CABINET MEMBER FOR LIFELONG LEARNING, CULTURE AND LEISURE

Venue: Town Hall, Moorgate Street, Rotherham.

Date: Tuesday, 26 September 2006

Time: 9.15 a.m.

A G E N D A

1. To determine if the following matters are to be considered under the categories suggested in accordance with the Local Government Act 1972.

2. To determine any item which the Chairman is of the opinion should be considered as a matter of urgency.

3. The National Archives Self-Assessment (Sarah Wickham, Principal Officer, Archives & Local Studies) (report herewith). (Pages 1 - 52)
    - to receive the report

EXCLUSION OF THE PRESS AND PUBLIC

The following item is likely to be considered in the absence of the press and public as being exempt under Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972 (information relating to financial or business affairs of any particular person (including the Council))

4. Home to School Transport - Treeton to Aston Comprehensive (Craig Ruding, Senior Education Transport Officer) (report herewith). (Pages 53 - 58)

5. Date and Time of Next Meeting

Agenda Item 3

ROTHERHAM BOROUGH COUNCIL – REPORT TO MEMBERS

1.	Meeting:	Cabinet Member for Lifelong Learning, Culture and Leisure and Advisers
2.	Date:	26th September 2006
3.	Title:	The National Archives self-assessment
4.	Programme Area:	Children & Young People's Services

5. Summary:

The Archives & Local Studies Service has recently completed the self-assessment for local authorities and is awaiting news of the performance band which the Service is judged as meeting. This year the self-assessment has been a pilot exercise, but in future years it is intended that the judgement will be adopted as a performance indicator for CPA.

6. Recommendations:

The report be received.

7.   Proposals and Details:

The National Archives (TNA) announced in 2005 that it was to pilot a form of annual self-assessment for local authority archive services in 2006. The process is designed to supplement the formal, on-site, inspections that TNA undertakes periodically, and to ensure that its advisory staff have access to much more up to date information as a basis for all their advisory work. TNA also intends that the overall score for each English repository from the assessment programme will be adopted as a performance indicator for the Culture Block of Continuous Performance Assessment (CPA), in a similar way to museum accreditation, and the Audit Commission will be reviewing the process adopted to determine whether this is possible.

This year, individual repositories will be advised of their scores and of the performance band to which they have been assigned (***, **, *, no *), but the information will not be more widely published. Whether or not TNA's assessment forms part of CPA, however, TNA intends in future years to publish the bandings and their assessment of direction of travel (improving, stable, slipping back) as a basis for the comparison of local authority archive service performance. The aim is for repositories to receive their scores by the end of October 2006, with the exercise being concluded at the end of the calendar year (allowing for any appeals, and including the review of the pilot format).

A Panel has been established by TNA to oversee the assessment process, with representatives of TNA, the MLA Partnership, CyMAL, the Association of Chief Archivists in Local Government and the NCA's Public Services Quality Group. Rotherham's Principal Officer has also been invited to join the panel at the moderation stage, to represent Metropolitan Boroughs.

A self-assessment questionnaire was received on 13th June, with a submission date of 31st July 2006. Although in the pilot year the exercise was voluntary, it was expected by TNA that all local authority archive services which are places of deposit for public records and/or subscribe to the TNA Standard for Record Repositories would complete and return the questionnaire. As Rotherham is a Place of Deposit for public records the self-assessment was undertaken immediately after the Inspectors for the whole service inspection of Culture & Leisure had left Rotherham.

The self-assessment (Appendix 1) covers 5 broad themes: governance & management; documentation of collections; access; buildings, security & environment; preservation & conservation. The process looks comprehensively at the repository and the services it offers to the public.

8.   Finance:

There are no financial implications to having undertaken the self-assessment. However depending on the nature of the report and any recommendations made, there may be financial implications in the future.

9.   Risks and Uncertainties:

If following this pilot year the judgement does become a performance indicator within the culture block of CPA, a poor score would impact on the Authority's score. A poor performance in the assessment would also effectively mean that the service will no longer be recognised as meeting national standards.

This would damage the reputation of the Service and Council and could also open up the possibility that donors/lenders will request that their deposited materials are returned to them.

The financial implications could be particularly severe. Organisations such as theHeritage Lottery Fund would have a legitimate reason to demand the return of any grants awarded, and the Service would also be debarred from bidding for further grants from a number of funding bodies.

10.   Policy and Performance Agenda Implications:

Achieving a good score in the assessment is fundamental to the work that the Service does to deliver the corporate aims and objectives. It is also aligned with the Authority's priorities for performance management and excellence in service delivery across all 7 of the corporate themes.

11.   Background Papers and Consultation:

This report has been approved by Phil Rogers, Head of Service, Culture & Leisure.

Contact Name : Sarah Wickham, Principal Officer Archives & Local Studies ext. 3612, sarah.wickham@rotherham.gov.uk

ASSESSMENT QUESTIONNAIRE
LOCAL AUTHORITY ARCHIVE SERVICES (ENGLAND) 2006

State the name of the service: Rotherham Archives & Local Studies Service

State whether this return covers the whole service and if not name the building(s) to which it relates: Whole service.

SECTION 1: GOVERNANCE AND MANAGEMENT

1   Please state for which principal local authorities you provide an archive service, and the total population of these areas.

     Answer: Rotherham Metropolitan Borough (total population 253,000 [mid 2006 estimate])

     Comments:

2   Explain the reporting line from the chief archivist to the Chief Executive and give the names of relevant postholders at the time of writing.

     Answer: Principal Officer Archives & Local Studies Service (M Sarah Wickham) – Manager Libraries Museums & Arts (Guy Kilminster) – Head of Culture & Leisure (Philip Rogers) – Executive Director, Resources (Carol Mills) – Chief Executive (Mike Cuff)

     Comments:

3   Which Cabinet Member(s) or Portfolio Holder(s) or which committee has political responsibility for the archive service? Where an individual has responsibility, give the name of the postholder at the time of writing.

Cabinet Member for Lifelong Learning, Culture & Leisure – Councillor Iain St John

4   In practice, does the archivist in charge have authority to manage the service and to develop and implement policies for the service under the general direction of his/her line manager?

     ○ **Yes**
     ○ No

     Comments:

5   Please explain whether the manager of the archives service has a distinct budget, and if so, what is included in the budget.

Answer:

A distinct budget is held for staff costs (including transport), computer software & hardware, communications (including postage, telephones, internet/email), equipment maintenance, archives conservation and purchase, local studies subscriptions, insurance and other general expenditure (photocopying, stationery etc); the budget also includes income targets from sales of publications.

A separate budget is held for records management.

The Library & Information Service Book Fund budget has earmarked funds for purchase and binding of local studies materials.

Please attach audited accounts for 2005/6 and a copy of the budget for 2006/7.

Most recently audited accounts are for 2004/5, and are available at http://www.rotherham.gov.uk/NR/rdonlyres/5E4D59E6-C835-4314-B2DB-39FB6B451640/0/StatementofAccounts20042005.pdf

6   How does the budget provision for archive services in 2006/7 relate to that for 2005/6 in real terms?

○ (a) More than 3% higher
○ (b) 0.1-3% higher
○ (c) The same
○ **(d) 0.1-3% lower**
○ (e) More than 3% lower

Please comment on any special factors affecting your answer to question 6.

The budget for 2005/6 was £167,310 and for 2006/7 is £172,470 (Archives & Local Studies service only; does not include Records Management). RMBC inflation allowance for 2006/7 was 2.75% on staffing and 2% on other costs.

7   (a) How many paid staff did the archive service have in each of the following categories on 1 April 2006 and on 1 April 2005?

Category of staff	2006		2005	
	Permanent	Temporary	Permanent	Temporary
Archivists	2 fte	2	2 fte	0
Conservators	0	0	0	0
Education Officers	0	0	0	0
Other professionally qualified staff (please specify)	1 fte (Local Studies Librarian)	0	1 (Local Studies Librarian)	0
Archives assistants	2.8 fte	0	1.54 fte	0
Administrative & clerical staff	0	0	0	0
Other staff (please specify)	1 (Illustrations Assistant)	0	1 (Illustrations Assistant)	0
Total of the above	6.8	2	5.54	0

Comment on any variations between 2005 and 2006, and on specific strengths/weaknesses in staffing provision which you perceive.

In April 2005 Rotherham MBC withdrew from funding the South Yorkshire element of Sheffield Archives (a subscription of £25,000 p.a.). These funds were able to be retained within the Rotherham Archives & Local Studies Service budget, and were used to increase the two part-time Archives & Local Studies Assistants then in post (at 18.5 hours per week and 5 hpw) to 30 hours and full time respectively. This has been identified as a Gershon saving as the Service has been able to increase public opening hours as a result.

Both the Assistant Archivist and Local Studies Librarian posts are held by a pair of jobsharers.

In addition to these staff, there are 4 records management staff.

(b) Please indicate the age, gender and ethnicity profile of the permanent staff on 1 April 2006 in the grids below.

	Professional staff	Support staff
Under 25		
25-39	3 (=1 + 2 x jobshare)	
40-54		2
Over 55	2 (2 jobshare)	2

	Professional staff	Support staff
Male	1 (jobshare)	1
Female	4 (= 1 + 3 x jobshare)	3

	Professional staff	Support staff
White British	5 (1 + 4 x jobshare)	4
White Other		
Mixed Race		
Asian		
Black		
Chinese		
Other racial background		

Comments:

8 Calculate the total number of staff (as per question 7) per 100,000 population served (as per question 1), expressed to two decimal places.

Permanent staff: 2.69

9 State the number of hours of volunteer work donated to the archive service in 2005/6.

323 hours (2 regular volunteers + other *ad hoc* volunteers).
This figure does not include customers using the Service as volunteers for other organisations (eg. Family History Society) as this figure cannot be measured. However we do know of at least 3 regular volunteers using our facilities/records in this way, and estimate this to be approximately 200 hours p.a.

