MANAGING PUBLIC SECTOR RECORDS

A Training Programme

Managing Archives: A Procedures Manual

INTERNATIONAL COUNCIL ON ARCHIVES

INTERNATIONAL RECORDS MANAGEMENT TRUST

MANAGING ARCHIVES: A PROCEDURES MANUAL

MANAGING PUBLIC SECTOR RECORDS

A STUDY PROGRAMME

General Editor, Michael Roper; Managing Editor, Laura Millar

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Printed in the United Kingdom.

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Version 1/1999

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The International Records Management Trust would like to acknowledge the support and assistance of the following:

Association of Records Managers and Administrators (ARMA International)
British Council
British High Commission Ghana
British High Commission Kenya
Caribbean Centre for Development Administration (CARICAD)
Canadian International Development Agency (CIDA)
Commonwealth Secretariat
Department for International Development (East Africa)
Department for International Development (UK)
DHL International (UK) Limited
Foreign and Commonwealth Office Human Rights Fund
Hays Information Management
International Council on Archives
Nuffield Foundation
Organisation of American States
Royal Bank of Scotland
United Nations Development Program

Managing Archives: A Procedures Manual

Prepared by Michael Cook and the staff of the International Records Management Trust.

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INTRODUCTION TO *MANAGING ARCHIVES: A PROCEDURES MANUAL*

Within governments, businesses or organisations, the archival institution is the vital administrative agency responsible for the permanent preservation of records of enduring value. When records are in active use, they are managed by record offices according to procedures laid down in *Managing Current Records: A Procedures Manual.* When records have been transferred from records offices to the records centre, they are managed by the records centre according to procedures described in *Managing Records Centres: A Procedures Manual.*

Managing Archives: A Procedures Manual defines the procedures for managing records after they have been transferred from the records centre to the archival institution for permanent preservation. The archives staff ensure records are received, processed according to archival standards, physically housed and protected and made available for public use.

The archival institution is a public facility and its staff provide all users with advice and help on the use of the holdings in the archival repository.

Terminology

In this manual, ‘records office’ is used to refer to registries or any unit that creates and maintains current files. ‘Records centre’ refers to the agency responsible for semi-current files. The terms ‘archival institution’ or ‘archival repository’ refer to the facility responsible for preserving records of enduring value. The term ‘archives’ with lower case ‘a’ is used to refer to the actual records housed in the archival repository.

The body that controls the archival institution, records centre and records offices is referred to as the ‘records administration.’ In some government or business situations, the archival institution may take on all record-keeping functions. ‘regional offices’ or ‘regional archival institutions’ refer to regionally or locally based archives units, managed by and working in conjunction with the headquarters archives office.

This manual refers to ‘records office,’ ‘records centre,’ and ‘records administration’ in a generic sense. Users should apply appropriate terminology, such as ‘National Archives,’ ‘Regional Records Centre,’ or ‘Corporate Records Administration.’ While some examples and instructions may refer to government processes, users should adapt this information to apply to business, organisational or private archival activities, as appropriate.

Within this manual, staff positions are referred to variously, depending on the context. Terms are used such as head of the records administration, director of the archival institution, department heads and so on. Where possible, generic terms have been used, and users of this manual should replace the terms provided with terms relevant to their own administrative structure.

In this manual, the following terms are used, in conformity with international standards.

- *Group* (sometimes referred to as *fonds*)**:** the primary division in the arrangement of archives at the level of the independent originating unit or agency. Also known as archives group.
- *Series* (sometimes referred to as class)**:** the level of arrangement of the files and other records of an agency or other institution or individual that brings together those that relate to the same function or activity or have some common form or have some other relationship arising from their creation, receipt or use. Also known as a file series or records series.
- *Item* (the unit of handling, such as a file or volume)**:** the basic unit of arrangement and description, normally bearing its own unique reference number. In the UK this is also called a piece.

The sections of this manual are as follows:

Introduction

Section 1: General Management

Section 2: Accessioning records into the Archives

Section 3: Organisation and Management of Storage Facilities

Section 4: Arrangement and Description of Archives

Section 5: Reference and Outreach Services

Section 6: Forms and Figures.

Note that all forms and figures are included at the end of the manual to facilitate review and copying.

SECTION 1

GENERAL MANAGEMENT

Within the records administration there is a clear management structure. The director of the archival institution reports to the head of the records administration. The director, together with department heads and regional office directors, form a management team.

The overall strategy for the archival institution is drawn up by the head of the records administration and director of the archival repository in consultation with the management team. It is then the duty of the director of the archival institution, with assistance from the heads of departments and regional archives, to develop the strategy into plans and programmes. These plans and programmes will then be converted into projects for departments, groups of staff or individual staff members.

National, regional and individual programmes should all be documented and agreed at the beginning of each new year.

All programmes, whether corporate and individual, should be monitored informally on a day-to-day basis; there should also be a formal monitoring process, with minuted meetings at least four times a year.

Regional office programmes should be monitored at quarterly meetings, including the director of the regional office and senior staff. Individual projects should also be monitored. All monitoring should be in accordance with government or corporate regulations.

Along with details of their individual projects, all members of staff should be given written job descriptions, showing clearly what duties they are expected to carry out.

TRAINING

All new members of staff in the archival institution must be given all necessary information concerning conditions of employment.

All new members of staff in the archival institution should be given training on:

- security
- handling of documents
- procedures
- the uniqueness and importance of the archives in their charge.

Procedures Manual

Managing Archives: A Procedures Manual could form the basis for the archival institution's own procedures manual. A member of the archives staff will be appointed editor of the manual. This officer (who may delegate specific tasks) will have custody of the master text. All changes in the text must be processed through him or her. He or she will control the management and distribution of the manual.

In order to facilitate changes, other master copies of the manual held by departments or in regional offices must be in loose-leaf form, and all pages should be dated. Updates or additions sent from the responsible staff member must also be dated.

Forms and Registers

Forms and registers must be approved by the management team before they can be issued. Their use and layout must be included in the institution's procedures manual.

One member of staff will be placed in charge of the numbering, design, layout and printing of all forms and registers approved for use in the archival institution. Directors of regional archival institutions must arrange with the responsible staff at headquarters to ensure they have an adequate supply of forms and registers.

Annual Reports

All departments and regional offices will supply reports for inclusion in the archival institution's annual report. There should be an annual cycle of submission dates for the development of the report. One member of staff will be responsible for communicating the submission dates at which material for the annual report is required and for providing models indicating the layout and presentation details.

Statistics and other data for reports will be compiled as required. Procedures for compiling statistics should be developed. Information may be compiled on data such as

- the quantity of archives accessioned by the archival institution (counted by box, archive groups, series or item as appropriate)
- the quantity of archives processed (again by number of boxes or groups or series numbers, as appropriate)
- the number of requests for information
- from government offices
- from in-person researchers

- from external researchers (by telephone, post or other communication).
- The number of reader's tickets issued and visits made
- the number of archival items produced for reference
- the number of copies certified
- the number of enquiries received and answered
- the number of items conserved and repaired.

Information may also be supplied on such matters as

- staffing
- training and staff development
- significant acquisitions
- finding aids and publications issued
- progress in the preservation plan
- outreach activities
- exhibitions
- important visitors/tours
- talks provided
- research by staff
- the number of items conserved and repaired.

SECTION 2

ACCESSIONING RECORDS INTO THE ARCHIVAL INSTITUTION

This section covers the process of transferring records to the custody of the archival institution, from their arrival until their final placement in the repository. Its aim is to ensure that records reach the institution and are processed in a way that is efficient and also ensures the safe-keeping of the records. The section does not cover accessioning of library material; such material will be dealt with separately.

Records may come to the archival institution from

- the records centre
- records offices
- non-government or non-corporate agencies
- private individuals.

Where the records come from may affect the way in which they have been prepared for transfer. In all cases it will be necessary to document

- what body or person has transferred the material to the archival institution
- exactly what has been transferred
- exactly what has been done to the material by the archival institution during the process of receiving and accessioning the material.

This information is needed so that the archival repository can account for its actions and can preserve information about the provenance of the material. Repository staff will be responsible for the safe custody of the records during their transfer and accessioning and for ensuring that all paperwork is accurate and up-to-date.

All records must be appraised before they are accepted into the archival institution. The appraisal of records transferred from the records centre is the responsibility of the records centre staff working under the direction of the records administration. The guidelines in the *Managing Records Centres: A Procedures Manual* should be followed. The appraisal of records transferred directly from creating agencies in government is the responsibility of the records office staff in consultation with Archives or records administration staff. The appraisal of non-government records is the responsibility of the archival institution or records administration.

Once accessioned into the archival facility, records become archives and are subject to the specific provisions of archives legislation or regulations.

ARRIVAL OF THE RECORDS

If the records are coming from the records centre or direct from a transferring agency's records office, the following preparatory work should be done by their staff prior to transfer:

- appraisal and selection for transfer according to the disposal schedule
- cleaning and tidying
- removal of ferrous metal pins, clips, staples, and so on (these will rust and damage the records and, if possible, should be replaced by plastic or a non-ferrous metal such as brass)
- labeling items with necessary identifying information
- boxing (if boxes are not available, material should be tied in orderly bundles with paper protection)
- listing, giving the name of the series, the original agency file numbers and titles and the covering dates (in cases of transfer within the organisation, the records centre transfer list will normally be used for this and can be annotated to show the series and pieces transferred)
- completing an accessions form (Figure 1).

In accordance with records centre procedures, the head of the records centre will send the summary list and accessions form to the archival institution in advance of the transfer. He or she will then arrange a convenient date and time for the records to be delivered.

If the records are coming directly from a records office, the same preparatory work will be done there by records office staff. A representative of the records office should liaise with the archival institution about the date and time of delivery.

Archives staff will be responsible for all procedures covering records coming from a non-government body or private individual. If records have not been prepared for transfer, staff must make sure that the physical preparation is done before the records are placed in their final home in the repository. This work includes appraisal, arrangement, boxing, labeling and listing.

As soon as the records arrive at the archival institution, staff will

- check the material for signs of insect infestation or mould and identify if they need treatment
- check that the records are properly labeled
- place them in a secure temporary storage area set aside for new accessions
- check the records against the accessions form and transfer list/summary list to make sure that the paperwork really does refer to these records and that all items which are supposed to have been included are there
- complete an accessions form if none has been prepared beforehand and obtain a

signature authorising the accession from a representative of the agency sending the records

- make an entry in the accessions register (Figure 2)
- acknowledge receipt of the accession so that the transferring agency has a record of the transfer.

It is important that staff enter information into the accessions register promptly, preferably on the same day the material is received but certainly within five working days, so that formal transfer of custody of the records is documented and any problems are identified immediately.

COMPLETING THE ACCESSIONS FORM

The accessions form is a formal document noting the transfer of custody of the records to the archival institution, in accordance with the provisions of the law or regulations of the organisation. Because the accessions form is signed by both sender and recipient, it is evidence of their agreement to this transfer of custody. The form itself must be kept securely and preserved permanently for eventual transfer as part of the archival institution's own archives.

On the back of the accessions form is a checklist of actions staff should undertake for that accession. All staff carrying out any of the actions listed will initial and date this checklist when an action is completed.

There should be an accessions form for each accession of records into the archival institution, whether the material comes from the records centre, from a records office or from another source. The accessions form should not be used for material to be added to the library.

If possible, the accessions form will be completed by the person sending the records to the archival institution. The form will accompany the records. Alternatively, the form may be sent beforehand to serve as advance notice that the records are coming. If the form has not been completed already, archives staff will complete it as soon as the records arrive. In such instances it will be necessary to obtain a signature on the form from someone authorised to transfer custody of the records.

A separate accessions form must be completed for each separate accession into each series of records.

Archives staff are responsible for seeing that records are allocated to the correct archive group, according to provenance. The full archival references (group code, series and file or item numbers) will be entered on the accessions form immediately. The organisation of the records into group, series, files or items will correspond to the organisation used in the original record system.

If the records arrive from an external source, archives staff will complete an accessions form for the whole consignment, giving enough information to identify the group and record its provenance. Archival references (group, series, files or items) will be added to the accessions form as soon as possible.

If the accession is an addition to an existing archive group and includes both a run of consecutive file/item numbers and other individual files or items, perhaps previously missing or retained by the ministry, they can all be put on the same accessions form as long as they are part of the same group and series.

File the original accessions form securely, marking off actions as they take place. Put a copy with the archives until they have been placed in their final location in the repository, to identify them.

