

Taking a closer look at

Archives and Records Management Services (ARMS)

A Quality Improvement Framework for Archives
and Records Management Services in Scotland

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Introduction

Increasingly, service providers in the archives and records management sector are called on by employing organisations and funding bodies to measure the effectiveness and impact of the services they provide, and to demonstrate continual improvement.

Improving the consistency and transparency of quality and performance measurement across archives and records management in Scotland will:

- support recordkeeping professionals in self-assessment of their services and driving continual improvement;
- assist in cross-sectoral comparison;
- guide funding providers in proposing standards for and measuring impact of their investment;
- empower service users in holding recordkeeping professionals and/or employing organisations to account for the quality of archives and records management services;
- provide a model for assessing the cost-effectiveness of service provision in the sector; and
- improve the evidence base for developing the archives and records sector in Scotland.

Managing services and products by defining outcomes and impacts is a National direction as outlined by the Scottish Executive's 'Scotland Performs' programme which establishes National Outcomes and Indicators. Local Authorities have been particularly active in defining service outcomes and performance indicators. Our peer professions, Libraries, Museums and Galleries have all defined outcomes and performance indicators. This publication is the statement of outcomes and performance indicators by which archives and records management sector defines its own business. It appears in the context of these other initiatives and the approach is modelled on the prior experience of our professional colleagues.

What is ARMS

This document outlines key outcomes and performance indicators for archives and records management services. It is based on the clear intent to create a framework supporting integrated archives and records management as best practice. While many archives and records management services exist independently, the Scottish Council on Archives supports the development of more integration between these services.

Those services which operate as independent archives and/or records management services will find some performance indicators more suited to their services than others. Tailoring of the performance indicators may be required for non integrated archives and records management services.

Similarly, archives and records management services exist in many sizes and models. The Framework is intended to apply regardless of size, but tailoring of the application of the Framework may be required for small services.

The ARMS Quality Framework can be used to evaluate all or parts of the Archives and Records Management Service by using the whole or Framework, or by concentrating on specific Quality Indicators.

This Framework is intended for use by:

- Managers and Heads of Archives and Records Management Services
- Staff who will be involved in the self evaluation process
- Quality improvement officers and others who may be assessing the Archives and Records Management Services in an organisation

There is an absence of authoritative literature and experience in quality indicators in the archives and records management field. This Framework has been devised after considerable research in the literature, as indicated in the Bibliography (Appendix 3).

Models and References

The ARMS Quality Framework has been developed in reference to four influential quality frameworks established for Scotland.

Scottish National Outcomes and Performance Indicators: The National Outcomes describe what the Government wants to achieve over the next ten years, articulating more fully this Government's Purpose. They help to sharpen the focus of government, enable the Government's priorities to be clearly understood and provide a clear structure for delivery. A mapping of possible relationships between the ARMS Framework and the Scottish National Outcomes is included at Appendix 1. For more information on the Scottish National Outcomes and Performance Indicators, see <http://www.scotland.gov.uk/About/scotPerforms>

In January 2006, the Scottish Executive published its new cultural policy statements that set down proposals to take forward the policy of cultural planning, including cultural entitlements for citizens. It proposed the development of a Strategic Quality Assurance Framework for local authorities to use in monitoring and assessing their services, one area of which is provision of culture.

How Good is Our Culture and Sport (HGIOCS): This draft document (April 2009) operates within the broader Quality Improvement Framework (QIF) defined for local authorities. It has been developed to support continuous improvement in culture and sports provision in local areas. Many archives and records management services work within this broader Framework, so ensuring the ARMS Framework is compatible with this Framework is important. A mapping of possible relationships between the ARMS Framework and HGIOCS is included at Appendix 2. For more information on HGIOCS see <http://www.hmie.gov.uk/documents/publication/hgiocas.pdf>

Building on Success: A Public Library Quality Improvement Matrix for Scotland (PLQIM): Developed in 2007 by the Scottish Library and Information Council, this document provides a self evaluation guide which enables public library services to demonstrate the impact which they have on individuals and communities and how well the service meets users' needs. The PLQIM has been used as a model for ARMS. For more information on PLQIM see <http://www.slainte.org.uk/files/pdf/slic/PLQIM/plqim.pdf>

Quality Improvement System: A Guide to Taking a Closer Look at our Museums and Galleries (QIS): The draft QIS is being trialled in a number of organisations in early 2010. It has yet to be finalised. The QIS operates within the framework of HGIOCS, as does ARMS. It provides a focussed method of assessing Museums and Galleries specifically, rather than provision of cultural services generally. Like ARMS, while it operates within the local authority framework, it is not restricted in application only to local authorities. It provides a Quality Framework for self assessment for any Museum or Gallery. This document has been used as a model for ARMS. For further information on QIS see <http://www.museumsgalleriesscotland.org.uk/the-programmes-2/quality-improvement-system-3/>

Core Archives and Records Management Outcomes

The Archives and Records Management Services Framework has identified 4 core outcomes for archives and records services.

These are:

1. **Help people trust organisations (accountability)**
2. **Select and make our individual and community¹ stories accessible (access)**
3. **Support efficient delivery of services**
4. **Management and governance**

Quality Indicators

To assess how well archives and records management services are delivering on these outcomes, 7 key Quality Indicators have been identified. Quality indicators

Quality Indicator 1: Create and manage trustworthy records

Quality Indicator 2: Protect rights and interests

Quality Indicator 3: Make sure our records and archives survive as long as they are required

¹ This document uses 'community' to encompass organisations

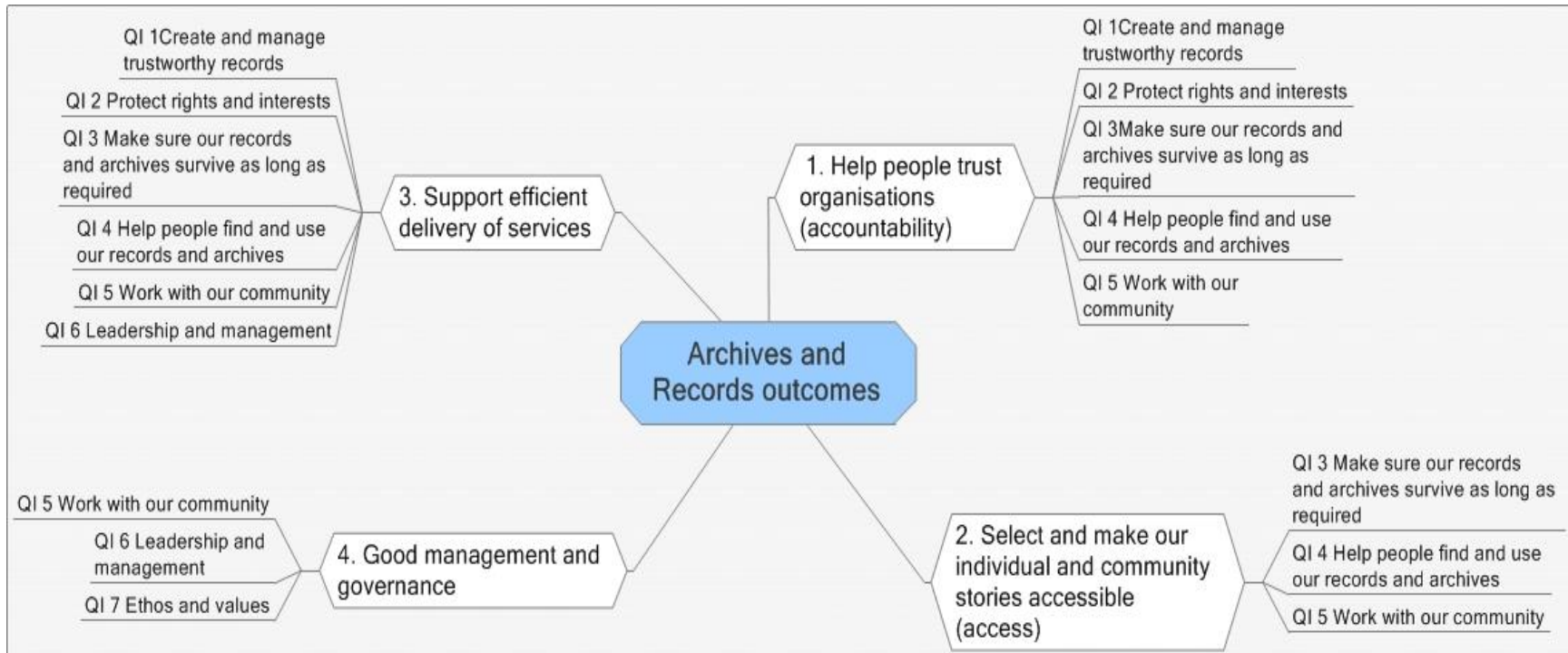
Quality Indicator 4: Help people find and use our records and archives

Quality Indicator 5: Work with our community

Quality Indicator 6: Leadership and management

Quality Indicator 7: Ethos and values

Each quality indicator has been mapped to the core outcomes, providing a method of assessing how well the overall outcomes are being achieved.



What is self evaluation?²

Self evaluation is forward looking. It is about celebrating success and achievement but, importantly, it is also about change and improvement leading to well considered innovation in service delivery and activities. In considering the quality of services delivered, it should provide opportunities for staff reflection and dialogue and for effective support and healthy challenge. Self-evaluation should lead to actions which result in clear benefits, and contribute to outcomes, for participants and communities.

Self evaluation, to be fully effective, is not designed to be a single or periodic event, but rather is an ongoing process which permeates the culture of an organisation as it strives to maintain and enhance the impact of its quality of provision on the community. It is a well focussed means to an end, rather than an end in itself.