10 Is the office currently accredited as an Investor in People, and if so, when does the accreditation expire?

○ **Yes**: accreditation expires June 2008.
○ No

If the service was accredited as part of a larger department or the authority as a whole, please state the name of the body accredited.

Rotherham Metropolitan Borough Council.

11 Please indicate which of the following statements about staff training provision are true for your service. *[Tick all that apply]*

○ a) Actual expenditure on staff learning and development in 2005/6 was more than 0.75% of gross revenue expenditure
○ b) Every professional member of staff in post for more than 12 months attended at least one day's external professional update/development training in 2005/6
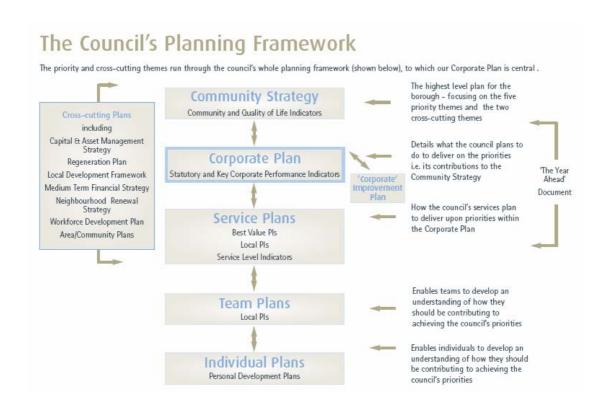○ **c) Every member of staff in post for more than 12 months has received customer care training**

○ d) The service has a paid post for a pre-qualification intern or is funding support staff on distance learning courses leading to professional qualifications

○ e) There is a distinct budget for staff learning and development

○ **f) The development and training needs of each member of staff are discussed with them on at least an annual basis**

○ **g) The service has an induction process for new staff designed to familiarise them with the authority as a whole and the archive service in particular**

○ **h) Procedures are in place for staff to 'cascade' knowledge and skills gained from training courses, where appropriate**

○ **i) There is no distinct budget for archives staff learning and development**

○ **j) Opportunities for attending external training courses are limited as much by service delivery constraints as by lack of funds**

Comment on specific strengths/weaknesses in staff training provision.

At present the cycle of bidding for training budget is not linked in a timely way to the annual performance & development review cycle (which includes a 6-monthly review). The training budget is not devolved, and it is difficult to secure funds outside the bidding cycle for unplanned training to meet needs which develop in the interim or for new staff.

12 Please indicate which of the following statements best describes your annual/forward/business plan. *[Tick any answers which apply]*

○ **a) The archive service produces a published annual plan which forms part of a hierarchy of planning documents for the authority as a whole**

○ **b) The archive service contributes to a published annual plan which relates to a wider business unit or department**

○ c) There is an annual plan for the archive service but it is an internal working document and not formally adopted by the authority

○ d) The archivist has little input into the annual plan, which tends not to reflect the activities of the archive service

○ e) No annual business plan or equivalent is produced for the service

Comment on your annual planning process.

The team plan for the Archives & Local Studies Service is developed annually in response to the Libraries Museums & Arts annual Business Plan. This in turn relates to the triennial Culture & Leisure Service Plan (currently for 2006-2009), which relates to the quinquennial Corporate Plan (currently 2005-2010) and Community Strategy (2005-2010). Every member of staff has an annual personal development plan including objectives and development/training, which links to the team plan.

The Council's Planning Framework

The priority and cross-cutting themes run through the council's whole planning framework (shown below), to which our Corporate Plan is central.

Cross-cutting Plans
including
Capital & Asset Management Strategy
Regeneration Plan
Local Development Framework
Medium Term Financial Strategy
Neighbourhood Renewal Strategy
Workforce Development Plan
Area/Community Plans

Community Strategy
Community and Quality of Life Indicators
— The highest level plan for the borough - focusing on the five priority themes and the two cross-cutting themes

Corporate Plan
Statutory and Key Corporate Performance Indicators
'Corporate' Improvement Plan
— Details what the council plans to do to deliver on the priorities i.e. its contributions to the Community Strategy

'The Year Ahead' Document

Service Plans
Best Value PIs
Local PIs
Service Level Indicators
— How the council's services plan to deliver upon priorities within the Corporate Plan

Team Plans
Local PIs
— Enables teams to develop an understanding of how they should be contributing to achieving the council's priorities

Individual Plans
Personal Development Plans
— Enables individuals to develop an understanding of how they should be contributing to achieving the council's priorities

RMBC also has a Cultural Strategy which also influences the Culture & Leisure Service Plan and individual team plans. The Cultural Strategy can be viewed at http://www.rotherham.gov.uk/graphics/Leisure/_future+perfect.htm

13   Please submit a copy of the annual/forward/business plan for your service for 2006/7, if one exists.

Please see separate document.

14   Please submit a copy of the archive service's forward or business plan for 2005/6, annotated to show which objectives were achieved completely or in part, and which objectives were not achieved.

Comment on the reasons for variations between what was planned and what was achieved.

Please see separate document – "progress" column includes statements on any variations experienced.

15 Please indicate whether the service has policies or strategies in the following areas, whether they have been formally adopted by the authority, and whether they have been published in some form.

Policy area	Policy exists	Date of policy	Formally adopted	Published	Review date
Collection Policy	Yes	1991	Yes	1991	2006 – in process
Equal Opportunities Policy	Yes (RMBC)	Revised – 2006	Yes	2006	Not stated
Cultural Diversity Policy	Yes (RMBC)	April 2005	Yes	2005	2008
Access Policy	Yes (RMBC)	2005	Yes	2005	2007
Education Policy	Yes (LMA)	2002	Yes	Internal	2006 – in process
Security Policy	No				
Preservation Policy	No				
Disaster Control or Business Recovery Plan	Yes (LMA)	Revised 2006	Yes	No – restricted to staff	2006
Digital Preservation Policy	Yes (LMA)	2006	Yes	2006	2009
Volunteering Policy	Yes (RMBC)	August 1998	Yes	No	Not stated
Audience Development Policy	No				
Training (or CPD) Policy	Yes but not as distinct policy (see comment below)			Internal only	
Policy on use of archives by the media	No				
Appraisal Policy	In progress				

Please supply copies of the policy documents and comment below as necessary.

Access and Audience Development are likely to be included in the revised Learning policy which will follow the principles of Inspiring Learning for All.

Security and Preservation will be included in the Collections Management Policy currently in progress.

Training/CPD included in the corporate Performance and Development Review procedures, and in the corporate Workforce Development Strategy 2005-2008 & the LMA Workforce Development Strategy (2006).

The Disaster Plan has not been included in the supplementary documents because it is restricted to RMBC staff.

SECTION 2: DOCUMENTATION OF COLLECTIONS

16   Has the service formally subscribed to The National Archives (formerly HMC) *Standard for Record Repositories?*

    ○ **Yes**
    ○ No

    Comments

17   Is the service aware of any potential or actual conflicts between its collecting policy and those of other institutions?

    ○ Yes
    ○ **No**

    If yes, please give details and explain how these are managed in practice.

18   Does the service have standard terms and conditions for the deposit of records on loan or a template setting out matters to be agreed with the depositor? If so, please supply a copy of the current version.

    ○ **Yes**
    ○ No
    ○ The service does not accept documents on loan

19   Does the service maintain an accessions register (in either hard copy or digital form) meeting the requirements of section 3.12 of the *TNA Standard*?

    ○ **Yes**
    ○ Yes, but does not meet requirements of standard
    ○ No

20   Which of the following statements best describes the documentation, in the form of accessions records, legal agreements, correspondence or other materials, enabling the service to determine the terms on which it holds all the records in its care?

    ○ a) The terms of deposit of all records held by the service are fully documented
    ○ **b) The terms of deposit of the vast majority of records held by the service are properly documented**
    ○ c) Records of terms of deposit are deficient for some periods and/or some types of acquisition
    ○ d) The records of terms of deposit for the majority of records held by the service are deficient in some way

○ e) Few records have been kept of the terms on which records have been received

○ f) Not applicable as no records held on loan

Please comment on the nature and extent of any deficiencies.

21 Which of the following statements best describes the information held by the service about the current owners of records deposited in its custody?

○ a) The service is confident that it has up-to-date contact information for all, or nearly all, of its depositors

○ b) The service actively attempts to maintain contact with its larger depositors but has no mechanisms in place for contacting the majority

○ **c) The service is dependent upon initiatives by depositors to stay in touch with the archive service**

○ d) Not applicable as no records held on loan

Please comment on the nature and extent of any deficiencies.

22 Does your service have in place procedures or templates for ensuring that the following information is recorded during the accessioning process? *[Tick all those that apply].*

○ **Information required for the accessions register**

○ **Agreed terms of deposit**

○ Information about intellectual property rights

○ Whether the records are subject to the Freedom of Information Act

○ Information about the creator of the records and the structure of the archive required for cataloguing purposes

○ Information/metadata about recordings and digital media required for their preservation and management

Please comment on the nature of the procedures used to ensure that all the required information is obtained.

Currently revising documentation to capture information regarding IPR and other metadata in the absence of Archivists (who tend to obtain this information verbally from depositors).

23 Is detailed information routinely published about accessions received by the service?

○ **Yes**

○ No

Please state where information is routinely published.

Friends of Rotherham Archives' newsletter (quarterly). Annual TNA returns.
Currently developing website capabilities.

24   Has the service sent an annual accessions return for 2005 to TNA?

○ Yes
○ **No**

If no, please attach a summary of accessions during the calendar year 2005.

Staffing shortage at the time meant that the accessions summary was not
returned by the deadline – please see separate spreadsheet.

25   How well represented do you believe your holdings to be on the National
Register of Archives?

○ Our holdings appear to be fully represented on the NRA
○ Our holdings are under-represented on the NRA
○ **Our holdings are poorly represented on the NRA**

Please comment on the pattern or cause of any apparent shortcomings.

A shortage of catalogued material means few catalogues have been lodged
with the NRA.

