed within the same frame of reference that is used for all collections' policies and plans. This frame of reference is the institution's mission statement. All policies and management documents should flow from the mission statement and be understood and implemented within its parameters.

## Summary

**What is archival preservation?**

- Preservation is the protection of archival materials from any further loss or damage, through activities that minimize the deterioration of those materials.
- Even if a record is already damaged, it seeks to prevent any further harm or loss occurring to the record.
- Any and all activities to prevent loss or harm to archival materials and to ensure the continued survival of archival materials.
- Focusing on prevention, that is eliminating or mitigating (or limiting the harm) to archival materials: "doing the greatest amount of good for the greatest number of records."

**What preservation management?**

- Preservation management takes a holistic look at the environment that archival materials are in.
- It looks at the storage area, how the records are handled and used, how they are exhibited.
- It does risk assessments to identify any threats or potential harm that can occur from pests and biological agents (for example, mould), or disasters such as fire and flooding. Please see the following page for more information on risks to archival materials.

**Planning for preservation**

- Elements of an archival preservation plan include storage, protection in handling and use, security, digitisation, disaster management, and repair.
- A preservation policy and plan must dovetail with other key management tools in the institution, such as the collections management policy.

**Areas that preservation planning and management take a close look at include:**

- Building maintenance
- Pest management
- The storage environment, and "good housekeeping" inside the storage environment.
- Disaster preparedness
- The use of records by both staff and external researchers

## Understanding risks to archival materials

Risk to the archival materials and the collection as a whole cannot be avoided completely, but there is much can be done to manage (or mitigate) these risks.

The first step in managing risks to archival materials is to know and understand what the risks are. Below is an introduction to risks for archival materials. Keep in mind that many risks can overlap and create an even more aggravated risk to the materials in an archive.

The first thing to do is to look at what steps you can take to either eliminate or greatly reduce the risk-factor. For major risks such as fire and flooding, the following section on disaster planning will help you to plan to avoid, and if necessary to respond to a disaster featuring these risks.

## Fire and fire prevention

Fire prevention is the first line of defence in preventing destruction or irreversible damage to archives.

Areas where archives are stored should be solidly built and must avoid the risk of fire. Storerooms should be assessed for risks from fire and suitable counter measures put in place. This includes fire-resistant doors, walls, ceilings, floors and windows. All of this is supported by the fire-prevention measures needed for any place of work or public building.

Fire prevention measures include:

- Never using open fires, stoves, gas, radiant electric or paraffin heaters in an archive building.
- The storage area should have fire-resistant doors, walls, ceilings, floors, and windows.
- Most offices have twenty-minute fire resistant doors. Archives need more protection than this. The ideal would be four-hour fire-resistant doors.
- Electric wiring circuits should be routed through metal conduits (tracking which holds the wires clear of other materials.)
- Master switches for electrical circuits should be outside the storage area.
- Smoke detectors should be fitted inside and outside the storage area.
- Smoke detectors should link to the building's main alarm system and where possible, the Fire Service.
- Clean gutters and roofs of any plant matter to reduce the risk of fire ignition form sparks from a nearby fire.
- "Firescaping" or landscaping to reduce fire risk. Remove any trees and large bushes growing near the building. Plant succulents instead of grass close to the building. Use gravel, rockery, or paving to break up planted areas close to the building.

**Water: flooding and moisture**

Water will cause major damage to archives. Flooding can be caused by water coming into the building from outside or by water leaking from tanks or pipe work inside the building. The presence of water / moisture in storage areas can result in secondary risks to collection materials, such as the growth of mould in humid conditions, and water as a drinking source can attract pests that can cause damage to the collection materials.

Prevention measures include:

- If the building is in an area known to be at risk of flooding, archives should be stored on the first floor or above. Ideally, they should be relocated to another building less at risk.
- Shelving should be raised off the ground to avoid damage from minor flooding or leaks. The standard height recommended for the lowest shelf is between 15 cm to 20 cm.
- Roofing, guttering and drains for rainwater should be in good condition and regularly checked and maintained to prevent water entering the building.
- Water tanks and pipe work inside the building should be in good condition and regularly checked and maintained to prevent leaks.
- Pipe work should not run through storage areas. This includes all plumbing and central heating water pipes.
- Storage areas should not be directly below water tanks, boilers or pipe work.
- No records should be allowed to be stored (even temporarily) on the floor.
- Basement storage should be avoided. Where used, it needs special attention to prevent flooding. If possible, it should not be near to storm drains or sewage pipes.
- The impact of climate change will alter flooding risk.

**Theft or unauthorised access**

Protecting archives from theft, deliberate damage or disorder ensures that they remain complete, intact, and usable. "Security" includes a range of actions and measures that work together to provide protection for an archive. Security is often broken down into layers: (1) security risks outside the archives, (2) in the grounds of the archives building, (3) inside the building including risks posed by staff activity, (4) inside the storage room. Looking at security in layers helps break the issue of security issues into smaller areas to tackle. Do not forget to think about unusual events such as a disaster and the use of the archives building and grounds for purposes other than the normal course of business, for example hosting a reception in the building's public areas and grounds.

Archival records need to be protected from unauthorised access. This means that people who should not have access to the records and the information they contain should be prevented from gaining access. Secure storage applies to all types of records: paper and parchment; digital records; video and sound recordings and any copies made of them. Protecting archives and records in this way is sometimes called 'information security'.

Security measures include:

- Storage must be lockable and kept locked when not in use.
- Access to the storage area must be controlled and monitored.

- Only the people responsible for caring for the archives should access these areas.
- If storage areas have to be shared, archives should be clearly separated and only handled by people responsible for their care.
- No item should be moved or removed without the permission of those people responsible for their care.
- If an item is moved or removed, a note must be left with details of where it is and who has it. A requesting slip or printout filled in by the researcher / staff member can be placed in the spot on the shelf where the records was removed from while the record is away from the shelf.
- Keys to storage and other areas of an archive should not be left lying around. Keep keys in a secure and lockable cupboard, ideally with a register for signing keys in and out. Any master keys should be kept secure and entrusted to a senior member of the archive's management for safeguarding.
- A register of withdrawals and returns should be kept. Requesting slips filled in by the researcher are a useful means to gathering this information, as is the requirement for researchers to register and provide personal contact information and any professional affiliation (for example, as being a registered post-graduate student at the university pursing archival research).
- A separate area for viewing and using the archives should be set aside if possible.
- All areas should be monitored when in use.
- Any unusual activity in the building (for example contractor's work) needs to be monitored by archives staff. Contractor movement should be confined to the area immediately being worked upon; they should not be given the run of the building just because it is convenient to them. This requires planning and coordination with the project manager, contractor firms and sub-contractors appointed, and should ideally be something that is discussed during the contract negations and included in any finalised contract documents. Consider drawing up a policy and procedure for contractor work in the building an in the grounds for the archive in advance to present to any project manager and primary contracting / engineering firm appointed to do the works.

**Pest infestation**

Pest management involves a range of measures to limit the ease by which insects and other pests can enter establish themselves in the building. The management of pests takes a holistic approach, as many interrelated factors work to either keep pests away, or invite them in. All aspects of the grounds, building, storage rooms, staff conduct, etc., play a role and need to be accordingly managed. The current holistic approach to managing pests also aims to prevent the use of toxic chemicals to manage pests as much as possible. This approach is called "integrated pest management" and is often known by its acronym "IPM". The indiscriminate use of toxins is not only detrimental to the natural environment, they can also have a negative effect on human health and well-being.

Measures to limit pest activity frequent checking and monitoring of storage span help to detect the presence of any insects. If and when detected, the important thing is to respond quickly. Insect activity can be identified by evidence of burrowing and tunnelling through books and paper, an well as through the evidence of faeces and/ or the presence of dead insects or body parts (called insect "frass").

Manging pests holistically means paying attention to the grounds of the building, the building's fabric (or outside), the building's inside and human behaviour. All of these can provide either food sources to attract insects or create spaces by which they can enter the building and storage areas. The discovery of any insect or pest, should be taken as an indicator that pests are finding their way into the building and that the building is possibly providing a safe haven for them. Even if they are the kind of insect that does not feed on paper-based materials, the fact that they are in the building is an early warning that cleaning and building hygiene routines should be reviewed to ensure that n archive (and its grounds) are not a welcoming environment for pests.

The nature of the storage rooms can be designed to create a far less welcoming environment for pests to establish themselves. Not having carpeted floors is a very useful step to take. Carpets attract certain wool-eating insects and provides places for insects to lay eggs and burrow. Using Formica-type flooring that is easy to clean and monitor for insect activity is the most ideal flooring surface. Keeping floor areas and walkways clear of debris removes areas where pests can nest unnoticed, as well as creating a space that is more easily monitored for any pest activity. Ensuring that there is no eating or beverage consumption occurring in the storage areas is essential, dropped or discarded food attracts and sustains pests. Ensuring that any bins in the building are emptied daily, and that any rubbish is frequently removed from the building and grounds.

**"Inherent vice"**

How archival materials were made can often lead to damage from the way they were manufactured. An example of this are inks and pigments that corrode and damage paper. Another example of this is paper acidification, where poor-quality paper rapidly yellows and becomes increasingly brittle, newspaper is a good example of this.

Prevention measures include:

- An awareness of the different kinds of damage and what they look like. Early identification and detection can lead to early intervention.
- Measures include limiting handling and usage, often through creating copies or surrogates for use and consultation.
- Limiting exposure to strong light and heat, both of which can accelerate certain types of damage linked to inherent vice (for example, yellowing paper).
- Using protective enclosures made of good quality paper to prevent acidity in paper transferring to other paper stored next to it.

**Particulate pollution (or, dust and soot)**

Dust and soot are harmful to archival materials. They coat paper and other surfaces, causing marks and staining, and can cause scratching of sensitive surfaces. Dust also contains spores that can lead to mould infestations under hot and humid conditions.

Dust and soot may enter the building from outside from a variety of external sources, ranging from road and engineering works, industrial sites, building works. Dust and soot may also be generated inside the building, from building or maintenance work.

To prevent or limit dust coming into the building, e screening and blocking methods can be used. For example, by keeping windows closed and any blinds or curtaining drawn. Blocking any gaps in the roofing material and installing insulation in the roof and ceiling cavity to trap dust. Air-conditioning systems with particulate filtering can also help. Air-conditioning filters will need to be cleaned and replaced on a regular basis, especially where there is a high degree of particulate matter in the environment. Effective door and window seals can also assist in preventing dust and soot from getting into the building.

Ensuring that the immediate area around the building is paved or gravelled, and keeping paved and concreted areas swept can assist in keeping dust out of the building. Foot-wiping doormats at all entrances of the building will help remove dust brought in by shoes and boots. Preventing coats and bags being brought into storage areas also assists in keeping the dust people can bring in with them to a minimum. Regular cleaning of the entrance hall or reception area to remove the dust people inadvertently bring in with them can contain additional dust brought into the building.

Internal sources of dust can be mitigated by using dust suppression measures, such as screening off contractor working areas and limiting through-traffic of contractor staff via storage areas not affected by building works and maintenance on or inside the building. Stipulations regarding dust suppression measures need to be included in any contract negotiations before site or building works, or any maintenance work on the building's external fabric or inside the building or inside begin. Archives staff need to consider moving certain parts of the holdings away from the building works or maintenance work. This requires advance planning and cooperation from the contractor in providing a schedule of works, so that archives staff can plan around the maintenance or building work that will occur.

Finally, the use of protective enclosures for archival materials, is another form of combatting dust and soot. All of the successive layers of preventing or limiting dust and soot getting into the building work together to prevent or limit

**Gaseous pollutants (gasses and vapours)**

Gasses and vapours can come from a variety of sources, both from outside the building and inside it. Gasses and vapours can be generated from solvent use, drying paint, wood treatments and varnishes (called "off-gassing"), or from the decay of certain materials like plastics and plastic film (sometimes called "vinegar syndrome" for the vinegar-like smell that it gives off).

Risks posed by gasses may seem less urgent than those from more visible risks like dust and water. However, gasses can cause damage and pose under-appreciated risks to archival materials. Gasses associated with the decay of plastics and plastic film can spark or accelerate the plastic decay process of other plastic-based items in the same room. One way to manage this is to ensure that there is adequate ventilation in the room to prevent a build-up of gasses and use substances that will help to absorb the gasses and vapours. Using "activated charcoal" (also called "activated carbon") in granular or powder form can assist in preventing the build-up of damaging gasses and vapours associated with vinegar syndrome.

The gasses from solvents pose an explosion and fire risk, especially if they are able to build up in a small area. A small spark can set of an explosion and resulting fire. Strict adherence to health and safety regulations and procedures on the use and storage of solvents is key, whether the solvent use is by staff or external contractors.

Air-filtration systems can help in removing gasses and vapours from storage area. Alternatively, strive to minimise potential sources of gasses and vapours inside the building and, most importantly, in the storage areas. Allow any painted furniture to dry out and off-gas before placing them in the storage area. Do not lay carpeting in the storage area using commercial strong commercial adhesives, carpeting in any case is not a good idea for storage areas as it holds dust and harbours pests.

**Strong light**

Exposure of archival materials to light results in the fading of dyes, inks and pigments. Strong light also contributes to the faster ageing (yellowing and browning of paper) and embrittlement of paper, as well as other materials that books are made from such as cloth, parchment and leather. The most commonly experienced example of this is how newspaper, placed in strong light will very quickly turn yellow. If left long enough, the paper will become increasingly yellower and the paper becomes more brittle, with bits of the paper breaking away and crumbling.

Damage from light, especially strong light cannot be reversed and is cumulative (that is, the damage gets worse the longer the item is exposed to the light). All kinds of light are harmful, but ultraviolet radiation (bright sunlight) is particularly damaging. Of all of the kinds of materials found in archives, photographic materials are the most damaged by exposure to even low levels of lighting. Photographic materials include not only prints, but also different types of negatives on plastic film or glass. Other materials such as plastics are also affected by exposure to bright light.

Damage can be minimised by placing ultraviolet screening film on windows and inside lights. By switching off lights when the storage areas are not in use, and by storing archival materials in boxes. Keeping curtains closed and installing thick "block-out" type curtaining material can also help. Installing lower levels of light in storge areas, the cumulative effects of light damage can be lessened over the longer term. Exhibiting archival materials poses a risk of light damage to materials if they are displayed in areas with strong lighting and for lengthy periods. Either use copies or surrogates of materials you want to display or display them for very short periods. Use cloth covers for the exhibition cases when they are not being viewed to minimise light exposure during exhibition.

