

Self Assessment Tool for Archives – Guidelines

The following guidelines are designed to assist organisations to self-assess their archival practises. For each guideline, the organisation makes an assessment:

1. We have not done anything yet
2. We have some ideas and are discussing this
3. We have commenced implementation
4. We have gone as far as we can given our current limitations
5. We have fully implemented this guideline

Name of Organisation:

1. Organisational Policy and Staff : Does the organisation have the right policy and statement of purpose documents in place?					
1.1 The organisation has a “statement of purpose” and related policy documents that reflect a commitment to the long-term retention and management of records and archival materials.	1	2	3	4	5
NOTES:					
1.2 The organisation has a “statement of purpose” that reflects a commitment to providing appropriate, supported access to its records, in line with the standards set out in reports such as <i>Lost Innocents</i> , <i>Bringing Them Home</i> and <i>Forgotten Australians</i> .	1	2	3	4	5
NOTES:					

Self Assessment Tool for Archives – Guidelines

1.3 The organisation has specific policy documents around their archival collection regarding what material they take in, and, access to that material	1	2	3	4	5
NOTES:					
1.4 The organisation has the necessary staff to support its archival and records management functions and services.	1	2	3	4	5
NOTES:					
1.5 The organisation provides training and development opportunities to staff involved in archives and records management.	1	2	3	4	5
NOTES:					

Self Assessment Tool for Archives – Guidelines

2. Collection Management and Storage: Does the organisation have control over the archival records in its custody?						
2.1 The organisation stores its archival materials in appropriate and secure repositories for: <ul style="list-style-type: none"> ➤ paper based records (inc. photographs) 	1	2	3	4	5	
	<ul style="list-style-type: none"> ➤ digital files 	1	2	3	4	5
	<ul style="list-style-type: none"> ➤ material objects -furniture, clothing, plaques etc. 	1	2	3	4	5
<ul style="list-style-type: none"> ➤ audio visual material 	1	2	3	4	5	
NOTES:						
2.2 The organisation has registered all of its archival material, that is, it has surveyed its holdings and has documentary control over all records at a minimum baseline level (<i>e.g. Pathways – archival descriptions</i>)	1	2	3	4	5	
NOTES:						

Self Assessment Tool for Archives – Guidelines

2.3 The organisation has documentation (databases, finding aids, indexes, lists of holdings etc.) that enables it to locate and access material within the collection.	1	2	3	4	5
NOTES:					
2.4 The organisation can unambiguously identify all items in its collection. This means that each archival item has a unique identifier that is marked on the item itself and used in all cataloguing systems (guides, indexes, databases etc.), so that they can be referenced with confidence.	1	2	3	4	5
NOTES:					

Self Assessment Tool for Archives – Guidelines

3. Preservation and Disaster Recovery					
3.1 The organisation has an appropriate preservation plan for the long term conservation of its:					
➤ paper based records (inc. photographs)	1	2	3	4	5
➤ digital files	1	2	3	4	5
➤ material objects -furniture, clothing, plaques etc.	1	2	3	4	5
➤ audio visual material	1	2	3	4	5
NOTES:					

Self Assessment Tool for Archives – Guidelines

3.3 The organisation has identified and made copies of mission critical records, and has them stored in a different location from the originals for:					
➤ paper based records (inc. photographs)	1	2	3	4	5
➤ digital files	1	2	3	4	5
➤ material objects -furniture, clothing, plaques etc.	1	2	3	4	5
➤ audio visual material	1	2	3	4	5
NOTES: 					
4. Access and Interconnectability - specific metadata					
4.1 The organisation has information about its collection and its access policies available to the public.	1	2	3	4	5
NOTES: 					

Self Assessment Tool for Archives – Guidelines

4.2 The organisation has control over and access to (or copies of) all records and information related to the organisation’s essential operations and activities.	1	2	3	4	5
NOTES:					
4.3 The organisation can systematically identify information that is suitable for the public domain, and where access to personal and private information can be sensitively managed.	1	2	3	4	5
NOTES:					

Self Assessment Tool for Archives – Guidelines

<p>4.4 The organisation has an information management system that uniquely identifies in a persistent way all key entities - people, places, organisations, events etc. important to its history - that could be used internally as a means of linking materials, and linking to authority records in external places e.g. National Library of Australia.</p>	1	2	3	4	5
<p>NOTES:</p>					
<p>4.5 The organisation has implemented its archival documentation according to ISO standards ISAD(G) General International Standard Archival Description, and ISAAR(CPF): International Standard Archival Authority Record for Corporate Bodies, Persons, and Families. (If the organisation has referenced other standards/guidelines, what are they?)</p>	1	2	3	4	5
<p>NOTES:</p>					

Self Assessment Tool for Archives – Guidelines

NOTES