The process of self-evaluation for improvement in Archives and Records Management Services be structured around three questions:

- How are we doing?
- How do we know?
- What are we going to do now?

How are we doing?

Services need to assess the impact of their work with individuals and communities to know that the services are:

- Appropriate and based on community need
- Of high quality and in line with best practice
- In need of review and improvement
- Improved by change and adaptation

The quality indicators can be used to form an initial high level view of quality and performance across the services provided. Using evidence that has been gathered in the normal course of work and service delivery, broad strengths and weaknesses can be identified. This will enable organisations to make an immediate evaluation of areas of major strength, or areas where more attention is required.

How do we know?

Self evaluation must be based on the collection and review of the evidence of the outcomes and impacts. The quality indicators provide broad themes and the Archives and Records Management

² This section has been modified from 'Part 1: What is self evaluation for improvement about' How Good is Our Culture and Sport. HM Inspectorate of Education. Draft April 2009

Services going through the self evaluation are asked to identify ways in which they know and can demonstrate that they are performing well. Judgements should be made about the Archives and Records Management Service's performance based on the evidence collected.

Suggestions of possible evidence have been included against the evaluation questions. These are suggestions only, and individual Services' may find a range of other evidence to enable them to assess the services.

Range of evidence

Evidence helps to support self evaluation processes by demonstrating proof of activity and/or impact. It can help in establishing how well the service is meeting users' needs. Evidence can be qualitative or quantitative.

Quantitative evidence reports what can be measured, for example the number of FOI requests received.

Qualitative evidence seeks to draw out the value which users may put on services, and this is often unstructured in format, for example, feedback from users.

Evidence can be gathered by:

Assessing key sources:

- Performance data
- Relevant documentation
- Consulting users, non-users and staff
- Direct observation of practice.

These sources of evidence are complimentary. No single source can meaningfully provide enough evidence on its own to enable a reliable or robust evaluation to be made. The principle of triangulation is widely used to test evidence. This involves the scrutiny of one source of evidence, backed up by another and corroborated by at least a third line of enquiry.

Performance data: examples include statistical information relating to service provision

Relevant documentation: examples include the strategic plans and policies supporting service delivery.

Users, non-user and staff views: Such views can be gathered systematically when individuals are accessing and using the service. Information should also be gathered systematically from non-users. Organisations should have procedures for surveying users' views using questionnaires and/or focus groups.

Whatever approach is taken, gathering information from users, non-users and staff is an essential part of the self-evaluation process. Without it organisations will find it very difficult to understand the

impact of their work on these people. It is almost impossible to have any degree of confidence in the outcomes of self evaluation without including these views.

Direct observation: involves visiting activities and observing the inputs of staff/volunteers and the outcomes for users first hand. This involves looking at the delivery models, methodology and resources as well as individual motivation and performance

What are we going to do now?

As Services progress through the process of self evaluation, strengths in provision and areas for improvement will be identified.

Strengths in provision need to be celebrated, maintained and continuously reviewed.

Areas for improvement require analysis and discussion, resulting in a plan for action.

A plan for action must always be the outcome of any self evaluation process. The self evaluation should help organisations see what is working well and where steps need to be taken to improve. Effective and robust self evaluation provides a strong basis for good planning for improvement. The action plan should be documented and implemented. It should feed into the continuous cycle of review and improvement.

Levels of effectiveness³

The quality indicators in this Framework are designed to be used along with a six level scale which indicates the level of effectiveness in particular aspects of performance or practice.

Level 6: Excellent

- Clearly excellent or outstanding
- Very best practice worth disseminating beyond the service
- Individuals' experiences and achievements are of a very high quality
- Very high levels of performance which are sustainable

Level 5: Very Good

- Major Strengths
- A high, but achievable standard of provision
- The very few weaknesses, if there are any, do not diminish individuals' experience
- Services will take opportunities to improve and strive to raise performance to excellent

Level 4: Good

- Provision with important strengths that have a positive impact
- Areas of improvement diminish the quality of individuals' experiences in some way
- Services will seek to improve further the areas of important strength while taking action to address some areas of improvement

Level 3: Adequate

- Provision where strengths just outweigh weaknesses
- Individuals have access to a basic level of provision and strengths have a positive impact on individuals' experiences
- Weaknesses do not have a substantially adverse impact, but do constrain the quality of the individuals' experiences
- Services will seek to address areas of weakness, while building on strengths

³ The levels of effectiveness have been adopted from the Building on Success: A Public Library Quality Improvement Matrix for Scotland, Scottish Library and Information Council, March 2007. These are compatible with the levels of excellence adopted in HGIOCS

Level 2: Weak

- Weaknesses that are important enough to have a negative impact on the quality of individuals' experiences
- Such weaknesses will be sufficient to diminish individuals' experiences in significant ways
- There will be a need for the service to take structured and planned action to address such weaknesses

Level 1: Unsatisfactory

- Major weaknesses in provision
- These weaknesses will require immediate remedial action
- Individuals' experience is at risk in significant aspects
- Improvement requires strategic action and support from senior managers
- It may involve work alongside other staff or agencies in or beyond the organisation

The Quality Indicators and Illustrations

Quality Indicator 1: Create and manage trustworthy records

Outcome:

This indicator contributes to:

- Outcome 1: Help people trust organisations (accountability) and
- Outcome 3: Support efficient delivery of services

Themes:

This indicator is concerned with the following themes:

- Archives and Records Management policies and procedures
- defining responsibilities
- ensuring business is documented appropriately
- creating reliable and trustworthy records
- managing records in reliable and routinely used systems
- ensuring that records can be produced on demand
- enabling scrutiny of decisions and actions
- accounting for records that can't be presented on request

Description:

Creation and management of reliable and trustworthy records are integral to any organisation's activities, processes and systems. They enable business efficiency, accountability, risk management and business continuity. They also enable organisations to capitalise on the value of their information resources as business, commercial and knowledge assets and to contribute to the preservation of collective memory, responding to the challenges of the global and digital economy. Capturing and managing trustworthy records is the primary enabler of access to recorded information over time.

Archives and Records Management Services should take a planned and systematic approach to defining, implementing and monitoring the creation and management of records within their organization. They should adhere to published standards, such as ISO 15489, and seek to benchmark their activities against peer organizations. Systems, whether manual or automated, that support the management of records should be relied upon by the organization and routinely used in conducting business.

Records should be persistently linked to the business being undertaken and presented when requested in forms that enable the story of the related events to be clearly told.

Archives and Records Management Services should:

- Have a clearly articulated set of recordkeeping policies which identify responsibilities for records creation, capture and management and which are implemented, and reviewed on a regular basis
- Ensure recordkeeping responsibilities are known, documented and monitored for compliance
- Establish a formal corporate records system that is regularly reviewed and monitored for use and compliance with rules
- Analyse business processes to identify recordkeeping requirements and ensure that records arising from business transactions are routinely captured into a system

- Manage recordkeeping processes in accordance with industry standards
- Present records to enquirers as chains of transactions which enable them to be interpreted in the context of the business functions and activities that created them
- Be able to explain the absence of records