**Incorrect temperature and humidity**

Relative Humidity (RH) is the amount of water vapour that the air can hold at any one time. The amount of water vapour held in the air (RH) is dependent on temperature. The warmer the temperature, the more moisture it can hold. When air cools, it can hold less water and RH rises. Temperature and humidity work together, which is why they are often discussed together in literature on the preservation of archival materials. Controlling both heat and humidity is critical in the preservation of archival materials. A too-high or too-low level of humidity contributes to the deterioration of archival materials.

Both heat and humidity accelerate the rates of deterioration of archival materials. The rate of most chemical reactions is roughly doubled with each 10°C increase in temperature. High RH (65% and above) provides the moisture necessary to promote harmful chemical reactions in certain inks, pigments and other materials. High RH in combination with high temperature encourages mould growth and provides a comfortable environment for many insect types to establish themselves. On the other hand, extremely low RH (30% and under) can lead to desiccation (drying out) and embrittlement of some materials.

The difficulty of maintaining ideal temperature and humidity ranges is a recognised problem in archives worldwide. The ideal temperature and humidity ranges were established in countries with far more stable and temperate range of temperature and humidity levels, compared to elsewhere in the world. The ideal temperature and humidity ranges were also developed in wealthier countries, with far better resourced archives with large budgets to ensure that their climate control systems could maintain the ideal temperature, humidity and other storage factor ranges. In recognition of the difficulty that many archives face due to their geography and climate (and the increasing effects of climate change), as well as resourcing, maintaining temperature and humidity levels that are slightly higher/lower than the ideal is considered an acceptable compromise – as long as these temperature and humidity levels remain relatively stable and do not fluctuate wildly.

Rapid fluctuations in temperature and relative humidity are also damaging. Library and archive materials are hygroscopic. This means they easily absorb and release moisture in response to daily and seasonal changes in temperature and relative humidity. The effect of the rapid absorption and release of moisture is an accelerated deterioration and of certain types of visible damage such as the cockling paper, flaking ink, warped covers on books, and cracked emulsion on photographs. Avoiding rapid fluctuations in temperature and humidity levels is seen as key to slowing down the deterioration of archival materials.

Slowing down rapid fluctuations makes use of a number of factors. The building fabric provides a barrier against outside fluctuations in temperature and humidity during the night and day. Storage rooms that do not have walls facing the outside, means that the walls do not distribute the sun's heat and the night's cooling into the storage area. Shelves that do not stand up against an outside wall also prevent the heating-cooling cycle from being transmitted to materials on the shelf. Finally, boxing materials act as another buffer to the fluctuations of temperature and humidity on the outside of the building, and any that may occur inside the building.

**Handling of archival materials**

Careful handling of archival materials helps to avoid physical damage from accidental dropping or falling of materials, and the wear and tear of rough handling of the records themselves.

Staff and other users of archival materials should use clean dry hands to handle materials. Please see additional information on handling and use of archival materials on page 57 of this section.

## Summary

**Understanding risks to archival materials**

- The major risks are fire, flood, theft, pest activity and unauthorised access.
- Disaster preparedness working to prevent a disaster from happening in the first place, focusing on identify risks and then working to either eliminate them or greatly reduce them (mitigation). The best disaster plan is the one you never have to use as all risks are managed to very low levels or are completely eliminated.
- "Planning for the worst, but hoping for the best" is the mantra for disaster planning and preparedness.

**Fire and fire prevention**

- Some measures to resist fire include the installation of fire-resistant doors, walls, ceilings, floors and windows.
- Checking electrical circuits regularly, and the use of smoke detectors.
- Cleaning and landscaping the grounds to reduce fire risk.

**Water: flooding and moisture**

- Water damage as well as the moisture in storage areas, can result in secondary risks to collection materials, such as the growth of mould in humid conditions.
- Some preventative measures are: raising shelving off the ground, checking plumbing, tanks and pipes regularly, and not storing materials in a basement or near plumbing or pipes.

**Theft or unauthorised access**

- Storage rooms, areas and cupboards must be lockable.
- Archives and current records need to be protected from unauthorised access.
- A separate area for viewing and using the archives should be set aside if possible.
- All areas should be monitored when in use.

**Pests and biological agents**

- Keep building grounds clean and cut back plant growth.
- Maintain the building's exterior to prevent insects and other pests gaining access to the building.
- Monitor for insect activity inside the building and storage areas.
- Do not allow food and beverage consumption in storage areas or where archival materials are used or exhibited.

**Collection maintenance: ensuring good storage environment for archival materials**

Archives need to be stored in conditions which are cool, dry and seasonally stable, with minimum exposure to natural or artificial light and protection from pests, pollution and access by unauthorised people. Making a quick assessment based on the 'how to' guidance below will allow you to identify any immediate needs or risks and to plan how to tackle them.

The archive storage area should be maintained and used only as a store. This will help to maintain security, environmental stability and light levels. Any archive store should allow for expansion space for additions to the collection. It also needs extra space to allow for repackaging, which can mean that the collections take up more space than they did before.

A stable storage environment, where temperature and humidity does not change much is best. An attic space can reach extremes of temperature and relative humidity and the conditions change frequently. Attics cannot be easily monitored or accessed, so are not ideal for storage. If attics are used, every effort to insulate the space should be taken to stabilise temperature and humidity.

Poor storage and environmental conditions, inadequate packaging and handling arrangements will encourage deterioration of the archive over a prolonged period. The following environmental conditions need to be considered:

- High temperatures and high humidity speed up chemical changes in the materials stored in your archive. This, in turn, speeds up degradation of archival materials. '
- Humidity is measured as "relative humidity". This is the amount of moisture in the air at particular temperature. Measuring it tells us how moist the air is in a particular room or area. Temperature and humidity readers and dataloggers are available locally from refrigeration or air-conditioning companies
- Changes in temperature and relative humidity can also increase degradation of archival materials. The greater the frequency and rate of change, the greater the speed of degradation.
- High levels of humidity (above 65%), mould can germinate and spread through collections causing extensive damage.
- Paper and parchment should not be stored below 40% relative humidity for long periods of time as it can become dry and brittle. This increases the risk of damage through mishandling. This is more an issue in more arid climates, such as that in the interior of the county (in semi-desert and desert conditions).
- Photographic materials and plastic film benefit from storage at a lower relative humidity of 30-35%, and at colder temperatures as well as in light conditions where the light levels are very low.
- Light damage is cumulative. The damage occurs and worsens over time with exposure to light.
- Avoid direct natural light from outside in your storage area. All windows, rooflights and other glazing should be adequately covered. Ideally an archive store contains little or no glazing.

- Keep lights on for a minimum amount of time, and only when staff are inside your storage area.

**How to organise and improve archival storage conditions**

**Storage rooms**

Storage areas should be clean, dry, and secure. Doors (and windows) lockable and secure. This prevents uncontrolled access, damage, disorder, or theft.

The storage area should have a strong, load bearing floor to take the weight of the archival collections, the packaging and shelving.

If there is a possibility that are hazardous materials in the collection or you find evidence of mould, seek specialist advice.

When cleaning the storage area:

- Always clean without chemicals or water as far as is possible, using a vacuum cleaner where possible.
- Vacuum cleaners should have good filters to avoid spreading more dust around your storage area. “HEPA” filters are even better as they catch a larger amount of very small particles, leaving the area cleaner.
- It is a good idea to wear a dust mask whilst cleaning the storage area.
- Work from the top shelf to the bottom, before cleaning the floor. Dust drifts downwards from ceilings and top shelves. To ensure a systematic removal of the dust in storage areas, always work from top to bottom and from one end of the room to the other.

Maintenance and repairs to the storage area:

- Are repairs to the storage area needed? Check the ceilings, corners, walls – are they clean and sound? Is there evidence of damp, cracks, damage or deterioration?
- When repairs are being made, store the archives in another secure place. Chemicals in paint and other decorating materials can affect archival materials as they release gases (known as “off-gassing”). Avoid oil-based paints. Take care to minimise dust and debris while rooms are refurbished.

**Storage cupboards and drawers (storage furniture)**

Storage cupboards should be clean, dry, well ventilated and secure. They should be made of strong materials and ideally fixed to an interior wall.

Any cupboards should be lockable and secure. This will prevent uncontrolled access or theft.

Air circulation in storage areas and in storage furniture is important. Good circulation in the storage area prevents pockets of high humidity and temperature from forming (called “micro-climates”). Micro-climates can cause harm to archival materials in that area. Deterioration in microclimates can be hard to spot, if conditions elsewhere in the room are fine.

Powder-coated steel is recommended for the use in storage cupboards and shelving. Wooden shelving and cupboards are not recommended. They are flammable and wood attracts certain pests. Wood also gives off fumes (called "off-gassing") that can adversely affect certain archival materials. Older wood tends to off-gas less but continues to off-gas over time. If wooden shelving cannot be replaced in the short term, it should be sealed with at least 3 coats of water-based acrylic varnish and allowed to dry thoroughly.

**Shelving**

Shelving should preferably be open powder-coated metal racking which is secured to the floor and ceiling. It should not be fixed directly to exterior walls to prevent damp. Open shelves allow circulation of air and allow easy inspection and cleaning.

Shelving should be open-fronted and easy to access. The shelves should be large enough to fully support the archives stored on them. For example: large maps or plans, large or heavy boxes, and multiple boxes. The lowest shelf should be around 15cm from floor level to allow air circulation and help prevent damp. The top of the shelves should be at least 30cm from overhead lights to prevent heat damage to documents stored at high levels.

Shelves should be strong enough to fully support the weight of the materials placed on them. Free standing shelving units should be suitable for that purpose. Other shelving units should be fixed to the walls, ideally with an air gap between the wall and shelf to act as a buffer. Airgaps between shelving and any outside walls prevent the transference of outside temperature fluctuations into the storage area being transmitted via the metal shelving

**Packaging for materials (protective enclosures)**

Packaging is an extra layer of protection for archives. It should protect the contents from light and pollution. It also provides some protection from damage, pests, and changes in light or humidity.

The ideal storage enclosures are archival-quality boxes, folders, sleeves, and other packaging materials. Archival-quality storage enclosures are low in acid and lignin and designed to protect the archives to professional standards. However, archival quality enclosures are expensive. They are made overseas, and their already high price in euros or dollars becomes even more expensive when converted to local currency.

With increasing awareness about good quality paper within the arts and crafting communities, acid free paper options are increasingly available locally. Several types of folders, envelopes, etc., can be made with basic skills from locally purchased sheets of paper or card. If archival quality enclosures are unaffordable, using lidded cardboard boxes for document storage is an option – something is better than nothing.

If you cannot buy storage boxes or folders straight away, the boxes from photocopy paper may be used for temporary storage. These are only a temporary solution, but can provide some protection from physical damage, dirt, dust and light. Never re-use cardboard boxes which have contained food as these can attract pests.

Temporary packaging should be replaced with archival packing as soon as possible. Archival boxes and folders which are delivered flat packed are the cheapest to buy.

When placing archival materials into boxes:

- Never over-fill boxes: especially where this makes them too heavy to handle. This can cause damage to the contents and is a health and safety risk to staff.
- Storage enclosures must be labelled clearly, including covering dates, so that you know what they contain.
- Photographs and fragile single documents should ideally be stored in archival polypropylene (plastic) pockets or sleeves. However as archival quality pockets and sleeves come from overseas and have to be imported, they can be expensive to acquire. Good quality polypropylene plastic pockets available from art shops can be a good substitute. Pockets used by artists to store their artwork in portfolios are generally of a better quality than much cheaper products available elsewhere, they are also available in sizes ranging from A5 – to A2, which can be handy for storing larger pieces of flat paper or documents.

## Summary

### Storage environment for archival materials

- Archives need to be stored in conditions which are cool, dry and seasonally stable, with minimum exposure to natural or artificial light and protection from pests, pollution and access by unauthorised people.
- Ideally a storage area should be only used for storage to help control the environment, as well as access to the storage area as much as possible.
- The following are damaging in a storage area:
    - Incorrect temperatures and Incorrect humidity.
    - Rapid changes in temperature and humidity.
    - Exposure to light.
    - Pests.
    - Water and fire.
    - Careless handling when shelving or retrieving records from the shelf.

### How to organise and improve archival storage conditions

- Storage rooms and furniture should be clean, dry, and secure.
- Good air circulation in the storage areas and furniture prevents pockets of high humidity and temperature from forming.
- Strong, open, metal shelving, secured to the floor is ideal.
- Packaging (protective enclosures) will protect the contents from light and pollution. It also provides some protection from damage, pests, and changes in light or humidity.
- Archival quality is best but if unaffordable, use the best quality boxes available to you.
- Archival quality boxes typically have no acid or lignin content in the board, may be buffered with alkaline buffering, and have standards for surviving being dropped from a certain height and being immersed in water for a certain number of hours without losing their shape or integrity.
- Archival boxes for photographic materials are generally designated as having passed the "PAT" test (Photographic Activity Test), to ensure that the chemistry in the board does not adversely affect the photographic materials.
- Never over-fill boxes.
- Storage enclosures must be labelled clearly.
- Photographs and fragile single documents should be stored in archival polyester pockets or sleeves.

**Managing the use and handling of archive materials**

Providing access to records, and the associated handling they receive. pose a risk to archival materials. This risk can be managed in several ways, including always supervising those who consult your archive's records and providing guidance (and enforcement) on basic document handling. You should consider restricting personal items that researchers can bring into your reading room or consulting area / table (for example, bags and bulky coats).

Archival materials should always be supported during consultation. Large items (such as large maps) need a large table, do not allow them to overhang the table's edge. Bound volumes (books) need supports such as foam wedges or pillows so that they don't open too far and damage the spine and pages. Padded strip weights can help prevent keep plans or volumes with over-tight bindings from curling upwards while being displayed or consulted.

Photocopying and scanning can cause damage to records through exposure to strong light and closing the lid to flatten the document. If you must copy in this way, copy once only and keep the photocopy or digital scan to make other copies from. Automatic document feeder trays on photocopiers and scanners can damage original documents and should not be used.

- General handling principles for archival materials (for staff, volunteers and researchers):
  - Anyone who uses your archives must handle them carefully.
  - Any food and drink should be excluded from the area where records are stored, exhibited or consulted.
- Careful handling of archival materials includes:
  - Always handle archival materials carefully. Don't take risks.
  - Handle archival materials as little as possible.
  - When handling archival materials, ensure hands are clean and dry.
  - Examine archives for signs of damage before making them available.
  - Use only pencil for taking notes.
  - Never use adhesive stickers to mark pages (or 'Post it' type sticky notes).
  - Use soft, flexible weights to hold pages in place.
  - Never moisten or lick fingers to turn pages; never "pinch" a corner of a page together with fingers to turn or lift the paper.
  - Be careful when moving heavy items, use a trolley to transport items.
  - Never carry heavy, awkward, or large items on your own. Get assistance to lift or carry these items. This protects you and the documents.
- Setting up a consultation space for researchers and managing researchers during their work includes:
  - Have a clean, flat workspace away from hazards ready before bringing out the archival material.
  - Always supervise anyone who is viewing the records.
  - Have a designated area where archives are produced for viewing.
  - The area should be clean, tidy and well presented.
  - The area should be easy to supervise whilst not hindering researchers.
  - Researchers should not be allowed into the storage areas.
  - Keep records of researchers and the records they have viewed.