26   Please specify the types of public records which you hold.

○ **Quarter Sessions records**
○ **Petty Sessions/Magistrates Court records**
○ **County Court records**
○ Coroner's court records
○ Prison records
○ Water Authority records (including Commissioners of Sewers)
○ **Hospital and health authority records**
○ Local Employment Committee records
○ Tax Commissioners records
○ Lieutenancy (including militia) records
○ Regimental records
○ Shrievalty records
○ Others (please list)

27   (a) What cataloguing standards are you using for current cataloguing? *[Tick the appropriate box in each column]*

	Collection-level descriptions	Multi-level descriptions
(a) Full ISAD(G)	Yes	
(b) ISAD(G) mandatory elements		Yes
(c) In-house standard, in broad conformance with ISAD(G) mandatory elements		Yes
(d) Cataloguing is not standards based		

Comments:

Calm2000 was implemented in October 2006. Earlier cataloguing practice followed a house style based on that used in South Yorkshire/Sheffield Archives. Throughout it was generally "in broad conformance with ISAD(G) manadatory elements" with the exception of level and extent (both implied but not consistently applied).

(b) What percentage (by bulk) of your holdings falls into each of the following categories of cataloguing state?

Cataloguing State	Percentage
(a) Fully catalogued in accordance with at least the mandatory elements of ISAD(G)	4%
(b) Fully catalogued but to a lower standard than ISAD(G)	16%
(c) Box-listed or roughly-listed material, or collections for which only collection-level descriptions exist	}
(d) Completely unlisted collections	} 80% }

Comments are invited, especially on the history of the current position.

It has not proved possible to distinguish between c and d in the table above; however it is likely that a greater proportion of the 80% represents completely unlisted archives.

Looking at cataloguing status by numbers of *fonds* (rather than by bulk), we calculated in December 2004 that 27% of accessions have been completely catalogued, with a further 8% partly listed and 65% completely unlisted.

Archives have been collected at Rotherham Libraries since in the 1930s, and probably earlier. The Archives Service was established in 1986, combining with the existing Local Studies section of the library. The new Archives & Local Studies Service immediately inherited approximately 255 completely uncatalogued archives. In the early years of the Service considerable progress was made with producing catalogues but increasing pressure from public use of the Service has meant that the archivists have been able to spend a decreasing amount of their time on cataloguing. In particular, it is difficult to catalogue very large deposits of archives with the constraints of space and time experienced by the staff of the Service in recent years, and so a considerable backlog has built up reflected in the volume of uncatalogued material reported above.

However, in June 2005 funding was secured from the HLF for the Rolling out the Archives project. This 3-year project has three main strands, preservation, cataloguing and outreach, and a significant amount of work has already taken place on preservation and on cataloguing. Two full-time project archivists have been employed, and are working on the archives which have been identified as being of high priority and which have not been able to be catalogued previously because of their sheer bulk. At the conclusion of the project we anticipate that the total volume of catalogued holdings will rise to approx. 71%, making the remainder of the backlog (being smaller *fonds* by volume) much more manageable to tackle.

28   State the volume, in cubic metres, of (a) records accessioned in the financial year 2005/6, and (b) records appraised and discarded or catalogued – in 2005/6. Calculate what percentage (b) is of (a) and comment on the reasons for the trend.

(a) Volume of records accessioned	Approx.1.04m^3
(b) Volume of records processed	Approx. 4.12m^3
(c) (b) as a percentage of (a)	396%

Comments:

As a result of the Rolling out the Archives project (see Qu.27 above), and the implementation of Calm2000 for accessioning enabling cataloguing of small accessions to be undertaken swiftly in conjunction with the accessioning process, we are taking steps to halt and begin to reverse our backlog of unprocessed material. However one large new accession could jeopardise this situation. Taking the work of the Project Archivists out of the equation, the figure in c becomes approximately 80%.

29   State the total volume of archival material held for permanent preservation in cubic metres, and calculate the ratio between this and the number of full-time equivalent staff devoted to cataloguing.

(a) Total volume of material held	95m^3
(b) FTE staff devoted to cataloguing	0.1
(c) Ratio of (a) to (b)	950:1

Comments:

Although we currently have 2 full-time Project Archivists (estimated equivalent fte cataloguing time 1.5; see Qu.27), the Assistant Archivist post is not dedicated to cataloguing and recently the jobshare postholders have been focussing on accessioning and preservation duties, in particular the emptying of the strongroom and rationalisation of dispersed storage (see Qu.93 for more details of the work). The duties of the Assistant Archivist also encompass searchroom supervision, enquiries, and outreach in addition to the processing of archives (including accessioning). Although the Principal Officer is a qualified Archivist, the management of the service is currently a full-time job.

If the Project Archivists are included in this ratio, it becomes 53:1.

30   Are you able to catalogue materials in archaic and relevant ethnic minority languages? *[Please tick the statements which are true]*

○ **We can catalogue materials in archaic languages**
○ We can catalogue materials in relevant ethnic minority languages

Comments:

The current Principal Officer (an Archivist) and one of the jobshare partners in the Assistant Archivist post are able to catalogue documents in medieval Latin, medieval French, Greek and German. We have not yet encountered documents in other languages among our holdings.

31   What approach do you adopt to selecting collections for cataloguing? *[Tick the statement that most closely reflects your position]*

○ a) In practice, no cataloguing is undertaken
○ b) Only cataloguing funded by external resources is undertaken, so we prioritise the projects we think we will get funding for
○ c) We prioritise the listing of new accessions because this makes the most efficient use of scarce cataloguing time
○ d) We prioritise the listing of material that we think will be in high public demand whether this is in new accessions or the backlog
○ **e) We have prioritised the backlog using a survey methodology (eg Logjam)**
○ f) All collections are catalogued on receipt

Comments:

We have an archives cataloguing priority action plan based on likely demand for access to the material and our conception of its historical significance (see supplementary document)

We are also participating in a MLA Yorkshire regional project ("The Great Escape") which is using the Logjam methodology and is scheduled to complete this year.

32   (a) Please state the approximate percentage of catalogued material which is indexed by personal and corporate names and comment on the extent to which indexing is based on the NCA Rules and has been consistent over time.

Coverage: 25 %

Comments: We are using the name authority files within Calm2000 and all archives catalogued in Calm2000 are indexed for personal & corporate names in accordance with ISAAR(CPF)/NCA rules. Indexing is done down to file/item level where appropriate.   Local Studies material is indexed in the same way.

Previous coverage for archives, however, is patchy and follows an in-house standard on index cards (chiefly name and epithet). It is generally at *fonds* level although some records have been indexed at item level.

(b) Please state the approximate percentage of catalogued material which is indexed by place names and comment on the extent to which indexing is based on any external standard and has been consistent over time.

Coverage: 25 %

Comments: We are using the place name authority files within Calm2000 and all archives catalogued in Calm2000 are indexed for place names in accordance with an in-house standard based on previous practice.   Indexing is done down to file/item level where appropriate. Local Studies material is indexed in the same way.

Previous coverage follows the in-house standard on index cards. It is generally at *fonds* level although some records have been indexed at item level.

(c) Please state the approximate percentage of catalogued material which is indexed by subject and comment on the extent to which indexing is based on recognised thesauri (eg UKAT, UNESCO, LCSH etc) and has been consistent over time.

Coverage: 25 %

Comments: We are using UKAT within Calm2000 and all archives catalogued in Calm2000 are subject indexed. This is generally at *fonds* level although some subject indexing is done down to file/item level where appropriate. We also use the "Category" field in Calm2000 to undertake a kind of subject indexing of types of record (eg. photographs, maps, deeds). Local Studies material is indexed in the same way.

Previous coverage, however, is patchy and used an in-house thesaurus on index cards. It is generally at *fonds* level although some records have been indexed at item level.

(d) Please state whether you have reviewed your existing catalogues and indexes to modernise and enhance them to take account of new research interests that have emerged in recent decades. Please use the comments field to explain what you have done.

○ (a) Yes: a comprehensive review has been completed
○ (b) Some work has been done in this area
○ **(c) No work has been done in this area**

Comments:

Our cataloguing backlog is such that we are currently concentrating on strategies to achieve a minimum level of cataloguing for all the archives we hold.

33   What percentage of your catalogues are now available online in fully searchable form, either through your own website or through a national network (e.g. A2A)? Please use the comments field to explain the approach you are taking to getting your catalogues online.

○ a) Catalogues are not yet available online, or only as scanned documents (e.g. PDF format)
○ b) Less than 25% of catalogues are online in searchable form
○ **c) 25-50% of catalogues are online in searchable form**
○ d) 50-75% of catalogues are online in searchable form
○ e) 75-99% of catalogues are online in searchable form
○ f) All catalogues are available online in searchable form

Comments

A2A contains catalogues for approx. 28% of the archives, and basic *fonds* level descriptions only of approx. 50% of the archives (which are uncatalogued). We are currently working towards the launch of our own online catalogue (using Calm2000) covering all archives and local studies holdings. The plan is to achieve a critical mass of data before the launch in 2008, which will include all the high-priority archives from the cataloguing backlog which are currently being catalogued as part of our Rolling out the Archives project (HLF funded). It will also include *fonds* level descriptions for all archives, and full catalogues for the majority of our high-usage archives.

34   Are copies of all new and replacement catalogues routinely supplied to the National Register of Archives?

○ Yes
○ New lists only
○ **No**

Comments:

In recent years little or no cataloguing has been undertaken and so there have been no catalogues available to send to the NRA. However since October 2005 when the cataloguing strand of the Rolling out the Archives project began we plan to begin routinely to supply catalogues to the NRA again.

35   Which of the following statements about restrictions on access to collections is the most accurate description of the position in your institution?