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
What impact does the recordkeeping policy have on the organisation?	<p>A comprehensive recordkeeping policy, covering all records and archives of the organization, provides authority to a recordkeeping program for its ongoing work. A recordkeeping policy might include a number of more specific subsidiary policies to enable comprehensive coverage of all records related policy matters.</p> <p>A recordkeeping policy effectively linked to related policies (such as information management, information security, information storage, email, donations, access to information and records, compliance requirements etc) assists in embedding good, consistent recordkeeping throughout the organization and minimizes the risk of creating a records silo unconnected to other organizational priorities and policies.</p>	<p>Frequency of update or review of recordkeeping policy</p> <p>Referenced in other information related policies</p> <p>References other information related policies</p> <p>Cited as an authoritative statement by members of the organization</p> <p>Used in specific cases as authority for action, or as a reference point</p>		
How well do staff understand and comply with their recordkeeping responsibilities?	<p>Responsibility for creating and capturing records of business is the responsibility of all staff performing organizational business. However, this needs to be accepted by all staff who also need incentives to comply with these requirements. They also</p>	<p>Recordkeeping responsibilities incorporated into individual job statements</p> <p>Recordkeeping responsibilities included in</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
	need appropriate training and support to enable them to meet their responsibilities.	<p>individual performance reviews/measures</p> <p>Recordkeeping training included in induction training</p> <p>Ongoing recordkeeping training/refreshers training regularly available</p>		
How effective is the corporate records system?	The corporate records system provides the rules, technologies, and resources to support organizational recordkeeping. It may encompass multiple application systems, including EDRMS, business systems and archives control systems. To have an impact on the organization, and to enable the creation of trustworthy records, supported over time, the system must be implemented, routinely used and monitored. A defence against challenge to trustworthy records is that the system was routinely used in the course of business.	<p>Number of approved records applications in use</p> <p>Information audit/ records inventory</p> <p>Number of personal, non-official or non-compliant systems known about, unconnected to the corporate records system</p> <p>Assistance provided to specific parts of the organization with recordkeeping issues</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
		Statistics on: <ul style="list-style-type: none"> • number of records created • quantity of electronic records under control/not under control • number of application system users to potential users • use of the approved classification scheme • successful retrievals from the system • number of trained users • unauthorized access attempts 		
How comprehensive is the business of the organization analysed to identify recordkeeping requirements?	Identifying recordkeeping requirements in work processes enables identification of the records of the processes that need to be captured and managed. This analysis can contribute to development of business classification schemes or can contribute to the implementation of process automation. Records may be captured into a variety of corporate	Participation in analysis for automation Instances of cooperation with business owners to identify recordkeeping requirements in their processes Participation in information management		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
	<p>records application systems including EDRMS (electronic document and records management systems), ECM (electronic content management systems), business systems, or designated network shared drives.</p> <p>Analysis for recordkeeping requirements, conducted in conjunction with business owners, enables certainty that the appropriate records, in appropriate forms are being captured by the organization.</p>	<p>planning for the organization, or for particular business processes</p> <p>Participation in information architecture initiatives</p>		
How well does the organization meet the requirements in recordkeeping standards?	<p>Recordkeeping standards form an important benchmarking tool by which to measure performance of recordkeeping processes. Industry standards include BS ISO 15489, Records Management, and more specific guidance established for Scotland's government agencies by the National Archives of Scotland.</p> <p>High level statements of core recordkeeping processes are outlined in standards and include: determining what records to create, capture and registration, classification and indexing, appraisal</p>	<p>Formal adoption of the appropriate standards by the organization</p> <p>Internal audit reports reporting on recordkeeping</p> <p>Results of internal recordkeeping performance audits</p> <p>Reports to external agencies concerning recordkeeping performance or</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
	and disposal, storage and preservation.	compliance, for example Scottish Council on Archives, National Archives of Scotland, Scottish Information Commissioner		
How well does the organization present records in context?	<p>Records presented in response to an internal or external query need to be presented and interpreted in the context of the business that was being undertaken when they were created. Without this contextualization, records are open to mis-interpretation and can be misleading.</p> <p>Records can be contextualized by presenting chains of transactions linked together physically, for example on a file, or electronically (previous/subsequent documents). Details of business being conducted at the time of the records creation can be provided by the classification of the record, in subsequently developed finding aids, or by knowledgeable staff.</p>	<p>Explanatory information available on records systems to users</p> <p>Use of relationships to link records</p> <p>Providing search and enquiry systems that provide context to users</p> <p>Availability of knowledgeable staff</p> <p>Levels of staff assistance required to identify relevant records</p> <p>Number of additional finding aids to interpret context</p>		
In what ways does the organization account for the absence of records?	The absence of records about a process can be a result of never creating them, losing them, passing	Business analysis documents recordkeeping requirements		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
	<p>them to another organization or destroying them. Not being able to produce records when required, without an adequate explanation, undermines the credibility of the organization and its trustworthiness.</p>	<p>Formal retention and disposal authorities are in place</p> <p>Explicit authorization exists for all records destroyed</p> <p>Routine processes to destroy time-expired records are in place</p> <p>Records systems can provide details of any authorized acts of disposal (including destruction, transfer, loss)</p> <p>Outcomes of FOI requests where record not produced</p> <p>Documentation is maintained up to date for all transfers of records between organizations or parts of organisations</p>		

LEVEL 5 illustration (Level 5=very good)

Exemplar Organisation has an integrated Archives and Records Management Service. It has been operational in its current form for over 5 years. During that time, an Archives and Records Management Policy has been approved by the Board. This sets out the broad objectives of the records management programme within the organisation. It clearly identifies responsibilities for records, including the broad responsibility for all staff to create and capture records of their business processes. It sets out all the statutory requirements relevant to recordkeeping that Exemplar is required to comply with. A set of subsidiary policies have been approved to cover specific aspects such as access to records, disposal, classification etc. The records policy is referenced in other organisational policies, such as information security, risk management. Each policy has a clearly identified review date.

Exemplar has purchased and deployed an EDRMS. This has been rolled out to the whole organisation, and is used to manage electronic documents and email. All staff are trained on their recordkeeping responsibilities and use of the EDRMS during induction and through refresher courses are regularly run by ARMS. While individual staff are not always happy with having to use the system, compliance with the recordkeeping policy is included in their job statements as a performance measure, and senior management have endorsed the EDRMS as the corporate records system.

The ARMS staff monitor the use and operation of the EDRMS. A policy of routine checking of new records added to the system is undertaken to ensure that they are appropriately titled and classified, thus enabling the automatic inheritance of access and security controls and disposal periods. Monthly reports are run against new records added to the system, enabling regular reporting to both senior management on use and compliance with the system rules, and also to sections that are not meeting performance expectation. Sessions are scheduled to discuss and address perceived problems with specific parts of the organisation.

ARMS staff are included in information management and technology planning meetings, enabling them to know when new business systems are being proposed. Approaches are then routinely made to the business units involved in designing functional specifications for the new systems. ARMS staff seek to be included in establishing requirements for capturing records in all proposed new systems. Sometimes this results in records being maintained in business systems, and sometimes proposals for interfaces with the EDRMS are proposed. Resourcing and priorities of Exemplar then determine how well the recordkeeping requirements are met. This is an ongoing challenge, but ARMS are actively involved.

ARMS staff benchmark their performance against the industry standard BS ISO 15489. As a result of close cooperation with the Internal Audit department, the internal auditors now ask recordkeeping questions derived from the Standard to report on recordkeeping during their routine audits.

All staff of Exemplar have access to the EDRMS, which, within the framework of access and security permissions, allows records to be presented in structured sequences to user queries. All staff are made aware of the prohibition on destroying records during their induction and refresher records training. All destruction of records is done through ARMS which regularly applies approved disposal authorities, with explicit permissions to destroy obtained by the 'owning' business unit. Metadata about the records destroyed is retained in the EDRMS with additional details noting the date of destruction and the authority used.

Quality Indicator 2: Protect rights and interests

Outcome:

This indicator contributes to:

- Outcome 1: Help people trust organisations (accountability) and
- Outcome 3: Support efficient delivery of services

Themes:

This indicator is concerned with the following themes:

- Supporting compliance requirements with appropriate evidence
- Protecting individual and organizational rights and responsibilities
- Supporting the organisation in litigation
- Protecting personal privacy and data protection

Description:

Records and archives provide evidence of business activity. Business activity is regulated, where necessary, by legislative requirements, standards and codes of conduct. Records are essential to evidence compliance with such external requirements. Non compliance may have results that affects business viability (for example, where licences are revoked, or accreditation required for funding is not granted), or in public embarrassment for the organization (for example, bad publicity in the media, or being named in parliament). Such instances undermine public trust and confidence in organizations. Good recordkeeping contributes to ensuring public trust in organizations.

Similarly records act as evidence of action which can be used to protect the rights, entitlements and interests of organizations and individuals (both within the organization, and those that interact with the organization). Records provide a critical resource in both proving and defending legal claims brought against individuals and organizations. Being able to rely on trustworthy records in instances of litigation or other dispute, is a core recordkeeping requirement for organizations.

Individuals often voluntarily provide personal details to organizations to obtain services or products. The personal details they provide are sensitive and provided to organizations to enable a specific authorized action. Protecting these personal details from inappropriate or unauthorized re-use, access by third parties, or access to details beyond that which is required for the transaction are socially sensitive matters constrained by data protection legislation and privacy protection best principles. Individuals have a right to access records about themselves, to ensure that the details held about themselves are correct and to seek correction of details in cases where this is in dispute.

Archives and Records Management Services should:

- Know the compliance requirements for their organization and identify the recordkeeping requirements to support compliance
- Know what records the organization keeps
- Be able to produce records requested for legal processes
- Respect and protect personal data provided to the organization
- Ensure the organization provides authorized access to personal data
- Have mechanisms to support correction of personal data where necessary

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
How well are the recordkeeping requirements in legislation, standards, codes and other relevant compliance documents, identified and followed?	Records provide evidence that compliance requirements are being followed appropriately. Such records will be needed by the organization when required by external investigators (auditors, reporting agencies etc). In cases where the compliance requirements are not followed, an organization needs to manage risks associated with non compliance.	<p>All legislation, standards, codes and other relevant compliance documents are identified by the organization</p> <p>Identification of recordkeeping requirements exists for all applicable compliance documents</p> <p>Business owners, and staff in relevant business units, know the recordkeeping requirements of compliance</p> <p>Risks of recordkeeping non compliance are documented and accepted by the organization</p>		
How does the organization know what records it has?	Knowing what records and information an organization holds is a protection against unexpected results in discovery exercises. It also provides a basis for measuring the introduction and operation of good recordkeeping practice (see Quality Indicator 1).	<p>Results of regular information audit, knowledge audit or records inventory</p> <p>Statistics and analysis of use of automated systems supporting recordkeeping</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
How does organizational recordkeeping support legal processes?	The existence of records can prove or disprove statements. Wherever possible, records should be managed in ways that supports the risk profile of the organization.	<p>Procedure to support gathering and production of organizational records as a result of legal requests</p> <p>Able to explain and justify the absence of expected records</p> <p>Producing the 'right' records causes settlement of legal case</p> <p>Absence of 'right' records causes legal settlement</p> <p>Compliance with time restrictions on court orders to produce records</p> <p>Compliance with time restrictions on information production (eg FOI requests)</p>		
How effectively does the organization protect personal data?	Protecting personal and sensitive information from unauthorized release or re-use contributes to the trustworthiness of the organization. Knowing what information is held in which business processes that require additional protections	<p>Organisational guidelines and procedures in place for data protection, freedom of information</p> <p>Business processes and records that manage</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
	<p>assists in developing and applying mechanisms to protect personal and sensitive data. Staff training ensures that organizational awareness of the issues is high. Routine monitoring of access and security breaches enables identification of potential problem areas requiring attention.</p>	<p>sensitive or personal information identified</p> <p>Staff trained in personal data protection</p> <p>Additional systemic protections for personal data in place</p> <p>Monitoring of access breaches</p> <p>Complaints about data protection</p>		
<p>How well does the organization provide authorized access to personal data and other records?</p>	<p>Legislative rights and best practice information management enables individual's access to data about themselves held by others. Similarly for government organizations a public right to access records exists under Freedom of Information legislation. How well the organization manages its obligations to both protect and allow authorized access to personal information contributes to the trustworthiness of the organization in the eyes of the public.</p>	<p>A range of written assistance is available to individuals seeking access to data about themselves held by the organization</p> <p>Knowledgeable staff available to assist enquirers</p> <p>Organisational support available to enquirers</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
		Statistics on FOI and data protection requests: <ul style="list-style-type: none"> • Number processed • Number successful • Number appealed 		
How well do organizational systems support correcting of personal details?	Organisations have an obligation to comply with legislation enabling correction of personal details, or a requirement to support best practice in this area. How well, how easily and the availability of mechanisms supporting individuals to correct personal data contributes to the trustworthiness of the organization in the eyes of the public.	Procedures outlining methods of correcting personal details in records Records application systems supports annotation or other mechanisms to manage corrections to personal details Archives documentation systems support public tagging		

LEVEL 5 illustration (Level 5=very good)

Exemplar organisation works in the community care sector, a highly regulated sector of society. Its records contain significant quantities of personal information about its patrons – both in residential and other programs. Exemplar is accredited by NHS Scotland for various aspects of its operations.