## Summary

**Managing the use and handling of archive materials**

- Always supervise people who view your archives to ensure careful handling.
- Any food and drink should be excluded from the area.
- Always support documents using a table and padding.
- Photocopying and scanning can cause damage to documents. Try and keep to a minimum.
- When handling archival materials, ensure hands are clean and dry.
- Use only pencil for taking notes.
- Never use adhesive stickers to mark pages (or "Post it" type sticky notes).
- Never moisten or lick fingers to turn pages; never "pinch" a corner of a page together with fingers to turn or lift the paper.
- Be careful when moving heavy items, use a trolley to transport items.

**Always consider health and safety when handling materials to avoid injury and harm to records**

- Always use both hands to remove a record from the shelf. Use both hands to carry a record.
- Get additional help when handling really have or large items.
- Use trolleys for transport, wherever possible to prevent records being dropped.
- Do not carry so much in your hands, that you risk dropping something.
- Be careful when using ladders. Ideally have two people, one on the ladder retrieving the record and handing it to another person standing at the bottom of the ladder.

**What is a disaster?**

A disaster is any event, large or small, that has the potential to cause disruption in the functioning of an archive. Disasters are usually unexpected and have the potential to cause severe disruption and harm to the archive's functioning and its materials.

The impact of risks to archival materials can be reduced by disaster management planning. A plan will help you respond to a disaster faster. A faster response reduced the damage caused by incidents of flooding, fire, of theft and security breaches.

**Can a disaster be planned for?**

Yes, disasters can be planned for. Just because they are unexpected, it does not mean that cannot be planned for. Certain kinds of events, like fires and flooding, are common enough occurrences that they can be planned for. The key concept in disaster management is "o be prepared for the worst but hoping for the best".

The common scenarios of fire and flood are used to plan for less common disasters such as earthquakes, the effects of civil unrest, severe storms, etc. The pattern of responding to and containing fire and flood scenarios are broadly similar enough to serve as useful planning platforms to outline less common events or disaster scenarios.

**Why plan for a disaster?**

An archive's response and recovery will be faster and more efficient when people understand how to respond, by knowing wat is expected of them and what resources are available. Arrangements made in advance means that news of the disaster is quickly communicated and responded to, people know what their roles are in the event of a disaster and what to do under the challenging circumstances.

Having a written plan that will guide an archive's response will spell out the various steps to take in responding to a disaster. The plan will provide information on how to communicate the disaster, how to access supplies in the event of a disaster and how to salvage the archive's materials. Disaster plans need to be updated with any changes on a regular basis.

Disasters are emergencies. This means that the normal rules and modes of operation are suspended to allow an archive and its staff to respond to the emergency. Duties and roles will be different in the event of a disaster. If people understand ahead of time what to do, it saves much time and effort when responding to an actual disaster. As the disaster response unfolds people's duties may change with the changing circumstances. Once the situation is stabilised, normal roles and modes of operation can be returned to, while the longer-term recovery continues.

**Disaster preparedness begins even before something happens**

A large part of disaster preparedness is about preventing a disaster from happening in the first place. Identifying likely risks to your archive is an important part of understanding how and where to begin to look at where measures can be taken to eliminate or lower the possibility of risks developing into full-blown disaster scenarios.

Generally, a really good place to start with is to focus on the building and grounds maintenance. Focusing on building and grounds maintenance can help to eliminate potential risks to the archive that could begin in the grounds or building and threaten the archive's materials. A well-maintained building and grounds is one of the best ways to protect an archive.

Another area that should be monitored for possible risks is what is going on outside of the grounds of the archive. Problems and risks to the archive can begin outside the grounds and spread into the grounds and building. Pest infestations, urban unrest and fire can spread from outside the grounds into the building. Assuming something cannot happen just because it has never happened before, can lead to gaps in planning which could have devastating consequences when something does go badly wrong. "Magical thinking" is the term given to the assumption that if something has not happened before, it is unlikely to ever happen. In planning, always assume the worst and plan for it (you can still hope for the best possible outcome). Magical thinking has been identified as a major cause of disasters having even worse outcomes due to the assumption that something could never happen.

**Planning for disaster, what you will need**

Disaster preparedness requires three things: (1) a written plan to guide how to respond to a disaster; (2) a team that understands how to assess the damage and how to plan for the salvage of the damaged archival materials; (3) some basic supplies with which to get going (brooms, mops, buckets, "wet-and-dry" vacuums, along with personal protection clothing such as waterproof boots, aprons, eye protection, masks and safety hats are a good place to start).

A written plan that will guide an archive's response. The plan will set out the various steps to take in responding to a disaster. It will provide information on how to communicate the disaster, how to access supplies in the event of a disaster, and how to salvage the archive's materials. The plan needs to be updated with any changes on a regular basis.

A response team of staff members is needed to implement the plan. They will respond to the disaster and assess the level of damage to the archive building and materials. After assessing the situation, they will formulate a response to the disaster. Based on the formulated response, duties and work will be assigned to the rest of the archive and/or organisation's staff. The team will include not only archivist staff, but members of the organisation's management and communications staff. Responding to and recovering from a disaster requires teamwork. No one person alone can deal with a disaster, especially if it has had a big impact on the archive. Good teamwork is essential to any recovery from a disaster.

Supplies to decant water and clean the areas, as well as to help dry the affected materials are needed. Try to assemble a minimum of supplies in the event of a disaster. Find out and know where to get other kind of supplies like generators and pumps that may be needed in case they are needed. The minimum materials should ideally be kept on-site at the archive, so that they can easily be accessed in the event of a disaster. Supplies need to include adequate personal protective clothing and equipment, many disaster sites are hazardous, Great care must be taken during any work in the disaster site to ensure safety of those working on-site.

Practising how to respond to a disaster, along with an organisation-wide awareness about disaster preparedness and response are important components in how an organisation can speedily and efficiently respond to a disaster. Disaster preparedness and awareness can be linked closely with health and safety issues in the workplace, and even help identify issues that could lead to disaster in the building or grounds.

**Planning for the different stages of disaster response: the initial response, raising the alarm and the initial assessment of the situation**

Disaster response is divided into (1) an initial stage of raising the alarm and triggering a response to the disaster, (2) a stabilisation stage and (3) a recovery stage. This makes planning for a disaster easier as it is broken into smaller areas, all of which have different things that need to happen. Bear in mind that these stages do not have hard borders, they can very much overlap in the event of a disaster.

In the initial stage the alarm is raised, and news of the disaster is communicated to archive and organisational staff. There needs to be a plan as to how the discovery of a disaster is to be communicated to the emergency services, if their response is required. Known as a "phone tree" the plan has current contact information for emergency and other services needed in the event of an emergency, as well as the organisation's initial responders to the disaster and senior management.

There also needs to be a plan as to how to communicate to the archives staff and organisation staff, as well as to any external clients of the archives such as researchers. How the media is to be communicated with also needs to be planned; who has the authority to make media statements and the channels through which that communication needs to proceed needs to be decided in advance. As the situation stabilises, other interested parties such as donors may also need to be contacted.

The scale and scope of the disaster needs to be assessed to plan for the following stages. When the building is declared safe to enter, an assessment of the damage needs to be made and plans to stabilise the situation (the next stage) can happen. Details of how the organisation is going to proceed and the new roles of the staff can then be communicated to the staff.

Plan for a resumption of service as soon as possible, even if in a very limited way, once the scale and scope of the disaster is known.

An important point during the entire disaster response is to be prepared to stop and reassess if things are not working or that changes need to be made. All disaster response situations are quick-moving and changeable situations. Be prepared to respond to changing circumstances (good or bad) and implement changes.

**Planning for the different stages of disaster response: responding and stabilising the situation**

After the initial assessment has occurred, the most important focus of the response is to stabilise the situation. Depending on the type of disaster, this may mean pumping out water from affected areas, cleaning dirt and debris from the floor, securing walls, shelving and roofs before work on salvaging the archival materials can begin. Human health and safety is always the first consideration, both in planning for disaster and during the actual response.

For the archival materials, the most important thing is to bring the temperature and humidity levels down inside the building. This will prevent mould growth. In the event of flooding, mould can quickly grow on archival materials. Mould is not only detrimental to many kind of archival materials, it is also a human health hazard.

Focus on removing humidity (water / moisture) from the affected area and bringing down the temperature. Using office fans and opening windows are low-cost ways to reduce humidity inside the building. Commercial and domestic dehumidifiers can also help to regulate humidity.

Assess if salvage work can be done on-site, or if the damage is so extensive that an alternative venue to salvage and store the archival materials is needed. Always consider security during a salvage operation, unfortunately opportunists will target the aftermath of a disaster.

**Planning for the different stages of disaster response: salvage and recovery**

Salvage work needs to proceed carefully to not cause further damage to archival materials. In the haste to remove items from a disaster-site, more damage can easily be done to items already weakened by damage from fire and/or flood. Bear in mind that wet items are heavier and often slipperier than you are used to handling. Removing items carefully, one by one if necessary. Try to use supports like crates or boards to prevent items becoming more damaged.

Assess items for level of damage and determine the next step. For badly wet paper and book items, freezing them can buy valuable time to treat other items before returning to the worst - affected. Bear in mind not all archival materials can be frozen, glass for example cannot be frozen.

Do not forget the archive's own operational records in the salvage process: staff employment records, payroll information and administrative files also need to be factored into any salvage operation.

For most items, careful air-drying can help to salvage items. Drying materials must be monitored for any mould growth and shifting as they dry. Compact items such as books will need to be fanned out to help them dry out, if they can stand up on their own, otherwise they need to be laid down and supported, with pages regularly turned to help the book dry out.

Once materials have been salvaged from the disaster site, planning for the long-term recovery can proceed. Part of the planning includes assessing how well the response went, what worked and what did not and updating the disaster plan to account for the lessons learnt.

# Part Three

## Providing access to the archive's information and materials:

**Managing external researcher and staff access to the archive's materials, how to prevent any unauthorised removal of materials, and manging the handling and usage of archival materials.**

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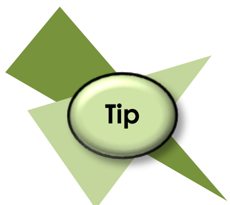
**Why develop procedures for access and use of archival materials?**

Providing access to records and information is widely considered to be one of the core activities of an archive. There are three components to providing access: (1) providing intellectual access (finding aids that help researchers find what they are looking for in an organised archive); (2) legal access (for example, copyright and other legal permissions, use rights) to make and use copies; and,(3) physical access to records themselves or surrogate information in the form of copies or scanned images of records.

Providing access to records and information requires some organisation so that things run smoothly for both the archive and the researcher, and access is provided in a way that safeguards the records. Protecting the records from unauthorised access by providing researchers, volunteers or staff with sound guidelines as to how they can access and/or use information.

Archives need to have policies and procedures regarding retrieval, use, and access to records. These not only provide guidance for how to implement certain functions and tasks, but also provides a measure of transparency in how archives arrive at certain decisions and how procedures have been set up to address certain issues.

Each archive will need to tailor their policies and procedures to the needs of their records and how the archive operates. Procedures and policies should be reviewed on a regular basis, and updated as circumstances change, or new issues arise that need managing to ensure an archive and its records are not unduly impacted by unreasonable expectations and demands for the consultation and use of their records. Procedures also need to specify the ground on which people may be denied access to records: donor restrictions on certain records may play a role, which needs to be explained, certain records may remain restricted for a period of time, which again can be explained.




Policy documents are usually broad statements of intent ("to provide access to X documents, but not Y documents"). Procedures will fill in the broad detail of policy statements and provide the practical steps to achieve a stated policy goal.

For example, the policy requirement "All researchers must register with the archive" needs to have procedures for how that registration must happen. An archive may require that a researcher must provide proof of identity, state the reason for their research and sign an undertaking to abide by the rules of the archive with respect to how documents are to be used and handled during the consultation process, etc.

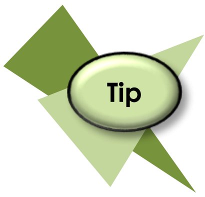
Combined, policy and procedures for access are the "rules" of what you will allow people to look at – or not; what you will allow people to take photographs of, scan and film– or not; what you will allow to be published and broadcast – or not. These rules will also outline how people must handle documents to ensure that no damage or harm occurs to them.

**What to put into your access policy**

Providing access to archival records has two main aspects that need to be considered when drawing up a policy and the procedures that will specifically address how records are to be accessed: physical access and legal access.

Of the two aspects, physical access is possibly the most recognisable as the work of an archive. Physical access is the opportunity granted to persons to examine documents in-person, or online. The process of physical consultation poses risks to the record from mishandling as well as misappropriation. An access policy needs to address how researchers will be accommodated and supervised to ensure no harm or loss to the collection occurs through the mishandling or theft of archival materials. An access policy will also need to address the use of archival materials for exhibition. It also needs to deal with other, less common situations such as film and use in publications: with the potential copyright and fair use issues outlined, as well as a distinction between reproduction for non-profit and for-profit use by external parties.

The legal aspect of providing access is possibly a little less familiar, but it is no less important to think about and include in your policy and procedures. These issues can have serious consequences for the use of records and the information they contain, as well as the public reputation of an archive. Legal access has roots in the archive's legal relationship with the records in its possession. This includes permission to use them for research or consultation, issues of confidentiality versus open records, ethics of use regarding violent and potentially offensive content, copyright, and the reproduction and distribution of information and images.




Personal information and data are increasingly coming under legal safeguarding requirements. Trends indicate that these legal requirements will only get stricter. Archives need to think about how they are going to manage the various legal requirements for the protection of personal information and data. This includes not only information in records, but also the information that archives gather, for example during the registration of researchers. Policy and procedures need to address this issue.

Donated materials may also need special consideration in how personal and confidential information is to be managed, especially for researcher access and any copying or publishing of that information.

**Other areas of managing access to think about for including in your policy and procedures**

Archives, their staff and volunteers generally strive to provide the broadest possible access to the records held in an archive. However, there are times when certain records and / or information is restricted. In these cases, policy and procedures should provide information about any restrictions on the access and use of records or information in a way that is clear. Any restrictions should be fairly applied to all users of the archive, to both staff and external researchers. Though organisation staff may also have differing levels of access granted to them, compared to external researchers, they are still expected to exercise care and discretion when dealing with records of a sensitive nature.