○ Restrictions on access are noted in the public catalogue and have been amended to reflect the Freedom of Information Act 2000 and the Environmental Information Regulations 2004
○ Restrictions on access are noted in the public catalogue and we are in the process of amending them to reflect the Freedom of Information Act 2000 and the Environmental Information Regulations 2004
○ **Restrictions on access are not noted in the catalogue.**
○ Restrictions on access are noted in the public catalogue but we have not yet amended them to reflect the Freedom of Information Act 2000 and the Environmental Information Regulations 2004

Comments:

All new cataloguing notes restrictions on access in light of FoI 2000 and EIR 2004 in Calm2000 although restricted access records are not included in the public access catalogue. General notes on restrictions are included in *fonds* level descriptions. However older catalogues have not yet been amended: our plan is to undertake this work alongside the retrospective conversion and editing of catalogues in Calm2000.

SECTION 3: ACCESS

36   Please indicate which of the following statements most closely reflects the position of the service in relation to its responsibilities for providing equal access to services under the Disability Discrimination Act.

○ a) The service has conducted an audit of DDA compliance and has made all the necessary and reasonable changes required
○ b) The service has conducted an audit of DDA compliance and has an action plan to address the necessary and reasonable changes required
○ **c) The service has conducted an audit of DDA compliance but has not yet planned the implementation of the changes that can reasonably be made**
○ d) The service has not conducted or been part of an audit of DDA compliance

Comment and evidence:

The entrance doors to the searchroom do not comply with the width requirements of the DDA although large electric wheelchairs are able to enter. We are also awaiting suitable signage for visually impaired customers. See Qu.59 for comment on equipment and furniture.

37   Are the draft policies of the archive service made available for scrutiny and comment by the public prior to adoption?

○ **(a) Draft policies are published for comment by the general public**
○ **(b) Comments are invited from stakeholder groups (e.g. users, depositors, Friends groups)**
○ (c) Draft policies are not available for scrutiny and comment

Comment and evidence:

Rotherham MBC has a pro-active approach to consultation with residents. In Spring 2006 the new Culture & Leisure Customer Charter (encompassing the Archives & Local Studies Service) was the subject of consultation with stakeholder groups as well as general comment. We are currently working on a revised Acquisition Policy for the Service which will go out to consultation with stakeholder groups and for general comment.

38   Which of the following mechanisms does the service use to communicate its policies, plans, service standards, resourcing decisions and performance data to its users?

○ (a) Website
○ (b) Annual report
○ (c) Newsletters
○ (d) Friends' organisation or user groups

○ (e) Leaflets
○ (f) Publication Scheme
○ **(g) Other (please specify) currently via the searchroom. Performance management is regularly reported to Members (public meeting, with papers available on the website).**

Comment:

We are currently working on the development of our website to include more information including these issues, and also on our (currently infrequent) publication *Ivanhoe Review* for a similar purpose.

39   Which of the following mechanisms does the service use to receive feedback from users?

○ **Friends' organisation**
○ **User groups or focus groups**
○ **Comment forms**
○ **Complaints monitoring**
○ **Feedback recorded by frontline staff**
○ **User surveys (including PSQG survey)**
○ **Other (please specify)**
Across Culture & Leisure: Non-user/residents survey; mystery shopping/cold calling; evaluation of events and specific activities.

40   Which of the following statements apply to the system of dealing with comments and complaints received by the service?

○ **(a) The service has a published policy on dealing with comments and complaints, or is covered by a departmental or corporate policy**
○ **(b) Comments and complaints are initially dealt with by the manager responsible for the area concerned (unless a complaint is about the manager)**
○ **(c) There is provision for a complaint to be independently investigated at an appropriate stage**
○ **(d) The majority of those making comments or complaints are satisfied by the response they receive**
○ (e) There is no formal comments or complaints procedure.

Comment and evidence:

41   State the number of complaints received by the service in the financial year 2005/6 which were upheld or partially upheld.

Comment: None.
5 complaints received, all about matters outside the control of the Service (copyright legislation; building maintenance).

42   If the authority has used surveys (e.g. PSQG national user survey) to
        measure satisfaction with its archive service, what was the overall level of
        satisfaction expressed?

        ○ (a) Over 98%
        ○ **(b) 95-98%**
        ○ (c) 92-95%
        ○ (d) 89-92%
        ○ (e) Below 89%
        ○ (f) Data not available

        State the year to which the data relates: March 2006

        Comment:

        PSQG survey March 2006 had a 78% response rate. 90% of the responses
        answered the overall satisfaction question, with 96% of the responses rating
        the service as Very Good or Good; no response rated the service below
        adequate.

43   Has the service published the results of user surveys and/or other feedback
        on service performance and set out its responses to the issues raised?

        ○ **Yes**
        ○ No

        Comment and evidence:

        Comments are displayed in the searchroom; changes as a result of feedback
        are publicised. We will be reporting performance against our new Customer
        Charter later this year.

44   Has the service consulted with stakeholders other than users about its
        performance?

        ○ **Yes**
        ○ No

        Comment and evidence:

        Regular consultation on service delivery and development with Cultural
        Consortium Advisory Panel, and with colleagues across Culture & Leisure.
        Ad hoc consultation also takes place via the Rotherham Heritage Association
        (an umbrella body for local heritage groups/history societies) and with other
        bodies eg. Rotherham Family History Society.

45   State whether the service analysed the take-up of its services by different sectors of the community and comment on the results of the analysis and the changes you have made to your service in response.

○ **Yes**
○ No

Comments:

Analysis has been undertaken early in 2006 following the PSQG national visitor survey – copy attached. The headline finding is that fewer young people (under 16s, and in the age range 16-34) visit the service. In order to address this we are currently developing two partnership projects – one with a Kashmiri young people's group, to undertake a Kashmiri/Rotherham heritage project. The other is with the Youth Theatre, to create a performance based on historic sources/events.

46   Which of the following statements about the identification of staff to customers is true for your institution?

○ **a) The service has a manager identified as responsible for access services**
○ b) The chief archivist and the manager responsible for access services are identified at all user contact points
○ **c) Frontline staff are identifiable to customers (e.g. by the wearing of name badges)**

Comments:

The Principal Officer is identified as being responsible for access services.

47   Are there published standards of service or performance targets which staff are expected to meet? If so, please enclose a copy and comment on the extent to which the targets were met in 2005/6.

○ **Yes**
○ No

Comments:

A new Customer Charter for Culture & Leisure Services was developed in consultation with users and published in May 2006. Performance against the targets will be measured during 2006/7 and the results publicised.
Applying the current targets to the one customer charter performance indicator which can be measured for 2005/6 shows that 98% of enquiries received a full written response within 10 working days (with 68% answered within 3 days).

48   Does the service ensure that users are aware of their responsibilities for helping to ensure the preservation of archives, and for acceptable standards of behaviour to staff and other users?

○ **Yes**
○ No

Comment and evidence:

The searchroom rules (copy enclosed) which incorporate guidance on the safe handling of documents are prominently displayed at every reader seat in the searchroom. It is also made clear to users when they register that by signing the register on each visit they agree to abide by the searchroom rules.
 In addition, staff invigilate the searchroom carefully, and offer advice and guidance to users as necessary on handling and other matters.

49   Does the service publish promotional information about the service in the following formats?

○ **Leaflets**
○ Posters
○ **Internet**
○ **Other (please specify) travelling displays including "sidewinder" and pop-up (eg. used at fairs/shows/community events).**

Comments:

50   Is hard copy promotional literature widely distributed through any of the following methods?

○ **Local libraries and museums**
○ **Tourist information centres**
○ Leaflet distribution agencies
○ **Other (please specify) Commercial and Promotional Services (covers Culture & Leisure) undertake targeted leafleting in communities including in doctors' surgeries, shops, community centres, and some door-to-door distribution.**

Comments:

51   It is particularly important that introductory material about the service such as promotional literature, and information about complaints procedures, should be readily accessible to users. Which of the following statements are true:

○ **Promotional literature and complaints procedures are written in plain English**
○ **Promotional literature and complaints procedures are available in relevant languages other than English**

Comments:
Promotional literature available in other languages on request.

52   Does the service publish in any format (hard copy or online) a detailed summary guide to its holdings, designed to give an overview of holdings? If this is not in a continuously updated online format, give date of publication.

○ Yes
○ Partially – guides to particular types of records are available
○ **No**

Comments:

53   Is the service located in the town or city where it is most accessible to the people of the local authority areas which fund the service? Comment on the advantages and disadvantages of the current location.

Comments:

Yes. There are good local bus links within the Borough to Rotherham town centre. The furthest point in the Borough from the Service is approx. 16 km (approx. 10 miles). However Rotherham is a largely rural borough, created as a Metropolitan authority in 1974. Some communities outside the town centre still do not think of themselves as being "from Rotherham [borough]".

54   Assess the accessibility of the service to members of the public arriving by the following transport methods:

(a) Rail
○ a) No service available
○ b) Poor – station is distant and/or services infrequent
○ **c) Fair – station is distant but services frequent or station close by but services infrequent**
○ d) Good – station is nearby and services frequent

(b) Bus
○ a) No service available
○ b) Poor – nearest bus stop is distant and services infrequent
○ c) Fair – nearest bus stop is distant but services frequent or bus stop close by but services infrequent
○ **d) Good – bus stop is nearby and services frequent**

(c) Private car
○ a) No parking is available within a reasonable distance
○ b) Poor – nearest car park is distant and expensive
○ c) Fair – nearest car park is close by but expensive
○ **d) Good – car park onsite or adjacent and free or inexpensive**

Comment on specific weaknesses or strengths

The rail station is located approx. 5-10 minutes walk from the service, but for customers from within the Borough rail services are patchy depending on location. For visitors from outside the Borough services from mainline stations (chiefly Doncaster and Sheffield, but also Leeds) are frequent.

The main bus interchange is located 2-5 minutes walk from the service, and bus coverage of the whole Borough is good. There are also frequent buses from other major transport interchanges (including Sheffield and Doncaster, where there are mainline stations).

There is a carpark immediately adjacent to the Service; parking for a whole day is £5. There are also several other well-signed carparks within a 5-10 minute walk, including carparks with a cheaper per day cost.