When all action on an accession has been completed, a representative of the archival institution will sign the back of the original accessions form. Forms should be filed according to group and series number and within that by accession number.

The archival institution will send a copy of the completed accessions form to the agency responsible for the records or to the depositor of the records. When the final item list is available, a copy of that will also be sent, so that the creating agency has full details of all its records. Any more detailed lists or descriptions will be sent separately once they are completed.

COMPLETING THE ACCESSIONS REGISTER

The accessions register is a formal document that records the archival repository's acceptance of responsibility for the materials it documents. The accessions register also confirms the transfer of custody of the records to the archival institution.

The accessions register contains the following information, recorded in columns:

- accession number
- date received
- details of records (series number if known, title or description, covering dates, number of boxes or quantity)
- source/transferring agency or depositor (including original references if known)
- archival references
- remarks (including variations to the statutory (often 30 years) closed period, or other conditions affecting access)
- date action completed.

The accessions register will be labeled clearly and kept securely. It is an internal control tool for the archival institution and is not generally open to public inspection. When a register volume is full, it should be accessioned for permanent preservation as part of the institution's own archives.

Before making an entry in the accessions register, archives staff will check that the accession matches the information on the accessions form and any related lists and that the accession is complete. If any materials are missing and not accounted for by dummies, the archives staff will contact the transferring department or depositor immediately to clarify the situation.

All accessions will be entered in the accessions register, and there will be an entry to correspond to each accessions form.

A separate accession number should be allocated to each entry in the accessions register. This number is usually composed of a sequential number and the year, starting again at '1' each January. For example, 98/1 refers to the first accession in 1998, 98/2 the second, and so on.

The accession number will be written on the front of the accessions form when the accessions register entry has been made.

Assigning archives to appropriate groups and series is the responsibility of the archival institution. If the accession has come from the records centre or from a records office, the staff member responsible may be able to decide the appropriate series and file/item numbers before the records arrive. In that case the full archival reference (group, series and file/item numbers) can be entered in the accessions register. If the staff member has not yet assigned numbers when the records are received, he or she will enter sufficient details to identify the materials and add full archival references later. In these circumstances the accession number will be used as a temporary control number.

The 'action completed' column in the accessions register should not be signed off until all action on an accession has been completed, including assigning the archives to a series and distributing a final description of the records.

It is important to make an appropriate entry whenever an action on an accession has been completed, so that an accurate picture of outstanding work can be obtained at any time. It is easy to overlook outstanding work once the materials have been placed in the repository.

Once a month, a designated member of the archives staff will check the accessions register to monitor which accessions have work remaining on them and to plan completion of outstanding actions to an agreed deadline. No accession should have work outstanding for more than one year.

Follow these instructions to complete the accessions register.

26. Make a separate entry for each accession into each series.

27. Enter the following information into each column.

    Accession number: Enter the year, followed by the next available serial number, starting from 1 January each year, such as 98/1, 98/2 and so on.

    Date received: Enter the date on which the accession was received.

    Details of records received: If the series number and title are known, enter them. If not, give a brief title or description to identify the materials. Enter also the covering dates and the number of boxes or some other indication of quantity.

    Source/depositor: Enter the name of the creating agency responsible for the materials. If they have come from the records centre add '(RC)' after the ministry's name.

Archival references: Enter the final reference numbers given to the archives in the accession, including group, series and file/item numbers. They should be entered as soon as they are decided.

Remarks: Enter any details of access restrictions applying to the archives, or of items missing from the accession or retained at the time of transfer. Also include here any other notes that the archivist considers useful.

Initials of person receiving accession and date: Enter the initials of the archivist undertaking the work and the date the register was completed.

INITIAL ARRANGEMENT AND DESCRIPTION

Arrangement and description are described in more detail in Section 4 of this manual. The information provided here refers to the initial arrangement and description of accessions upon receipt in the archival repository.

When records are accessioned, archives staff will decide if they should be added to an existing series or if they represent a new series. If possible, this decision will be made before the records are transferred, so that the archival references can be written on the records and used to control them right from the start. However, this is not always possible, and staff may have to determine to which series the records belong after their arrival. The archival institution will maintain a group and series register (Figure 3) identifying all group and series it holds.

When an accession of records arrives belongs to a new series, the archival institution will allocate the next available series number within the group and enter this new number in the register.

If the archives belong to a new series, the item numbers will start at number ‘1’. If they are being added to an existing series, the first file/item in an accession should be allocated the next available file/item number. This number is obtained from the register, which is then updated to show the last item number. If there is any doubt as to the completeness of the list, the series itself should be checked, to prevent the same item numbers being allocated more than once.

For each series of records in the archival repository, there will be a list of the items it contains. This list serves both as an inventory of holdings and as a reference tool.

A summary list, giving the original agency file number and title and the covering dates of each item, will have been prepared by records centre or agency records office staff before transfer. This is normally prepared in the form of a records centre transfer list (see *Managing Records Centres: A Procedures Manual*).

If this summary list has been prepared, archives staff will do the following, as necessary:

- check the list to see if it serves as an adequate archival finding aid
- make any improvements

- add archival references to the list
- label the items with their archival reference
- add the archival references to the accessions form and accessions register.

If no summary list has been prepared by the transferring agency, archives staff will

- prepare the records physically
- list the materials
- label the items with their archival reference and covering dates
- add the 'closed until' label if necessary (this is described later)
- box the items and label the boxes
- add the archival references to the accessions form and accessions register.

Staff will arrange for the final list to be typed, proofread and corrected. The master copy will be kept securely, and copies will be made and distributed as follows:

- one to the search room, for public reference
- one to the agency last responsible for the records
- one as a working and reference copy.

Archives staff should update the archival series register and other finding aids as necessary. Finding aids are discussed in Section 4.

In exceptional circumstances, for example, if an accession is large and complex, it may not be possible to complete its arrangement and listing quickly. In that case, the accession should be boxed and labeled with the accession number and all other action on the accession should take place. However, the accession should not be marked off as completed in the accessions register. This will ensure that archives staff do not overlook the fact that work is still required.

STORAGE OF NEW ACCESSIONS

If the archives show signs of insect infestation or mould growth, staff will ensure that they are treated before being placed with other materials in the repository.

Information on physical protection is in Preserving Records.

All paper-based archives should if possible be boxed to protect them the usual causes of deterioration: water damage, light damage, pests and dirt. Boxes should be of sufficient quality and strength to withstand many years of use. They should conform to archival standards; that is

- they should be made of materials which will not deteriorate or harm the archives

- the board making up the boxes should be at least 1.5 mm thick and not too acidic, that is, with a pH value of between 5 and 8
- staples and fasteners should be plastic, brass or a non-ferrous metal that will not rust.

If it is not possible to box the archives, because they are of a size or shape unsuitable for boxing or because no boxes are available, the archives staff will need to pack the materials into bundles and provide an alternative protective covering. Usually this means wrapping them with good quality paper and securing the bundles with cotton tape. The bundles will be labeled with archival references in the same way that boxes are labeled so that the contents are clear.

All boxes and bundles must be labeled clearly to show the group, the series and the range of item numbers inside. Printed labels should be used if they are available; otherwise use a rubber stamp. Labels should be marked in clear black writing to an agreed layout.

Place maps and plans flat in chests if possible. If this is not possible, roll them inside a protective cardboard or cloth covering and secure with cotton tape.

Keep reels of microfilm or cine film on plastic spools, inside plastic or rustproof metal boxes.

Place photographs in acid-free albums, or in individual acid-free folders, and then in boxes.

Once the records have been cleaned, labeled, listed, boxed and checked, they are ready to be moved to storage in the repository area.

Storage by series is the usual arrangement of records in the archival institution. Under this arrangement, the whole of a series will be stored together, in numerical order of files and items, if possible. However, not all series in a group may be stored together as this would require the continual rearrangement of boxes.

In some cases, it may not be possible to store the whole of a series in one location. In such cases, the archives staff will separate the series and store them in more than one location. However, if an accession contains items missing from earlier accessions as well as a new block of item numbers, the items formerly missing should be inserted in their correct place in the sequence of item numbers and the dummies removed.

A designated member of staff will have responsibility for deciding where each accession should be stored, using the location register (Figure 4) and floor plans of the repository area.

Special storage arrangements will be made for archives to be closed for longer than the 30-year (or other statutory) period. A special label will be added to these materials to specify the year they will be open, using the wording ‘CLOSED UNTIL.’ An additional label should be fixed to the box or bundle to indicate that it contains materials to be closed for longer than the statutory period, and for how long. A sample label is included in Figure 5.

If the accession contains items that are particularly sensitive and require especially secure storage, these materials will be placed in a locked storage area. In order to find these materials later, the staff will either

- make a separate entry for the items in the location register

or

- insert dummies in place of the items, directing staff to them.

When the archives have been placed in storage, staff will enter their location in the location register. Staff will also update the repository floor plan, to indicate how much space is still available and where.

The floor plan will show the layout and whereabouts of each bay of shelving. When all shelves in a bay have been used, the staff member will mark the box for that bay with a cross (X). When some shelves in a bay are still empty he or she will mark the box with a half cross (/). To ease updating, he or she should use a pencil to make these marks.

When an accession is ready to be moved into storage, staff can use the floor plans to discover where there is sufficient free shelving. When the accession is placed on the shelves, or when archives are moved from one place to another, staff will need to update the floor plan.

Note that in the repository nearest the search room, some shelving should be reserved for overnight storage of archives that users wish to use again the next day. This reserved shelving should be marked on the floor plans as occupied. (See Figure 6 for a sample floor plan.)

Once the archives have been placed in storage and information about them entered in the location register, the substantive processing of the accession is complete.

The annual stocktaking process will help staff identify any problems, including defective boxes, labels and tapes.

COMPLETING THE LOCATION REGISTER

Follow these instructions to complete the location register:

1. Use a separate page for each archive group.
2. Make a separate entry for each series, arranged in numerical order.
3. Enter the locations in the following form:

   repository number/bay number/shelf letter

   for example: 3/598A is Repository 3, Bay 598, Shelf A

4. If the whole series is stored together in one continuous run of shelving, enter the series number and the location of the first and last items

   for example: RG 1/2 3/598A-E

5. If the series is split between more than one location, enter each location separately, giving the range of piece numbers at each

for example:	RG 1/2/1-72	3/598A-E
	RG 1/2/73-904	3/42A-62C.

Completing Action on an Accession

When all of the above action has been completed, an authorised member of staff will confirm completion and sign the back of the accessions form indicating that work is done. The accessions form will then be copied and a copy sent to the agency responsible for the records, such as the government ministry that transferred the records or private individual who donated the materials. The original accessions form will be filed in a binder by series and accession numbers.

Records Received From External Sources

When acquiring records from sources outside the government or corporation, archives staff will have to negotiate terms and conditions of acceptance of the materials. These terms and conditions should be set out on the accessions form or in a separate agreement signed by the depositor and the archival institution. The following points should be clarified:

- whether ownership of the materials remains with the depositor or is being transferred to the archival repository
- arrangements for appraisal, either before or after transfer, including who should make the final decision
- the disposition of materials not considered worthy of permanent preservation
- arrangements for and restrictions on public access to the archives
- arrangements for provision of copies to searchers, including ownership of copyright and authorisation of publication
- arrangements for the use, publication and copyright of finding aids
- whether or not the archives can be used in exhibitions or in other outreach projects at the discretion of the director of the archival institution.

The director of the archival institution should also consider the possibility of obtaining an agreement from the depositor that, in the event the materials are withdrawn by the depositor, some compensation will be provided to the institution for storage, conservation, description or production costs. In return, the director might wish to confirm a commitment to providing resources for that work.

Consignments from non-government sources will usually form a whole group, though a particular group may be received in more than one consignment.

There are two phases to the accession process when accessioning materials from external sources.

1. Identify the nature and whereabouts of the materials. This phase may involve initial planning, followed by some research and a programme of surveys. It concludes with visits to the site and the negotiation of conditions for the transfer.
2. Prepare the materials for transfer. This phase may involve arranging and describing the materials, cleaning them and carrying out physical preparation, boxing or packing.

Since the creator of the records may not have followed a formal records management programme, the archival institution may have to omit some or all of the preparatory procedures and make other arrangements to handle the records when they arrive.

ACCESSIONING COPIES OF ARCHIVES

Microfilm and other copies of original archives held by other repositories should be accessioned in the same way as originals. Archives staff will allocate appropriate numbers and list and describe the records in the institution's finding aids, clearly identifying them as copies.