Sensitive information of a personal or medical nature or relating to social care of vulnerable persons may need additional restrictions or safeguards on access and usage. Archives have a duty of care with regards to this kind of information, and placing additional safeguards on the access, use and reproduction of information like this is part of their work. The push-back from researchers against any perceived restrictions on their unfettered access to archival materials can be quite strong, with staff and volunteers often being at the receiving end of abusive behaviour. It is better to develop policies and procedures in advance, rather than waiting for an incident to occur.

Policies and procedures on the careful handling of records and of researcher conduct while using archival materials should also be developed. These often take the form of "reading room rules". Most archives, libraries and other heritage institutions post the reading room rules on their internet and social media platforms, so it is easy to find examples and adapt them to your archive's needs.

Policies on the handling of archival materials should also extend to how staff can handle, transport, and care for archival materials. Also consider including policies on the use, transport and handling of archival materials that are to be exhibited, whether exhibition is in-house or on loan to another institution for a determined period. Safeguards on the careful handling and usage of archival materials extends to staff, who are most likely to do most of the handling that archival materials experience.

Archives are now often used for filming and photography. With a resulting increase in the use of historical materials in documentaries and other forms of media. This can be a great way of getting people to know about your archive. However, any commercial filming and photographic activity will need to be carefully managed to ensure that no harm is caused to the archival materials and that the work of the archive is not unduly disrupted. Filming and production crews will need to be informed in advance of how they can and cannot work in the archive and with its records, and their work needs to be adequately supervised by a staff member with enough seniority to call a halt to any activity that will pose a danger to the wellbeing of the records or unduly impact on the functioning of the archive. Consider charging daily fees for the work that will have to be done to accommodate the work of a film or photography.

Some of these issues may need their own policy or procedures to manage, if they become a big enough problem. There is no reason that a particularly difficult issue cannot have its own policy and set of procedures to better manage it. Some really complex issues often benefit from having additional policy and procedure guardrails in place.

**Managing access to archival records on a day-to-day basis**

Access policies and procedures will need to cover all the ways in which information and research queries will be directed to the archive: in-person, by email, and telephonic requests. Any limitations to access (e.g., charging for answering queries, or requiring the making of appointments) will need to be made clear. Develop policies and procedures for how researchers will be accommodated, how requests for reproductions of archival materials will be handled.

Policy and procedures can also stipulate when the archive will be open to outside researchers, and when it will be available to staff of the organisation. For archives with very small numbers of staff or volunteers available to assist researchers, access hours may need to be limited to certain mornings, days or hours of the week to make sure someone is on hand to assist researchers and to monitor their use of the records during consultation. Some small archives require appointments to be made in advance. Conducting a quick telephone or email interview with a prospective researcher can also help staff and volunteers to establish in advance what the researcher is looking for, and can help streamline the providing of access for both parties.

There is additional information on how to the manage researcher access to archival records in this section. Please see the following pages in this section for information on: how to safeguard collection materials; and, on providing access to archival materials.

**Providing access: accommodating researchers and responding to requests**

Providing access to information is one of the core activities of an archive. It begins before the first researcher knocks on the door, sends an email or makes a phone call. It begins with the process of compiling finding aids. The process of arranging and describing collection materials is the start making archival materials accessible. Through the indexes and finding aids that are compiled from the arrangement and description process, researchers and archivists can search for information to answer queries.

Providing access is also about how to accommodate researchers and their queries. Research visits can be either virtual or in person. Archives need an access policy that will address both sides to the provision of access, how the archives indexes its materials, compiles its finding aids, and how the archives will accommodate research visits / queries.

Archives have access guidelines designed both to help preserve materials and protect them from theft or damage, ensuring they will remain available for future researchers. Guidelines will differ between repositories. Typical guidelines include:

1. Registration and personal identification

Many archives ask researchers to fill out an application form, either on paper or online, or to acquire a researcher card before they begin using materials.

These forms typically include name, address, institutional affiliation, materials to be used, and a description of the research project. Photo identification may also be requested. Registration practices familiarize staff with the researchers to better assist them; and may also be used to aid a criminal investigation if theft or vandalism occurs. Some archives also require a note of recommendation or special permissions before admitting researchers.

2. Removal of coats and bags

Another method used to discourage theft is requiring that researchers remove bulky outer clothing and store purses, bags, binders, and laptop cases outside of the consulting area. Many archives have lockers or other monitored areas that researchers can use to store personal possessions. If the only storage option is a nonsecure environment, such as a public coat rack, be sure to remove valuable items like keys and wallets from bags and pockets.

3. No food, drink, sweets, or gum

This guideline is designed to help preserve the collections. Spills can irreparably damage documents or require costly repairs by a conservator. The presence of food may also attract insects or rodents that infest archival materials. Crumbs and dropped bits of food can stain and mark documents.

4. Use of pencil only

This is a preservation practice in case accidental marks are made on archival materials; pencil can be erased while pen marks cannot be removed without recourse to chemical treatments.

Beyond the concern with accidental pen marks, there can be other considerations limiting the use of writing tools and notepads in consulting rooms. Some archives restrict researchers to only binging in a few pencils and an eraser (with sharpeners available inside the consulting room). Pencil cases can hold sharp objects that can be used to cut pages from books and are sometimes not permitted in consulting rooms. Pads of paper can be used to slip paper records into, to snuggle them out of the archive. Paper is either provided or paper pads are inspected on entry and on leaving the consulting room. Unfortunately, there are those who enter archives as researchers with sinister intent.

5. Request forms

Forms are used in a variety of situations, from "call slips" that specify the boxes or books a researcher would like to see, to forms requesting reproductions (such as photocopies).

Some forms have very practical uses, like verifying that the correct materials are retrieved, calculating fees, or keeping track of usage for statistical and preservation purposes. By recording exactly which materials were used and by whom, they can track the movement and usage of archival materials and provide verifiable data on the use of the archive's materials. Forms can also serve as a theft deterrent, with traceable information about who consulted what.

Care needs to be taken with the gathering of personal information and data. Legislation on the collection, use and storage of personal information requires the careful management of this information. Any archive collecting researcher's personal information need to b aware of the current provisions for its safeguarding.

Forms can be useful in notifying the researcher of any legal requirements to take into consideration for how materials are used. For example, photocopies of unpublished materials may require additional permissions before they may be published. The researcher's signature on the request form indicates that they have read and understood these stipulations, and that the archival repository has done its duty informing researchers that those conditions exist.

6. Gloves

In most cases clean hands, free of lotions or perfumes, are sufficient for handling materials. Gloves may be necessary for handling metal objects or photographic materials (photographic prints and negatives) to protect the materials from the oils and other residues left by hands. An archive should provide gloves if they are required. White cotton gloves are not recommended, non-latex powderless gloves are preferred.

7. Laptops, cell phones, cameras, recorders, and personal scanners

Many archives allow the use of cameras, laptops, and other personal digital devices, but restrictions may exist. Certain archival records may require permissions to be granted before they are reproduced, and the lights used by cameras and scanners can cause text and images on documents to fade if they are overexposed.

Guidelines in these areas are for security and preservation purposes, as well as for ensuring that all researchers can work in a relatively quiet, distraction-free environment. Archival staff may also ask to inspect any devices researchers bring with them before entering or leaving the research area.

8. Careful handling and maintaining order in boxes /files

To ensure that materials are maintained for future use, all archives ask researchers to handle materials carefully. While older materials are generally thought to be more fragile, even new materials need to be handled with care, so they remain available to the next generation of researchers.

Researchers may not write on records, lean or press on them, place them on the floor or allow them to overhang tables. If researchers are unsure how to open a box or handle a record, they need to ask for assistance.

It is important that materials remain in the order in which the researcher received them so they can be located later and observed in their proper contexts. Misfiling or changes in order can lead the archival staff to assume that items are missing and inconvenience future researchers. Repositories generally provide place markers to help a researcher keep materials in order and to mark items requested for photocopying. An archive may have additional guidelines like removing one folder from a box at a time, leaving reshelving to archival staff, etc.

9. Limiting the number of items issued to researchers at a time

Researchers will be provided with a limited number of records for consultation at any one time. Depending on the archive and the staffing available to them, this can range from providing only one box at a time, to extracting the requested record from a box and presenting it to the researcher while retaining the rest of the box.

There are a number of reasons for providing a limited number of records for researchers to work with at any one time. These include security concerns. Researcher's activities are more easily monitored if there are only a small number of records on their desk at any one time. Also, records from different boxes are less likely to get mixed up (or go missing) if the researcher only gets to consult a small number at any one time.

Different kinds of records may have differing levels of restrictions when they are consulted. Some records may be of such importance that the researcher is individually supervised by a staff member.

Archives set their limits on how much can be requested and consulted at any one time, based on their staff resourcing and concerns for the safety and security of their records. For smaller archives, setting limits on the days or hours during which the archive is open to external researchers can help in ensuring enough staff are on hand to properly supervise researchers.

**Providing access and more: Digitisation**

Increasingly, digitising archival records is seen as a way to provide access. However, it should be noted that it also has a role to play in preservation. First, it is a way to ensure old and fragile records as not handled as often as digital copies can be consulted instead. Second, should disaster strike, you have copies of significant records.

Digitisation and archives is a field on its own and an in-depth look is beyond the scope of this guide. Moreover, should you wish to embark on a digitisation project for your archive, here are some tips to consider.

- What is your archive's goal in embarking on a digitising programme?
    - Do you want to safeguard a few key records, by providing digital surrogates?
    - Do you want to make your finding aids and inventories, and a few selected records available online?
    - Do you want to eventually put your whole archive online?
- Plan for the digitisation goal you want to achieve, even if you are doing it step by step.
- What resources do you have for digitising? Digitising can be costly and time-consuming to do properly. Archival standards for digitisation are high and require enormous digital storge capacity.
- Make sure you have the know-how you will need:
    - Equipment, which includes staff trained to use it, and people who know how to handle to prevent damage to the records while scanning.
    - Database or system to capture information about your scanned records (called metadata) in and people trained to capture it so your records are searchable.
    - Enough digital storage for high resolution images,
- Software and equipment change quickly. Factor in how you will respond if the technology changes.
- Digitising does not mean your archive can dispose of the original records in paper format. Your archive has been entrusted with their care in perpetuity. Now that you have scanned images of the original records, these scanned images also become your responsibility to safeguard in perpetuity.
- The principles for managing a paper-based collection, do not always translate to a digital archive. New ways to manage records will need to be implemented to manage the digitised versions.
- Managing your digital records will require ongoing maintenance. Scanned images and the accompanying metadata will need to be migrated across new generations of software to preserve them from digital obsolescence in the long-term.

## Summary

### Archival access

- Access is a core activity of an archive.
- Archives normally have policies and procedures regarding retrieval, use, and access to records.
- Access can be defined as: intellectual access (finding aids), legal access (permissions, use rights) and physical access (virtually or in-person).
- Particularly sensitive information of a personal or medical nature or relating to social care of vulnerable persons may need additional restrictions or safeguards on access and usage.
- Access can include providing copies of archival records for researchers, as well as allowing filming activity in the archive or of the record.

### Considerations for accommodating researchers

- Registration and personal identification of researchers.
- Coats and bags are not permitted in the consulting room / space.
- Food and beverages are not permitted in the consulting room.
- Use of pencils only when consulting records, other restrictions on writing tools and notepads may also apply.
- Request forms
- Use of gloves when consulting records.
- Use of laptops and other electronic / digital devices
- Careful handling of records during consultation, and maintenance of the order of records in boxes and folders.
- A limited number of records will be issued to researchers at a time

### Digitisation for access

- Digitisation for access needs to be planned for. It is almost like setting up a completely new archive.
- It will require a budget of its own, that will not only include the software and equipment, but ongoing training of staff.
- The processing of the scanned images and adding of metadata need to be planned for.
- The migration of scanned images is currently the only way to preserve digital records.

# Part Four

## Records management: the modern way of managing information and “active” records before archiving.

This guide to archiving for community organisations has been compiled by the Western Cape Archives and Records Service (WCARS) Cape Town, South Africa. This guide has been made available free of charge as part of WCARS public programming activities. It is made freely available for non-commercial use, display, broadcast, performance and distribution. Attribution in the event of copying, display, broadcast, modification or reuse is requested.

**What is records management?**

Records management begins with the management of records while they are still in offices, even before they reach the archive. Manged records are considered to still be "active." That is, they are still of everyday use to the office and its work.

These "active" records still need to managed while they are in the office to ensure that they can be located when needed, and that their organisation is systematic and transparent to ensure accountability of the office. When documents cease to be useful, they are either discarded or transferred from the offices to the archive. The categories of documents to be kept for the long- or short-term are pre-determined and written down.

Records management is now considered an integral part of the management of any business or organisation. Records management happens in government, in private businesses of all sizes, as well as in private organisations, charitable groups and NGOs.

Records management is a fairly recent phenomenon in archiving. It arose after World War II (1939-1947), when the growing amount of paper documents produced by government offices meant that archives were struggling to cope with the amount of paper coming to them.

**Records management: the modern approach to organising and managing "active" records and information**

Records management is a holistic approach that begins to manage information (that is, both physical and digital records) even before they are archived. Records management aims to manage the entire life cycle of a record from its creation, its use as a current or "active" record in an office, and then to manage its transfer to an archive, or manage its disposal if it is not intended to be kept and sent to the archive.

Modern records management protocols work to identify which records will be kept for archiving, and which will not (section for retention) before it reaches the archive.

However, for many archives that have built up collections over the years as materials were added or donated, adopting a records management approach may not be the most practical way to get started. A better approach is to first organise the existing archive, and then look at putting records management strategies into place that will link the newly created documents in the organisation's offices with the archive, once they have ceased to have relevance on a daily basis.

**The lifecycle of a record**

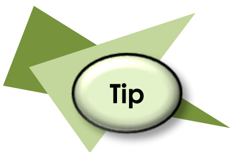
Modern records management sees the management of documents as the management of a life cycle: documents are made (or born), they have a life of usefulness, and then they cease to be useful on an everyday basis (or die).

Once records no longer have an everyday use, they are usually transferred to an archive. In the records management system (or records "life-cycle"), this usually means after a certain amount of time has passed. The time can vary from 20 years to 5 years, and even be just six months for certain disposable (or "ephemeral") records like receipts. Different types of records can be assigned differing periods of retention. Different periods of retention mean that at regular intervals, records are gone through and either disposed of, or transferred to an archive.

