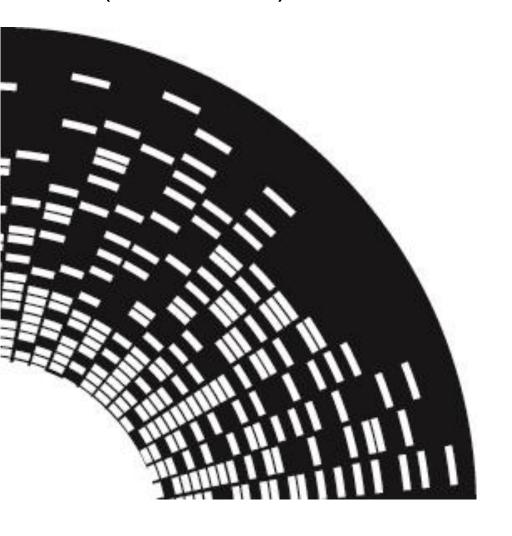# Collections Management Policy (Archives)

Lincolnshire Heritage Service

(2020-2024)

Name of archive: *Lincolnshire Archives*

Name of governing body: Lincolnshire County Council

Date on which this policy was approved by DLT: 9th October 2020

Date at which this policy is due for review: 31st March 2024

The Collections Management Policy (Archives) will be published and reviewed from time to time as legislation, policies or procedures change, and at least once every three years.

This policy will be communicated to all interested parties and made available to the public on request.

1. Background

A succinct Definition and Role of Archives was given by *Archives for the21st century* (The National Archives, 2009, as follows: "Archives are the record of the everyday activities of governments, organisations, businesses and individuals. They are central to the record of our national and local stories and are vital in creating cultural heritage and supporting public policy objectives. Their preservation ensures that future generations will be able to learn from the experiences of the past to make decisions about the present and future".

In response to the 2009 Government Policy, The National Archives, as lead body for the English archives sector, published "Archives for the 21st Century in Action – refreshed" in 2012. This document showcased successful work under five broad policy objectives, and acted as a call to action for archives to put these priority areas into practice. These reports were then evaluated in a report prepared for The National Archives by DJS Research in June 2015.

Archives begin life as documents that are created during the course of everyday activities. Over time, these records acquire a historical perspective, offering us a personal connection with past events and previous generations. Archives give an unrivalled insight into the historical development of places and people's daily lives- as our collective memory and heritage. They are for everyone to use - including professional researchers, family historians, academics, school groups, students, legal investigators and council officers.

They are especially important for learning: they inspire young people and help those of all ages develop new research skills. They also provide authoritative evidence to help solve problems and defend rights, and encourage pride in individual and community identities.

Lincolnshire Archives was established as a county service in 1948 with the bringing together of the records collected by the Lindsey, Kesteven and Holland County Councils, the City of Lincoln, and the Lincoln Diocesan Record Office. The Archives service was administered by the joint Lincolnshire Archives Committee until 1974. It is now governed by the Executive Council of Lincolnshire County Council.

Lincolnshire Archives protects, preserves, manages, shares and promotes the archival legacy of the historical county of Lincolnshire, safeguarding irreplaceable assets for the use of current and future generations.

Lincolnshire Archives is an Accredited Service by The National Archives, and is an approved Place of Deposit for public records; an official repository for manorial and tithe records; and the diocesan record office. It holds a Designated Collection (Arts Council England) of national and international significance: *The Bishops' Rolls and Registers*.

2. Lincolnshire County Council Corporate Plan - Our vision: Working for a better future

2.1.   Lincolnshire Archives is managed within the Council by its Culture Service, which includes libraries, heritage and archives.   Culture Service fully supports the Council's Corporate Plan, which sets out what we want to achieve for local residents and communities. The Council's Corporate Plan can be found at www.lincolnshire.gov.uk/corporate-plan.

2.2.   Our ambitions go far beyond what we can deliver on our own, so you will find within the Corporate Plan how we will work with public and private organisations to bring greater and lasting benefits to our county.

2.3.   The Corporate Plan underpins our 'One Council' approach, which ensures all services are working towards shared goals and will help different areas of the council work together more effectively.

2.4.   In 2019/20, the total cost of services Lincolnshire County Council provides will amount to £1,303m, inclusive of schools. The current capital programme encompasses planned spend of £119m in 2019/20 and a further £146m in future years.

2.5.   We want to be a council that continues to offer our residents the services they need and the lifestyle they deserve, but that also shows strong leadership and speaks up proudly for Lincolnshire.