Microfilm and other copies of original archives held by the archival institution itself need not be accessioned in the same way but will be entered in the register of copies of archives (Figure 7).

The register of copies of archives contains details of copies made of materials in each group of records. The following information is recorded:

- reference number of the originals
- item number
- type of copy (such as microfilm or photocopy) and number
- location.

The register of copies of archives should be labeled clearly and kept securely.

Completing the Register of Copies

Follow these instructions to complete the register of copies of archives.

1. Use a separate page for each record group.
2. Make a separate entry for each series (if the whole series has been copied) or each piece or range of consecutive items (if only part of the series has been copied).
3. Enter the details in the following columns:

- reference number of the originals
- item number (each reel of microfilm or other type of copy should be given a single running number in sequence)
- type of copy (such as microfilm, photographic negative) and number (if the copy is marked with a number)
- location in the repository.

SECTION 3

ORGANISATION AND MANAGEMENT OF STORAGE FACILITIES

The archival institution is accountable for its holdings and must be able to show that it has proper procedures in place for their storage and handling. Storage areas, often called repositories, must be organised and managed to ensure the safekeeping and good order of archives in the custody of the Archives. This section of the manual contains instructions for good management of the storage area(s) of the archival institution and for all activities relating to the storage and retrieval of archives from the storage repository.

Three absolute rules must be followed by all staff of the archival institution.

1. All storage areas must be secure. They must be kept locked at all times so that readers and other unauthorised people cannot gain access to them. Entry must be by key or pass, and the issue of keys or passes must be to authorised members of staff only and must be strictly controlled.
2. Once materials have been accessioned and placed in storage, they must be removed only in accordance with procedures in this manual. They should be out of storage for the shortest time possible.
3. There must be no smoking, eating or drinking in storage areas. Smoking is a fire hazard, while food and drink can damage the archives both directly and indirectly through the encouragement of rats and other pests.

The archival institution is also responsible for seeing that any general rules and requirements relating to health and safety are observed. Penalties should be implemented if staff do not follow established regulations.

The archival institution should also ensure an emergency plan is prepared and its contents made known to all staff. All staff should know where they are supposed to be and what they are supposed to do in the event of an emergency.

Emergency planning is outlined in Planning for Emergencies: A Procedures Manual *and in* Emergency Planning for Records and Archives Services.

PHYSICAL MAINTENANCE OF STORAGE AREAS

Storage areas must be kept in good order. The following actions will be taken according to an appropriate schedule.

- Floors will be swept once a week.
- All shelves and boxes, or other storage containers and all archives will be cleaned on a rolling programme.
- Nothing will be kept in the storage areas except the archives and the equipment needed for their storage and use. The repositories should not be used to store spare furniture, equipment or consumables.
- Proper equipment will be provided, including small tables, trolleys and ladders.
- Aisles will be kept clear at all times, for the safety of both staff and archives.
- The three absolute rules described above will be kept.

The shelving used to store archives will be non-combustible and non-deteriorating, ideally rust-proof metal. Preferably, it will be adjustable to accommodate boxes and bundles of a variety of different sizes and to allow maximum use of the shelf space available.

Staff will be trained in the techniques of lifting boxes and bundles, for health and safety reasons.

Because of the damage insects can cause to archives, storage areas should be treated with insecticide once a quarter. Accessions that show signs of insect infestation or mould must be treated before being placed in storage. However, this is best done under the guidance of professionals experienced with the use of such chemicals.

For more information on the physical protection of records, including information on the topics outlined below, see Emergency Planning for Records and Archives Services.

Temperature and Humidity Control

Staff will maintain a record of the temperature and humidity in the repositories and will identify when air conditioning equipment is not working properly. If possible, a 24-hour record of the temperature and humidity in each repository should be kept, using a thermohygrograph. If used, this equipment must be recalibrated each month by an agency or member of staff trained for that purpose.

If this is not possible, readings must be taken using mercury thermometers and manual hygrometers. A maximum-minimum thermometer may also be used. Readings should be taken in the morning and afternoon and recorded in a register which should be kept securely.

In repositories where paper-based archives are stored, the ideal is to ensure that the following conditions are maintained with no rapid changes or significant variations:

- temperature: within the range 16-20 degrees celsius
- relative humidity: within the range 55-65 percent.

This is important because temperature and relative humidity outside these ranges, and fluctuations in particular, lead to deterioration of the materials.

In repositories where microfilm, microfiche, photographs, sound tapes and film are stored, it is particularly important to avoid fluctuations of temperature and humidity because these types of archive are even more vulnerable than paper. In these instances, the temperature should be the same as for paper but ideally the relative humidity should be lower:

- silver halide (acetate) film: within the range 15-20 percent
- silver halide (polyester) film: within the range 30-40 percent
- diazo film: within the range 15-30 percent

At the very least the temperature and humidity should be within the range given for paper.

Lighting

Staff will ensure that lighting in the repositories is sufficient to enable the safe and accurate production and replacement of archives. Lights should be switched on when members of staff are taking materials in and out of the repositories and switched off when this work ends to avoid damage to the archives and unnecessary use of electricity.

Fire Protection

Staff will ensure that effective fire-fighting equipment is kept in the repositories at all times. This equipment must be inspected and tested annually. There will also be 'FIRE EXIT' signs placed at suitable points inside the repositories.

Arrangement and Labeling of Shelving

Staff must keep a record of the location of all materials in storage areas and identify which storage areas are free at any given time.

To do this, the terminology used for describing the units of shelving (bay, shelf) should be used consistently in order to avoid confusion. Archives will be arranged on the shelves according to an established order. A location register (see Figure 4) and repository floor plan (Figure 6) will be kept.

Bays and shelves will be clearly labeled with the repository and bay numbers, and shelf letter, e.g. 3/43A, 3/43B and so on. At each end of each row of bays, there should be a label showing the range of bay numbers there. All labels should be tamper-proof (ideally plastic-coated) and securely attached to the shelves. If labels will not stick owing to heat or humidity, information should be written directly on the boxes.

Map cabinets and their drawers will also be labeled using the same basic method: that is, a number for the cabinet and a letter for the drawer.

The general rule when placing archives on shelves is to move from top to bottom shelf by shelf and from left to right on each shelf. Begin at the left-hand side of the top shelf of the first left-hand bay (when facing the rows of shelving from the central aisle). Continue shelving to the right of the previous box until you reach the end of the shelf, then move to the shelf below and fill it from left to right. Continue in this way until the bottom shelf is reached. When it is full move to the next bay to the right and start shelving at the left-hand side of the top shelf. Continue in this way until the bays on the left-hand side have been filled, then move directly across to the facing bay on the next row and continue the process. Shelving according to an established pattern makes it easier and quicker to retrieve and replace materials. When placing archives on shelves make sure that the label can be seen. Procedures for storing records and maintaining location registers and floor plans are described in Section 2.

ANNUAL STOCKTAKING

In order to keep a check on misplaced or missing archives, and to ensure the adequate care of the archives in storage areas, staff will conduct an annual stocktaking of the storage shelves.

Before the annual stocktaking, efforts should be made to ensure the return of all outstanding materials held by archives staff and out on loan to transferring agencies. Any item still required by a member of staff will be inspected so that its whereabouts is confirmed. To ensure the stocktaking is up to date, a new entry for the item should be made in the production register (Figure 8) with a cross-reference between the new and the original entries. The two copies of the production form (see Figure 18) should be annotated with the new date of production. This process essentially ‘returns’ the item before the stocktaking and charges it out again under the next year’s record-keeping system.

Staff responsible for conservation in the archival institution will participate in the stocktaking exercise, to assess the physical condition of the archives. Information should be documented about whether materials require repair and how urgently. A sample stocktaking form is shown in Figure 9.

During the stocktaking process, staff will ensure the following points are checked.

- The location of each series should correspond to its entry in the location register.

- For each series, the number of items on the shelves should correspond to the number of items in the register of series.
- Items in need of repair should be identified; those requiring urgent attention should be identified as ‘unfit for public use until repaired’.

The following specific items should also be noted:

- signs of mould growth
- signs of insect infestation
- labels missing from shelves or boxes
- boxes that need to be replaced by new ones
- shelving or other equipment in need of repair or replacement.

Once the archives staff have noted any items requiring action by them, the stocktaking forms should then be passed to conservation staff to plan preservation tasks.

SECTION 4

ARRANGEMENT AND DESCRIPTION OF ARCHIVES

This section describes the way in which the archival institution arranges and describes the materials in its custody. The institution aims to follow the internationally accepted principles of respect for the provenance and original order of the materials and it aims to provide information about their content and context, thus documenting the holdings and providing information to users. The institution also follows standards and guidelines set out for international practice. In particular, it aims to produce descriptions that are compatible with the Standard International Archival Description: ISAD(G).

In order to provide contextual information, it is essential that the archives staff obtains a clear understanding of how and why the records were created before any arrangement and description is finalised.

The processes described in this section are often undertaken during the accessioning of archives and should be read in conjunction with Section 2.

LEVELS OF ARRANGEMENT

The archival institution divides its accessions of archives – the individual components of which are items -- into groups and series. These groups and series usually reflect the way in which the materials were created and kept while in active use. Within the series are the actual items referred to, such as the file or volume.

Group

The archive 'group' is the name given to the whole archive produced by a single identifiable organisation. (The term 'fonds' is also used to refer to the whole body of records of one agency or individual; the word 'group' is used in these study materials.) In terms of government records, the group is interpreted to mean the whole body of archives produced by a ministry or other distinct body, and to include bodies that are subordinate to it. For example, all of the archives of the supreme court form a group, as do the archives of a district administration, of the regional education office, and of the ministry of justice. In terms of non-government archives, the whole body of archives produced by a single organisation or by an individual statesman or public figure is managed as an archive group.

Subgroups may exist within a group when the originating organisation of the group had distinctive functional subdivisions, each creating its own body of records. In general, however, if functional subdivisions of the main organisation are more independent than subordinate, their archives should be treated as a distinct group.

More information on subgroups is provided in Managing Archives.

Series

'Series' is the name given to the whole body of records or archives produced by, and used in, a single recording system. Generally, series represent a function exercised by the creating agency, and usually all the archives in a series conform to a single record type. Archivists seek to preserve or restore the manner in which the records were arranged within the body which created them. This means that files in a registered series will be kept together, as will be any other set of materials which share common features of function or system.

How homogeneous a series will be usually depends on the size of the creating body and the quantity of its archives, as well as the way in which it kept them. So, for example, if a ministry had several large and distinct categories of registered files, each dealing with a particular function or activity of the ministry, each should be treated as a separate series. A large court might have kept sets of case papers, various registers, judgement books, order books, and so on. Each would fall naturally into a separate series. A small court, on the other hand, might not have kept separate records in this way, or very few records might have been selected for permanent preservation. In that case, it might be more practical to place all the archives of a small court in one series.

The series should be given a title, which provides a brief indication of what archives are in the series. The series title is relied on by researchers and staff when deciding whether to look at the detailed list of the series' contents for information or for a particular item. For example, the Judgement Books series in the Supreme Court group would be called 'Judgement Books'. The Supreme Court's Order Books would be called 'Order Books.' Coupled with the group name, the series title provides information on who created the records and what is in the series.

Sometimes there will be a need to recognise an intermediate level between the series and item, called the sub-series. As far as possible these intermediate levels should be reflected in the description and listing of the archives, rather than in the archival references assigned to them.

Items

While the term 'item' suggests an individual document, the word is used here to refer to units of handling, such as a file or register or map. Individual documents may sometimes be treated as the unit of handling (and therefore of description), but in most practical circumstances an item will be a file containing documents, or a volume containing pages. Therefore, whereas other modules and manuals discussing the care of current records would have referred to the management of files, this manual and the *Managing Archives* module considers files to be specific units of handling, referred to as items.

ARRANGING ARCHIVES WITHIN SERIES

The arrangement of archives within a series will depend on the nature of the series. Ideally, the archives are usually arranged just as they were kept when in active use in the creating agency, but this is not always possible. An arrangement may have to be imposed in some situations, such as when the majority of records have not been selected for preservation or when no previous arrangement can be discerned. Before any arrangement is decided, it is essential to understand clearly the legislative, administrative and historical background of the records.

There are six main types of arrangement.