**Why consider a records management programme?**

The focus of this Guide is on managing your archival records rather than your organisation's "active" records. However, it might be useful to implement a records management programme in your organisation in the long term. Or, if your organisation already manages its records in an organised way, to work with the person responsible to align their system with the archive. This ensures a systematic and consistent flow of significant records to your archive.

Records management is a field on its own. As with the management of an archive, it is easy to be overwhelmed by the concepts and terminology of records management. The sections that follow give a brief overview of the main components of records management to be aware of.




It is helpful to get a broad understanding and then see what you can implement with the time and resources available. A records management programme, feeding into your archive, can be built up slowly piece by piece, and as it makes sense for your organisation.

**Components of a records management programme**

A records management programme usually has the following:

- Records Management Policy: to guide your effective management of the records.
- Registry Procedure Manual: to effectively process incoming and outgoing information, including what to keep and what to dispose of.
- File Plan: to guide the filing system for *correspondence* generated in the office.
- Schedule of Other Records (also called Records Control Schedule): to guide the filing system for *records other than correspondence* generated in the office.
- Transfer of record to the archive. Transfer of records occurs when records have become to old for everyday usefulness in an office. Transfers occur at regular intervals, which are usually dictated by the file plan's indication of when certain records are deemed to have "matured" to the extent that they now require transfer to the archive.

### Why have a records management policy?

Policy documents formalise in writing the approach to how an organisation's records will be managed in a clear, concise and transparent manner.

The records management policy will be shaped by the nature of the organisation's work and should evolve with the organisation.

### Key components of a records management policy

- **Scope and purpose:** Clearly defines which types of records the policy applies to. For example, membership forms, financial documents and volunteer agreements. Outlines the overall purpose of the policy emphasizing its role in ensuring compliance, promoting transparency, and supporting efficient operations.
- **Record classification and retention:** Establishes a system for categorizing records based on type, activity, or subject matter. Develops a retention schedule specifying how long different types of records must be kept before being archived or disposed of, aligning with legal and regulatory requirements.
- **Security and access:** Defines procedures for protecting sensitive information and ensuring secure storage and access to records. Outlines who has access to specific types of records and how access is granted.
- **Responsibilities and training:** Assigns clear roles and responsibilities for various aspects of recordkeeping, such as creation, classification, storage, and disposal. Implements training programmes to educate volunteers and staff on their responsibilities and the policy's importance.

**Registry Procedure manual**

Traditionally, managing incoming and outgoing information on paper in an organisation has been situated in one location (a "registry office") but this does not have to be the case in a modern world.

Compiling procedures for the management of handling incoming and outgoing correspondence, and the filing of documents and the correspondence will help to standardise the procedures and provide clear processes for handling correspondence, streamlining operations and ensuring timely delivery of information. This guide is usually called a "registry procedure manual".

**Key components of a registry procedure manual**

Here are some crucial elements to consider:

- **Scope and purpose:** Clearly define the types of documents handled by the registry, including physical and electronic formats. Outline the overall purpose of the manual, emphasizing its role in streamlining communication, ensuring document security, and promoting efficient information retrieval.
- **Receiving and logging procedures:** Establish clear steps for receiving documents, including mail, hand deliveries, and electronic transmissions. Define logging procedures, capturing essential details like sender, date, and subject matter for accurate tracking.
- **Distribution and routing:** Outline routing procedures for incoming documents, specifying how they are categorized, directed to responsible parties, and delivered timely. Define protocols for handling urgent or confidential documents.
- **Filing and storage:** Establish a clear filing system for physical documents, outlining categorization methods and storage protocols. Address electronic document storage procedures, including backup and security measures.
- **Retrieval and access:** Define procedures for retrieving documents efficiently, considering both physical and electronic archives. Define access levels and authorization protocols to ensure information security.
- **Retention and disposal:** Establish a retention schedule specifying how long different types of documents must be kept before disposal or archiving, aligning with legal and regulatory requirements. Outline safe and secure disposal procedures.

**The file plan and the records control schedule**

The core of a records management system is a "file plan" and a "records control schedule". Together, the two guide how all documentation in an office are organised.

A file plan is a document that guides the filing of *correspondence only*. Within the file plan, records are arranged in a hierarchical subject structure in the file plan.

An additional guide, called a "schedule of other records" (also called "records control schedule") is a filing system for *records other than correspondence* generated in the office. The other, non-correspondence records are usually organized by document type, including: minutes, photographs, registers, publications and follows a similar organizational structure as the file plan.

Records are also assigned a numerical or alpha-numerical coding that corresponds with each file in the hierarchical file plan and the records control schedule. This numbering or coding system helps track of the files and their contents.

A good file plan has the following characteristics:

- It is accurate. Records are created to support and document specific work processes. The file plan should be structured to accurately reflect the work of the organisation.
- It is simple. File plans should be uncomplicated and use recognizable language.
- It is stable over time. The work performed by an organisation can change over the course of time. Ideally, a file plan should be stable enough to manage changes over the long term without requiring major revision.
- It is overseen by a single competent individual to oversee the implementation and maintenance of the file plan over time, and to avoid any *ad hoc* alterations that could lead to confusion.

**Drawing up a File Plan**

**First steps: getting a broad overview of the organisation or office's work**

A file plan is usually organised into broad sections: (1) operational information (correspondence about an office's functions or work) and (2) correspondence about an offices administrative functions.

Operational functions support the mission and mandate of an organisation. They are often specific to a given office, for example public health, community support for elders, community support of the youth, educational, recreational activity-based, religious community and worship, etc.

Administrative functions can be understood as "housekeeping" tasks for an organisation. They are necessary functions but are not usually done in direct support of the organisation's mission and mandate. For example, most offices perform the following administrative functions:

strategic planning, personnel management, financial management, building and grounds maintenance.

The file plan for each broad section – operational and administrative – should ensure that all records of the same function are placed together. Function-based file plans organize records based directly on the work processes that an organisation performs to fulfil its mission, vision and to achieve its goals. For example, finance, human resources, buildings and grounds. function-based file plans are considered to be the most stable and long-lasting.

**Tip**

Looking at the structure, function and activities of the organisation can help to create the file plan and to map out its day-to-day operational work and its administrative work.

**Second step: creating a hierarchical order for records**

Once the broad sections of operational and administrative are mapped out, a file plan is then ordered hierarchically:

- Under each function, records are then organized by activity: that is, a major action, or task, undertaken to complete a given function. For example, under Finance, might be Budget, Reports etc. Most functions have multiple activities, which can be applicable to a single function or to several functions.
- Under each activity, records series are organized. A record series is a grouping of records managed together to support and provide evidence of an activity. For example, under Budget Reports, might be Annual and Quarterly Reports as records series. There may be only a single records series associated with an activity, or there may be multiple records series.
- Finally, within each records series, individual records (files, documents, etc.) may be classified and stored.

**Third step: assigning numbers or alpha-numerical codes to your organized files**

The file plan must include the following for each file:

- A classification number or alpha-numerical coding (e.g., ABC-123) for each file.
- A title for each file which describes the contents (for example, "building maintenance 2023").
- The retention period (also called the "disposal period") assigned to each file or type of document (for example, if building plans are to be kept indefinitely, if certain receipts are only kept for 2 years).

Put files with the same retention period together, so you can easily separate out what must be transferred to your archive and what can be destroyed after a specific period.

If there are functions that overlap, create a description note for each in the file plan or records schedule to ensure staff can intuitively and consistently classify, file and retrieve records. Document the function titles and add any explanatory notes needed.

If you include the date in the file name, use the format yyyymmdd (e.g., 19 June 2020 = 20200619) for recording dates.  That way your files will be kept chronologically using electronic file management tools. It is advisable to avoid capital letters or spaces: this can cause problems when moving files between different computing environments.

**Records management for electronic or digital records**

Once your paper-based records are in order and systematically classified, you can also mirror this filing system with the electronic records using a content management system.

*From this brief overview of records management, it should be evident how the management of "active" (or "live") records can mirror the organisation and management of archival records.*

# Part Five

## More useful information and resources to help you.

The following section contains addenda with useful practical information on certain tasks, as well as a guide to some of the technical terms used in archiving. There are also internet-based resources for further reading on certain topics.

**Addenda**

Addendum 1: How to make a quick box list.
Addendum 2: How to draw up a collections management policy.
Addendum 3: Information to include in a pro-forma donations agreement.
Addendum 4: Objects information recording and description.
Addendum 5: Accessions record checklist.
Addendum 6: Archival appraisal scheme.
Addendum 7: How to catalogue and organise library-type publications: books, magazines and pamphlets.

**Glossary**

**Resources**

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## Addendum 1: How to make a quick box list

Making a box list is a good way to begin describing (or cataloguing / indexing) the archive contents. Making a box list helps in the following ways:

- It gives overview of the contents of the box.
- It allows you to make a quick assessment of any major issues with the condition of the material, or determine any special storage needed because of its format (e.g., photographs, textiles, audio-visual or digital material).
- It allows you to identify material that might be particularly significant for research, and it enables you to spot any material that might need special access restrictions.
- When material is listed, it allows you to take physical and intellectual control of it – it is like stock control in a shop.
- A box list lets you know what you have. It acts as a safeguard to help you to know exactly what you are making available to researchers to consult.

You will need:

- Pencils and note paper, or computer device to draw up the list with.
- Clean hands to handle the records; and, a clean, dry area to work in.
- Enough time to work uninterrupted for a good length of time.

Begin the listing by assigning a box number to the box and give the box contents a descriptive title. If the contents of the box relate to other boxes you have already listed, use the same title you have previously assigned and provide a sequential number that follows on from the previous box. If there is no existing numbering sequence to make use of, consider creating a temporary number, for example, "New Box 2/May2024". Later the temporary number can be converted into an assigned number for wherever the records are fitted into the existing organisation of the archive.

Number and briefly list the contents and any dates associated with the individual items in the box. Label boxes with pencil or with slips of paper inserted in the boxes. Never use sticky notes or labels on archival records themselves as they cause damage. Use slips of paper to label bound volumes (books).

A simple listing task can also give you a chance to clean your storage area and check for evidence of any pests.

Information you will need to list:

- Box number or volume number.
- A unique source/reference code for group/collection uni
- Title or subject of contents (person, event, place, etc).
- Number of boxes.
- Box contents dates starting from xxxx and ending xxxx.
- Types of documents (e.g., printed forms, badges, books, photographs, etc.).
- Notes on problems:
    - For example, poor condition of materials, disorganised contents, missing or damaged items.

## Addendum 2: How to draw up a collections management policy

### What to consider

There are many ways to create policies. Each archive has its own unique set of circumstances and challenges it needs to respond to. Policies need to be tailored to the individual circumstances and requirements of an archive. There is no one-size-fits-all policy, but there are broad considerations and requirements that need to be included in a policy document.

The policy document is not an end, it needs to be implemented. It needs to guide how the work of the archive proceeds. All policies need should speak to one another, so that the combined policies support the work and mission of the archive. Policies need to be updated on a regular basis, or if circumstances change significantly.

### Information to include in a collections management policy

1. Mission, vision, and history

This section is often used as an introduction to the rest of the policy document. It sets out the mission and vision of the organisation, institution, community group, congregation, etc. Policies, plan and procedures need to support the mission and vision of an organization, institution, congregation.

If an archive does not have a mission or vision statement of its own, the functioning of the archive will reflect that it supports the parent organisation's mission and vision (and the preservation of its history and activities).

A brief history of the organisation, institution, community group, congregation, etc., is useful to include here. Archive activity typically begins much later than the start of the organisation, and its history is often a little bit different to that of the parent organisation. Writing down the history of the archive itself can be useful in helping others to understand why some materials are in the archive and others are not.

2. Statement of authority

This section summarizes those roles and responsibilities of staff and the management or governance board. An outline of how legal and financial matters are to be handled should be placed here. Relevant legislation (e.g., *South African National Heritage Resources*, Act 25 of 1999; *South African Disaster Management,* Act 57 of 2002) can also be listed. This includes both national and provincial legislation, as well as any city bylaws (e.g., City of Cape Town's *Community Fire Safety By-Laws,* 2002).

3. Code of Ethics

A code of ethics is a set of principles that guide the conduct, decision-making and behaviour of staff, management, volunteers, and governing authority. This section establishes values and ethical standards that enable the archive to fulfil its institutional mission and how best to serve the archive's stakeholders. Stakeholders include any group that has an interest in the archive's activities and collection. They can range from community members and diaspora, alumni or past-pupils, researchers, volunteer cohort, etc. Each archive should develop its own institutional code of ethics, specific to its operations and needs.

4. Scope of the collection

This is a broad description of the archive's collections and an explanation of how and what the archive will acquire and how the records are to be used. This section can include a brief history of the records. This section could also include a review of the strengths and weaknesses of the archive's holdings, which can set guidelines for growing and developing the holdings to fill any gaps and omissions that the archive has.

5. Types or categories of collections

Some archives can have a mix of a library, archive, and museum type collections. With a corresponding mix of documents, books, and objects. All these items need to be managed and cared for as part of the larger collection of different materials. In this section, explain how the different types of records or collections are used, acquired, managed and cared for.

Other types of collection categories include collections that are used solely for education / exhibition purposes, or solely for research. Other types of collection categories include items that are permanently part of the collection (permanent), and items that are held on loan (temporary loan or long-term loan) or by an agreement with another organisation.

6. Acquisitions/Accessioning

Acquisition is the act of acquiring an item for the archive. Accessioning is the formal act of legally accepting an object(s) into the collection. It is important that acquisition/accession policies are written with the archive's mission in mind. The archive must ensure that each accession enhances or strengthens the collection, and that it can be properly cared for, stored, and used. Include any legal or ethical obligations or restrictions concerning collection acquisition (e.g., appraisals, gifts, exchanges).

This section outlines the specific criteria and decision-making process for adding items to the collection. Having a formal accession/acquisitions policy will help to build a strong collection that reflects the archive's mission (or support the mission of the parent organisation). It also helps to minimise any misunderstanding between potential donors and the archive.

7. Deaccessioning/Disposal

Deaccessioning is the opposite of accessioning. It is the permanent removal of an item from the collection. It is most usually associated with museums and libraries, rather than archives which tend to permanently retain records once they are acquired.

There are many reasons for deaccessioning objects or records. The process can be controversial, as the popular understanding of an archive, library or museum is that collection materials are kept in perpetuity. However, the practice is a part of collections stewardship for some archives, and a way for the archive to refine its collection.

It is important to understand the legal and ethical implications of deaccessioning and write a policy that helps the archive be transparent and accountable to its stakeholders. It is important to clearly outline the specific criteria for removing an object from the collection, as well as the decision-making process. Moreover, this section should be explicit about the methods and means of disposing of an object and include a statement about how the proceeds will be used.