ARMS has worked with the Corporate Secretary to identify all recordkeeping requirements in the legislation, codes and accreditation requirements that Exemplar requires to follow. These have been listed and assigned to specific responsible business units. ARMS staff work with business owners to ensure that the records that they are required to create, maintain and make accessible are identified and managed within authorised Exemplar systems.

The Information Compliance Officer is one of the team members in ARMS. Regular communication in staff communications keep all staff aware of their obligations in managing personal information, and the need for care and sensitivity in recording personal comments.

All requests for information by ex-clients or queries from third parties to recent Exemplar records are filtered through the Information Compliance Officer, who coordinates the organisational response via the relevant business units. This work is done in conjunction with the Exemplar Archivist who often knows the history of the particular service, the likely location of records and responsibilities and details of the workings of the older records systems. While records sought by individuals cannot always be provided, the Archivist and Information Compliance Officer conduct in person feedback with the requester for personal information where possible. They also have access to social workers to provide counselling where it is thought that personal distress might arise as a result of the information contained in the records about the requestor or close relatives. Follow up is routinely undertaken on all personal information requests after 3 months to check follow up on service satisfaction and to check that the information was appropriately explained and understood.

Exemplar has been involved in legal disputes over the quality of care and other aspects of its services. ARMS staff have worked with the Legal Department to identify records relevant to the case. The Archivist has worked with these requests to work out where the records might be located, following various sales and amalgamations of companies comprising Exemplar. Routine procedures exist to copy and/or transmit scanned images to external legal advisors.

Quality Indicator 3: Make sure our records and archives survive as long as required

Outcome:

This indicator contributes to:

- Outcome 1: Help people trust organisations (accountability)
- Outcome 2: Select and make our community stories accessible; and
- Outcome 3: Support efficient delivery of services

Themes:

This indicator is concerned with the following themes:

- appraisal practices
- collecting scope
- cultural inclusion
- Appropriate records and archives storage
- Preservation
- Digital sustainability
- Business continuity and emergency planning
- Sustainable records and archives systems

Description:

Not all records need to be retained for long periods of time. Some can be destroyed. Determining which records should be destroyed is the highly accountable process of appraisal, which results in formal documentation of decisions and, where appropriate, external authorization. Where destruction of records is authorized, this must be done in ways that respect the sensitivity of the records and ensure they cannot be recovered.

Some Archives and Records Management Services actively collect records of other organizations to document particular aspects of Scottish society and culture. Such Services should ensure that they have defined, agreed and resourced scope for their collections and employ mechanisms to ensure that they are as culturally inclusive in their areas of collecting as can be supported. Consultation with stakeholders and community representatives are essential to enable a diversity of stories about our society to be told.

Once determined to require long term retention, archives and records must be protected. This involves housing archives and records in appropriate locations and storage conditions which assist in the physical protection and longevity. Industry standards, such as BS 5454, exist to support these requirements and organizations should benchmark their practices against such standards. Physical things do deteriorate. To manage this, organizations should have plans assessing and prioritizing conservation work on specific items.

Digital records and archives are particularly susceptible to loss. Technological obsolescence, software and hardware formats which change quickly over time all place digital records and archives at risk for

long term retention. Archives and Records Management Services should, in conjunction with appropriate information technology support, define and implement digital sustainability strategies which ensure that digital records and archives will be accessible for as long as they are required. One aspect of this is ensuring that archives and records are appropriately covered in any business continuity and emergency plans.

Archives and records exist within a network of context which ensures that they can be appropriately interpreted, both at the time of their creation and over longer periods of time. Records and archives documentation systems provide these contextual layers of meaning and provide management tools. These systems should be understood as a vital component of records and archives programs. Professional standards of records and archives documentation should be followed (eg business activity classification schemes, or ISAD (G)).

Archives and Records Management Services should:

- Ensure that appraisal methodologies which determine the retention requirements of records and archives are documented and implemented
- Ensure a collecting or acquisition and disposal policy is reviewed and kept up to date (where appropriate)
- Be committed to developing holdings that maintain their relevance to users
- Undertake consultation with stakeholders on appraisal decisions
- Destroy records in a responsible manner
- Adhere to industry best practice storage and handling standards for archives and records
- Adopt preservation plans to monitor physical condition of records and archives, and prioritise conservation requirements
- Adopt digital sustainability strategies that monitor continuing accessibility of digital archives and records
- Revise business continuity and emergency plans regularly

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
How effective are the appraisal methodologies?	Appraisal is the recordkeeping process which determines how long records are to be retained, shaping the availability of records for internal and external consultation. It is a process that is becoming increasingly accountable as multiple stakeholders have increasingly recognized roles in these decisions. The output of the appraisal process is a tool which identifies how long specific types of records are to be retained, typically known as retention and disposal authorities. These tools form a defence for organisations in cases where destruction of records is challenged, if routinely implemented.	Degree of coverage of organizational records by authorized retention and disposal authorities		
How well does the Archives adhere to and promote the collecting and de-accessioning policy?	Adherence to the established collecting policy and de-accessioning policy is essential to develop coherent holdings, ensure responsible growth which is able to be resourced and to maintain public trust. Knowledge of the policies by staff is important to ensure its effectiveness.	Staff knowledge of the collecting and de-accessioning policy Collection policy lodged with Keeper of the Records of Scotland (where applicable) Use of the policy as a reference in seeking out or		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
		rejecting donations Statistics on donations Identification of gaps in holdings Donor agreements approved		
In what ways are stakeholder considerations on appraisal decisions sought?	<p>Multiple stakeholders have interests in what records are retained for what periods of time. Stakeholders can include regulatory authorities, local communities, groups of people represented in the records, local and other historians. The extent of consultation depends on the type of organization and its regulatory rules.</p> <p>Disposal of records should be transparent, documented and routinely implemented. Consultation of stakeholders on appraisal decisions improves the transparency of decision making and enhances public trust in organizations.</p>	Documentation of consultation on appraisal recommendations Number of people consulted Number of comments received on appraisal decisions, internally and externally (where appropriate) Appraisal recommendations published on websites for public comment		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
How well is the destruction policy monitored to make sure that records destruction is conducted responsibly?	Once authorized for destruction, physical destruction should take place in ways which reflect the sensitivity of the information in the records. Instances of records inappropriately reappearing at inopportune times are rife in the media. Such occurrences undermine public trust in organizations.	<p>Procedures identify approved methods of destruction</p> <p>Destruction is documented and certified if undertaken by a third party.</p> <p>Regularity of destruction processes</p> <p>Procedures to ensure no outstanding FOI or legal requirements requiring longer retention</p> <p>Unauthorised destruction reported</p> <p>Staff know what records they can destroy</p> <p>Secure destruction procedures are in place</p>		
How well do physical storage and handling practices conform to industry standards, such as BS 5454?	Storage conditions markedly affect the longevity of records and archives. Location of storage areas should be the best that can reasonably be achieved by the organization, and Archives and Records Management Services	<p>Results of audits against industry standards</p> <p>Results of regular monitoring of temperature and humidity</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
	<p>should seek to improve sub-optimal storage. Storage in inappropriate areas (such as damp basements, inaccessible rooms, adjacent to water pipes etc) should be phased out as soon as possible. Temperature, humidity, physical housings and security should be comply with storage standards and should be monitored</p>	<p>Actions to appropriately house records (eg acid free boxes, protective covers etc)</p>		
<p>How effective is the preservation planning?</p>	<p>Managing archives and records brings with it an implicit assumption that those records selected for long term retention will be protected and physically maintained. This 'duty of care' involves action to monitor the physical condition of the records, and implement whole-of-holdings strategies aimed at prolonging the physical existence of the archives and remedial action to repair damaged items, according to resources available.</p>	<p>Mechanisms for monitoring preservation condition of holdings</p> <p>Regularity of whole of holdings preservation assessment</p> <p>Conservation needs prioritized</p> <p>Resources available for conservation work</p> <p>Conservation work undertaken</p> <p>Records and archives which cannot be used because of fragility or physical deterioration</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
How effective are your digital sustainability strategies?	<p>Digital archives and records are paradoxically difficult to maintain in accessible form for long term retention due to issues of obsolescence, media degradation and vulnerability to deletion. Digital archives and records need proactive management from the time of their creation and this cannot be left until they are no longer required for business purposes (as might have been possible for paper).</p> <p>Strategies for digital sustainability might include migration, emulation, conversion into a restricted number of open standard formats or combinations of these.</p>	<p>Digital sustainability plan in place</p> <p>Migration and conversion instances undertaken</p> <p>Techniques for monitoring format, software and hardware dependencies</p>		
How well do you make use of business continuity and emergency plans?	Archives and Records Management Services should identify an organisation's vital records (those needed to recommence business in the case of an emergency) and incorporate planning for such events into an organisation's business continuity plans.	<p>Vital records are identified</p> <p>Records and archives systems incorporated into business continuity plans</p> <p>Testing frequency of business continuity plans</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for improvement
	Similarly, emergency plans for Archives and Records facilities should be maintained up to date to protect the archives and records, staff and members of the public in the event of an emergency. Such plans should be widely known and understood and nominated responsible staff should be comfortable about their abilities to carry out the plans.	Emergency plans regularly reviewed and updated		

LEVEL 5 illustration (Level 5=very good)

Exemplar Organisation's ARMS has developed disposal authorities that cover major corporate functions. These have been developed in consultation with business groups and internal legal advisors. External advice has been sought from targeted client groups (such as aged residential), peer organisations and national and international professional colleagues. The appraisal decisions and discussions have been documented and are available within the corporate records system.