Numerical order is the numerical or alphanumerical order of the original registry system or other numbering system used for the records when they were active. It is the most common order and should always be considered first. If items do not fall into a numerical order then some other suitable arrangement should be devised, one that reflects the reason they were selected, or the way in which they are most likely to be researched.

Chronological order is the date order of the items, arranging by year, month, or even day if relevant.

Alphabetical order is often used for archives based on places or geographical divisions, such as of regions, or, on names, such as of people. It is used also for series that have no discernible numerical or other order and that contain a wide range of subjects. It is especially useful if there can be a further breakdown of the subjects into smaller categories, such as agriculture, which can be divided into buildings, crops, labour, livestock, and so on.

Hierarchical order is the normal method of arrangement when a series consists of archives of a body with a clearly defined structure reflecting levels of importance or activity.

Geographical order is used for series of archives originally organised according to their geographical location, such as land records.

Record type order tends to be used with artificial collections: that is, records brought together for a collecting or subject purpose and that were never used together in an administrative structure during their active life. This type of arrangement organises material into record types, formats or media, such as incoming correspondence, outgoing letters, photographs and reports. This arrangement should be regarded as a last resort, chosen only when no other type of arrangement is evident.

Staff will select the type of arrangement that seems most suitable for the series. If necessary, they will combine more than one of the types. For example, archives may be arranged alphabetically then again chronologically.

When deciding on the arrangement of a series, staff need to think about whether further accessions are likely in the future. Subsequent accessions can cause confusion or mean a series loses its structure. If problems in arrangement are expected then it may be better to define the series more narrowly.

Once archives have been arranged into a series, it is bad practice to move them and give them a new archival reference. This should be done only when it is absolutely necessary to correct past mistakes in arrangement. Steps should be taken to ensure that searchers who knew of the former archival reference can be led to the new reference. This can be done by providing a cross-reference from the old entry in the series list to the new

ASSIGNING REFERENCE CODES

The archival institution should develop an archival reference code system to allow control over and easy identification and retrieval of the materials it holds. The archival reference code is the combination of letters and numbers allocated to groups, series and items in order to identify and control the materials. Each of the levels of arrangement is represented by an element of the archival reference code. Archival references should be kept as simple as possible, normally to three elements: group, series and item. The full archival reference of a file unit is made up of the group code, series number and item number. Together they provide a unique code for each archive. For example ARG 6/1 is the first file unit within series 6 of the group ARG.

Codes for the Group

The group is assigned a letter code representing the body that created the records. For example, SCT is the letter code for the whole archive of the supreme court. If the group were to be made up of subgroups, each subgroup would be numbered SCT 1, SCT 2 and so on.

When selecting letter codes, it can be useful to make the codes meaningful, such as by choosing letters from the name: Supreme CourT = SCT. However, there is a danger to making codes meaningful; if two agencies are similar in name the codes could become confused: it is important not to strive so hard to make the codes meaningful that confusion arises. The Policy and Regulations Department could be PRD, but so could the Public Relations Department. It is best to use codes that might be more familiar to users, such as POL for the Policy and Regulations Department and PR for Public

Relations Department.

It is also important not to reuse codes for other names if the original code is no longer needed. For example, if the Public Relations Department is renamed the Outreach Department, the code for that department might change from PR to OUT. The code PR should not now be used for the Policy and Regulations Department. To do so would confuse users and would also cause confusion about older records from the Public Relations Department, which should still be identified as PR.

Codes for the Series

Each series within a group should be allocated a number. For example, the series number of Supreme Court, Judgement Books is SCT 6, and of Order Books is SCT 7. Numbers are allocated as needed, using the next available number in the sequence.

Codes for the Item

Within each series, each item (that is, each file, volume or other unit of handling) will be allocated a number, using the next available number in sequence. For example SCT 6/1 is the first file unit within series 6 of the group SCT.

REGISTER OF SERIES

The register of series is the master record indicating the group, series and item numbers that have been allocated. Archives staff will maintain this register; ideally, the head of the repository is responsible. The register should be kept in the repository office. A sample register is shown in Figure 3. The register is maintained in group code order, and within groups in series number order.

As well as providing a master record of group and series, the register of series is used to record the last file unit number allocated within each series. This means that it serves as a source of information on the next available file unit number.

The register is used also to record the quantity of the series: that is, the length of shelving or number of boxes the series occupies. This is valuable information when planning storage.

When a new series is ready to be accessioned, archives staff will allocate the next available number and enter the details in the register of series. These details are

- group code
- group description (a brief statement of who created the records in the group)
- series number

- series title (a brief statement of whose and what the archives are).

When archives are added to a series, the register should be updated with the last item number used and the quantity (length of shelving occupied or number of boxes). It is important that archives staff update the register of series whenever new groups, series and item numbers have been allocated so that the register remains a reliable source.

If a series predates the use of the register, an entry should be made for the series when some action is to be taken on it, such as accessioning items into it. The covering dates and last file unit number should be obtained from the file unit list or from the materials themselves.

Follow these instructions to complete the register of series.

1. Start a new page for each group.
2. Make a separate entry for each series.
3. When the group code is first allocated, enter the following information at the top of the first page for the group:

- group code (letters or letters and number if there are subgroups)
- group description (a brief statement of who created the archives).

4. When the series number is first allocated enter the following information for the series:

- series number
- series title (a brief statement of whose and what the archives are).

5. When archives are accessioned into the series, add the following information for the series:

- last item number
- quantity (linear metres of shelving used or number of boxes).

6. Whenever items are added to a series, update the LAST ITEM NUMBER and QUANTITY.

CREATING A GUIDE TO THE ARCHIVES

The guide is the overall finding aid to the holdings of the archival institution. The guide provides information about archival materials at the group and series level. Information at the file or item level is provided by the file/item lists. The arrangement of descriptions should be compatible with international description standards. Guides commonly include an administrative history for the organisation; series lists and an index.

The guide should be arranged in parts according to constituent parts of the archival institution. At headquarters and within each region the records of each group should be described, preferably in alphanumerical order: ADM 1 - 999, CSO 1 – 999, SCT 1 – 999 and so on.

Each regional office is responsible for keeping its part of the guide up to date.

Before describing the archives of a group, or a range of series within a group, the guide should outline the administrative history of the organisation, its major constituent bodies and its predecessors that together created the records. The functions and activities that resulted in the records must also be explained. Any relevant legislation should be cited, and any administrative and organisational changes should also be mentioned, with their dates. Anything significant in the history of the records should be noted, including names of persons and places and covering dates, where appropriate.

If further information can be found in other sources, such as published books, articles or theses, these should be mentioned. Administrative histories and contextual information are included to help readers understand the significance of the archives. Anything relevant to an understanding of the archives and their content and arrangement should be included.

For example:

> The records of the Ministry of Agriculture were kept in the registry at Circle House until 1958, when they were severely damaged by a fire. Those that survived, about 40 percent, were transferred to the National Archives later that year. They were put in series ADM 4 - 6.

If different groups within the archival institution have a common provenance, this should be mentioned.

Any relevant information specific to a particular series should be put with the series description. This information might include the internal arrangement of the records and reference to any directly related series.

After the administrative history is completed, staff will compile descriptions for each series. This should be done briefly when the series is first received and more fully after the series has been listed. Series descriptions should be made using the standard series description form (included in Figure 10). Each series description should contain

- group name
- group description
- group code
- series number
- series title
- first date and last date
- number of items
- physical character
- description of the documents, including the subject(s) and function
- the provenance of the series, if not covered in the group administrative history
- availability of item list

- availability of index or other finding aids
- availability of the archives, that is, any special conditions of access such as extended closure.

If a series has been accessioned into the archival institution but has not been fully listed, it is still helpful for searchers to know about its existence. As many of the details as are known should be included, even if the series is not yet available for consultation.

Where series have been divided into sub-series, a further breakdown will be needed to show the contents and covering dates of each sub-series.

Several copies of the guide should be available in the following areas:

- two copies at least in the reference area: one for research use and one for staff use
- in the editorial area, for future revisions
- in the storage area
- in each regional office
- with the director of the archival institution.

Other copies should be distributed to interested parties.

Regional offices should send copies of their parts of the guide to other sub-regional offices, wherever possible, to ensure full information about archives is shared throughout the system.

The guide must be kept up to date. When series are received, and when item lists are completed, a member of staff should be responsible for compiling entries and copying these for the various sets of the guide. Heads of regional offices are responsible for ensuring that the copies in their possession are also kept current, incorporating amendments and additions sent to them by headquarters.

It is best to keep the master copy of the guide, whether typed or word-processed, in loose-leaf binders or folders so that information can be added easily. If the guide has been published, the working copies that need to be kept current should be unbound and then pasted onto pages in the loose-leaf folders. This will allow regular updates more easily.

LISTING FILES/ITEMS

The purposes of a file/item list are to

- locate records
- identify provenance
- describe the content of files/items
- identify related materials

- describe the physical condition of archives
- explain conditions of access.

The following basic mandatory rules apply to all file/item lists.

- The group and series reference must appear at the head of each page of the list. Items in a series must not be confused with items in another series.
- Each item must be identified by its own unique reference number.
- The nature and contents of each item should be made clear.
- Information about each item should be clearly separated from information about the items before and after it.
- The following elements of information are required:
- item number
- date range
- title and content description
- former reference.

Each of these elements should be placed in separate columns, each clearly distinguished from the ones on either side. The same basic layout should be used for all lists, to facilitate their efficient use by researchers. It is essential that lists conform to established standards and formats, to ensure clarity for users.

Lists should contain concise, accurate, informative summaries of the content of each file unit or item. Accuracy is more important than brevity. If a transfer list already exists, this must be carefully checked, edited and expanded as necessary.

The contents of a file can be quite different from its title. Original file titles may be used as descriptions, but staff preparing lists should not use them without reviewing them first to ensure their accuracy and clarity. Staff should establish the actual subjects dealt with in a file and write a description to reflect these. The list description should include all the words necessary to the understanding of the material, including prepositions and verbs.

The use of keywords at the start of a description can be helpful, provided that stilted language is avoided. It is important that staff use clear, unambiguous, and non-technical and non-specialist language as much as possible.

The names of people, corporate bodies (such as committees or departments), offices of state, acts and publications should be cited in the correct official form. Standardisation of place names should be agreed. Write the initial letter of the names of people, corporate bodies, offices of state and acts in upper case. Policies about the use of upper and lower case in other instances should be drawn up so that consistency can be achieved. Titles of publications included in descriptions should be underlined or in italic.

If names are abbreviated, they should be written in full the first time together with the abbreviation in brackets. If an item list is long and contains several abbreviations, it may be more helpful to include a list of abbreviations at the beginning.

Write the list in item number order. If another order would be more convenient for searchers, then consider providing this information in an index.

Produce item lists on standard listing forms and use one side only. A sample is shown in Figure 11. For word-processed lists, use an agreed template.

The beginning of each list should give the series reference, the series title and, if appropriate, the accession number. Accession numbers may be useful if a further addition is made to the series. The accession numbers of the additions should be given.

Where lists have more than one page, the series reference should appear in the top right hand corner on all continuation pages.

If several items have the same description, it is usually best to repeat it. Using ‘ditto’ or leaving a blank space for the description may cause complications if the lists are computerised in the future. If numerous items have the same description or share a descriptive element, consideration should be given to creating a sub-series for the items with the common characteristics.

Add additional information about an item, such as extended closure, on a new line after the item description, in brackets. Other information, such as the inclusion of maps and photographs or the physical condition of the item, should be put in the same place.

The master set of lists must be kept secure. Any alterations or additions to lists should be approved by assigned staff before being included. When an alteration or addition is made to a list, the responsible staff member will arrange for copies to be made from the master and will file these in the sets in the office, making sure that any superseded pages are removed. Four copies of each list should be made for:

- researcher use
- use of staff in the reference area
- editorial control
- storage staff use
- use by the agency that created or transferred the series.

Regional offices should send one copy of each list they create to the archival headquarters for reference purposes.

INDEXING

Many readers arrive at the archival institution not knowing which groups or series may contain information that they seek. They often rely on staff to point them to the appropriate finding aids.

An index is a vital tool in pointing readers to the relevant series of archives. With a good index to the finding aids, readers are able to make quick and accurate searches, saving researchers and staff considerable time.

The archival institution may wish to create an index to the item level. In this way, interesting individual items can be drawn to a reader's attention straight away. The index should be selective, but it could be compiled series by series, with individual members of staff working to agreed guidelines.