55   Is the archive service building well signposted for visitors approaching it on foot, and is the building itself clearly labelled as the archive service? *[Tick both if appropriate]*

   ○ **a) Building is well signposted**
   ○ **b) Building is clearly labelled**

   Comment on strengths and weaknesses of signage

   The building is well signposted and clearly labelled from a distance (in all directions of approach) as the "Central Library and Arts Centre". Individual services are signed as the visitor nears the building – because of the large number of services housed in the building, there is not space clearly to label every service so that it is visible at a distance (see Qu.77 for details of all services). Within the building the Archives & Local Studies Service is clearly signposted and labelled.

56   For how many hours per week is the service open to the public?

   ○ a) Up to 20 hours per week (including 20 exactly)
   ○ b) 20-30 hours per week (including 30 exactly)
   ○ **c) 30-40 hours per week (including 40 exactly)**
   ○ d) 40-50 hours per week (including 50 exactly)
   ○ e) More than 50 hours per week

   Comments:

57   For how many hours per week is the service open to the public outside normal office hours (Monday-Friday, 9.00-5.00)?

   ○ a) None
   ○ b) Up to 3 hours per week (including 3 exactly)
   ○ c) Between 3 and 6 hours per week (including 6 exactly)
   ○ **d) Between 6 and 10 hours per week (including 10 exactly)**

○ e) More than 10 hours per week

Comments:

Opening hours since February 2006 are:
Tuesday   10.00-17.00
Wednesday 10.00-17.00
Thursday   13.00-19.00
Friday   10.00-17.00
Saturday   09.30-13.00: 14.00-16.00
Sunday, Monday   Closed

58   Is the information provided about your service on the ARCHON database maintained by the National Archives at http://www.archon.nationalarchives.gov.uk/archon/ up to date?

○ **Yes**
○ No

Corrections required to ARCHON database:

59   What facilities do you provide to the public in your reading room, and is the space/quantity/quality of equipment available for each adequate to current demand? *[Tick if you provide the facility and delete adequate/not adequate as applicable]*

○ **(a) Space for consulting documents. Adequate**
○ **(b) Dedicated space for consulting maps/outsize documents. Not adequate**
○ **(c) Microfilm and microfiche readers. Not adequate**
○ **(d) Access to the Internet or other digital resources. Adequate**
○ (e) Viewing/listening facilities for film and sound recordings. Adequate/not adequate
○ **(f) Equipment designed or adapted for users with disabilities. Not adequate**

Comments

Searchroom layout and consequently number of reader spaces, microfilm/fiche readers and outsize document space is severely constrained by the current building.

Whilst most chairs can be adjusted for height, and we have adaptive aids for PCs (eg. large-scale keyboard, magnification software), the Service does not have adjustable tables, a permanent hearing loop or provision for users with visual disabilities to access documents (other than standard magnifying glasses and access to the Library & Information Service magnifier).

The Service has 3 People's Network PCs from which free access to the internet, use of digital resources and personal computing (word-processing etc) is available.

60   Do you operate a booking system for searchroom spaces and/or for particular equipment? *[Tick all the applicable answers].*

○ (a) We do not need to operate a booking system for any searchroom facilities

○ **(b) Readers may book a space and/or equipment in advance if they wish but we do not require this**

○ (c) Readers do not need to book a seat in the reading room but must reserve specialist equipment (eg Internet access, film or sound equipment)

○ (d) Readers do not need to book a seat in the reading room but must reserve any equipment they wish to use (eg microfiche readers)

○ (e) Readers must book a seat in the reading room in advance

Comments:

Appointments are not required, but we do advise all customers (eg. in written enquiries, by telephone, and in the searchroom) that it is advisable to book microfilm/fiche and other equipment in advance. We also advise advance orders for archives (although delivery times are generally within 15 minutes of an order being placed).

61   Please state the number of onsite readers you received in 2005/6, and indicate the % change since 2004/5.

Number of readers in 2005/6: 4,421
○ (a) More than 10% up
○ (b) Between 5% and 10% up (including 10% exactly)
○ **(c) Between 0% and 5% up (including 0% and 5% exactly)**
○ (d) Between 0% and 5% down (including 5% exactly)
○ (e) Between 5% and 10% down (including 10% exactly)
○ (f) More than 10% down

Comments:

62   Which of the following additional public facilities do your premises offer? Where indicated, please state the maximum capacity.

○ **Exhibition space**
○ **Meeting room (seating capacity: 1 room of 20, and 1 of 35)**
○ Separate room for visiting parties (seating capacity:)
○ Common room for public use (seating capacity:)
○ **Restaurant or coffee bar facility (seating capacity: 35)**
○ **Lecture theatre (seating capacity: 125)**

○ **Toilets**
○ Other (please specify)

Comments:

All facilities are part of Central Library & Arts Centre and are shared with other services. Meeting rooms/lecture theatre require advance booking. Meeting rooms are flexible spaces and could be used by visiting parties.

63   What is the target time for delivery of records stored on site and from outstores?

Delivery on site   Delivery from outstores
○ **(a) No target time is set**   ○ **(a) No target time is set**
○ (b) More than 30 minutes   ○ (b) More than 48 hours
○ (c) 20-30 minutes   ○ (c) 24-48 hours
○ (d) 10-20 minutes   ○ (d) 2-24 hours
○ (e) Less than 10 minutes   ○ (e) Less than 2 hours
                                          ○ (f) Not applicable as no out-stores used

Indicate the proportion of deliveries that meet the target time and state the evidence for this.
○ (a) Less than 50%
○ (b) Between 50 and 70%
○ (c) Between 70 and 90%
○ (d) Between 90 and 100%
○ (e) All deliveries meet the target
○ (f) Information not available

Comments:

No target times are set for deliveries. Records are fetched on request, and average delivery time from receipt of order is approx. 15 minutes. 75% of respondents in the 2006 PSQG national visitor survey responded to the document delivery times question, and 100% rated document delivery as Very Good or Good.

64   Does the service publish details and price-lists for its copying services in hard copy or online?

○ (a) Both
○ **(b) Hard copy only. Online publication will happen as part of website development this year.**
○ (c) Online only
○ (d) Neither

65 Which of the following statements reflects the situation in your service? *[Tick the statements in each group which most closely match your situation]*

○ (a) Self-service photocopying is permitted, subject to restrictions
○ (b) Documents can only be photocopied by staff; users can copy secondary sources
○ **(c) All photocopying is done by staff**

○ (d) The public are not allowed to use digital cameras to copy documents
○ **(e) The public are allowed to use digital cameras to copy documents**

○ **(f) We have the facilities in house to make a copy in some form of almost any document**
○ (g) Some documents can only be copied by taking them to a specialist bureau
○ (h) We cannot offer facilities for the copying of some documents because of their format

Comments:

The use of digital cameras by the public is subject to permission. For example, one regular user has a disability preventing him being able to write notes and so has been given permission to use a digital camera for this purpose. Permission is also given in other circumstances eg. to copy tightly bound or poorly microfilmed material if appropriate.

66 What is the target delivery time for the provision of photocopies ordered by post (from receipt of order to posting of copies)

○ (a) More than 20 working days
○ (b) 11-20 working days
○ **(c) 6-10 working days**
○ (d) 1-5 working days
○ (e) Same-day service

Comment on any differences between the target time for photocopies and for digital copies.

No differences.

Indicate the proportion of deliveries that meet the target time and state the evidence for this.
○ (a) Less than 50%
○ (b) 50-70%
○ (c) 70-90%
○ **(d) 90-100%**
○ (e) All deliveries meet the target
○ (f) Information not available

Comments:

The same target time applies to the provision of copies as to the provision of a full written response to an enquiry (10 working days). In 2004/5 98% of enquiries/orders were fulfilled within this target time with 68% answered within 3 days.

67   What is the target response time for answering written enquiries?

○ (a) More than 20 working days
○ (b) 11-20 working days
○ **(c) 6-10 working days**
○ (d) 1-5 working days
○ (e) Same-day service

Indicate the proportion of enquiries answered within the target time and state the evidence for this.
○ (a) Less than 50%
○ (b) 50-70%
○ (c) 70-90%
○ **(d) 90-100%**
○ (e) All enquiries meet the target
○ (f) Information not available

Comments:

See also qu. 47. During 2004/5 98% of enquiries were answered within the target time of 10 working days with 68% answered within 3 days.

68   (a) Do replies to written enquiries that fall within the Freedom of Information Act, but where the information is catalogued and open to inspection, include standard paragraphs claiming the s.21 exemption from provision of the information?

○ Yes
○ **No**

(b) If you operate a paid research service, have you made provision for this in your Freedom of Information Publication Scheme, in accordance with TNA guidance?

○ **Yes**
○ No
○ Not applicable

Comments:

69   In your opinion, are the secondary and reference works available for public use in the searchroom, either in hard copy or through online subscriptions, adequate for the needs of most users for such materials?

○ **Yes**
○ No

Comment on any particular strengths and weaknesses in the collection, and the reasons for these.

Rotherham Archives & Local Studies is a joint service, and all local studies materials are available for use alongside archives in the searchroom. There is also a good collection of standard reference works (eg. guides, directories of sources/repositories, dictionaries etc). The Library Service hard copy of the Dictionary of National Biography is available immediately adjacent to the Archives & Local Studies Searchroom; the Library Service also holds a complete Victoria County History. The Library Service also subscribes to standard online reference works including the DNB, and free internet access is provided in the Archives & Local Studies Service searchroom.

The Service is also responsible for the upkeep and provision of local studies lending stock throughout the Borough's libraries.

70   Does the service provide an educational service with dedicated staff resources?

○ **(a) No staff are dedicated to the provision of an educational service**
○ (b) Less than 1 full-time equivalent member of staff works part-time on educational services
○ (c) A member of staff works full-time on educational services
○ (d) The service employs a team of staff (more than 1 full-time equivalent) to provide educational services

Comments:

71   Have you adopted the *Inspiring Learning for All* framework as a basis for the evaluation of your lifelong learning work, and have you used the Generic Learning Outcomes to evaluate particular projects or your service as a whole?