With the various purchases, sales and amalgamations of aspects of Exemplar's business over the years, the responsibility for records of various functions are complex. The Archivist maintains a comprehensive administrative history of the organisation which enables people to trace likely records sources and location. As a result of this, and as a part of the Community Responsibilities advocated by Exemplar, occasionally ARMS will take custody of records which have been their responsibility in the past but which belong to a company that is closing. Such acquisitions of external holdings is done only in accordance with a strict policy, and is individually negotiated between the top management of both organisations. Complete documentation is also compiled for those arrangements that are being proposed, along with responsibilities for ongoing funding to provide ongoing professional services to the records. There are some older records which belong to now defunct companies which are

less well documented, but ARMS has learned the problems that arise from these undocumented arrangements and proactively addressed the issue for any future circumstances.

Exemplar is striving to become a paperless organisation. ARMS staff have been involved with interior designers in the new office spaces planned to provide enough on floor storage suitable to appropriately house the current records held in paper format (including lockable storerooms, adequate shelving etc), while instituting a routine business digitisation process to minimise physical storage into the future. Guidelines and procedures have been written to establish quality standards and disposal of source records once digitised. While Exemplar wishes to be paperless, the reality is that there are large quantities of records documenting its activities which continue to be required for some time. ARMS has ongoing arrangements with a number of commercial storage providers to store records. Contractual arrangements have specified service agreements such as retrieval times and storage conditions, according to business requirements and industry best practice. Regular inspections ensure that the storage conditions are met. Regardless of these arrangements, periodically stores of previously unknown records come to the attention of ARMS staff. These are inspected and scheduled for attention in the 5 year plan with the intention of applying appraisal decisions, destroying those that are no longer needed and moving the remainder to improved storage.

Electronic recordkeeping is very much a part of Exemplar's current work. ARMS staff have created an internal policy draft for digital sustainability. Efforts are being made to raise the issue of long term preservation of certain digital records to the information technology staff and business owners. It is an ongoing effort. In the short term, ARMS have ensured that the EDRMS is identified as a vital business system and is incorporated into the Exemplar business continuity plan. Exemplar's Risk Management Office runs an annual disaster scenario and ARMS have participated in the last 2 such exercises.

Quality Indicator 4: Help people find and use our records and archives

Outcome:

This indicator contributes to:

- Outcome 1: Help people trust organisations (accountability);
- Outcome 2: Select and make our community stories accessible; and
- Outcome 3: Support efficient delivery of services

Themes:

This indicator is concerned with the following themes:

- Minimising unnecessary secrecy and restriction of archives and records
- Enabling access to archives and records by the public (in line with legislative requirements)
- Enable re-use and sharing of information from archives and records
- Providing support and assistance to diverse groups of users
- Presenting archives and records with sufficient contextual information to enable interpretation

Description:

Providing access to records is the ultimate purpose of keeping archives and records. Access supports a diverse set of requirements, with some archives and records legitimately maintained confidential or secure for specific periods of time to protect interests (such as commercial confidence, confidentiality, personal privacy etc). These legitimate needs to restrict access to archives and records disappear over time, so ultimately all records retained should be made accessible both within the organization and to the public.

Public authorities have a legislative requirement to foster openness to their archives and records, both through Freedom of Information legislation, and the National Archives of Scotland Act, which both provide a public right to information (of differing ages). Increasingly public authorities are encouraged to foster an environment of openness to public sector information. Some private organizations, at their discretion, allow public access to their archives, according to rules that they themselves devise.

Where public access to archives and records is available, a variety of mechanisms should be employed to make the range of archives and records available known to as wide a range of potential user groups as possible. The public should be encouraged to access and use archives and records to keep organizations accountable, to support historical enquiry, family history, personal identity and cultural belonging. Archives and Records Management Services should construct as many access pathways as possible to assist in the use of archives and record, including provision of appropriate physical facilities for members of the public.

Archives and Records Management Services should:

- Ensure that a consistent access policy applies to all records and archives of the organization, regardless of where they are physically located, whether the functions are provided by third parties
- Employ appropriate mechanisms to protect from disclosure those records and archives that have continuing sensitivity
- Provide physical facilities to support public access (where appropriate)
- Support multiple channels to inform the public of the records and archives available
- Develop a range of materials and services to support particular user communities to access records and archives
- Provide multiple delivery channels for access to records and archives
- Continuously enrich records and archival documentation systems while ensuring records are always presented in context
-

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas of improvement
How effective is the access and information security policy?	<p>The ability to access records, archives and information is a key contributor to transparency and accountability, which in turn contributes to public trust in organizations.</p> <p>The access and information security policy should encourage openness of information as a default, and should form the authority for decisions about access to records and archives (subject to legislative requirements).</p>	<p>Staff training provided on access and information security policy</p> <p>Staff knowledge of the access and information security policy</p> <p>Monitoring of breaches of access in security permissions in automated systems</p> <p>Monitoring the number of appeals of restrictions on access</p> <p>Number of breaches identified or reported</p> <p>Number of times the policy is invoked or referenced within the organisation</p>		
How are access and information security restrictions determined and reviewed within the organization?	Access and security restrictions on particular sets of records (for example those that contain personal information, sensitive data, confidentiality requirements) should	<p>Justification processes for applying access and security restrictions</p> <p>Procedures for senior staff to</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas of improvement
	<p>be applied only where there is a genuine justification. The default access status to records and archives should be open for use (either within the organization or to the public).</p> <p>To increase the availability of records and archives and support openness and transparency, where restrictions apply, these should be regularly reviewed with the intent of removing the restriction as soon as possible, while ensuring protection of legitimate</p>	<p>authorise restrictions at the highest level</p> <p>Proportion of records and archives carrying access security restrictions</p> <p>Regularity of review of access and security restrictions</p> <p>Number of specific exemptions to restrictions received from within the organization and by the public</p> <p>Number of FOI requests and other public requests refused on grounds of access and information security restrictions</p> <p>Number of appeals for access to restricted records</p>		
How satisfactory do users find the facilities provided to support public access?	Archives and Records Management Services providing public services should aim to provide public facilities that promote inclusion, encourage visitors and widen participation.	<p>Range of physical facilities provided, for example:</p> <ul style="list-style-type: none"> • Secure storage for bags and coats • Access to photocopiers • Separate supervised research area 		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas of improvement
	Archives and records management facilities should seek to support the range of physical and sensory access needs of the community.	<ul style="list-style-type: none"> • Equipment to access records (microfilm/fiche readers, computers etc) • Rest rooms <p>Accessibility of facility, including access for persons with disabilities</p> <p>Initiatives to improve physical access to archives and records</p> <p>Results of user feedback surveys</p>		
How effective are the channels used to inform the public about the archives and records?	To promote use of the records and archives, those interested in the holdings need to know about the services. Multiple channels should be employed to widen public knowledge. User feedback should be sought on the effectiveness of the channels deployed.	<p>Freedom of Information publication scheme</p> <p>Range of channels used, for example:</p> <ul style="list-style-type: none"> • Web pages • Brochures • Archival Portals • Listing in directories <p>Accessibility of the information within the channels (eg archives/records services linked to organisation's</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas of improvement
		<p>home page)</p> <p>Mechanisms for monitoring that all citations of relevant URLs are operational</p> <p>Contents included in channels used, for example:</p> <ul style="list-style-type: none"> • Directions to physical location • Ability to book appointments • Contact details (email, phone, address) <p>Regularity of review of content</p>		
How well are users supported in the multiple delivery channels available for dissemination of records and archives?	Archives and Records Management Services supporting public access should support multiple channels to enable diverse communities of users to access the holdings.	<p>Range of dissemination methods available, for example:</p> <ul style="list-style-type: none"> • Digitization on demand • Quality and quantity of digitized records available • Records available for download on the internet • Availability of copying services or use of digital cameras <p>Fees or charges applied for</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas of improvement
		<p>assistance or copying</p> <p>Services available to support users, for example:</p> <ul style="list-style-type: none"> • Counselling services for users accessing personally sensitive material • Availability of reference staff <p>Degree of staff experience depth of knowledge of the holdings</p> <p>Standards for retrieval times</p> <p>User statistics</p> <p>User feedback</p>		
In what ways is the archives documentation system continuously enhanced to assist users?	Archival documentation systems are the primary mechanism by which users access the holdings of an archives. Archives should continuously enhance the documentation system to assist users. Professional archival descriptive standards, such as ISAD(G) should be used.	<p>Levels of cataloguing defined</p> <p>Statistics on un-catalogued material</p> <p>Statistics on the size of the backlog for archival processing</p> <p>Plans and priorities for addressing un- catalogued material</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas of improvement
		<p>Finding aids available in a variety of formats, eg:</p> <ul style="list-style-type: none"> • Published • Paper based • Online • Downloadable <p>End user tagging</p> <p>Availability of specialized guides on specific topics</p> <p>Subject, name, location indexing</p> <p>Finding aids available in other languages?</p>		
In what ways are the records and archives documentation systems valued and enhanced by its users?	Records management and archives documentation systems provide an ongoing resource to the program, organization and the public. These systems contain details of records and archives that are continuously enriched by additional information as it becomes known. Systems should be maintained to be as coherent and comprehensive as possible. Additional knowledge	<p>Increased or enhanced functionality</p> <p>Comprehensiveness of coverage of records and archives documented in the system</p> <p>Enrichment or additional data added to the systems following special projects</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas of improvement
	about records and archives should be added to these systems as it becomes known.	<p>Incorporation of paper based finding aids into automated systems</p> <p>End user tagging</p> <p>Subject, name and location indexing</p>		