In order to be effective, an index needs to be internally consistent. Staff must conform to rules and guidelines established by the archival institution.

The index should be made up of four elements:

- headings
- sub-headings
- archival references
- 'see' and 'see also' references

Headings may consist of terms representing

- corporate names (government departments, courts, commissions, businesses)
- personal names (names of ministers, chiefs, business people, missionaries)
- place names (countries, towns, regions, areas)
- subjects/functions (schools and colleges, trade, inquests, land grants)
- record type (accounts, maps and plans)
- generic information (record group).

Standard spelling and style must be used for headings. The staff member in charge of indexing should draw up a thesaurus, which all indexers must follow. If possible, use established reference works.

Sub-headings are terms that qualify the main heading by focusing on a particular aspect of it. The staff member in charge of the index should devise rules to make clear which terms should be used as sub-headings of headings and which terms should be headings in their own right.

Sub-headings are arranged in alphabetical order under their headings.

Keep 'see' and 'see also' references to a minimum as they can cause great frustration to those using an index.

- 'See' references indicate preferred terms (Cows. <u>See</u> Cattle).
- 'See also' references indicate associated terms (Gold Coast. <u>See also</u> Ghana).

Both 'see' and 'see also' references may refer to broader terms or narrower terms.

- Farming. *See* agriculture (broader term), field drainage (narrower term).
- Farming. *See also* population settlement (broader term), chemical spray (narrower term).

Index entries can refer either to the text of the guide or to items or documents mentioned in the lists. The distinction between these must be made clear to users. If the index is on cards, write entries on differently coloured index cards.

The index to the holdings of the archival institution should be kept in the search room. If it is on cards, then the cards should be held in a card drawer secured with a rod. Index cards should only be removed from the drawer by authorised staff. A sample index card is shown in Figure 12.

MAINTAINING A REFERENCE LIBRARY

The archival institution may wish to develop a reference library. This library would be for the use of staff, to support them in their professional duties; and for the use of readers, to aid them while researching in the institution.

Books acquired for the library should not be accessioned as if they were archives. Rather, they should be entered into a separate library accessions register. This register should record the author's name, the title, the publisher, the place of publication, the date of publication and any relevant classification or shelf location reference information.

A simple classification system should be devised to suit existing collections. This system should be easy to maintain for a non-professional librarian. It may be helpful to obtain professional library advice in setting this up. A catalogue in card index or database form may be kept. Books should be catalogued by author, title and subject.

Frequently used books should be bought in multiple copies. One copy will be made available in the search room.

The library catalogue should be made available for consultation in the search room. If produced on cards, these should be secured by a rod through the card drawer.

Books acquired as part of an archive should also be included in the library catalogue with their archival reference, but in this case the books themselves will not be kept with the library.

Books in the library should not be removed from the Archives. Those in use by readers should not be removed from the search room.

Staff borrowing books from the library should complete a production form (see Section 5). These should be given to the staff member retrieving the book, who will put the top copy in place of the book and keep the duplicate as a record of who has borrowed what.

SECTION 5

REFERENCE AND OUTREACH SERVICES

The reference section of the archival institution, often referred to as the search department, is the contact point for members of the public and government or corporate officials who wish to find out about the holdings of the archival institution. People may communicate with the institution by letter or fax, by telephone or in person. Increasingly in some countries, electronic mail is also used as a means to provide reference services.

The standing and reputation of the archival institution will, to a very great extent, be formed by the service provided to researchers (also called users, searchers, or readers). Reference staff should therefore ensure that they reply to correspondence accurately and promptly, that replies to telephone enquiries are polite and well informed, and that any visitors to the archival institution feel welcome, receive good advice and courteous and speedy service and are able to work in quiet and pleasant surroundings.

While satisfying the legitimate needs of researchers as much as possible, reference staff should always remember that the safety of the documents remains their paramount duty. Documents are especially vulnerable when they are in the search room and being handled by people who are not trained to handle them. They must therefore be prepared to enforce the reference rules, even if this means refusing access to certain archives or correcting the behaviour of readers.

As well as protecting the archives by correct handling, strict enforcement of the rules can help to deter potential criminal action. Sloppy enforcement has the opposite effect: some researchers will continue to handle documents inappropriately and there will be reduced protection against damage and theft. It is important therefore that the archival institution has a strict, clear, legally enforceable, and consistent policy over the enforcement of its reference rules.

MANAGING THE REFERENCE AREA

When readers arrive at the archival institution they should find clear signs directing them to the reference area, often called the search room. This not only puts them at their ease but also helps prevent their straying into ‘staff only’ areas.

The search room should look as follows.

- The door should be clearly labeled.

- Opening times should be shown on or near the door, and there should be an indication that searchers should enter without knocking.
- The room should be clean and tidy.
- Furniture should be arranged so that desks for readers can be supervised from a single point, if necessary with the aid of mirrors.
- Staff should have clearly allocated places to sit which face the readers. It is helpful if they are marked with labels such as ‘Search Room Officer on Duty’ or ‘Enquiries’.
- Only immediately necessary items of furniture and equipment should be in the search room. Supervision is much easier when the room is as bare as possible.
- The location of lists and finding aids, including reference books, should be clearly marked.
- Documents should not be left on desks overnight.
- Places where document orders are placed and where documents are returned should be clearly marked.

During opening hours, it is the duty of reference staff to see that the following steps are taken.

- The search room should be adequately staffed at all times. This involves monitoring staff leave, study leave and so on and making contingency plans if staff are sick.
- There should always be a member of staff on duty during opening hours. If there is only a single member of staff available and he or she has to leave the room, he or she should get emergency relief from another department before leaving.
- Staff should ensure all readers are familiar with reference rules and procedures.
- Staff should keep papers that should not be seen by readers out of the reference area whenever possible. If these documents are needed in the search room, they should be kept in locked drawers or cabinets.
- Staff should check regularly to see that finding aids are in good condition and do not have missing pages. At the end of each day, one member of staff should be responsible for seeing that the finding aids are in correct order and stored tidily.

ATTENDANCE REGISTER

It is the responsibility of the staff member responsible for the reference area on a particular day to display the daily attendance register prominently and keep it open. This register should record

- the date
- the running number of visits per year
- the searcher's ticket number
- the name and signature of the searcher
- the searcher's telephone number and contact address.

The register should be laid out with the correct columns. As all searchers are to have tickets, there is no need for them to give their permanent addresses each day in the attendance register.

All members of staff have a duty to see that everyone who visits the search room signs the attendance register every day. At the same time, they should check readers' tickets to see that they are valid and that the correct number has been entered in the register.

A new attendance register should be prepared to replace the current one when it is nearing completion.

Completed registers should be stored safely until their agreed disposal time.

A sample attendance register page is included in Figure 13.

REFERENCE RULES

It is the responsibility of all staff to see that reference rules are obeyed.

The reference rules should be prominently displayed in the search room, and on each desk. All researchers should be given a copy of the rules when they apply for a reader's ticket. Staff must ensure that all readers have read and understood the rules.

Staff on duty in the search room should ensure that the rules are observed; this requires careful observance of readers. Staff should advise readers immediately if they infringe the rules. This requirement to apply rules must apply to all staff, regardless of their grade or position in the archival institution.

Staff should periodically walk down the aisles between desks for closer invigilation. This active supervision shows the readers that staff are diligent in their enforcement of the rules. The head of the reference area should make regular checks in the search room to ensure staff are enforcing the rules.

Staff should report serious or persistent breaking of the rules to their superior, who may, if necessary, have to explain to readers the consequences of non-compliance. Junior staff must be supported by senior staff when they have to enforce the rules.

In the most serious cases of infringement, a reader's ticket may have to be cancelled and a reader banned from the search room. In such instances, the head of the reference area must consult the director of the archival institution. The director will have a consistent policy about what constitutes a serious infringement and for what actions readers will be banned from the search room. Readers so banned will be informed in writing by the director.

A file of banned persons should be kept in the search department and consulted by those checking reader applications.

The director will have to take legal advice before changing any rules. It is especially important to seek advice, before facing any actual incident, about the banning of readers and the possibility of taking legal action against readers who are found stealing or defacing documents.

A copy of model reference rules is included in Figure 14.

READER APPLICATIONS AND TICKETS

All searchers must have a reader's ticket, regardless of the length of the period of their research or its subject. Staff should also have reader's tickets, but they do not need to complete an application form. Applications for reader's tickets should be made using the application form (Figure 15).

Potential readers who write to the archival institution should be sent a copy of the application form, a copy of the reference rules and information about the institution.

When staff are satisfied that an application form has been completed satisfactorily and the reader has produced proof of identity, they can then issue a reader's ticket. These are usually valid for two years and may be renewed for a further two years only. After this period, a new reader's ticket should be applied for.

Reader's tickets should be printed on durable card, showing the researcher's name, number (consisting of the year and an annual serial number, such as. 95/5), date of issue and date of expiry. Details may be completed by hand, or typed. A sample card is included in Figure 16.

The issue of tickets must be entered in the reader's ticket register (Figure 17), noting the number, name, permanent address, date of issue and date of expiry. If the reader's ticket is a renewal, then a cross-reference should be put in to the original issue.

Reader's tickets are not valid until they have been signed by the reader on the reverse. Before signing them, staff must make sure that readers have read and understood the reference rules.

If, after two years, readers wish to renew their tickets, they should return them, together with a new application form if their permanent address or subject of research has altered. The new ticket will be issued with an 'R' following the new number to show it is a renewed ticket: 97/8R.

Reader's tickets should be renewed only once before a new form must be completed.

If a reader loses his or her ticket, a new one may be issued upon provision of proof of identity. Staff should check the reader's ticket register or the original application form before issuing a duplicate ticket. This should be noted in the register. The duplicate ticket should have a 'D' after the number, e.g., 95/5D.

The original application forms should be filed and kept for the time designated on the archival institution's own disposal schedule.

ORDERING AND PRODUCING DOCUMENTS

In order to ensure that archives are not lost as a result of being removed from the repositories, strict control of the process of removal and replacement is needed, including the use of production forms and a production register. It is important that the chances of the archives being misplaced, lost or stolen is minimised because the archival institution is answerable for the safekeeping of materials in its custody.

All documents must be ordered, whether by staff or by readers who are members of the public, using production forms (Figure 18). The production register is an important source of information on which archives have been produced for which readers or members of staff, and on what date, and which archives have not been returned to the repositories. This document should be stored securely and should be clearly labeled and easily found by staff.

Readers who do not yet have a reader's ticket may consult the finding aids but are not allowed to order documents.

No more than three items may be out to a reader at a time. However, items can be ordered for a future day.

Staff must check the details on the production form to see whether the archival reference number seems correct before handing the ticket to the appropriate staff for retrieval. They should be sure that the reader has entered a valid ticket number.

Production of Archives

When a reader (a member of the public or government or corporate staff) wants material produced, he or she must complete a production form. The readers should fill in his or her name, reader's ticket number, the date of ordering and details of the item ordered. He or she should then hand the ticket to the member of staff on duty, who should initial it.

A separate production form must be completed for each item. The production form should include an automatic duplicate.

Production of archives from the repositories is the responsibility of staff in the storage area. They should take the following action when they receive a production form.

- Consult the location register to find out where the document is stored.
- Write the location on the bottom copy only of the production form .
- Find the material.
- Before removing the item, check that it is all right to produce it. Check the covering dates written on it, and any red label attached to it, to make sure it is not still restricted in any way.
- Remove the item, putting in its place the carbon copy of the production form, which should be attached to the shelf by a clip so that it can be seen.
- Enter details of the production in the production register (for instructions on completing the production register, see below).
- Pass the material on to staff in the reference area, together with the top copy of the production form, to bring to the researcher.

Once the item reaches the search room, it becomes the responsibility of the search room department. The staff member on duty passes the material to the reader but retains the production form. This is filed in archival reference order and serves as a quick source of information on which items are in the search room or out to archives staff at any given time.

When documents are delivered to the search room with the top copy of the production form, reference staff should check that

- the document matches the ticket
- it is over 30 years old or otherwise open for inspection
- it is physically fit to be consulted.

A document with an 'Unfit for Production Label' should never be passed to a reader. If the item cannot be made available, explain this to the reader and see that the material is returned to the repository.

The production form must not be made accessible to the reader, because the storage location of the item has been written on it. For security reasons, readers should not know where documents are stored.