2.6.   We are identifying key priorities for this council and for Lincolnshire. We are determined that in the coming years people and communities will have:
- High aspirations
- The opportunity to enjoy life to the full
- Thriving environments
- Good-value council services

3. Role of Lincolnshire Archives

3.1.   Lincolnshire Archives bring a wealth of personal enjoyment and fulfilment, educational and learning support, and a vast array of information to those living in Lincolnshire and beyond.

3.2.   Lincolnshire Archives assists the County Council in achieving its 10 year Corporate Plan, which was republished in 2020. The Corporate Plan sets out what the Council wants to achieve for local residents and communities. It underpins a 'One Council' approach, which ensures all services are working towards shared goals and will help different areas of the Council work together more efficiently. The County Council wants to be a council that continues to offer our residents the services they need and the lifestyle they deserve, but also shows strong leadership and speaks up proudly for Lincolnshire.

3.3.	The Corporate Plan recognises the Council's strengths and challenges; is working towards making Lincolnshire a place where everyone has high aspirations for their lives and their communities; wants Lincolnshire to be a place where everyone has the opportunity to live their lives to the full; wants communities to feel empowered to continually improve all aspects of their environment; and provides good-value council services. The County Council are committed to:

- Being customer-focused
- Working collaboratively
- Connecting our communities
- Advocating for Lincolnshire
- Making money go further
- Working creatively.

3.4.	Lincolnshire Archives assists the County Council in achieving national and regional government priorities with particular reference to developing skills, improving education, and maximising income generation to support service delivery.

3.5.	Lincolnshire Archives contributes to this via the professional management, collection, preservation and accessibility of historically significant records relating to Lincolnshire. This includes the present day County of Lincolnshire, and also documents of the ancient county, and the historically important archive of Lincoln Diocese; which once comprised of a number of other English counties.

3.6.	Record categories include: Ecclesiastical, Manorial, Estate and Family, Local Authority, Business and Solicitor records, and many artificial collections. All of which translate into a rich resource of research material that includes parish records, wills, enclosure maps, tithe maps, architectural plans, property deeds, leases, bonds, letters, minute books; comprising almost every form of information since the written record began. The Archives collections date from the early medieval era onwards, with our earliest record dating from 1072.

3.7.	Lincolnshire County Council has a responsibility to protect and provide access to the archives, collections and heritage assets it has direct ownership and responsibility for, whilst responsibility for overall cultural heritage of the County is a shared responsibility with other heritage and academic organisations in the County, and crucially the citizens of Lincolnshire itself.

3.8.	The Cultural Service provides an advisory and leadership role in the area of Cultural Heritage and Archives Management. The development and management of heritage and cultural assets, archives and collections in the County is a shared responsibility delivered in partnership and collaboration with other heritage and academic organisations.

3.9.	In the end final responsibility for Lincolnshire's Cultural Heritage remains with the wider public to ensure cultural heritage and life of the county and the country

are preserved for future generations, and that the present population can access this culture and heritage.

3.10. The Records Management function of the County Council is managed by the Council's Information Assurance Team. Through a dedicated Records Management Team, the County Council manages its records in line with both statutory and regulatory environments, and these are highlighted within a Records Management Policy. The County Council introduced a new Records Management Strategy 2018-21, which provides a strategic overview for records management within the Council. The Council's Retention schedule is published on the Records Management page on the Council's external website.

4. Organisational Structure

4.1. Within the Cultural Service there is a combined Collections Development Team. This is managed by two senior managers, each of whom has a lead responsibility for either museums or archives collections. Both managers' report directly to the Cultural Services Manager and are members of the Service's Senior Management Team. However, there is a shared responsibility for both museum collections (covered by its own Collections Development Policy (Museums) and for the Archive, which are covered by this policy.

Currently two officers within the Collections Development Team are required to hold a recognised archival qualification, with one post holding a senior position within the archive, and take a lead on day to day operations. They are supported by an Archive Visitor Experience Team who has responsibility for front of House duties including the Reception and Search Room, and Collections Development Assistants, who support Repository, Enquiries, Reprographics and project functions. A Preservation Officer (required to hold a recognised Conservation qualification and maintain ACR status) delivers on collections care and conservation issues.

4.2. The Collections Development Team is responsible for the accessioning, cataloguing, conservation and repository management.

4.3. Policy, policy statements, strategies, plans and procedures are interlinked, shared with all staff and driven by the service's core values to be accountable, skilled, inclusive, flexible and innovative.