8. Loaned materials

Loans are means to share information and resources with other archives and the communities they serve. Loans are mostly used for temporarily acquiring items for an exhibition. With the ease of creating digital surrogates, providing a digital surrogate instead of the original is something to consider, balanced against the risks that a loaned record could be exposed to.

This section of the policy will outline the conditions covering the temporary transfer of records (but, not their ownership) from or to another archive or institution. Matters to include are information about loan approval and acceptance processes, loan fees, documentation of the loan, insurance and monitoring. If relevant, an archive can information about restricted items (i.e., items not permitted to leave the museum except under special circumstances).

If an archive is to borrow records and other kinds of materials from institutions, should include information on how they will manage and care for the records and objects under their temporary care.

9. Records without any information or context (orphans)

Items that are "found", with no information as to how they have come into the archive or their relevance to the rest if the records in the archive need specific guidelines as to how they are to be managed. Dealing with "orphan works or records" has become an important issue with the digitisation of collection materials and the placement of images of item on the internet. This section addresses how the archive will handle items with an unclear origin in its holdings.

Ideally, each orphan item or record needs to be researched and as much as possible needs to be found out about it. The research needs to be documented, and forms part of the archive's own record of their attempts to locate either a previous owner or establish if there are copyright or privacy rights attached to the item.

10. Conservation and collections care

There are many factors that affect the quality of care for archival records. As custodian, an archive must properly preserve and care for collections they hold. Actions to be taken include protecting the records from deterioration, harm or loss. Archives are encouraged to address the following in their collections management policy: storage, temperature, relative humidity, pest control, conservation, handling of objects, disaster planning and location inventories.

11. Insurance and risk management

Risk management is a major part of the archive's responsibility to minimize any potential problems or dangers to the collections. This section is an overview of the archive's approach to safeguarding the collection (e.g., fire detection and suppression, security) and the types of insurance coverage provided. A more in-depth disaster plan accompanies the collections management policy.

12. Documentation of the holdings: records and inventories

An archive's inventories and finding aids of the archive are an important documentary source.

Without documentation about the holdings, it is difficult to prove what the archive has custodianship of. In this section archives reference the types of documentation is created about the holdings is outlined. Additional information can include what information is contained in each record group / collection, the parties responsible for maintaining and documenting the records and any procedures for documenting the records and back-up systems. Museum staff are encouraged to commit to periodically checking inventories in order to ensure that an object's supporting information is secure and can easily be retrieved.

13. Access

This section explains who has access to the records and why. and what the safeguards to ensuring that the materials are carefully handled and are not lost or stolen. When compiling this section, assess staff capacity, existing physical facilities, preservation considerations, and awareness of legal issues (e.g., access for persons with disabilities, donor privacy, access to information legislation, protection of private information, copyright and fair usage legislation and conventions). Be aware that this is an area where ideas are constantly developing as issues arise or new technologies come to the fore.

14. Legal and ethical considerations

There are many laws regarding the ownership and protection of heritage resources that can have bearing on how archives need to consider their legal obligations as stewards of the kinds of materials that fall under the category of "heritage". Archives usually state compliance with local, provincial and national laws that affect collections or collecting activities.

Other legal matters can also come into play, including financial and accounting standards legislation. The management of charitable or non-governmental organisations. The collection of personal information and data is also increasingly coming under legal oversight and may also require addressing,

It is important that archives be aware of ethical concerns regarding employee conduct, conflicts of interest, selling items from the collection or restoring certain objects. Other ethical considerations that may need addressing include the use of racist and pejorative language found in records, or the description / depiction of activities now understood to be socially harmful and/or racist (e.g., photographs of individuals posing in "blackface"). Heritage collections are increasingly reviewing the language used to describe collection materials for social biases and making appropriate changes. A statement on harmful language or a policy on language may be a good idea if there are many items in the collection that reflect these biases.

15. Intellectual Property

This section addresses the acquisition of copyright for accessioned materials and the adherence to existing intellectual property laws, including: trademark, fair use, electronic use, licensing, image use, commercial use, royalties and fees, reproductions, visual artist's rights, privacy, etc.

Consider including a statement about whether photography or filming in the archives and collections storage area(s) or of specific objects is permitted; and if so, under what conditions. Any filming in the archives or storage areas needs to be supervised by archives staff to ensure that materials are not mistreated during the filming process. For more information on filming at archives, please see the resources section.

16. Review and revision of the archive’s policy documents

A collections management policy is an active document that should always reflect the actual work practises of the archive. Policy documents should be regularly reviewed and updated as circumstances change. Some archives include a regular review schedule for policy documents and their associated standards and procedure documents. It is fairly standard to review policies every five years to assess what may have changed enough to warrant a revision of the policy document.

17. Glossary

To familiarize all staff, management, volunteers, and governance board with the collections management policy, including a glossary of terms can be helpful.  A glossary is typically put at the back of a policy document.

**Addendum 3: Information to include in a pro-forma donations agreement**

Organisation letterhead (logo, address and contact details, and NPO registration number, if there is one).

Categories to be filled in on the agreement:

- Name, address and contact details of donor.
- Name, address and contact details of person donating materials, if this differs from the donor. Indicate relationship to the donor (e.g., family member, etc).
- Name, address and contact details of person accepting donation on behalf of organisation /community archives.
- Indicate relationship of the donor to the organisation, for example: a former student, society member, congregant, etc. Try and find out the dates the person was involved with the organisation or its activities.
- List or briefly describe the items being donated, a more comprehensive listing can be made later and attached to the pro-forma document (see below).

Make tick-boxes for the following statements to be explained to donor:

- Acknowledgement from the donor that all relevant family members have been consulted on the donation and agree with it.
- Materials pertaining to the activities of the organisation / community group are accepted, with limited resources and space, only items relevant to the organisation /community group can be accepted. Any items deemed not relevant to the organisation / community group will be disposed of. The donor must indicate that they are agree with this and should be given the opportunity to remove any items before final hand-over.
- Materials donated to the archives may be digitised and images / information placed on the internet. Donation of the materials implies consent to allow the archives to digitise and place images /information on the internet.
- Transfer of intellectual property rights: any other usage rights are to be transferred to the archives on donation of the materials. This excludes rights to the works of others, such as letters written to the donor by others, included in the materials donated.

Space for signatures of both the donor (or their representative/ guardian) and person accepting on behalf of the organisation / community group should be provided on the pro-forma document. Signatures should be dated.

Attach the following information / documentation to the pro-forma form:

- Attach all correspondence about the donation to the pro-forma agreement document. Screenshot and print out any SMS or messaging service communication (e.g., WhatsApp and Telegram, etc.)
- List of materials being donated. A detailed list can always be compiled later and added to the documentation.
- List materials not selected for the archive, briefly state why, and indicate how they were disposed of (e.g., given to Hospice, Cafda, Oasis or similar organisation, sent for recycling, or discarded, etc.).

- Follow-up email / letter of thanks for the donation sent. Send a copy / scan of the pro-forma document as confirmation of donation to the donor / or their appointed guardian-representative. No need to include any attached information like lists, etc.

## Addendum 4: Objects information recording and description

### Basic information for each object

### Object identification information

- The source / reference code, if part of a larger collection / group.
- The object's assigned object number.
- The number of objects acquired associated with the object number.
- The type of object, or objects.
- The title or name of the object.
- A brief description containing sufficient information to identify each object, or group of objects, and any separately numbered parts. The description should be enough to allow identification in the absence of the object number (including, e.g., a simple name, measurements).
- Any other number and other number type (e.g., a number allocated by another organisation before the object was acquired, or an older number the archive assigned in the past).

### Acquisition information

- The method of acquisition (for example, purchase, donation, exchange, etc.) . Try to use standard terms for these.
- Name and contact details of the source of the acquisition:
    - If a person who has donated or sold the items, include their address and contact details.
    - If the acquisition was from another source, document the details.
- The date of acquisition by the archive.
- The acquisition register number.
- The transfer of title form number, if separate from entry form - Transfer of title number.
- Note any conditions pertaining to the acquisition.
- The reason for the acquisition.
- Any additional information about the acquisition of the object that may be useful to keep a record of.

### Accessioning new acquisitions

Include the following information:

- Entry number
- Object number
- Date acquired
- Who it was acquired from
- Basic descriptive information, including:
    - object name,
    - title (if relevant),
    - brief description.
- Any other important historical information about the object, or group of objects.
- Any other relevant notes.

**Any other relevant information as additional notes, including:**

- Object history note:
  - Object history and association information This is information about the history of the object, or group of objects.
- Object use information:
  - This is information about how the object should be acknowledged / credited if it is very exhibited or displayed, or an image of it appears in a publication.
- Credit / acknowledgement notes:
  - The acknowledgement that should be used when the acquisition is displayed and published. This is known as the credit line.
- Use restriction notes:
  - Any restriction(s) on the use of the object(s). For example, that an object (or group of objects) may not be loaned, only accessible by staff, or not accessible by external researchers).
  - Also include the date from when the restriction applies from, and when the restriction on use ends, or if the restriction is permanent.
  - Any other information about the type of restriction(s).
- Object owner's contribution information:
  - Any additional contextual information received directly from the acquisition source or former owner if the object.

Try to note down all available information associated with each object, or group of objects at the time of collecting, particularly where objects are removed from their context. If the objects were a gift, send a letter or email of acknowledgment of the donation to the donor. In the letter of acknowledgement of donation, include the relevant object numbers assigned to the donated objects, as well as information about how they can access the items in the future, when visiting the archive.

**Accession registers**

If you use traditional accession registers, they should be bound, on archival paper, with numbered pages. They should be filled in, in permanent ink, in accession number order.

**Addendum 5: Accessions record checklist**

The accessions record will need to include the following information:

- Institutional accession information
  - The archives' own accession number and date of accession.

- Donor details
  - Contact details for the donor and address.

- Terms of accession
  - Any correspondence about the purchase, donation, or loan.
  - The purchase, donation, or loan agreement.
  - Documentation about any restrictions.
  - Relevant legal documentation if the donation was part of a bequest (e.g., a copy of the original will).

- Content of the accession
  - Title (for example, "The Smith Collection", "The Ngobo Papers").
  - Unique reference / source number for the collection / group.
  - A brief description of the contents of the accession. IF the donor cannot provide this, then a list drawn up by the archives can be enough.
  - Dates that the accession covers. If an exact start and end date cannot be located, a more general description can suffice (e.g., 1980-1999
  - How much there is: how many boxes, how many books, how many letters, etc.
  - The physical condition of the materials. Note any damage or contamination by pests, dirt, or mould.

- Access restrictions
  - Note any access restrictions, and what they are. It is also important to note the absence of any restrictions just in case there are any queries later on. For any accessioned materials discovered in the archives marking any access restrictions as "unknown". The archives will then need to take a decision as to how to deal with materials that are unknown in terms of any restrictions: it may choose to presume that those marked "unknown" are assumed to have no restrictions on them.
  - The archives may have to take additional decisions on material that is of a racist, pejorative or that potentially qualifies as hate-speech. These decisions (and any research undertaken to arrive at this decision should be documented an added to the accessions record.
  - Permission to transfer materials to another archive, library or museum.
  - Permission to dispose of unwanted materials.

- Copyright
  - Did the donor hold copyright to the materials acquired? If so, was the copyright transferred to the archive.
  - Document any copyright transfer agreements and include any original contracts or legal documentation on copyright matters.

- Include copyright transfer for scanning, and the placement of a scanned image on the internet, as well as the use of materials for exhibition purposes.
- Include any research into "orphan" works. Orphan copyright works are materials with a presumed copyright, but with no information as to who may hold copyright. It is the responsibility of the archive to research the orphan work to either find the copyright holder, or to determine that copyright does not exist, or that the copyright owner cannot be located. In the event of a dispute over copyright, this research can help protect the archive from charge(s) of copyright violation.

- Privacy and protection of personal information
    - Any agreements or declarations regarding the protection of personal information.
    - A declaration by the archive to comply with existing legislation and policy on the protection of privacy and personal information relating to donors.

- Return of loaned material
    - Document the return of any material placed on loan.
    - Information will need to include the title, how much material and the dates the material covers, as well as the condition in which the material was returned.

- Disposal or deaccessioning of material
    - Document the disposal or deaccessioning of any material that is not kept by the archive.
    - Document the decision to dispose or deaccession the material, include any research that may have been conducted deaccession.
    - If the archive ceases to operate, what is to be done with the material.

## Addendum 6: Archival appraisal scheme for community organisations.

The following is an outline of the kind of records that could be found in community organisations, religious communities, NGOs, etc., that have historical significance for the future. This outline can be used as a template to organise and arrange the current records created by present-day functions and activities, those created and stored electronically ("digitally born" records).

This template will help you to distinguish between different types of records and identify those of historical significance that should be retained for inclusion in the archive appraisal scheme. It can also help in drawing up a file plan.

This template was adapted from the original source: *Keeping it simple: Introductory archival guidance for voluntary small sector organisations,* Available: https://www.voluntarysectorarchives.org.uk/wp-content/uploads/2013/03/Short-guidance-draft-publication-v.1.pdf, accessed January 2023.

### Important general information about the archive

When appraising an archive collection record the following:

- the date of the establishment of the organisation,
- a description of its activities,
- major events in its history such as moves to new premises,
- prominent campaigns and members.

### General description of the group / collection

Include information about the size of the collection, the format, languages of the material as well as how the collection is arranged physically and intellectually. Details of any available supplementary inventories or finding aids (for example, old card indexes that are no longer added to) should be included and of any published histories of the organisation.

### Categories of records that should be retained

- Governance documents: organisation constitution, property records, policy and subject files, etc.
- Financial records: Finance and resources, annual accounts, trust accounts, fundraising, appeal accounts and literature, etc.
- Administrative records: annual reports, membership records, minutes of governing bodies, trust deeds, deeds, case files, visitor books, inventories, logbooks, library accession registers, calendars, etc.
- Personnel and staff records: personnel files for key members of staff.
- Publicity and media: publications, newsletters, and magazines, press releases.
- Events and festivals: invitation cards for events, records of festivals and special events including invitation cards.
- Correspondence
- Scrapbooks and newspaper cuttings.

- Personal papers

Archives drawn exclusively from official sources without a personal dimension would only provide a partial perspective on an organisation's activities and it may be appropriate to receive the personal papers of activists, donors, officials and volunteers if they provide additional information about the organisation's culture, operations and policies. These include:

- Diaries
- Correspondence (including e-mails)
- Study notes
- Photographs
- Newspaper cuttings

**Addendum 7: How to catalogue and organise library-type publications: books, magazines and pamphlets.**

All library-type materials are catalogued according to a formula. Different types of publications have differing formulas. The broad categories of library publications are monographs (books), serials (newspapers, journals and magazines) and pamphlets (small or thin publications that could bet lost on the shelf and are usually stored separately from larger books and serials.