LEVEL 5 illustration (Level 5= very good)

As a long standing provider of care services, Exemplar takes its responsibilities to past and present clients very seriously. ARMS has identified all business systems that contain personal or sensitive information. Access and security controls are in place in the EDRMS to ensure that access to personal information is restricted to those with a need to know and that access is restricted to the business purpose for which it was collected. Use of systems is monitored and analysed. Procedures support the application of access and security controls in the EDRMS with business owners required to justify restrictions beyond personal data protection. The default in the EDRMS is for information to be open to all (with justified exceptions). A recently completed automatic review process has been written into the EDRMS workflow to trigger review of access and security levels after 5 years.

As a care provider, Exemplar has considerable corporate sensitivity to enabling past and present clients access to their records. ARMS is working with the care provision sections of the organisation to ensure that agreement is reached on its default policy for access to personal information as part of the conditions of service. Information on the types of records that are created and held is included on the Exemplar internet web page, with reference to ARMS for further assistance. ARMS has procedures to guide decision making on the provision of access to individuals. Physical access to records by third parties is provided on site in the Exemplar head office, where staff supervise a dedicated room for this purpose. Some copying of records is allowed, but this is carefully monitored and all copies are stamped or watermarked with their origin.

The ARMS Archivist is active in the archival community and with records dating back to the 1850s (acquired from several predecessor companies), the records are of significant interest to a variety of community groups and researchers. Exemplar supports a limited public access policy to their

records, regarding it as part of their ongoing responsibility to the community. The Archivist manages the archival documentation control system, which has an interface to the EDRMS. This is not publicly available, but can be accessed on request. A fee for service charge applies for non-personal and non-family history related queries. Those records that are made available for public access are scheduled onto a digitisation program to enable them to be accessed on the web in the future. This project is planned for implementation in the next 5 years. Meanwhile the Archivist is supported to publicise the existence of the older records and to conduct limited outreach projects. Where physical access to records is required, the public use the dedicated room, under supervision, in Exemplar's Head Office building. All public users of the records are requested to complete a user feedback survey at the completion of their visit.

Quality Indicator 5: Work with our community

Outcome:

This indicator contributes to:

- Outcome 1: Help people trust organisations (accountability)
- Outcome 2: Select and make our community stories accessible
- Outcome 3: Support efficient delivery of services
- Outcome 4: Management and governance

Themes:

This indicator is concerned with the following themes:

- Mechanisms for community engagement
- Research into community needs
- Promoting the archives and records service
- Perception of the archives/records program (internal and external)
- Engaging with partners
- Providing learning and teaching opportunities
- Encouraging and valuing volunteers
- Interpreting the past
- Enabling telling of stories

Description:

In developing the programmes and services, the Archives and Records Management Service has a responsibility to know and understand their users and potential users and ensure the services are targeted appropriately to meet their needs. The service orientation to users should be clearly communicated to all staff. Such actions contribute to breaking down barriers to engagement and preconceptions of what the Archives and Records Management Service does.

Archives and Records Management Services support a number of communities depending on the nature of the program. The communities may be internal to the organization, consisting of all users of the records and archives. Archives and Records Management Services should seek to foster a sense of community within the organization, providing high quality service and exploring and enabling a collective organizational memory.

Some Archives and Records Management Services work more directly with the public to provide access to archival holdings which may embrace holdings which originate beyond the parent organization. Such services should have a well defined program of public engagement, both formal and informal. Forging new partners and providing services and outreach to diverse groups in the community is a key strand of this work.

Archives and Records Management Services should be consciously seeking out new partnerships to support delivery of innovative service. These might be partnerships internal to the organizations, such as with auditors, information technology professionals, or external to the organization, such as with peer organizations, community groups or teaching and learning organisations.

Archives and Records Management Services should:

- Effectively market their holdings and programs
- Be able to demonstrate how they have engaged with the community, users and potential users to develop the service and how feedback has shaped the service
- Ensure effective communication with all user groups and stakeholders
- Provide a range of programmes, products and resources aimed at different users

- Provide a range of learning opportunities that meet user needs, including those from within the organization and external groups such as the formal education, voluntary and lifelong learning sectors
- Encourage, support and value volunteers
- Assist users to study, interpret and learn from the records and archives

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
How well is the Archives and Records Management Service marketed?	<p>Raising awareness and promoting the Archives and Records Management Services are elements of the marketing mix that can contribute to attracting users and help ensure they have a rewarding experience.</p> <p>Effective marketing can aid the achievement of other objectives such as engaging users and potential users, increasing access and inclusion and promoting programs, products and services.</p> <p>Ultimately it should lead to a raised profile and increase in use of the service and holdings.</p>	<p>Marketing plan</p> <p>Briefings, talks, speeches to relevant groups</p> <p>Publicity material (brochures, aids etc)</p> <p>Distribution plans for marketing collateral</p>		
How well does the Archives and Records Management Service engage with a variety of users, stakeholders and partners to assist in service development?	<p>Archives and Records Management Services engage with users, stakeholders and partners in delivering a range of services. Understanding their experience, ideas and needs is core to providing targeted service.</p> <p>Different community segments are likely to have different requirements and motivations for interacting with Archives and Records Management Services and services. These should</p>	<p>List of areas where user/stakeholder/partner interaction is sought</p> <p>User research</p> <p>User surveys and feedback</p> <p>Letters of compliment or complaint</p> <p>Acknowledgements given for service</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
	<p>be understood so that barriers can be overcome.</p> <p>Encouraging participation and engagement of diverse groups, seeking multiple perspectives, should lead to an enhanced service and profile of the service.</p>	Feedback from funding bodies		
How effective are the communication channels employed to maintain contact with the community, stakeholders, partners and users?	Different segments of the community have different priorities and interests. Archives and Records Management Services should employ a variety of means to identify and communicate with diverse groups about the services and holdings.	<p>Variety of communication channels</p> <p>Feedback on communications</p> <p>User engagement</p>		
In what ways does the Archives and Records Management Service encourage improved engagement by diverse audiences including young people, schools, older people, the Scottish Diaspora and people from different cultural backgrounds?	<p>Consideration of the range and type of engagement with the target groups including working with other services and organizations that work with these groups can help to widen participation.</p> <p>Attracting particular user groups may broaden the diversity of people using the services.</p>	<p>Variety of access channels</p> <p>Innovative use of communications channels</p> <p>Multi-lingual communications</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
	It can also help to change individual and personal perceptions of Archives and Records Management Services.			
In what ways does the choice of archives and records management promotional events, displays and exhibitions meet the broad range and needs of user requirements?	Users should be encouraged to start their engagement with archives and records from their youth. Attractive, accessible and appropriate materials can encourage the users' engagement with community engagement, history, identity and culture.	Talks and speeches Exhibitions Displays Conference posters, papers Monitoring the number of visitors to exhibitions, seminars or displays		
How well does the Archives and Records Management Service target particular user groups and potential users through the learning opportunities it offers?	Different products and services will attract different sections of the community and types of people. Working with a range of education and learning providers targeting different learning communities through cooperative development of products. Archives and Records Management Services can support the Curriculum for Excellence programs in school by developing targeted products. Archives and Records Management Services can support lifelong learning through	Range of educational products Outreach programs School visits Production of teaching aids to support specific curriculum requirements Work placement for trainees		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
	<p>relationships with community learning. It can encourage teachers, leaders and community groups to incorporate archival resources into their learning programs.</p> <p>Such initiatives broaden access to archives and records, increasing community engagement and assist in developing a sense of community belonging and identity.</p>			
How effectively does the Archives and Records Management Service engage, involve and value its volunteers?	<p>Archives and Records Management Services should ensure that measures are in place to encourage and value voluntary participation in developing and delivering their products and services.</p> <p>Such participation contributes to building a sense of community well being and cohesion and supports recording and providing access to community heritage, culture and identity.</p>	<p>Volunteer programmes</p> <p>Appropriate supervision and management of volunteer programmes</p> <p>Recognition of voluntary service</p> <p>Celebration of success</p> <p>Projects suited to voluntary contributions identified and prioritised</p>		
How well does the Archives and Records Management Service promote interpretation and	A process for continual re-interpretation of the holdings through exhibitions, outreach and other programmes, designed with	Publications, exhibitions, displays interpreting/reinterpreting holdings		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
reinterpretation of the holdings and how is this disseminated?	different tone, content and subject matter can promote engagement with particular target groups	Participation in professional debates/discussions		

LEVEL 5 illustration (Level 5=very good)

ARMS works with a range of other sections within Exemplar. It works closely with Information Technology Services, Risk Management and Quality Management to ensure systems are appropriate and implemented with recordkeeping requirements. It works with Internal Audit to incorporate recordkeeping into routine process audits. It works with each business unit on a continuing basis, training, helping and advocating good recordkeeping to all staff. The ARMS teams have regular communications newsletters, seek out invitations to address business unit team meetings and advocate recordkeeping through storytelling about consequences of bad recordkeeping. These endeavours are aimed at improving the organisational understanding and appreciation of good recordkeeping and enhancing the value of corporate memory. Continuous monitoring through formal and informal feedback mechanisms are employed to provide evidence of the quality and range of the services provided.