If documents are fragile, bulky, or otherwise give cause for concern, decide whether they should be issued one at a time or not at all. It is the duty of all staff to see that documents that may be at risk are properly protected. If necessary, seek the advice of preservation staff.

Returning Documents to Storage

Readers should return items to the officer on duty as soon as they have finished reading them. All items should be returned the same day except if they have been released to creating or transferring agencies. Returned items must always be put away immediately and not left for replacement later.

The staff member on duty should check the items to see that they have not been damaged or placed out of order. After checking, he or she will place the production form with the item and put it on the 'Returns' trolley or shelf to await collection by staff responsible for reshelving documents.

If readers wish to consult an item at a later time, such as the following day or a day later in the same week, they may complete a document 'reservation' form (Figure 19).

If the item is to be kept out overnight, leave the top copy of the production form in the search room and put the document 'reservation' form with the item on the trolley or shelf. The trolley is passed to staff in the storage areas at the end of the day. The item will be stored in a special place in the repository and reissued on the appropriate day.

No overnight reservations should be accepted on a Friday or on any day just before a holiday. Repository staff will clear any outstanding items on that day so that no production forms will be left pending in the search room.

When a searcher has finished using an item he or she returns it to the staff member on duty in the reference area, who reunites the record with the top copy of the production form and passes both to repository staff.

Repository staff then

- replace the item in the repositories, removing the carbon copy of the production form to reunite it with the top copy
- enter the date of return in the production register
- return the top copy of the production form to the search room and file the carbon copy in order of the archival reference of the documents.

Production registers and production forms should be preserved for as long as is required by the relevant retention schedule.

Completing the Production Register

Follow these instructions to complete the production register. Note that the production register columns occupy both the right and left hand pages of the register when opened. Which column appears on the left hand page and which on the right are set out below:

1. Make a separate entry for each document produced

Left-hand Page

2. Enter the following information into each column.

   Date of production: the date the record was removed from the repository, such as 17/1/1995

   Production serial number: the year followed by the next available serial number, starting from 1 January each year, such as 95/1, 95/2 and so on.

Archival reference: the archival group, series and item number of the record removed from the repository, such as ADM 2/3/22

Right-hand Page

Repository location: the repository location number of the item, such as 7/A/6

Reader's ticket number: as written on the production form, such as 94/5.

Initial of staff member: the name or initials of the staff member removing the item.

Date of return: the date the material was returned to its location in the repository:

MANAGING RESTRICTED ARCHIVES

In many countries, public archives are closed to the public for 30 years after creation, after which they are opened for public use. In practical terms, this means that a record is opened the 31st year after its creation. For example, a file with covering dates of 1969-1974 will be open in 2005 but not before. Access to non-government records, either in government or corporate archival institutions, usually does not have such time limitations, unless imposed by the creating agency. In many countries in recent years, access to information legislation has ended the 30-year rule, requiring that certain public records be made publicly available as soon as they are created, with certain conditions.

Archives staff must ensure archives are not made available to the public until they reach their due date. To prevent the release of closed archives, staff will arrange for a notice to be posted inside the door of each repository showing the latest year available to the public at any given time. So, for example, during the year 2000, the notice would read 'ARCHIVES UP TO AND INCLUDING THE YEAR 1969 MAY BE PRODUCED FOR READERS'. On the first working day of 2001 this year would change to 1970, and so on.

When archives are being accessioned, it is important to check that the covering dates have been written on the outside of the container holding the materials. Staff retrieving records from storage need to check the last date in the files against the notice posted on the door to see if the item requested can be produced.

Particularly sensitive archives may be closed for longer than the 30-year period. If a file created in 1965 were closed for 75 years instead of 30 years, it would be open in 2041 instead of in 1996.

Within the storage areas, special arrangements should be made to protect these archives. Actions include the following.

- A special label should be added to each item to specify the year it will be open, using the wording 'Closed until....'.

- An additional label should be attached to boxes containing items closed to public inspection for longer than the normal 30-year period, to alert staff to their presence in the box. This label should be coloured, preferably red, and should be marked with the words 'CLOSED UNTIL' and the year in which the archives will become available. If the materials in the box will become available in different years the label should read 'CLOSED FOR VARIOUS YEARS UNTIL' and the latest year.
- An index of closed documents should be maintained. An entry should be made in the Index for each item closed for longer than 30 years. This index should consist of index cards, arranged chronologically by the year in which the archives will be opened. There should be a separate card for each item, showing the year in which the material will become open, the archival reference, the covering dates, the period of the extended closure and the authority for the extended closure. If a run of consecutive items will open to public access in the same year, a single index card can be made for the run of items. Figure 20 shows a model index card.

If the archives are particularly sensitive and require secure storage, they should be placed in the secure storage area.

The production of closed archives to readers must take place only if authorised in writing by the director of the archival institution or his or her representative, or by the head of a regional office. Staff must receive authorisation from the ministry or agency responsible for the records before allowing access. The production of archives that have not yet been listed and assigned reference numbers must also be authorised by the director or the head of a regional office. In all such cases, the director must sign and date the production form.

ISSUING MATERIALS TO CREATING AGENCIES

The creating or transferring agency must follow the procedures indicated here to access materials. Archives staff will accompany the documents in transit. The release of the item must be entered in the loans register. If the archives are not returned within the period agreed with the requisitioning agency (normally two weeks), enquiries should be made.

The loans register holds the following information:

- serial number of the requisition
- group, series and item reference
- name of the requisitioning agency
- name and signature of officer responsible (to whom loaned)
- date of issue

- date of return.

A sample loans register is shown as Figure 21.

Identifying Missing Archives

Occasionally an item is missing from its expected place in a series, usually because

- the item has been retained by the agency transferring the records, either because of its sensitivity or because it was still needed for administrative purposes at the time of the transfer

or

- the item has been lost, either before or after transfer.

It is important to maintain a register of missing archives (Figure 22). This register has columns for the archival reference of the missing material, the date on which the material went missing, subsequent tracings or any other relevant observation.

A dummy should be inserted in the box or on the shelf in place of the missing item. The dummy should be made of cardboard, or paper strong enough to stand up to handling while surrounding items are removed and replaced. A sample dummy is shown in Figure 23.

A item that is not in its place because it has been produced for a reader, or which is being used in an exhibition, should be identified by a production form.

The annual stocktaking of the repositories should establish which items, if any, are missing.

Consulting Microfilm

Where microfilms are kept in storage and not in self-service containers in the search room, requests to consult microfilm are processed in the same way as requests to consult paper documents. A production form should be completed and staff will deliver the microfilm to the reference area with the top copy of the production form.

The staff member on duty in the search room has discretion to decide whether it is better for staff to load the microfilm reading machines for readers or for readers to do this themselves. This decision will depend on the ability of the readers to work the machinery and the time available for staff to assist.

It is best to keep microfilms in storage, for security reasons. However, if staff resources are limited, microfilms may be kept in the search room for readers to retrieve themselves under the supervision and with the guidance of search room staff.

ANSWERING ENQUIRIES

All correspondence raising enquiries about the content of archives should be sent directly to a designated member of staff. Responsibility for written enquiries is best allocated to appropriate members of staff, depending on their time and areas of expertise within the archival institution.

Telephone callers enquiring about the content of archives should be passed promptly to the appropriate staff member on duty in the reference area. Such enquiries will be answered as quickly as possible, but telephone enquirers should be advised to put their enquiries into writing and send them by post.

There are two basic principles in dealing with enquiries.

1 It is the duty of the archival institution to make clear to all users the nature and extent of its holdings and to indicate ways in which those holdings may relate to the users' interests.

2 It is the responsibility of each user to undertake the research needed to answer his or her enquiry; it is not the duty of the archival institution to carry out this research.

In the light of these principles, the archival institution should agree a policy on how much time should be devoted to individual written enquiries and what form the replies should take. Factors to take into account include

- the extent of staff resources
- the needs of readers who come in person
- the urgency and nature of the written enquiries
- the location of the correspondent
- the service the archival institution wishes to provide.

When agreeing a general policy, the archival institution may choose to make exceptions for training purposes, as answering written enquiries is a good way for staff to learn about the content and range of the archives and about current topics of research. If exceptions to the normal rule are made, it is best to tell the correspondent that this has been done and why, or they may expect similar service in future.

Once a general policy has been agreed, staff should see that it is implemented, even if this means that correspondents have to be told that their enquiry is beyond the scope of a written reply.

Before enquiries are pursued, they should be documented in the enquiry correspondence register (shown in Figure 24). This register should show

- the date the letter was received
- the name of the correspondent
- the initials of the person dealing with it
- the subject of the enquiry (using keywords)

- the date the reply was sent.

When a reply has been drafted, senior staff may wish to check it. It is important that senior staff review a reply drafted by someone who is being trained or who is a new member of staff. Inaccurate and badly worded letters leave a poor impression of the archival institution.

After drafting the letter and obtaining approval, staff will send the reply to be typed, noting if there is any particular urgency. The draft response should be checked carefully. It should then be signed and dispatched, noting the date in the enquiry correspondence register.

A member of staff should check the enquiry correspondence register at the end of every week to monitor any outstanding replies and take any appropriate action.

PROVIDING REFERENCE BOOKS

One member of staff will be responsible for seeing that useful reference books are available for consultation by readers in the search room. He or she will liaise with staff responsible for the acquisition of books to see that appropriate books are purchased.

If space is available, these reference books should be kept in the reference area, together with a catalogue of them. If space is not available then a copy of the catalogue should be made available in the reference area; searchers can then order the books they wish to consult, using production forms.

REFERENCE PROJECTS

Reference work is demand led. There will be times when all staff available will be needed to help the readers and to answer written enquiries; on other occasions, staff will have time to spare. Special projects may be undertaken by staff at these quieter times, in order to develop staff members' own knowledge of the archives and to improve access to them for readers.

Projects may relate to

- improving the finding aids to the archives, such as indexing particular series
- providing pamphlets or publicity material to aid readers
- cataloguing library books
- carrying out research on particular archives
- planning exhibitions.

OUTREACH

In order to demonstrate its importance in cultural heritage, and to enable a wider public to benefit from its services, the archival institution may wish to develop an outreach programme to include publications, exhibitions, radio and television broadcasts and other methods of reaching public attention.

Before embarking on any particular project, any staff member responsible for outreach should carry out research to discover whether there is a market for the proposed outreach programme. Once this has been established, detailed research will need to be carried out on the best way to present the project (for example, if it is aimed at school children it will need to be presented differently from one aimed at academics) and expertise from outside the archival institution may need to be used.

Detailed costings need to be carried out before committing the archival institution to any major project. Outreach projects can provide publicity and revenue, but they can also incur considerable financial loss. As well as including any material costs, calculations should also include the cost of staff time. The value of any project will need to be assessed in the light of the detrimental effect it may have on the normal running of the archival institution.

The consequences of any outreach programme need also to be considered. Any large publicity programme could result in an increase in the number of readers or written enquiries. If the archival institution is unable to cope with these, the overall effect may be detrimental.

Projects should not be left to one person alone but should be controlled by a project board set up specifically to control each project. the project manager will report to this board. The board will establish a timetable and a budget, and will monitor progress.

At the end of a project, the project board should submit a report to the director of the archival institution, noting any particular successes or failures. This will be useful as a precedent.

Publications

Publications can be of many kinds, from free pamphlets providing basic information and postcards for purchase, to scholarly books involving much research. The appearance and content of such publications will convey a strong image of the archival institution. It is important, therefore, that they should be attractive in appearance, clear and accurate in content.

Calculate with care the print run needed. Pamphlets and books describing the holdings of the archival institution will quickly go out of date. Where this is so, there is no need to maintain a large quantity of stock.

Pamphlets giving information about the archival institution should be clear and concise and should be easy to update. Provision of a pamphlet giving basic information that a potential reader needs, such as location, opening hours, copying facilities, and a very brief outline of holdings, can save considerable time when replying to written enquiries.

If a reasonable proportion of readers come with similar types of enquiry, the archival institution may wish to consider writing a pamphlet on that particular topic, pointing out the archives that need to be consulted. Once such a pamphlet is available, searchers have access to expert advice whatever the knowledge of the member of staff on duty. Staff will draw on the expertise available throughout the institution or may appoint a member of staff to research the subject as a development project.

When considering more scholarly publications, as well as costing the considerable staff time which will be needed, the institution must consider the medium of the publication. Paper publishing is convenient but expensive. Potential readers may prefer to pay less and to buy a copy of a microfiche, floppy disc, or CD ROM, as equipment to read these formats becomes more widely available.