**Books**

The following information is needed to create a catalogue record for a book. Book catalogues are arranged chiefly by the author's surname. Books are arranged on the shelf using an alpha-numerical code (see below for more information on how that is created).

- Author names (Surname, First name).
    - If there is more than one author, note the different author names in the same way and create cross references in your catalogue for each author.
- Book title (the full title if a short title; shorten the title if it is very long).
- Year of publication (and edition, if republished).
- Place of publication (city and country, if there is more than one city with the same name, for example Durham in North Carolina in the USA, and Durham in the UK).
- Publisher (company name).

Library books are organised by subject, and then by the author's name.

Library books are organised alphabetically by the first three letters of the author's surname (or the first three letters of the first author's surname, if there is more than one author). For example, "WAL" for "Walker", "GOV" for "Govender", "RAD" for Radebe, etc. For surnames that make use of "de", "van" or "van der" a shortened version is usually used , for example, "VANS" for "Van Schalkwyk"; or "VANR" for "Van Rensburg" and "VDM" or "VD MER" for "Van Der Merwe" (which ever is chosen, needs to be consistently applied).

A numerical code is created the reflects the subject matter. The most commonly used numerical classification system in known as the Dewey Decimal System (DDC). It is used in most school and public libraries. It uses 10 broad subject areas that are further divided into more specialised aspects of the broad category:

- 000 - Computer Science, Information, & General Works
- 100 - Philosophy and Psychology
- 200 - Religion
- 300 - Social Sciences
- 400 - Language
- 500 - Science
- 600 - Technology
- 700 - Arts and Recreation
- 800 - Literature
- 900 - History and Geography

Together with the author's surname and the numerical code, library books can be given a coding like "310 SEP". Books are then arranged according to the number and then the three letters of the author's surname. This alpha-numerical code is referred to as the "shelf mark", as this is where the book will be filed amongst all the others. There is quite a bit of information available on the internet on the system, which can help you to use it for your own library materials.

Much larger libraries and libraries with narrower subject areas (for example, engineering libraries) may devise their own numerical coding to better accommodate the in-depth subject matter in their library. There is nothing stopping you from devising a numerical system that better suits your collection of books, just as long as there is some sort of list or guide to the numerical system you have devised that will help a staff member or researcher navigate your system.

**Serials**

Serials are publications like magazine and journals, that come out on a regular basis. This can be daily (like newspapers), weekly (magazines and newspapers), monthly (magazines and journals), quarterly (reports and journals), or annually (journals, reports and annual conference publications). Serials are extremely diverse. They include scholarly journals, popular magazines, newspapers, newsletters, annual and statistical reports, directories and yearbooks.

Many serials do not have a title page. The title found on the cover or at the start of the text. Most serials have some sort of numbering system to keep track of their publication frequency. It is these numbers, as well as the dates they are published that distinguish the individual issues.

Serials are issued continuously, but over time they can change. Some cease to exist, others merge with other serial publications, some change the frequency of their publication. Sometimes they change their appearance, changing the size of the publication (or become electronic publications). The information presented on them may change. These changes may be reflected in changes in the title, issuing body, form of numbering, frequency, size and physical appearance.

The following information is used to create a serial catalogue entry:

- Serial title (e.g., "Farmer's Weekly").
- Frequency of publication (weekly, monthly, quarterly or annually).
- Date of Publication (for example, "10-17 May 1989", or June 2022", etc.).
- Volume and issue numbers.
- Note any gaps in publication, as well as any special issues.
- List all of the volumes and issues that the archive has.

Serials are also given an alpha-numerical coding, usually the DDC classification number and the first three letters of the journal's title. As certain words occur quite frequently in journal title, for example the word "journal". If the first word is "journal", it can be dropped and the first three letters of the next word used. This avoid many serials having the same 3-letter designation of "JOU".

As serials are different types of publications, and because in their traditional printed form, they are soft and floppy items, they are usually not interfiled with books, but separately filed on other shelves away from books. They can be kept in boxes to keep various volumes and issues together. Boxes will need to be labelled with the details of the contents.

**Pamphlets**

Publications are usually classed as "pamphlets if they are small and thin, and are unable to stand upright on their own. They are usually are under a certain number of pages, 50 or 100 pages (or less), depending on where individual libraries draw the line. Pamphlets are usually filed separately from books and serials. Pamphlets can be boxed to keep them from getting lost and damaged.

The following information is needed to create a catalogue entry:

- Author names (Surname, First name).
    - If there is more than one author, note the different author names in the same way and create cross references in your catalogue for each author.
- Book title (the full title if a short title; shorten the title if it is very long).
- Year of publication (and edition, if republished).
- Place of publication (city and country, if there is more than one city with the same name, for example Durham in North Carolina in the USA, and Durham in the UK).
- Publisher (company name).

If there is no author name to be found, publications are either assigned "anonymous" as an author or are assigned the name of the organisation that published the pamphlet (for example, "Council for Scientific and Industrial Research [CSIR]") as "author".

**Labelling library materials**

Write the assigned shelf mark on the inside of the front cover of the book (along with the accessions number assigned to the book) in soft pencil. Write the alpha-numerical code for pamphlets and serials on the top right-hand corner of the cover or first page.

Sticking sticky labels on library materials can cause damage to fragile materials. A good compromise is to use "flag" style labels. These are long strips of paper placed in a book or other library-type item. Part of the paper strip sticks out the top of the book, where the label can be written out, or a printed label can be stuck to.

Another option is to take a strip of paper that is long enough to wrap around the book, and tuck into the front and back cover. The label can be written onto this paper. Another version of the same idea is to use a plastic strip wrapped around the book, where a sticky label can be placed.

The adhesives on sticky-backed pressure sensitive labels over time cause damage to the paper or other library material that they are stuck to. The adhesive also ages and fails to stick after a time, leading to loss of the label. Try to avoid using these if you can.

## Glossary

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| **Acid-free materials** | Acid-free paper, card and board does not contain any acidic compounds that can damage documents, books and other archival materials. Acid-free materials may have an alkaline buffering included to ensure that the material remains non-acidic over a long period of time. Acid-free materials may also not have any **lignin** present. Acidity is measured and expressed using a pH scale. pH (potential Hydrogen) is a measure of how acidic or alkaline a substance is. The pH scale is a range from 0 – 14; number 7 is neutral; number 1-6 is acid; number 8-14 are alkaline. The further a reading is from 7 the more acid / alkaline it is. |
| **Alkaline buffering** | Alkaline buffering (or an alkaline reserve) is when an alkaline substance often added to storage materials to counteract the acids that may form in the future and to help absorb acids from records or objects. See entry on "archival quality materials" |
| **Archive** | The building where records are kept, as well as the organised body of archival records. Archive (or **repository**) is also the largest organisational unit used when organising archival records. It represents the first level of description and organisation for the records held by an archive. "**Archive**" is used interchangeably with the term "**repository**". |
| **Archival quality materials** | Protective enclosures and storage containers should be made of materials that are strong, durable, and chemically stable. Enclosures should be tailored to the size, condition, and use of the items being enclosed. Archival quality materials for storage are at minimum acid-free and have little or no lignin present and may also have an alkaline buffer present. |
| **Accessioning** (of records) | New materials are brought into the archives through the accessioning **process.** Accessioning occurs when materials are physically and legally transferred to an archive.<br><br>Accessioning has functioned as the process of acquiring new materials, as well as integrating them into the existing **holdings**. Part of the accessioning process is to organise materials into related groupings (**arrangement**) and to record any relevant information about the materials (**description**), as well as the updating of **finding aids** and accession registers to reflect the new materials. |
| **Accrual** | Archival materials acquired by an archive that are part of a larger existing collection are sometimes referred to as an "accretion" or an "accrual" for **accessioning** purposes. |

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| | **Accrual** is also the integration of new materials into already-organised archival materials. This accrual happens during the **arrangement** and **description** phase of **processing** new materials. |
| **Appraisal** (of records) | This is part of the accessioning process where the archival materials are assessed and, depending of their content and condition an archive will decide what to keep and what can be discarded. |
| **Arrangement** (of records) | Archival arrangement and **description** are important tasks by which archivists organise, administer and control materials in archival **holdings.** The work of arrangement and description is an ongoing process consisting of a series of inter-linked activities that organise the new materials into related groupings (**arrangement**) and record any relevant information about the materials and their context (description_. |
| **Collection** | A "collection" is basically the same thing as a **group** of archival records. It is the most basic and broadest unit of organisation of records within an archive. It is used to help divide an organisation's archival records into collections of records associated with the various functions of an organisation. Records are organised around the various sections, department or offices of an organisation (and their function), for example, administration, fundraising, finance, public education, etc. It is the second level of archival **description.** |
| | The use of the term "**group**" originated within government archives and still tends to be used by state (government) archives. The term "collection", which reflects the same kind of division as group, tends to be used by non-government archives. |
| **Conservation** | Conservation treatment and repair seeks to halt the damage that has already been done to historical documents and objects, and to prevent further deterioration. There is a range of treatments, ranging from surface cleaning to intensive chemical treatments and washing baths aimed at halting chemical degradation of paper, inks and pigments. The modern approach favours "stabilisation." Stabilisation is the halting of any further loss or damage to a record. It does not seek to restore it to an assumed or imagined original condition. |
| **Custody** (archival custody) | Archival custody is the control of **records** based upon their physical possession and legal transfer to the archive. Most usually this means the custody of archival materials at an archival repository. |
| | Overseas sources on archives often refer to custody as "title". The "title deed" is the contractual arrangement or letter of |

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| | transfer /donation to the archive. The title and the title deed are the proofs of ownership (and therefore, of legal custody-) of the documents held in the archive. |
| **Digitisation** | Digitisation is the conversion of text, pictures, or sound into a digital form that can be processed by a computer. Scanning is the process of converting existing paper-based (or analogue) records into digitised format. Scanned copies are considered to be surrogates, and not a replacement for the original paper-based version. |
| **Description** (of records) | Archival description is the process of organising, analysing, and listing any information about materials kept by an archive in its **holdings**. The aim of archival description is to help to explain the context and communication systems of the archived documents to researchers and future archivists. It is a dual process of both cataloguing archival materials, and of creating archival **finding aids.** As work continues on the archival materials, the archivist expands and updates the information captured in the finding aids. |
| **Destruction** (of records) | Records not selected for retention may be **disposed** of. In some cases, these records may be destroyed. Destruction of sensitive and confidential personal and organisational information may be preferable than simple placing them in the standard rubbish disposal system. Destruction methods include incineration and shredding. |
| **Disaster** | A disaster is an unplanned event of varying magnitude that has the potential to severely disrupt the work of the Archives, and to cause damage to its holdings. Disaster preparedness involves planning ahead to respond to a disaster so that the resulting response can be that much faster and more efficient. |
| **Disposal** (of records) | Records not considered for retention may be disposed of. In many cases this can take the form of **destruction** (such as shredding or incinerating of materials). Disposal is part of **records management.** Disposal decisions are guided by the **file plan** as well as organisational policies. However. Disposal routines need a certain amount of flexibility built into them to allow for making a considered judgement on whether to dispose of certain record(s) or not.<br><br>"Disposal" may also include transferring materials to other institutions or offering them as donations. Any decisions to donate or transfer materials must be documented for future reference. Donors must be informed in advance of a donation that any materials deemed to not be of historical significance will be disposed of at the discretion of the archives. |

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| **Electronic record** | An electronic **record** is any information created, used and retained in a form that only a machine or computer can read or process. Electronic records include: video cassettes, DVDs and CDs. email, text messages, and records that exist on portable media, such as memory sticks, etc. |
| **Enduring value** | A similar concept to that of "**historical significance**". These are records identified for archiving due to the information they contain that helps to understand / document an organisation's functioning, activities and relationship with the community it serves or represents. |
| **Ephemera** | Ephemeral records are records not considered to be of **enduring value** or **historical significance.** They may be disposed of entirely, or only one example retained. Judgements may need to be made with certain materials that may have interest for future researchers when deciding to **dispose** of records. |
| **File** | "File" is a unit of organising archival records. It is the fourth level of organising archival records. It comes after the **archive** / **repository** (first level), the record **group** / **collection** (second level, and **series** (third level). There are different ways of organising files: chronological, alphabetical, a combination of chronological and alphabetical, or subject-based arrangement of the files. |
| **File plan** | A file plan is a tool for an archivist or records manager to help manage current(or "active")correspondence records. It is a classification scheme that describes the different types of files, how they are identified, where they should be stored, how they should be indexed for retrieval. A file plan also identifies records for retention and periodic disposal. A file plan reflects an organisation's functions, activities, and tasks – as well as overall mission. |
| **Finding aid** | A finding aid is a list of records or a group of records. The finding aid is the **inventory** list compiled of the records or group of records. Finding aids are used by researchers to find and select materials that are of interest to them in answering their research query. Think of them as a catalogue to the documents held in an archive. A finding aid usually has a short introduction to the history and context of the records. A finding aid "describes" the contextual and structural information of an archival collection. |
| **Group** (of records) | The designation of "record group" is used to help divide an organisation's archival records into the broadest and largest units. These unit are associated with the various functions of an organisation. They are organised around the various sections, department or offices of an organisation (and their function), for example, administration, fundraising, finance, public education, |

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| | etc. "Record group" is a designation applied to the sorted records during the **arrangement** and **description** phase. Record groups are based on the structure of the organisation and divide records created by an organisation into the organisational areas and functioning. Record groups are updated when organizational changes occur. Record groups and subgroup names are based on the current name of the office, section or department within the organisation.<br><br>The term "group" originated within government archives and still tends to be used by state (government) archives. The term "**collection**", which reflects the same kind of division as group, tends to be used by non-government archives. |
| **HEPA vacuum** | HEPA vacuum machines are fitted with a HEPA (High Efficiently Particulate Air) filter. HEPA filters ensure that small particulate matter does not exit the vacuum machine but is trapped inside the machine. The use of these filters is recommended from both a cleaning and health and safety perspective, as it ensures mould spores and other small particles are removed and do not circulate in the working environment. These filters are now standard on good quality domestic vacuum machines as well as those for commercial applications. |
| **Historical significance** | Historical significance (or, "historical value") is the importance of records that justifies their preservation because of the evidential information they contain. This is not about whether the person, people, or organization that created the collection were/are famous, but about how they have contributed to their communities. Materials do not have to be old or perfectly organized. |
| **Holdings** (of records) | Archival holdings refers to all of the materials held by an archive. All of the materials held by an archive have been selected for their historical value to be preserved and made available for research in an archive. |
| **Housing** (of records) | How archival materials are stored appropriately in folders, sleeves, envelopes, boxes, etc. to preserve them long-term and protect them from deterioration or damage. |
| **Inherent vice** | "Inherent vice" refers to how something was made or manufactured that causes damage or deterioration of a record. It is the counter-point to external causes of damage to a record, as it is something present inside or as part of a record that causes harm. For example, many kinds of paper have acidic compounds that were added during the original manufacture of the paper. These acidic compounds made the paper chemically unstable. Over time, the acidity present in the paper will break down the cellulose fibres that the paper is |

composed of. The resulting damage is cumulative, the paper visibly turns yellow and/or brown and the paper itself becomes increasingly brittle and prone to breakage.