○ **Yes; we have adopted the framework and used the GLOs**
○ Yes; we have adopted the framework but not used the GLOs
○ No; we have not adopted the framework.

Comments:

The ILFA framework is being implemented across Libraries Museums & Arts (including Archives & Local Studies).

72   During 2005/6, has your service undertaken the following types of outreach initiative? *[Tick all the relevant boxes]*

○ **Lectures, seminars and workshops at the Record Office**
○ **Lectures, seminars and workshops at community venues**
○ **Exhibitions and displays at the Record Office**
○ **Exhibitions and displays at community venues**
○ **Roadshows or stands at heritage events**
○ **Open days at the Record Office**

○ Projects aimed at engaging non-users with the work of the service
○ Projects aimed principally at ethnic minority groups
○ Projects aimed principally at young people aged 16-25
○ Projects aimed principally at elderly non-users

Comments:

In 2005/6 8 workshops/seminars were held at the Service with a further 6 in community venues around the Borough. 4 exhibitions/displays were mounted in the service (see evidence document for further details), with 2 subsequently travelling on to a community venue. A further display was mounted in a community venue. The Service had a presence at 7 roadshow-type events around the Borough during the year, 2 of which were events organised by RMBC and the remainder by community or other groups.

The Service also held its first focussed exhibition/study day as part of the Archives Awareness Campaign 2005; "Big Stuff" focussed on maps and beginning to use maps for local history.

The Service also works in partnership with colleagues across Libraries Museums and Arts including the Museum, Theatre and Arts, Community Arts and Library & Information Services. This includes outreach projects such as Moving Here, the Elderly Asian Mens' Social Action Group, Reminiscence, Remember Us (working with excluded groups), and Opening the Doors to Family History. It also includes the delivery of a programme of taster sessions. We also work with colleagues in Adult & Community Learning, for example in support of skills for life taster sessions.

73   Are all new users identified and routinely provided with information and assistance to understand the archive service's procedures and help their research?

○ Yes
○ **No**

Comments:

Although users are not required to identify themselves formally as new users, the small number of staff on duty and number of regular users of the Service has means that new users are identifiable. Often new users identify themselves as such. The staff pride themselves on orientating new users and on providing appropriate support and assistance. Customer appreciation of this is reflected across our range of feedback.

74   Which of the following security measures do you use in the searchroom?

      ○ Proof of identity or readers' ticket required for access
      ○ Lockers for personal belongings
      ○ **Continuous invigilation**
      ○ **Good sightlines**
      ○ **Panic button**
      ○ Remote door control
      ○ CCTV
      ○ Document weighing machine
      ○ **Counting documents in and out**
      ○ Others (please specify)

      Comments:

75   Is appropriate equipment available to ensure the safe handling of documents in the searchroom (e.g. map weights, book supports)?

      ○ **Yes**
      ○ No

      Do reading room staff take an active role in assisting readers in the safe handling of documents?
      ○ **Yes**
      ○ No

      Comment and evidence:

See readers' guidelines.

SECTION 4A: BUILDINGS, SECURITY AND ENVIRONMENT

Name of the premises to which this section of the form relates: Archives Strongroom, Central Library and Arts Centre

Percentage of the total quantity of archival records stored in this building: 67% as at July 2006 (will increase during the next few months as we conclude the rationalisation of storage as part of the Rolling out the Archives project preservation strand – see Qu.27 and 93 for more details).

76   Please state the basis on which you occupy the building. Where occupancy is not freehold, please state the remaining period of the lease.

    ○ **Freehold**
    ○ Leasehold.   Remaining period:
    ○ Tenancy.   Remaining period:
    ○ Licence   Remaining period:
    ○ Other   Remaining period:

    Comments:

77   Which of the following statements most accurately reflects the situation of the building in relation to others?

    ○ **(a) The building is shared with other services**
    ○ (b) The building is contiguous with others but is solely used for the purposes of the archive service
    ○ (c) The building is freestanding and solely used for the purposes of the archive service

    Comments:

The Archives & Local Studies Service was formerly a section of the Central Library, and our current accommodation reflects this history. The searchroom, staff areas, and storage areas are only accessible through the main Library, and within the library stacks.

Services accommodated within the whole building are: Library & Information Services: Central Library (reference, lending), Bibliographic Services Unit, e-Library Services; Theatre & Arts Service: Studio Theatre, craft studio, meeting rooms, café; Museums Galleries & Heritage Service: Art Gallery, Yorkshire & Lancashire Regimental Museum. The Manager Libraries Museums & Arts and LMA administrative staff are also accommodated within the building, as is a Rotherham Connect call centre and the Rotherham Disability Information Service.

The building is managed by the Theatre & Arts Service, who provide Operations (caretaking) and provide for security, maintenance etc in conjunction with the Building Manager (part of RMBC's Economic & Development Services programme area). There is a regular Building meeting in which all services are represented.

78   Taking into account the situation of the building (e.g. local topography, neighbouring activities etc) and any preventive measures which may be in place, assess the likelihood of damage to the building or its contents from each of the following hazards.

Nature of risk	Severity of risk	Likelihood of risk	Overall risk level
(a) Fire	5	2	10
(b) River or sea flooding	5	1	5
(c) Arson, vandalism and crime	2	2	4
(d) Subsidence	3	1	3
(e) Explosion or terrorist attack	5	1	5
(f) Wind and storm damage	1	1	1
(g) Atmospheric pollution	1	1	1
(h) Noise pollution	1	1	1
(i) Contaminated land	1	1	1

Comments:

RMBC has Borough-wide emergency planning in place, and uses the RiskGen risk management software for the management of risk. All services have completed a risk assessment within the last 6 months. RMBC is also a member of the South Yorkshire Local Resilience Forum. More information on RMBC's approach to emergency planning can be found at http://www.rotherham.gov.uk/graphics/YourHome/Emergency+Planning/_EDS EmergencyPlanning.htm.

The assessment of the likelihood of risk was undertaken by the RMBC Insurance Manager and Emergency Planning Manager.

79   How many incidents of vandalism or other crime has the building suffered in the last year?

○ (a) None
○ (b) 1-2
○ (c) 2-5
○ (d) 5-10
○ **(e) More than 10**

Comments:

80   Please assess the robustness and structural integrity of the following aspects of the building, using the scale set out in the guidance notes.

	Adequacy and capacity	Current condition	Inspection and maintenance	Overall assessment
Roofing and guttering	2	2	3	12
Walls, doors and windows	3	3	3	27
Floors and floor loadings	3	3	3	27
Plumbing and drainage	2	2	3	12

Comments:

Current condition scoring provided by the Building Manager based on regular inspections.

81   Which of the following statements are true for the building? *[Tick all those which apply]*

⭕ **a) There is a current fire certificate for the building**
⭕ **b) Arrangements are in place to ensure that the fire brigade are familiar with the layout, contents and purpose of the building**
⭕ **c) The fire officer has expressed himself satisfied with fire precautions in the building**
⭕ **d) All parts of the building are equipped with smoke alarms**
⭕ **e) The smoke alarms are linked to a 24-hour monitoring service or direct to the fire brigade**
⭕ f) All archive storage areas are equipped with automatic fire extinguishing systems
⭕ **g) All archive storage areas have 4-hour fire resistant** doors**, walls and ceilings**
⭕ h) If there is an air conditioning system, it is equipped with dampers which operate automatically in the event of fire
⭕ i) All wiring in the building is flame retardant
⭕ j) The power supply to all archive storage areas can be isolated

⭕ k) There are works recommended by the fire officer which have not yet been carried out
⭕ l) There are no arrangements in place for the regular inspection of the premises by the fire officer
⭕ m) The archive storage areas are not protected by smoke alarms
⭕ n) The smoke alarm system is not monitored continuously

Comments:

g. Archives strongroom door has 4-hour fire resistance, but the door to the basement where some oversize material is stored (and through which the strongroom is located) does not have 4-hour fire resistance.

82   Which of the following statements are true for the building? *[Tick all that apply]*

○ **a) None of the storage areas for archives have water or other liquid-bearing pipes passing through or immediately above them.**
○ b) The storage areas for archives are equipped with water sensors or alarms.
○ c) The storage areas for archives are equipped with emergency drainage to cope with water arising from flooding or fire extinguishing.

○ d) There have been incidents of water penetration into records storage areas within the last year.

Comments:

83   Which of the following statements are true for the building? *[Tick all that apply]*

○ **a) The whole of the building is protected by intruder alarms**
○ b) The intruder alarm system is monitored 24 hours a day by the police or a security company
○ c) The building has recorded external CCTV coverage
○ **d) The building has recorded internal CCTV coverage**
○ e) The archives searchroom has recorded CCTV coverage (please delete this option if there is no searchroom in the building)

○ f) We believe that documents in our custody were stolen or maliciously damaged in the last year (2005/6)

Comments:

84   What arrangements are made for the monitoring of temperature and relative humidity in the archive storage areas?

○ a) Continuous monitoring by electronic systems
○ **b) Continuous monitoring by thermohygrographs**
○ **c) Spot monitoring using portable monitoring equipment**
○ d) No routine monitoring is undertaken

Comments:

85	Please use the following table to indicate which of the following kinds of environmental control are in use in each storage area, and the percentage of the records held that are subject to this control.

Storage area name	% of total records in area	(a) Full air conditioning	(b) High thermal inertia construction	(c) Partial air conditioning	(d) Dehumidifiers	(e) Central heating	(f) None
Strongroom	67% (at time of writing)	Yes	No (although reinforced walls, floor & ceilings)	N/a	No	No	N/a
Central Library basement	33% (at time of writing)	No	No	Yes (air circulation/extraction)	No	No	N/a

State whether any active mould growth has been detected in the storage areas within the last 12 months

Comments:

No active mould growth detected (Preservation Assessment Survey carried out June 2006).