All text must be thoroughly proofread before it is printed or exhibited. This is best done by someone who has not been involved with the project. Typing errors detract disproportionately from the professional appearance of a publication.

Exhibitions

Like other projects, major exhibitions should be planned and managed by a specially appointed project board. Operations are then supervised and practical arrangements made by a member of staff appointed as project manager.

Exhibitions are an effective way of arousing interest in the archives and in creating publicity, but the exhibition of original documents necessarily implies greater risk and the use of copies should be encouraged.

As far as is possible, the archival institution should choose documents that are interesting or attractive to look at as well as interesting in content. It is very difficult for an exhibition to be successful if it does not contain strong visual images. The use of enlarged photographic copies of documents or copies on coloured paper can be effective. Copy photographs of people, events and places and 3-D objects can help to enliven paper documents and explain their content.

When planning an exhibition, the institution needs to decide whether a catalogue is needed. For small short-term exhibitions, the investment needed in a catalogue may not be appropriate. For larger exhibitions, the Archives may choose to produce postcards or other items, which often give a wider impact and produce revenue, as well as an exhibition catalogue.

The institution must ensure it has advertised the exhibition adequately and in the right places. Vehicles for advertising include inserting fliers in appropriate journals or newspapers, putting up posters, informing radio and television stations, and informing universities, schools and other interest groups. An official opening by a VIP or senior functionary will also help to publicise the exhibition and raise its profile.

If documents from the archival institution are loaned to other organisations to be included in their exhibitions, then archives staff must be assured that rigorous conditions are met before giving consent to the loan. An example of specimen loan conditions and a loan agreement are shown in Figure 25.

SECTION 6

FORMS AND FIGURES

Following are all forms and figures mentioned in this manual. They have been consolidated together to assist with review and copying. They appear as follows

1. Accession Form
2. Accessions Register
3. Register of Groups and Series
4. Location Register
5. Box Label
6. Repository Floor Plan
7. Register of Copies of Archives
8. Production Register
9. Annual Stocktaking Form
10. Standard Series Description Form
11. Standard File/Item Listing Form
12. Index Card
13. Daily Attendance Register
14. Model Reference Rules
15. Reader's Ticket Application Form
16. Reader's Ticket
17. Reader's Ticket Register
18. Production Form
19. Document Reservation Form
20. Index of Closed Documents
21. Loans Register
22. Register of Missing Archives
23. Dummy Shelf Marker
24. Enquiry Correspondence Register
25. Loan Agreement and Conditions

Archives Accession Form	
Accession Number:	Depositor:
Transferring Agency: Is this a transfer from the records centre? Yes ☐ No ☐	
Covering Dates: Will more items be added to this series? Yes ☐ No ☐	
Quantity (number of items or boxes): **Physical Type** (files, volumes etc.):	
Physical Condition (note any problems):	
Can Records be Opened After [statutory closed period]? (Specify any items to be opened earlier or later)	
Further Information (note any items missing or retained, or containing special materials such as photographs, maps, coins and so on. Note here any special conditions of transfer applying to records from external sources):	
Proposed for transfer to Archival Institution by *Name:* *Position (of representative of agency/depositor/records centre):* *Date:*	
Accepted for transfer to Archival Institution by *Name:* *Signature:*	 *Position:* *Date:*

Figure 1: Archives Accession Form (page 1)

Checklist of Action to be Taken by Archives Staff

Action	Initials	Date
Archives checked		
Archives labeled		
Archives listed		
Archives boxed		
Boxes labeled		
Accession details entered in accessions register		
Entries made in index of closed documents (items subject to extended closure)		
Archives put in repository		
Location entered in location register		
Repository floor plan updated		
Item list distributed		
Guide updated		
Indexing done		
Action completed		

Figure 1: Archives Accession Form (page 2)

Archives Accession Register						
Accession Number	**Date Received**	**Details of Records Received**	**Source or Depositor**	**Archival References**	**Remarks**	**Initials of Person Receiving and Date**

Figure 2: Archives Accession Register

Register of Groups and Series		
Group Code: Group Title:		
Series Number	**Series Title**	**Last Item Number and Quantity**

Figure 3: Group and Series Register

Archives Location Register					
Group ________________ Series Number ____________ Series Title ______________________________ ______________________________					
Item Numbers	**Bay Number**	**Shelf Location**	**Item Numbers**	**Bay Number**	**Shelf Number**

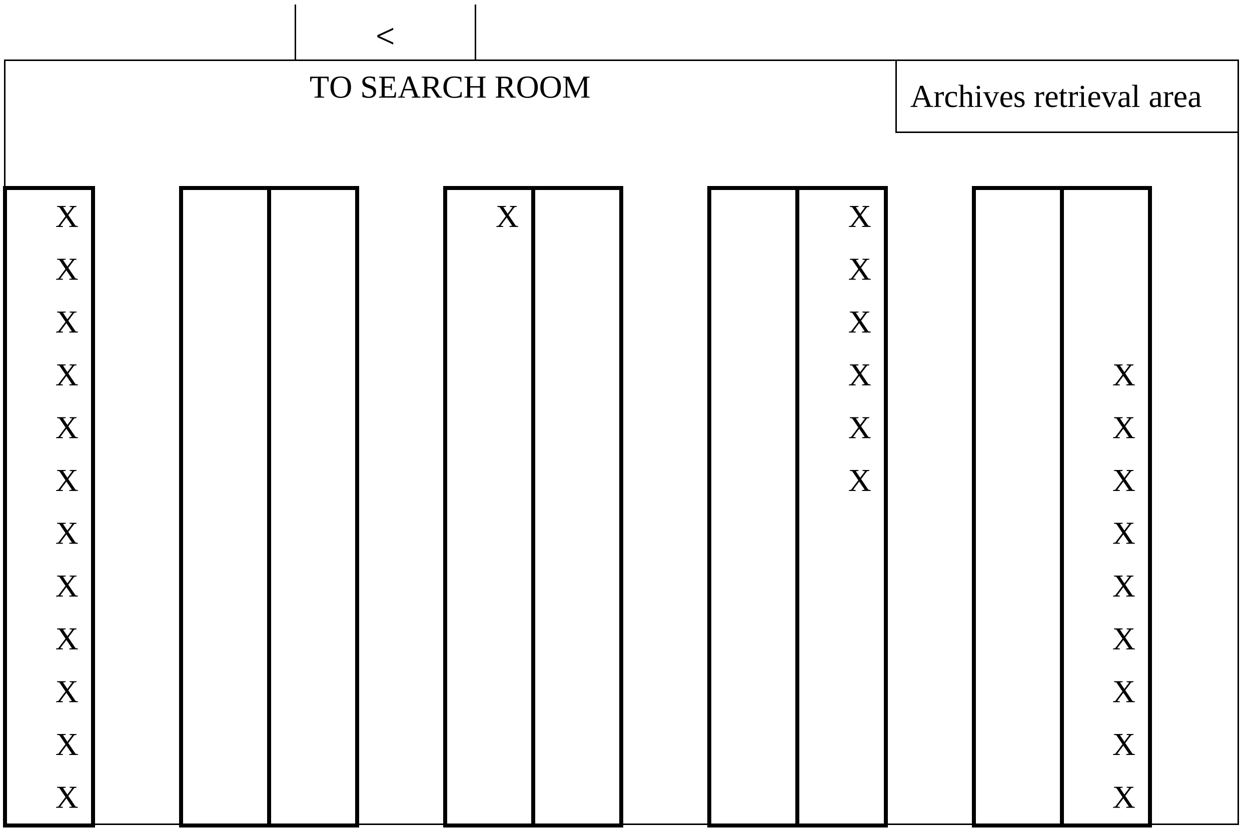
Figure 4: Archives Location Register

Archives GROUP/SERIES
CLOSED UNTIL [YEAR]
File/Item Number - File/Item Number

for example:

Erewhon Archives RG 17/3
CLOSED UNTIL 2005
1-7

Figure 5: Box Label



X = available shelving space

Figure 6: Repository Floor Plan

Register of Copies of Archives			
Group:			
Reference Number of Originals	**Item Number**	**Type of Copy and Copy Number**	**Location**

Figure 7: Register of Copies of Archives

Production Register					
Date of Production	**Production Serial Number**	**Archival Reference**	**Searcher's Name**	**Reader's Ticket Number**	**Date of Return**

Figure 8: Archives Production Register

Annual Stocktaking of Archives						
Archival Reference			**Condition**			**Remarks**
Group	**Series**	**Number of units**	**(a)**	**(b)**	**(c)**	

(a) = in good condition, and unlikely to need attention from conservation department within foreseeable time
(b) = weak but useable: should be considered for repair/conservation
(c) = unfit for production: must be repaired before consultation

Figure 9: Annual Stocktaking Form

Standard Series Description Form

Group Code:..Series No.:...

Series Title:...
....

Number of unites/items in series:...

Physical character:...

Description:..
....
....
....

(Continue on next page if necessary)

Lists available:...

Availability:..Index:..

Figure 10: Standard Series Description Form

Standard Item Listing Form

Group/series reference: ……………………………………………………

Series title: ……………………………………………………………………

Item number	Date range	Description	Any former reference

Figure 11: Standard File/Item Listing Form

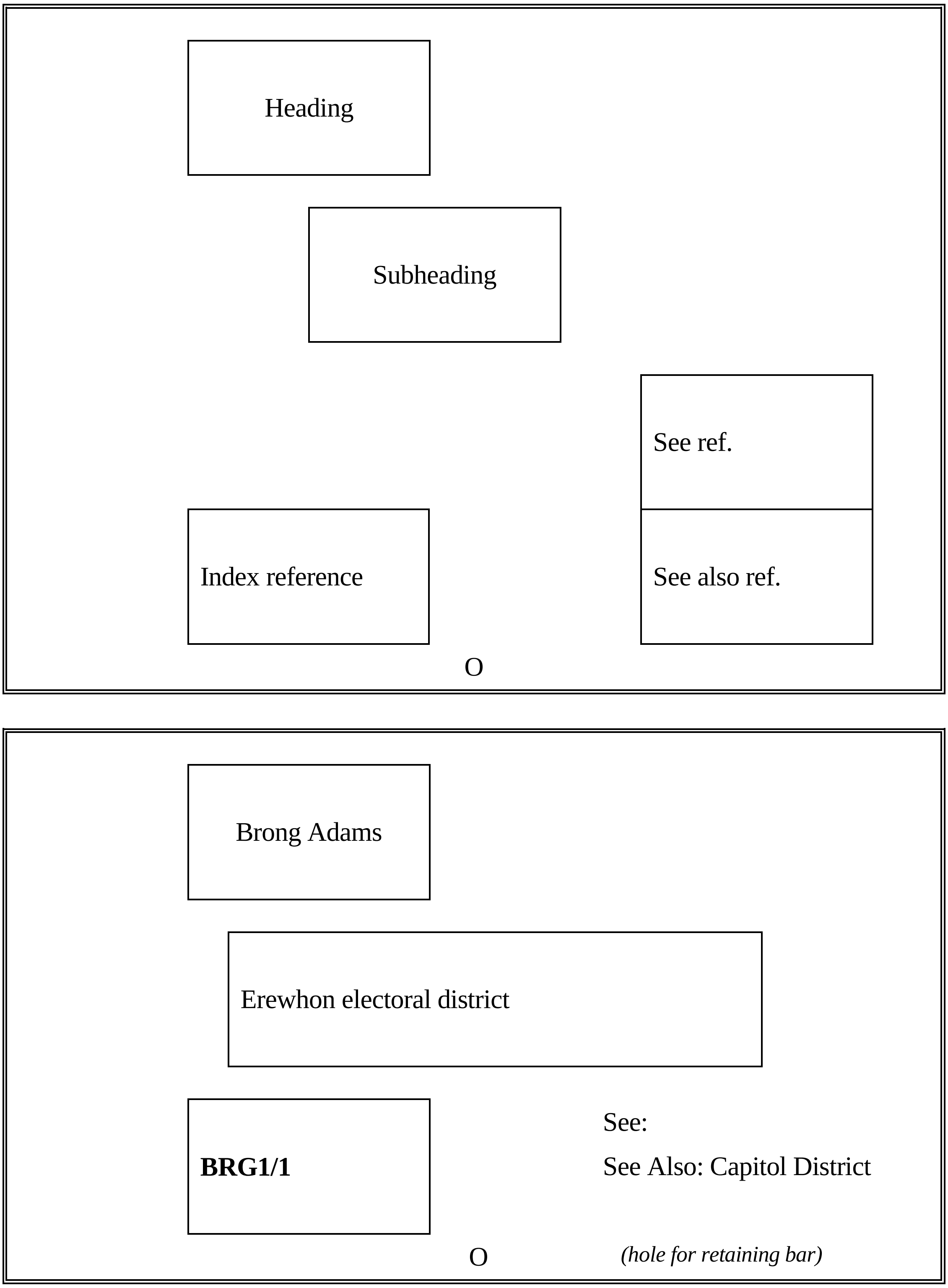


Figure 12: Index Card

Archives Daily Attendance Register						
Date	**Running Number**	**Ticket Number**	**Name [Please Print]**	**Telephone Number**	**Local Contact Address**	**Signature**

Figure 13: Daily Attendance Register

National Archives of the Republic of Erewhon

Reference Rules

These rules are issued under s. 12 (2) (b) of the Erehwhon National Records and Archives Act 1999.