Exemplar inherited the records of a number of predecessor companies. Two of these had sesqui-centenary anniversaries of their establishment in the past year. ARMS created a number of displays for both Head Office and care facilities to celebrate these events. The aim of such events is to create a sense of community within the Exemplar Organisation.

ARMS works with a number of service providers to deliver its services, for example, with accreditation bodies in meeting recordkeeping compliance requirements and with commercial storage providers.

The Archivist undertakes a range of projects which actively seek to promote the existence of the records and archives of Exemplar to relevant communities. Recently, material was provided to a local history exhibition on the provision of community care for the aged. A range of brochures has been prepared and circulated to leading local cultural establishments highlighting the range and accessibility of the records in Exemplar's custody. The digitisation project aims to expand opportunities to make older Exemplar records accessible on the web.

The Shaw Report raised the awareness of the senior management to the importance of records of the type they create to the community. This message has been formalised into a range of presentations within the organisation and to the broader community on the social responsibility of

Exemplar as a trusted organisation. These presentations have been made to senior management, to each business unit and made available on the public web pages of the organisation. An increase in public attention to Exemplar's records and archives has prompted a review of resourcing for ARMS.

Quality Indicator 6: Leadership and Management

Outcome:

This indicator contributes to:

- Outcome 3: Support efficient delivery of services
- Outcome 4: Management and Governance

Themes:

This indicator is concerned with the following themes:

- Clear management vision is articulated
- Program /service is sustainable and positioned in a logical place in the organisational structure
- Internal lines of communication
- Strategic planning for continuous improvement
- Performance management
- Services offered are reviewed and monitored for relevance and quality
- Appropriate resourcing

Description:

To be able to provide an effective set of services, Archives and Records Management Services should be managed effectively with clear vision demonstrating how it relates and contributes to the outcomes of its parent body. Archives and Records Management Services should be managed as efficiently and effectively according to the established organisational management frameworks, including strategic planning, financial and human resource management. The resources provided by the parent organisation should be appropriate to the level of service required from the Archives and Records Management Services. Archives and Records Management Services should be seeking to continually improve its service offerings to the range of users, stakeholders and partners it supports.

All staff make a significant contribution to the range and quality of services provided. They should be fully engaged with the strategic planning and management processes.

Archives and Records Management Services should:

- Have a clearly defined and articulated vision on how Archives and Records Management Services deliver on organisational and/or national and local priorities
- Have a formal strategic or forward plan guiding the development and delivery of services targeting particular outcomes aligned to the goals and outcomes of parent organisations and/or national and local priorities
- Have a management reporting line within the parent organisation and within Archives and Records Management Services which enables the effective deliver of services
- Be committed to processes supporting self evaluation. Areas identified as weak should be priorities for improvement
- Have in place performance monitoring to contribute to continuous service improvement
- Have appropriate budget allocation and management which is linked to strategic priorities, service planning and performance monitoring
- Be able to identify and secure internal and external funding which matches service priorities
- Report to stakeholders on improvements and standards achieved

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
How well does the Archives and Records Management Service define and promote its vision?	A clear vision statement enables staff, management and the parent organisation to continually focus on the purpose of the Services. It should be aligned to the vision of the parent organisation.	<p>Vision statement</p> <p>Regular review of the vision statement</p> <p>Staff involvement in reviews of the vision statement</p> <p>Use of the vision statement in management planning processes</p>		
Does Archives and Records Management Services have a clear strategic or forward plan that outlines service development, outcomes and impacts?	Clearly articulated strategic or forward plans enable a coordinated approach to achieving goals and objectives. A focus on outcomes and impacts ensures that the efforts of Archives and Records Management Services are focussed on service and service improvements that can make a positive difference for users, stakeholders and the community.	<p>Strategic plan</p> <p>Forward plan</p> <p>Review cycle of the planning documents</p> <p>Consultation on the plans</p> <p>Analysis conducted on performance against the plans</p>		
How well do the management reporting lines, both to the parent organisation, and within the Archives and Records Management Services,	Clear and functional lines of communication between management and staff are essential to promote a culture of continuous improvement.	<p>Ease of access to management</p> <p>Staff grievances or complaints</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
support the effective delivery of services?		<p>Consistency of management approaches</p> <p>Openness of communication</p> <p>Organisational linkage to related disciplinary services (such as IT, audit, risk, information management, library, museums etc)</p>		
What performance monitoring mechanisms are in place and how have they impacted services?	Successful programmes know how they are performing in relation to peer programmes and organisations and in relation to previous years. The range of performance indicators will be dependent on the type, size and resources of Programme.	<p>Use of the ARMS quality indicators</p> <p>Internal performance indicators</p> <p>Self evaluation analysis</p> <p>Peer service benchmarking results</p>		
In what way is funding secured, allocated and managed by the Archives and Records Management Services management?	Appropriate budget allocation and management must be linked to strategic priorities, service planning and performance monitoring. Archives and Records Management Services should be able to provide the evidence base which justifies its budget bids and demonstrates the value of its service. Archives and	<p>Formal budget cycles</p> <p>Justifications for budget bids</p> <p>Independent budget for the Programme</p> <p>Regular expenditure monitoring and reporting</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
	Records Management Services must be able to identify and secure funding which matches the service priorities.	<p>against budget</p> <p>Identification and applications to external funding sources</p>		
How robust are the governance arrangements for Archives and Records Management Services?	Effective governance is essential to ensure that there is transparency and accountability and that Archives and Records Management Services are 'fit for purpose'. There is an obligation on Archives and Records Management Services to ensure clear, regular communication of relevant material, financial and other, to allow full monitoring of the Programme for its governance.	<p>Regular reports to governance bodies, stakeholders</p> <p>Availability of reports to the public</p> <p>Access of staff to governance body</p>		

LEVEL 5 illustration (Level 5=very good)

ARMS was formalised as an integrated team 5 years ago. It now has a clear mission statement and vision which stresses integration of the service and its relationship to other parts of the organisation. ARMS reports to the Chief Information Officer, along with IT, Library Management, Risk Management and Quality Management. The section has a 5 year strategic plan which is linked to the CIO Division's Corporate Plan and the organisational planning documents. The strategic plan clearly identifies areas scheduled for development and priority attention in the next 5 years. Targets are established and resourcing is planned to enable outcomes to be achieved. The plan is discussed extensively within ARMS prior to submission to the CIO. The plan is reviewed annually and approved by the CIO.

The ARMS Manager is responsible for an independent budget, allocated at the commencement of every financial year. Budgeting and resource planning processes involve all staff and uses the strategic plan as the basis for budget bids. Projects are prioritised according to realistic expectations of budget, discussed widely with internal stakeholders and, where appropriate, with partner organisations.

The increased attention to records and archives, as a means of demonstrating strong community engagement of the organisation, has highlighted the need for greater resourcing. This is acknowledged in the organisation, but significant change is yet to occur. Priorities are realistically identified to meet core organisational outcomes.

ARMS has piloted the new ARMS Quality Improvement Framework released by the Scottish Council on Archives, in an effort to both test the Framework and to initiate a programme of self evaluation.

Quality Indicator 7: Ethos and values

Outcome:

This indicator contributes to:

- Outcome 3: Support efficient delivery of services
- Outcome 4: Management and governance

Themes:

This indicator is concerned with the following themes:

- service orientation
- knowledgeable staff
- Innovation
- Management of change
- Sense of identity and pride
- Celebrating success
- Engagement

Description:

For Archives and Records Management Services to achieve their full potential, they must provide valued, high quality services that are relevant and accessible to all. Broad responsibility for the creation and management of resources to serve the community in wider social and cultural values and agendas both now and into the future should be demonstrated.

Staff are a key resource who must be appropriately trained and supported. Archives and Records Management Services should value professional training while providing ongoing opportunities for staff training and continual development to enhance the knowledge, competence and skills of the records and archives workforce.

Archives and Records Management Services that support innovative approaches to service delivery while managing change effectively, will foster and maintain engaged, committed and motivated staff.