86	On what percentage of days in 2005/6 were temperatures outside the preferred range (13°C –19°C) recorded in the storage areas?

○ Data is not available

A) Name of storage Area	B) % of days outside range	C) % of total holdings in the storage area	B x C%
Strongroom	100	67	67
Totals			

Comments:

Min/max. was 20-23. The thermohygrograph is due for a service/calibration.
Data is not available for the other storage area.

Owing to the building work in the strongroom as part of the Rolling out the Archives project (see Qu.93 for details), the strongroom was empty for 61 days (17%) of the year whilst the archives were in temporary storage at Deepstore.

87	On what percentage of days was the diurnal variation in temperature greater than 1°C?

○ Data is not available

A) Name of storage Area	B) No. of days with more than 1°C variation, when the readings were	C) No. of days with more than 1°C variation, when the readings were	D) % of total holdings in the storage area	(B+C)/365 x D

	within the recommended range	not within the recommended range		
Strongroom		3	67	0.55
Totals	🟩	🟩		

Comments:

Data is not available for the other storage area.
Owing to the building work in the strongroom as part of the Rolling out the Archives project (see Qu.93 for details), the strongroom was empty for 61 days (17%) of the year whilst the archives were in temporary storage at Deepstore.

88   On what percentage of days was relative humidity outside the preferred range (45%-60%) recorded in the storage areas?

○ Data is not available

A) Name of storage Area	B) % of days outside range	C) % of total holdings in the storage area	B x C%
Strongroom	15.3	67	10%
Totals	🟩		

Comments:

Data is not available for the other storage area.
Min. humidity was 40%.
Owing to the building work in the strongroom as part of the Rolling out the Archives project (see Qu.93 for details), the strongroom was empty for 61 days (17%) of the year whilst the archives were in temporary storage at Deepstore.

89   On what percentage of days was the diurnal variation in relative humidity more than 5%?

○ Data is not available

A) Name of storage Area	B) No. of days with more than 5% variation when the readings were within the recommended range	C) No. of days with more than 5% variation when the readings were outside the recommended range	D) % of total holdings in the storage area	(B+C)/365 x D
Strongroom		0	67	0
Totals	🟩	🟩		

Comments:

Data is not available for the other storage area.

Owing to the building work in the strongroom as part of the Rolling out the Archives project (see Qu.93 for details), the strongroom was empty for 61 days (17%) of the year whilst the archives were in temporary storage at Deepstore.

SECTION 4B: PRESERVATION AND CONSERVATION

90   If your service actively collects any of the following special media, please state whether specialised storage offering an appropriate environment is available, and estimate what proportion of the materials in that format are actually in the specialised storage.

Type of material	Actively collected?	Specialised storage?	% of records in specialised storage
Photographs	**Yes**/No	Yes/**No**	
Film	Yes/**No**	Yes/No	
Sound recordings	Yes/**No**	Yes/No	
Digital materials	Yes/**No**	Yes/No	
Other (please specify below)	Yes/No	Yes/No	

Comments:

Film and sound are transferred on deposit to the Yorkshire Film Archive and working copies provided by YFA held at the Service.

91   Which of the following statements are true for your service? *[Tick all that apply]*

○ **a) The shelving in the storage areas is entirely of metal construction**
○ **b) The shelving in the storage areas is free of buckling, twisting, corrosion or other signs of deterioration**
○ **c) Any mobile shelving is in full working order and can be operated without undue physical effort**
○ **d) Access aids appropriate to the shelving (e.g. ladders or kick-stools) are provided that meet health and safety requirements**
○ **e) Items are not stacked on the floor or tables, or stored on shelves in an overcrowded way**
○ f) Large rolled and flat items (e.g. rolled maps) are fully supported and do not project into corridors.

○ **g) There is insufficient specialised storage equipment for outsize materials**
○ h) The service is using mobile shelving units which are no longer in full working order.

Comments:

We have no specialised storage for oversize items, with the exception of some plan chests. Oversize materials are accommodated as well as possible within the standard shelving (eg. utilising double or through shelves).

92   Which of the following statements most accurately reflects the position on archival packaging in your organisation?

○ a) All records have secondary protection appropriate to their format
○ **b) Most records are boxed, but some volumes and outsize items are unprotected**
○ c) Most records are boxed, but outsize items and bound volumes are generally loose on the shelves
○ d) Some unbound manuscripts are stored loose on shelves
○ e) Some records are boxed but much material is stored loose on shelves.

Comment:

According to the results of the Preservation Assessment Survey (undertaken in June 2006 as part of the Rolling out the Archives project, see Qu.27) 68% of material has appropriate secondary protection. However over many years the Service has used a standard box of a larger than ideal size (to make economy savings, a size was chosen which could also accommodate the storage of newspapers held in the Local Studies collection). These boxes may be over-filled, or allow material inside to move around as they are generally not padded or partitioned. We are aware that this is not ideal but have no resources to replace existing good quality boxes at present. However in recent years different (smaller) box sizes have been chosen when purchasing new boxes to fit ranges of material more closely. Our Archives & Local Studies Assistants have also begun a programme of making secondary protection eg. for oversize volumes (they have recently received training in this from a Conservator).

93   Are storage areas cleaned regularly, including the dusting of boxes and shelves?

○ a) Yes
○ b) Cleaning is thorough but irregular
○ c) Cleaning is regular but does not include dusting of boxes or shelves
○ **d) Cleaning is limited and irregular**
○ e) No cleaning is undertaken in storage areas

Comment:

The strongroom accommodation has recently been upgraded (removal of asbestos cladding, new lighting, painting of walls and floor, mobile shelving) which has necessitated the thorough cleaning of the room following the completion of the work. This work was undertaken as part of the preservation strand of the Rolling out the Archives project (see Qu.27 above) and funded by HLF and RMBC.

The management of the cleaning contract is a source of problems throughout the buildings (currently outsourced) and we are working through the Building management meeting (see Qu.77 above) to address this.

94   Assess the accrual space available to the archive service on the assumption that collections continue to grow at the same rate as the average of the last five years.

    ○ a) Already full or less than one year
    ○ b) 1-3 years
    ○ **c) 3-5 years**
    ○ d) 5-10 years
    ○ e) More than 10 years

    Comments:

Undertaking the reshelving in the strongroom (see Qu.93 for details) will enable us, once the straightening/stock-taking work is complete, to rationalise storage space available to us and has increased our accrual space. However this space is outside the strongroom (and is consequently less secure, with minimal environmental control).

There are plans to replace the Central Library & Arts Centre building with a new, purpose-built Cultural Centre by 2012. The current building schedule includes accrual space for the proposed 60 year lifespan of the building, with all Archives & Local Studies Service storage being in BS 5454:2000 compliant accommodation.

95   Does your office provide a dedicated work area of adequate size to each of the following activities.

    ○ a) Document reception and treatment area   Dedicated & Adequate
    ○ b) Conservation workshop   Dedicated & Adequate
    ○ c) Digitisation/reprographics studio   Dedicated & Adequate
    ○ **d) Cataloguing workroom**   **Dedicated & Adequate**
    ○ e) Separate office(s) for senior staff   Dedicated & Adequate
    ○ **f) Staff common room and kitchen**   **Dedicated & Adequate**
    ○ **g) Showers for staff**   Dedicated & **Adequate**

    Comments:

Work accommodation is limited to general office area (open plan with searchroom) for 6 staff (Principal Officer, Local Studies Librarian, Assistant Archivist, Archives & Local Studies Assistants). There is also a separate workroom occupied by the Illustrations Assistant which can also be used for tasks which require space to spread out; this room is also used for the storage of illustrations awaiting processing. This workroom is only accessible through a public area of the Library.

Through the employment of temporary staff for the Rolling out the Archives project we have also acquired a further workroom on the opposite side of the building from the rest of the service. This workroom is accessible from the public Art Gallery. It currently houses 2 project archivists, and is now dedicated as an

archives workroom (Project Archivists' cataloguing, plus Assistant Archivists' processing of all accessions and some cataloguing).

The staff common room is shared with all other services in the building, but is dedicated to this purpose. The shower is likewise a shared facility, and is also available for use by those hiring the Studio Theatre (*ie* by members of the public, but not the general public).

96   Which of the following statements are true for your service? *[Tick all that apply]*

○ a) Incoming material is inspected for pest infection and treated if necessary before being placed in storage areas
○ b) Incoming material is inspected for mould and any mould deposits are cleaned off before the records are placed in storage areas
○ **c) records are routinely cleaned before being placed in storage areas**

Comments:

Since receiving training at Sheffield Conservation Unit the Archives & Local Studies Assistants now clean incoming records as part of the accessioning process. This encompasses inspection for pest infection and mould.

Previous to this some superficial cleaning was undertaken prior to records being placed in storage areas although this was inconsistent.

97   Has the archive service undertaken a survey of preservation needs using the National Preservation Office (NPO) methodology?

○ **Yes**
○ No

If yes, please enclose a copy of the survey report or forward it when it has been received.

Please comment on what actions you propose to take in the light of the survey.

The Preservation Assessment Survey was carried out between June 19th and 30th 2006 for archives stored in the strongroom, and at the time of writing the results are still being analysed. This work was undertaken as part of the preservation strand of the Rolling out the Archives project (see Qu. 27 for details). However the headline findings are that 80% of items are stable; 7% of items are undamaged. 2% of items fall within preservation priority band 4 (high priority), 26% in band 3 (medium priority), and 72% in band 2 (low priority), with no items in band 5 (very high priority) or in band 1 (very low priority).

In the first instance the items falling within preservation priority band 4 will be investigated and conservation undertaken if possible (see Qu. 101). The archival context from which these items come will also be sampled to ascertain whether there is a pattern of conservation work required. Other activities are likely to include focussing a programme of secondary protection (see Qu.92, also Qu.103).