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| **Intellectual control** | Intellectual control (or, intellectual organisation) is the organising of documents in the archive and the creation of aids to assist in the location of archival materials held by the **archives**. It includes the creation of catalogues**, inventories / finding aids**, or other guides that help researchers locate materials relevant to their interests. |
| **Item** | An "item" is the smallest unit of archival organisation, sometimes referred to as "document" level or unit. It is the fifth level of organising archival records, coming after the **archive** / **repository** (first level), the record **group** / **collection** (second level, **series** (third level) and **file** (fourth level).<br><br>An item or document is usually an individual letter, memorandum, report, photograph, or sound recording. Archival records are rarely organised to this level of description, due to the sheer number of records that require **description** and listing in **inventories**. |
| **Inventory** | An inventory has two roles in the archive (1) it is the finalised list of archival records that have been acquired by the archive. Inventories are created for the different **group**s of records. Inventories are used both to show what the archive holds in its custody. Inventories also are used (2) as guides to the archive for staff and researchers who want to know where to find a particular record. When inventories are used as guides to find a particular record, they are referred to as a "**finding aid**". |
| **Legal custody** (of records) | Legal custody is the legal transfer of archival materials to an archive by means of a donation agreement / letter or transfer agreements, as well as other forms of acquisition including: gift, bequest, purchase or acquisition. It is the act of taking physical and legal custody of archival material and documenting that receipt in a contract, or donation agreement, or letter indicating transfer or bequest. |
| **Lignin** | Lignin is component found in the cell walls plants. Its function in nature is to assist with water transport, mechanical support and resistance to various stresses experienced by the plant. When the plant has been used to make paper, the lignin present in the paper is a source of **acid**ity and the development of acidification of paper. |
| **Metadata** | Metadata is "information about information"**.** Although we are most familiar with metadata as the information that accompanies the creation and modification of a digital file, any kind of catalogue, index or **finding aid** is a form of metadata, |

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| | even if it is on paper. For digital records it is the information about the file, when it was created, how it has been modified, etc. Metadata information can be added to record the details of the original document that was scanned, in the case of a scanned image. |
| **Migration** (of records) | Electronic and digital-based **records** are preserved through the migration of files and data (including metadata) to newer generations of computing software and infrastructure. Unlike paper-based documents, there is little that can be done to preserve the medium (e.g., plastic film, electronic files, etc) in order to prolong the life of the record. Currently, the only way to ensure the preservation of an electronic record is to migrate it to another medium. |
| **Plastic degradation** | Plastic "disease", or the degradation of plastic-based media is a preservation concern for archives. Plastic degrades overtime, often rendering access to information contained on media such as film, fiche, DVD and CDs impossible. Plastic degradation is considered to be an irreversible process about which very little can be done to prevent it. Storage in cold conditions (between -4 – 10 can help delay the degradation process). Preserving the information held on plastic media required the information to be **migrated** to another media, most usually a computer file. |
| **Preservation** | Preservation is the act of preserving something for the future. Within the context of an institutional preservation programme, preservation refers to any and all actions taken to ensure the continued survival, or to extend the life of an item / object. |
| **Processing:** | Processing is the preparation of archival materials for use through the **arrangement** (organization) and **description** (cataloguing) of the collection. It is part of the **accessioning** of new materials received by an archive. |
| **Records Control Schedule** | Also known as the **"Schedule of Other Records".** The Records Control Schedule is the filing system for current records *other than correspondence*. Non-correspondence records are usually organized by document type, including: minutes, photographs, registers, publications and follows a similar organizational structure as the file plan. The use of the Records Control Schedule is part of **records management.** |
| **Record** (archival record) | Archival records are materials created or received by a person, family, or organization, public or private, in the conduct of their affairs that are preserved because of the **enduring value** contained in the information they contain, or as evidence of the functions and responsibilities of their creator. Archival records generally refer to documents, rather than published materials. However, archival holdings may contain these. A record may be in any format, including text on paper or in electronic formats, |

photographs, motion pictures, videos, sound recordings – as long as it has informational value.

**Records management**

Records management concerned with the care and organisation of records before they reach the archive, while they are still actively used in offices of the organisation. It is the systematic control of records throughout a life cycle – from creation, through a lifetime of use and eventual **disposal** or **transfer** to an archive **repository.**

**Records office**

Records offices are where current records of an organisation are kept. The records here are also organised and managed so that information can be retrieved efficiently.

**Repository:**

The building where archival **records** are kept, as well as the organised body of archival records. Used interchangeably with the word "**archive**". It is also the largest organisational unit used when organising archival records. It represents the first level of description and organisation for the records held by an archive.

**Restoration**

"Restoration" is both an older term for conservation repair and treatment, as well as an approach to the repair and treatment of cultural heritage. As a concept, it is now outdated. It is more than just repairing and treating the damage to historical documents and objects. It goes further: it attempts to return ("restore") the document or object to the state in which it was when it was first made. The modern approach in conservation treatment and repair is to stabilise rather than restore. Stabilisation is the halting of any further loss, harm or deterioration.

**Selection**

Archives do not keep everything. Not all **records** contain evidence of **historical significance** or value, and these records may be considered for disposal. Archivists select for retention according to the criteria in a **file plan** or in a collections management policy that addresses what materials the archive will acquire, and what will not be taken on.

**Series**

"Series" is the third level or unit of organising archival records. It comes after the **repository / archive** (first level) and the **group** or **collections** (second level). It is the most important one in terms of the **arrangement** and **description**. Series are created with a common denominator, often record types (minutes, reports, circulars, correspondence); or activities (the smaller tasks associated with finance and administration, like procurement, orders, human resource management, etc).

Once the series are determined, their order needs to be determined within the group. You may have ten series, but one of them must come first in terms of physical containers and in terms of listing in the finding aids. The sequencing can move

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| | from the most important series, the ones closest to the purpose of the records creators, to the least significant records. The sequence can also be arrange from the general to the more specific. |
| **Schedule of Other Records** | Another term for the Records Control Schedule, see the entry for "**Records Control Schedule.**" |
| **Transfer** | Transfer is the formal process of placing documents that are no longer in everyday use in an organisation or office to the archive. It is a formal and legal process whereby the records identified for keeping in the archive (**selection**) are withdrawn from the office's current files. The records identified for transfer are then listed. The intention to transfer the records is communicated to the archive in writing, along with the list of records identified for transfer. The formal process creates a record of the transfer of the files. The archive also formally accepts the transfer, by acknowledging the transfer in writing. A mutually agreeable date is set for the physical transfer of the record to the archive. Once the records have been received at the archive, the records become the legal and physical responsibility of the archive. |

**Resources:**

*Further advice on preservation topics:*

- The British Library has several resources, including Basic preservation for library and archive collections; building a preservation policy; cleaning books and documents – these are available in pdf format for downloading from: https://www.bl.uk/conservation/guides
- Canadian Conservation Institute (CCI). *Notes on collection care and preservation.* Available: https://www.canada.ca/en/conservation-institute/services/conservation-preservation-publications/canadian-conservation-institute-notes.html
- North East Document Conservation Centre (NEDCC). *Preservation leaflets*. Available: https://www.nedcc.org/free-resources/preservation-leaflets/overview
- United States of America, National Park Service. Conserve O Grams: Museum collection preservation. Available: https://www.nps.gov/museum/publications/conserveogram/cons_toc.html#:~:text=What%20are%20Conserve%20O%20Grams,issued%20for%20an%20indeterminate%20period .

*Further advice on collection management topics:*

- Cathey,B. *Insuring the future of our past: a brief guide to selecting or starting an archival program.* The State Historical Records Advisory Board of North Carolina, 2003. Available: https://files.nc.gov/dncr-archives/documents/files/2003_insuringour.pdf
- International Council on Archives (ICA) Guidance for the preparation of archival descriptions. Available: http://www.ica.org/en/isadg-general-international-standard-archival-description-second-edition
- Note, Margot. Access in archives: the fundamentals *Archival Management* [blog], 10 August 2020. Available: https://www.margotnote.com/blog/2020/08/31/access-in-archives#:~:text=Access%20is%20a%20set%20of,copyright%20status%2C%20among%20other%20issues.
- National Archives (United Kingdom). Archive Principles and Practice: an introduction to archives for non-archivists, 2016. Available: https://cdn.nationalarchives.gov.uk/documents/archives/archive-principles-and-practice-an-introduction-to-archives-for-non-archivists.pdf
- Society of American Archivist's. *Typical usage guidelines in archival repositories*,2022. Available: https://www2.archivists.org/usingarchives/typicalusageguidelines

*A good breakdown of the different levels of organising archival records:*

- Note, M. Levels of archival arrangement: a primer. Lucidea.com blogpost (27 January 2020). Available: https://lucidea.com/blog/levels-of-archival-arrangement-a-primer/

*Further advice on policy-writing:*

- American Museum Alliance. *Developing a collections management policy*, 2012. https://www.aam-us.org/wp-content/uploads/2018/01/developing-a-cmp-final.pdf
- Margot Note. Archival Collection Policies: Writing the Best One for Your Needs,2019. https://lucidea.com/blog/collection-policies-writing-the-best-one-for-your-needs/

There are many examples of archival collection policies available on the internet. Larger libraries, archives and other organisations that have archives have put their collections management policies online. Take a look at examples and take from them what is useful to your situation. Below are just a few examples available:

- Heriot Watt University Museum and Archive. *Museum and archive collections* management and development policy, December 2020. Available: https://www.hw.ac.uk/documents/collections-management-policy.pdf
- Texas State University. University Archives: Collection management policy, 2017 https://www.univarchives.txst.edu/info-donors/collection-management.html
- University of Leicester. Archives Collections Management Policy, 2020. Available: https://le.ac.uk/library/about/policies/archives-collections

*Further advice on codes of ethics for archivists (for policy-writing)*

- Australian Society of Archivists. Code of ethics, no date. Available: https://www.archivists.org.au/about-us/code-of-ethics
- International Council on Archives (ICA). Code of ethics,1996. Available: https://www.ica.org/sites/default/files/ICA_1996-09-06_code%20of%20ethics_EN.pdf
- Society of American Archivists (SAA). Core values statement and code of ethics, 2020. Available: https://www2.archivists.org/statements/saa-core-values-statement-and-code-of-ethics
- United Kingdom and Ireland Archives and records association. *Code of ethics*, 2020. Available: https://static1.squarespace.com/static/60773266d31a1f2f300e02ef/t/6082c97ac1fa88333ca028b1/1619183995112/Code_Of_Ethics_February_2020_final.pdf
- United Kingdom Archives. Code of conduct for researchers at the National Archives, no date. Available: https://cdn.nationalarchives.gov.uk/documents/code-of-conduct.pdf

*Further advice on dealing with "orphan works".*

- United Kingdom Archives. *Orphan works: guidance for archive services on reasonable searches to identify rights holders*, 2021. Available: https://cdn.nationalarchives.gov.uk/documents/archives/orphan-works-guidance.pdf
- United Kingdom Government. Guidance on orphan works: diligent search guidance, 2021. Available: https://www.gov.uk/government/publications/orphan-works-diligent-search-guidance-for-applicants/orphan-works-diligent-search-guidance
- Barbara L. Voss and Megan Kane. Re-establishing context for orphaned collections a case study from the Market Street Chinatown, San Jose, California. *Collections: a journal for museum and archives professionals,* Volume 8, Number 2, Spring 2012, p. 87–112. Available: https://rowman.com/WebDocs/8.2%20Voss%20and%20Kane.pdf

*Further advice on the digitisation of archival holdings:*

- International Federation of Library Associations (IFLA). Guidelines for digitization projects for collections and holdings in the public domain, particularly those held by libraries and archives, 2002. Available: https://www.ifla.org/wp-content/uploads/2019/05/assets/preservation-and-conservation/publications/digitization-projects-guidelines.pdf

*Further advice on filming activity in archives and other heritage collecting organisations / institutions.*

- United Kingdom National Archives. *Terms and conditions for filming at The National Archives.* Available: https://cdn.nationalarchives.gov.uk/documents/filming-terms-and-conditions.pdf ; and, https://www.nationalarchives.gov.uk/about/press-room/filming/
- National Archives, United States of America. *Rules for filming, photographing, or videotaping on NARA property facilities.* Available: https://www.govinfo.gov/content/pkg/CFR-2021-title36-vol3/pdf/CFR-2021-title36-vol3-sec1280-42.pdf
- National Archives, United States of America. Photography policy [Archives website statement]. Available: https://museum.archives.gov/photography-policy
- State of Florida [USA], Division of Library and Information Services. *Filming policy: State Archives and Records Centre*. Available: https://dos.myflorida.com/library-archives/archives/visit/filming/

*Further advice on racism and social bias in collections*

- Disability History Museum [Conway, Massachusetts, USA]. *What issues of language arise from the historical study of disability?* [website FAQs]. Available: https://www.disabilitymuseum.org/dhm/lib/FAQ.html
- National Archives, United States of America. Statement on potentially harmful content. Available: https://www.archives.gov/research/reparative-description/harmful-content
- South African Government. *National Action Plan (NAP) to Combat Racism, Racial Discrimination, Xenophobia and Related Intolerance*, c 2019. Available: https://www.gov.za/sites/default/files/gcis_document/201903/national-action-plan.pdf
- University of Los Angeles, California (UCLA). Thoughts on conserving racist materials in libraries. [Preservation blog], 2020. Available: https://www.library.ucla.edu/blog/preservation/2020/09/29/thoughts-on-conserving-racist-materials-in-libraries
- Washington State University [USA]. *Acknowledgment of bias and harmful content*. https://libraries.wsu.edu/masc/acknowledgment-of-bias-and-harmful-content/
    - This website has links to additional resources for assistance with harmful content / language relating to sexual orientation, race, land restitution, etc.
    - Doing an internet search for “statement on harmful content in collections” will bring up a number of statements by libraries, archives and museums regarding the presence of harmful content in collections and how they address the matter.

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Western Cape
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