Archives and Records Management Services should:

- Encourage innovation in services and service delivery
- Provide mechanisms to celebrate successes and individual achievement
- Ensure staff have training and development needs assessments carried out regularly, and are able to access appropriate training and development
- Encourage staff to gain appropriate professional qualifications and skills development
- Ensure the levels of staffing are maintained appropriately for the delivery of the service priorities
- Secure staff commitment to improving services and promoting innovation

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
How well are staff empowered and supported to improve services?	Improving services is more likely where staff are motivated, encouraged to contribute and feel valued. Dialogue between staff at all levels must be in place and innovation and delegation encouraged and supported.	<p>Staff contributions to strategic and forward planning</p> <p>Staff involvement with partner organisations</p> <p>Opportunities for staff to contribute to service development</p>		
What new service innovations have been recently introduced?	All Archives and Records Management Services must continually improve and implement creative approaches to service delivery. This contributes to an environment of continuous improvement. Encouraging innovation at all levels can increase knowledge, purposefulness and can make staff feel more valued and confident.	New projects commenced		
How well do Archives and Records Management Services ensure that they have the right number of staff in placed to meet the service priorities?	Users expect a reasonably prompt response to service requests. Archives and Records Management Services should establish service standards. Where staffing levels are adequate staff should be able to achieve these standards routinely. Where staffing is	<p>Service standards</p> <p>Monitoring of user feedback</p> <p>Staff satisfaction</p> <p>Absenteeism</p>		

Questions to ask	Why is this important?	Evidence		
		Possible evidence	Strengths	Areas for Improvement
	inadequate to meet the standards and user expectations, staff can become unmotivated and disconnected from the Archives and Records Management Services vision.			
How well has the outcomes of staff training and development impacted service delivery, knowledge and competence?	Staff need to be trained to ensure they can deliver services to a quality expected by users. Trained and knowledgeable staff are likely to be more motivated, more comfortable in dealing with user's requests and better able to deliver high quality services.	Individual staff training and development needs identified Professional qualification Participation in professional associations events		
How well does Archives and Records Management Services celebrate individual or Programme successes?	Archives and Records Management Services attract highly committed staff and volunteers. Providing mechanisms to celebrate successes, and be recognised by peers and colleagues will assist in maintaining staff commitment and motivation which contribute to ongoing quality services.	Professional recognition by peers organisations or professionals as exemplars Invitations to speak at conferences Formal and informal feedback to staff Recognition of effort and achievement		

LEVEL 5 illustration (Level 5=very good)

ARMS has a stable staff with little churn. Regular performance monitoring and reporting assess how the staff are responding to their responsibilities and roles, which have evolved significantly over the past 4 years. The stress of being asked to deliver at a higher strategic level has been noted. The ARMS Manager conducts one to one staff planning and development assessments on an annual basis. Training needs and professional development opportunities are identified and staff are encouraged to attend such events. Professional training is valued, with 2 current members of staff being supported through study leave to complete formal qualifications relevant to their jobs.

The success of the organisational advocacy on behalf of records and archives is celebrated through monthly team meetings, with peer recognition schemes in place. Both senior professionals on the ARMS team have been invited to present papers at professional conferences on the work at Exemplar. Such wider professional recognition is supported as an incentive to maintain motivation.

Staff are encouraged to seek feedback from all users of the service. The annual statistics show a very strong growth of recognition of good and improving services both within the organisation and to the wider community.

Staff are encouraged to be open and communicative within team structures. A programme of rotation has been introduced to widen the skills base across the Team.

APPENDICIES

APPENDIX 1: MAPPING OF ARMS TO SCOTTISH NATIONAL OUTCOMES

The Scottish National Outcomes have been mapped against the Quality Indicators for Archives and Records Management Services. Organisations need to exercise some caution in asserting significant contributions to these outcomes, although arguments can be made to demonstrate contributions. Organisations will need to exercise their own strategic judgement as to whether linking to multiple or only a few National Outcomes is desirable.

Scottish National Outcomes

The Scottish Executive has identified 15 high level national outcomes (numbered in the following list for convenience of reference only):

- We live in a Scotland that is the most attractive place for doing business in Europe (1)
- We live our lives safe from crime, disorder and danger (2)
- We realize our full economic potential with more and better employment opportunities for our people (3)
- We live in well designed, sustainable places where we are able to access the amenities and services we need (4)
- We are better educated, more skilled and successful, renowned for our research and innovation (5)
- We have strong, resilient and supportive communities where people take responsibilities for their own actions and how they affect others (6)
- Our young people are successful learners, confident individuals, effective contributors and responsible citizens (7)
- We value and enjoy our built and natural environment and protect it and enhance it for future generations (8)
- Our children have the best start in life and are ready to succeed (9)
- We take pride in a strong, fair and inclusive national identity (10)
- We live longer, healthier lives (11)
- We reduce the local and global environmental impact of our consumption and production (12)
- We have tackled the significant inequalities in Scottish society (13)
- Our public services are high quality, continually improving, efficient and responsive to local people's needs (14)
- We have improved the life chances for children, young people and families at risk (15)

The ARMS Quality Indicators

1. Create and Maintain Trustworthy Records
2. Protect Rights and Interests
3. Make sure our records and archives survive as long as required
4. Help people find and use our records and archives
5. Work with our community
6. Leadership and Management
7. Ethos and values

High level mapping

Shading indicates that ARMS can contribute to the achievement of the Scottish National Outcomes

(x axis is Scottish National outcomes, y axis is ARMS)

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1															
2															
3															
4															
5															
6															
7															

APPENDIX 2: MAPPING OF ARMS TO HGIOCS

HGIOCS

Key Performance Outcomes

- 1.1 Improvements in performance
- 1.2 Fulfillment of statutory duties

How well do we meet the needs of our stakeholders?

- 2.1 Impact on participants
- 3.1 Impact on paid staff and volunteers
- 4.1 Impact on the local community
- 4.2 Impact on the wider community

How good is our delivery of key processes?

- 5.1 Delivering services and activities
- 5.2 Promoting participation, development and learning
- 5.3 Engaging and developing communities
- 5.4 Promoting innovation, vibrancy and creativity
- 5.5 Contributing to the development of prosperity and wellbeing
- 5.6 Ensuring inclusion, equality and fairness
- 5.7 improving services

How good is our management?

- 6.1 Policy review and development
- 6.2 Participation of service users and other stakeholders
- 6.3 Operational planning
- 7.1 Sufficiency, recruitment and retention (of paid staff and volunteers)
- 7.2 Deployment and teamwork
- 7.3 Development and support
- 8.1 Partnership and integrated working
- 8.2 Financial management
- 8.3 Resource and risk management
- 8.4 Information systems
- 8.5 Commissioning arrangements

How good is our leadership

- 9.1 Vision, values and aims

- 9.2 Leadership and Direction
- 9.3 Developing people and partnerships
- 9.4 Leadership of change and improvement

The ARMS Quality Indicators

1. Create and Maintain Trustworthy Records
2. Protect Rights and Interests
3. Make sure our records and archives survive as long as required
4. Help people find and use our records and archives
5. Work with our community
6. Leadership and Management
7. Ethos and values

High level mapping

Shading indicates that ARMS can contribute to the achievement of the HGIOCS Outcomes

(x access is HGIOCS outcomes, y axis is ARMS)

	1.1	1.2	2.1	3.1	4.1	4.2	5.1	5.2	5.3	5.4	5.5	5.6	5.7	6.1	6.2	6.3	7.1	7.2	7.3	8.1	8.2	8.3	8.4	8.5	9.1	9.2	9.3	9.4	
1	Blue	Blue	Blue	Blue	Blue		Blue	Blue	Blue		Blue		Blue	Blue			Blue		Blue			Blue	Blue						
2	Pink	Pink	Pink	Pink	Pink	Pink	Pink	Pink			Pink	Pink	Pink																
3			Blue	Blue	Blue	Blue	Blue	Blue	Blue		Blue	Blue		Blue	Blue					Blue		Blue	Blue						
4		Pink	Pink	Pink	Pink	Pink	Pink	Pink	Pink	Pink		Pink			Pink									Pink					
5	Blue			Blue	Blue	Blue	Blue	Blue	Blue	Blue	Blue	Blue	Blue		Blue			Blue	Blue	Blue			Blue	Blue					
6	Pink	Pink		Pink									Pink			Pink						Pink	Pink	Pink	Pink	Pink			
7	Blue									Blue			Blue				Blue	Blue	Blue						Blue	Blue	Blue	Blue	

Please Note, there is no significance in the colour used in this table, contrast merely being provided for ease of access

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APPENDIX 4: About the Scottish Council on Archives

The Scottish Council on Archives is the lead body for the advocacy and development of archive services in Scotland. We are committed to developing a national strategy to take the archival community in Scotland forward.

We are funded by the Scottish Government to represent and advise our members, and to provide a voice of consensus on all matters affecting the Scottish archives community. The Council comprises representation from local authorities, universities, health boards, national institutions, user groups and many others, and acts both as a strategic agency and a facilitator of activity on the ground.

We support historic archives in county record offices and elsewhere, modern records management and electronic document management services, community archives, and activities such as conservation and preservation, as well as digitisation and learning. We also aim to promote archive services to the wider public by publicising initiatives such as the annual Archives Awareness Campaign.

Our Strategic Objectives

- to act as a focus for institutions and organisations concerned with the administration of archives in Scotland and to provide a forum for the exchange of views.
- to provide a voice of consensus on archive matters and to bring to the attention of the public, government bodies and relevant institutions and organisations, issues of current concern in the field of archives.
- to promote awareness of the unique contribution made by archives in preserving Scotland's cultural heritage and delivering democratic accountability.
- to assess and identify the current and future funding requirements of the archive sector in Scotland.
- to promote and support Scotland-wide initiatives within the archival community, and to facilitate dialogue and greater co-operation between repositories.
- to promote and support collaborative working with professional colleagues in the museums and libraries sectors in Scotland.

Contact

Email us at info@scoarch.org.uk, or call 0131 535 1362.

Scottish Council on Archives,
Room 21, National Archives of Scotland, H M General Register House,
2 Princes Street, Edinburgh, EH1 3YY