98   Please indicate which of the following statements are true for your service. *[Tick all that apply]*

○ **a) All staff receive training or written guidance on the safe handling of documents**
○ b) All staff receive training in disaster response
○ **c) Cataloguing and searchroom staff receive training in identifying conservation problems and routinely record work required to items passing through their hands**
○ **d) Readers receive written guidance on the safe handling of documents on their first visit**

Comment on the frequency of training and the arrangements to ensure that all new staff receive training.

Document handling is covered as part of the induction process for new staff.
Cataloguing staff identify conservation issues using the relevant fields within Calm2000; searchroom staff assess the condition of items before they are made available to readers and act accordingly (with decisions over unusability made by a senior (professional) member of staff).
Written guidance on the safe handling of documents is permanently available at all reader places.
Staff training in disaster response is planned to take place as a joint workshop across the 4 South Yorkshire archive services although no date has yet been set for this.
Manual handling & lifting training is provided annually, which encompasses a refresher on document handling.

99   How do you access conservation facilities?

○ a) Available in-house
○ b) Provided by another Council department (please specify)
○ **c) Joint arrangement with another archive service**
○ d) Contracted level of support from private sector
○ **e) Ad hoc jobs undertaken by other bodies/private sector**
○ f) No conservation undertaken

Comments:

The annual archives conservation budget of c. £1,600 is used to buy-in work from Sheffield Conservation Unit under a long-standing arrangement (answer c).

Binding of local studies stock is undertaken 4x annually, with procurement from the private sector through the Bibliographical Services Unit of the Library & Information Service (who are able to make procurement savings on our behalf; answer e). The annual budget is c. £2,000.

100   If you have in-house conservation facilities, which of the following specialist processes do your conservators undertake?

    ○ **Not applicable**

    ○ Parchment repair
    ○ Leafcasting
    ○ Traditional paper repair
    ○ Conservation of large maps
    ○ Bookbinding
    ○ Photographic conservation
    ○ Exhibition mounting
    ○ Making boxes and specialist enclosures
    ○ Other (please specify)

    Comments:

101   Does your service operate a system for recording conservation work noted as being needed?

    ○ **Yes**
    ○ No

    Comments:

Since implementing Calm2000 last year the conservation fields are used during cataloguing. Other material requiring conservation is highlighted during use and added to forthcoming conservation work where possible or high priority. We will also be using the results of the Preservation Assessment Survey to prioritise conservation work where needs have been recorded (see Qu. 97).

102   Does your service operate a system of recording conservation treatments carried out?

    ○ **Yes**
    ○ No

    Comments:

Sheffield Conservation Unit prepares a detailed report of the treatment undertaken on each item conserved; we hold records from 1988. From our conservation work next year these treatment reports will be linked to the catalogue records within Calm2000 (at present there is no other way of searching the conservation treatment record other than by chronological order of treatment).

103   Please rank the following aspects of preservation in order of their importance to *improving* overall preservation outcomes *in your institution*. (Use 1 for most important, 2 for second most important etc.)

    ○ Improving storage environment(s)   Rank: 1
    ○ Document cleaning   Rank: 2
    ○ Packaging and boxing of records   Rank: 3
    ○ Interventive conservation   Rank: 4
    ○ Surrogacy   Rank: 5

    Comments:

The storage environment for non-oversize materials is now generally good, following the upgrade to the strongroom accommodation completed in April 2006 (funded by the Rolling out the Archives project – see Qu.93). However the storage of oversize materials, particularly rolled material, presents a significant problem.
The Preservation Assessment Survey (June 2006) has shown that 74% of items had surface dirt and that 32% require secondary protection. The Archives & Local Studies Assistants are beginning an ongoing programme of cleaning and providing secondary packaging as a routine task, which will begin to address this situation.
I have already commented on conservation provision (see Qu.99-102); with regard to surrogacy we feel that whilst demand for access to archives generally is low as a result of our cataloguing backlog surrogacy is not a cost-effective option to pursue whilst we have no budget for this. Some surrogates are currently made (eg. of oversize maps) on an *ad hoc* basis where staff feel this would assist the preservation of the original.

104   Do you currently have an active programme of making surrogate copies of documents for public use?

    ○ Yes
    ○ **No**

    Comments:

Whilst I have answered "no" for our archival holdings, the situation is different for local studies stock where microfilming of local newspapers is undertaken annually in conjunction with the British Library and the local studies sections of Barnsley and Doncaster Libraries; annual cost c.£2,500.

105   What proportion of the items consulted in your searchroom are seen in
       surrogate form? Please make an estimate if issues of surrogates are not
       counted, and note basis of calculation below.

       ○ a) More than 50%
       ○ b) 30-50%
       ○ c) 20-30%
       ○ d) 10-20%
       ○ **e) Less than 10%**

       Comments:

I have answered this question focussing on archival holdings only, where there are
       very few surrogates. However the vast majority of surrogates held by the
       Service are of local studies stock; if this question is answered for the whole of
       the holdings of the Service (*ie* both archival and local studies) the answer
       would be more than 50%.

106   If your service makes digital images for any purpose (e.g. use on website,
       supply to the public etc) are these retained for future use, and if so, how are
       they stored?

       ○ a) Not applicable: no use of digital imaging
       ○ b) No master copy is retained
       ○ c) Stored on CD-Rom or DVD
       ○ d) Stored on tape drive or hard disk of computer, with back up
       ○ e) Stored on a content management system, with back up
       ○ f) Stored as part of a digital preservation system
       ○ **g) Other (please specify)**

       Comments:

The Service has had a dedicated Illustrations Assistant since receiving HLF funding
       in 1997 for the ViewFinder project; this digitised the whole of the Illustrations
       collection (which includes some copies of archival photographs). From July
       2005-April 2006 the Principal Officer Archives & Local Studies led a working
       party from across Libraries Museums and Arts (includes Archives) to create a
       digitisation strategy for the service; this has now been approved by Members
       and is in force (see supplementary document).

As a result of the creation of the strategy, the management of the Illustrations
       collection has been comprehensively reviewed. We hold 23,000+ digital
       images, all created to a standard (but most of which were not created to the
       current standard; there are no plans retrospectively to re-create images to
       standard). From January 2006 all images are now created to the standards
       agreed in the digitisation strategy.

Regardless of their date of creation, all images are managed in the same way. First they are created to standards and with metadata documentation on a database (currently the County Record software, which is access based; shortly to migrate to Calm2000 using a standard template including image metadata). Second, 3 versions are held: the master on a removable hard drive (stored in the strongroom) with a backup master (on DVD stored offsite at the Records Management Centre); the third copy is a working master stored on a second removable hard drive. For many images we also hold a thumbnail/low resolution image; these are currently on CD and on the 8 ViewFinder kiosk standalone machines in 8 different locations. From 2008 the thumbnails will be held on the Calm2000 server to provide access via the online catalogue (see Qu.33).

107   What arrangements are made for the permanent preservation of electronic records generated by your parent authority/authorities and appraised as needing permanent retention?

   ○ a) No arrangements are in place for digital preservation
   ○ b) All records deemed worthy of preservation are printed to paper
   ○ **c) Records for permanent preservation are retained in digital form by originating departments, pending other arrangements**
   ○ d) Records for permanent preservation are retained in a corporate EDRM system pending other arrangements
   ○ e) Records for permanent preservation are transferred to the custody of the archive service and managed in accordance with a digital preservation policy
   ○ f) Other (please specify)

   Comments:

Information governance and records management issues are comparatively new to the Authority and there exists at present a lack of a corporate, joined up approach to the management of electronic records and to their preservation over time, both in terms of their integrity as records and supporting systems. In turn this leads to a general absence of awareness of archival issues, of systems to attach retention periods (with actual planned disposals), undertake appraisals, select material of archival value for preservation in any format, and ultimately the creation of a formal archive of records born in the electronic environment. There exists a general but erroneous assumption that anything born electronically can and should be kept indefinitely.

We are just beginning a project to scope and plan for the implementation of a corporate ERMS. RMBC through its partnership with BT has some systems for the digital preservation of records at local service level. The authority has undertaken some assessment work primarily in response to the requirement to implement an Electronic Social Care Record system and the view is now held by some key officers that any such system should be capable of providing a corporate Electronic Records Management System, compliant with national and international records management standards.

There are many issues yet to be resolved in this matter, not least funding, selection of a supplier and timescale.

108   Does your service have arrangements in place for the preservation of digital materials?

○ **Yes**
○ No

If so, are these arrangements
○ **In house within the archive service**
○ In partnership with other archive services
○ Outsourced to the private sector
○ Provided by your authority's IT department
○ Outsourced to another public sector body

Comments:

Yes, to a limited extent for digital images only (see Qu.106). See comments to Qu.107 above for our current position in relation to ERMS and wider records management issues within RMBC.

109   Has your service approached its major depositors with a view to establishing their plans for creating electronic records and sending them to you for permanent preservation in the future?

○ **a) Not at all**
○ b) On an ad hoc basis, as issues have arisen
○ c) Some categories of depositors have been approached systematically
○ d) All major depositors have been approached

In the light of these discussions, what changes do you foresee needing to make to your service in the next five years?

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CHECKLIST OF ENCLOSURES

A   Audited accounts for 2004/5 available online (see Qu.5)
B   Budget for 2006/7
C   Annual forward/business plan for 2006/7
D   Annual forward/business plan for 2005/6, annotated with outcomes
E   Service policies as per the list below (any available) (Q.15)

Collection Policy
Equal Opportunities Policy
Cultural Diversity Policy
Education Policy
Digital Preservation Policy – see M
Volunteering Policy
Training (or CPD) Policy

F   Standard terms and conditions of deposit (Q.18)
G   Accessions return for 2005 (Q.24)
H   Annual report or newsletter (Q.38) – not produced
I   Service standards or performance targets (Q.47)
J   NPO Survey report – undertaken but report not yet received (Q.97)

+

K   Cataloguing Priority Action Plan (Qu.31)
L   Initial analysis of PSQG National User Survey 2006 (Q.45)
M   Searchroom rules (Q.48)

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