The Search Room of the National Archives is open to researchers on normal working days from 9 AM to 4 PM. Holders of reader's tickets are welcome to attend during those hours.

It is advisable to contact the National Archives in advance of your intended visit, indicating the nature of the archives you wish to consult. This will reduce delays and inconvenience. Users will appreciate that archival documents are kept in controlled storage under secure conditions. It therefore takes a little time to produce them. Every effort is made to reduce this delay to a minimum, but users should be aware that it is necessary to allow for it.

Archival documents are produced subject to the following rules.

General

1. You must have a valid reader's ticket.
2. You must sign the attendance register every day you visit the search room, regardless of whether you consult any documents or not.
3. You must maintain silence in the search room.
4. You must not smoke, drink or eat anything (including sweets) in the search room.
5. No persons under 16 years of age shall enter the search room except with the permission of an officer on duty. Educational visits by school parties or individual school students must be arranged in advance.
6. You must leave briefcases and large bags with the officer on duty while in the search room.

Issue and return of archival documents

7. You must write out a separate production ticket for each item you require.
8. Except by special permission of the officer on duty, no more than three different items will be produced at the same time. Items are the standard unit of management within the National Archives; they may contain more than one document.
9. When you have finished with the items requested, you must return them immediately to the officer on duty. Until you have done this, you will be responsible for the items.
10. If you wish to continue work on items on the following days, you must complete a 'reservation' form.
11. Requests for archival documents must be handed in before 3 PM on the day of production. All archives must be returned to the officer on duty by 4 PM.

Handling archives

12. You must not write on or mark any original archival document in any way or take documents out of the search room.

13. You must not use liquid ink, fountain, ball-point or fibre tip pens, highlight pens, correcting fluid or India rubbers in the search room. To take your own notes, you should use pencils only, and these should be sharpened at the designated location in the search room.

14. You must be careful not to damage documents. You must not lean on them, fold them or place them with your own notes and papers.

15. You must keep unbound papers in the order in which they are delivered to you. If the papers are disordered, you should report this to the officer on duty immediately.

16. You must report to the officer on duty any defect in or accident to a document.

17. The officer on duty may require that certain fragile or especially valuable documents cannot be examined or must be examined under special conditions.

Copying documents

18. Tracing documents is not allowed.

19. You may not photocopy documents yourself. All requests for photocopies must be entered on the photocopying request form, which will be completed by an officer on duty. Requests may be refused if there is a risk of damage to the document.

20. Photographing documents is only permitted with the permission of the director.

Office equipment

21. The use of typewriters is not allowed.

22. The use of computers, including battery-operated computers, is permitted, with the permission of the officer on duty, providing they do not cause a disturbance in the search room.

Publication of material from the National Archives

23. Requests to publish copies of documents must be referred to the director.

24. When information or text derived from the holdings of the National Archives is published or cited in publications, users are requested to use the following form of acknowledgement:

    National Archives of Erewhon / [Group code] / [series numbers] / [item number(s)].

It is the duty of the staff of the National Archives to ensure compliance with these rules. Failure to observe the rules may result in the documents you are using being removed or, in extreme cases, the cancellation of your reader's ticket. Those found wilfully damaging the documents will be prosecuted.

Signed *[Director of National Archives]* Date

Figure 14: Model Reference Rules

Application for a Reader's Ticket

Please complete sections 1 and 2 and present this form to the search room staff together with proof of identity (passport, driving license, official invoice with postal address).

Section 1 [to be completed by the applicant]

Surname ____

Other Names ____

Nationality ____

Home Address ____

____

____

University/Official Address ______________________________

____

Occupation ____

Purpose of Research Academic/Official/Private

Please indicate and give details

____

____

Subject of Research _____________________________________

____

I have read and agree to abide by the Rules of the Archives

Signature ____

Date ____

Please turn over

Figure 15: Application Form (page 1)

Section 2 [to be completed by a referee]* (except when a Reader's Ticket is being renewed)

Surname ____

Other Names ____

Address ____

____

____

Occupation ____

I have known the applicant for ______________ [state length of time] and can vouch for his/her suitability as a reader in the National Archives

Signature:____

Date:____

OFFICIAL STAMP

**Referees should be resident in the country and identifiable from a professional directory (such as a solicitor, senior government official, foreign diplomatic staff, schoolmaster, tutor or director of studies. Foreign students should also present a letter of recommendation from their place of study).*

Section 3 [to be completed by the archival institution]

Reader's Ticket Number _________________________________

[if a renewal please note number of original ticket]

Signature of Issuing Officer: ____________________________

Name: [please print] ___________________________________

Date: ____

Figure 15: Application Form (page 2)

[Ticket Front]

Erewhon National Archives

Reader’s Ticket

Reader’s Name:..

Ticket number:..

Date of issue:..

Date of expiry:..

[Ticket Back]

I agree to abide by the rules of the

Erewhon Archives

Signature:..

Date:...

Figure 16: Reader’s Ticket

Reader’s Ticket Register					
Date	**Number**	**New or Renewal***	**Expiry Date**	**Name**	**Permanent Address**

**If renewal note original ticket number*

Figure 17: Reader’s Ticket Register

Document Production Form

Serial No.__

Reader’s Name:____________________________

Reader’s Ticket Number:____________________

Document Reference:

Date of Production:_________________________

Initials of Search Room Officer:

Document Location:

Produced by:______________________________

Date of Return:____________________________

Top copy

Document Production Form

Serial No.__

Reader’s Name:____________________________

Reader’s Ticket Number:____________________

Document Reference:

Date of Production:_________________________

Initials of Search Room Officer:

Document Location:

Produced by:______________________________

Date of Return:____________________________

Bottom copy

Figure 18: Production Form

Reservation Form

Name:

Ticket No:

Date:

Item reference:

Date of production:

Item location:

This material is to be reserved for use on *[date]*

Note that material can only be reserved for the next working day. Only one item to be identified on each slip.

Please write legibly.

Figure 19: Document Reservation Form

YEAR TO BE OPENED:
Archival Reference:
Covering Dates:
Period of Extended Closure:
Authority for Extended Closure:

for example:

2015
RG 17/3
1959 - 1964
50 YEARS
MINISTER'S CERTIFICATE OF 22/11/1994

Figure 20: Index of Closed Documents

Loans Register					
Serial Number of Requisition	**Archival Reference**	**Date Loaned Out**	**To Whom Loaned**	**Remarks**	**Date Returned**

Figure 21: Loans Register

Register of Missing Archives		
Archival Reference	**Date Found Missing**	**Remarks**

Figure 22 Register of Missing Archives

Dummy Shelf Marker

(This marks the location of an item that is missing)

Archival Reference: **Remarks:** **Signed:** **Date:**

Figure 23: Dummy Shelf Marker

Enquiry Correspondence Register					
Serial Number	**Date Received**	**Name of Correspondent**	**Subject**	**Allocated to**	**Date of Reply**

Figure 24: Enquiry Correspondence Register

Loan Conditions Acceptance Form

Please return this form after signing; retain a copy for your own records.

Name and address of the institution where the exhibition is to be held:____________________
____

Name, and address if different from above, of the official to whom correspondence should be sent:____

____

Title of the exhibition:____

Covering dates of the exhibition:____

Full National Archives references and descriptions of documents requested, including individual page or item numbers to be displayed (continue on extra pages if necessary):

____

____

Conservation and security information:

What are the variations in temperature and humidity in the exhibition area?________________

____

Is the exhibit area lit by natural or artificial light?_____________________________________

What is the level of light to which the exhibits will be exposed?_________________________

Are the display cases locked?____

Will there be 24-hour security control over the exhibition?______________________________

Is there an emergency plan in operation in the institution?______________________________

I have read and agree to the accompanying conditions for the loan of original archival material from the National Archives of Erewhon and accept the financial and curatorial implications of the loan.

Signed:_______________________________Date:___________________________________

Name (please print):____________________Position:________________________________

Figure 25: Loans Conditions Form and Register

National Archives of the Republic of Erewhon

Loan of Archival Documents for Exhibition

Under current legislation, the director of the National Archives is empowered to lend documents for display in exhibitions and for other appropriate purposes. Applicants for the loan of documents from the National Archives must meet the conditions set out below and sign the accompanying loan conditions acceptance form. These conditions have been established by the director of the National Archives.

General conditions

1. Applications for loans must be received not less than three months before the opening date of the proposed exhibition, in order to allow sufficient time for the necessary condition checks, conservation, photography and mounting.
2. The items requested will be accompanied to and from the exhibition by a senior member of the archives staff, who is given absolute discretion to withdraw the documents on loan if dissatisfied with the conditions at the place of exhibition.
3. The borrower will be responsible for all expenses incurred by the National Archives in making a loan. These will include the following:

   the cost of security negatives or microfilms

   insurance, where required

   the cost of handling, mounting and packing exhibition items

   travel and subsistence expenses of the Archives officer accompanying the items in transit.
4. Items are lent for the purpose of public exhibition only and may not be made available for study or other purposes outside their showcases without the written consent of the director of the Archives. After they have been mounted in the showcases for exhibition they must be left undisturbed, except in the case of any emergency, until the exhibition is dismantled.
5. No mark in pencil, ink, paint or any other material may be made on any item lent, nor may any such existing mark be obliterated. No adhesives of any kind may be applied to the items. All materials used to hold or display the items must be acid free.
6. Any caption used for display purposes and any description given in a catalogue or notice must state that the item is on loan from the National Archives of Erewhon, with its full archival reference code.
7. One copy of the exhibition catalogue must be sent to the National Archives of Erewhon free of charge.
8. Notwithstanding any terms in the loan agreement, the borrowing authority shall return any or all of the items at the written request of the director of the National Archives.
9. The director of the National Archives reserves the right at any time not to proceed with the loan.

Security

10. Exhibition premises shall in all respects be safe and secure; adequate safeguards must be available before any items are borrowed.

11. All items must be displayed in locked showcases. Any other method of display, particularly wall-mounted, must be discussed beforehand with Archives staff.

12. Items must be placed in their showcases by the accompanying officer of the National Archives, who will supervise the locking of the cases. After this, the exhibits and their mounts must remain undisturbed. The National Archives reserves the right to specify that alarms must be fitted to certain showcases.

13. No conservation work will be done other than as agreed with the National Archives.

Environment

14. The temperature of the exhibition area should not exceed 20 degrees Celsius. The relative humidity should be 55 percent plus or minus 5 percent. The lighting should not exceed 50 lux.

15. No smoking is to be allowed in the exhibition area.

Insurance against damage

16. The Archives will determine the insurance coverage required in all cases.

Packing and display

17. The National Archives will pack all items for transport to and from the exhibition.

18. The packaging must be stored safely by the borrower during the exhibition so that it can be used again for the return of the exhibit.

19. The Archives will carry out any mounting operations as agreed with the exhibitors. No mounts or supports are to be removed or changed during the exhibition.

Travel

20. Items should travel shortly before the exhibition opens, to minimise risk and to avoid inconvenience to researchers at the National Archives.

21. The National Archives will decide the form of transport to be used. The transfer of items must be under the supervision of a member of the archives staff.

22. Items must not be stored anywhere other than the stated place of exhibition.

Reproduction

23. Photography is only allowed with the written consent of the director of the National Archives or the accompanying archives officer, who has discretion to decide on the appropriate level of lighting.

24. Security copies will be made of all items before they leave the National Archives.

Figure 25: Loans Conditions Form and Register (cont.)