4.4. The team works across the County Cultural Service to ensure that appropriate access to the documentary heritage of the area is enabled to the broadest possible spectrum of users, ensuring an effective and economic use of materials, whilst identifying and promoting income generation opportunities.

5. Legal and policy framework

5.1. Lincolnshire Archives seeks to abide by all current legislation. Material is acquired in accordance with the Statutory framework for the archive service as provided under:

- **Local Government (Records) Act 1962 (amended by the Local Government Act 1992, in relation to unitary authorities):** Enabling all

local authorities to promote the use of their records and empowering county and county borough councils to acquire records by purchase, donation or deposit.

- **Local Government Act 1972 (section 224-229): Which places** an obligation on 'principal authorities' to make proper arrangements for documents that belong to them or are in their custody.

- **Public Records Acts 1958 and 1967, and the Constitutional Reform and Governance Act 2010:** The Public Records Act of 1958 provided for the deposit of any class of public records, at the Secretary of State's discretion, in places other than the Public Record Office (The National Archives). Lincolnshire Archives is recognised as the appointed place of deposit for locally created Public Records as per The National Archives list of appointments and instruments. Appointments under the authority of the acts include records associated with the county court, petty and quarter sessions, land valuation, probate, coroner's office, Hospital, Ministry of Defence, HM Custom & Excise, Environment Agency and designated advisory committees.

- **Manorial Document Rules 1959, Manorial Document (Amendment) Rules 1963 and 1967. Tithe (Copies of Apportionment) Rules 1960, Tithe (Copies of Instruments of Apportionment) (Amendment) Rules 1963.**

- **Parochial Registers and Records Measure 1978 (amended 1993):** Lincolnshire Archives has been the Diocesan Record Office since 1948 and is designated by the Bishop of the Diocese as the official place of deposit for parish records. The Diocesan collection includes the Episcopal Registers and Rolls, designated with Arts Council England.

5.2. Access to collections is provided in compliance with:

- Freedom of Information Act 2000

- General Data Protection Regulation 2018

- Environmental Information Regulations 2005

5.3. As appropriate, archives are managed in accordance with the following standards:

- BS 4971:2017 Conservation and care of Archive and Library collections (superseding PD 5454:2012)

- BS EN 16893:2018 Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections in conjunction with PD 5454:2012 where applicable.

- PAS 198:2012 Specification for Managing Environmental Conditions for Cultural Collections

- PAS 197:2009 Code of Practice for Cultural Collections Management

- Public Service Quality Group Standard for Access to Archives

- General International Standard of Archival Description ISAD(G)

6. Policy Aims

6.1.　This policy replaces and brings together the following policies to relate specifically to Lincolnshire Archives:

- Acquisition & Disposal Policy: Museums, Archives and Local Studies (2010).

- Collections Access Policy (2012).

- Collections Development Policy: Museums, Archives & Local Studies (2013).

6.2.　The *Collections Management Policy* sets out the core activities carried out in relation to the collections held at Lincolnshire Archives. It outlines the co-ordinated approach to collections adopted by Lincolnshire Archives, connecting five areas of collections management activity.

6.3.　It provides the framework for the development, management, care and access to archives within the holdings of Lincolnshire Archives

6.4.　The policy applies to all archives held by Lincolnshire Archives, for example whether owned or on deposit, held in store or made accessible physically or digitally.

7. Relationship to other relevant policies/plans:

7.1.　The Collections Management Policy (Archives) is guided by:

- Lincolnshire County Council's constitution and statement of purpose

- the statutory basis on which the archives operates

- the public benefit derived from effective use and management of archives

- an assessment of the needs of the service's archives and users

- archives held by other archives and organisations collecting in the same or related geographic areas or subject fields.

7.2. The Collections Management Policy (Archives) sits alongside the Collections Development Policy (Museums) where relevant to strategic delivery and reporting lines.

8. Policy Structure

8.1. The Collections Management Policy (Archives) integrates a series of individual policy statements regarding the management of its archives.

8.2. Policy statements comprise:

- **Collections Development:** establishing the decision making, ethical and legal framework within which acquisitions and disposals are made, covering the full range of archive and local studies material at Lincolnshire Archives and setting out priorities for future collecting. The statement provides the public and staff with more detail and guidance to inform acquisition and disposal decisions.

- **Collections Information:** defines the information that Lincolnshire Archives will gather and provide about archival collections. It also outlines the history of collections information and cataloguing with the Service and the current cataloguing systems and professional standards used. It outlines how Lincolnshire Archives maintains and provides accurate documentation of its collections for the purpose of improved control and access. It aims to ensure that adequate and appropriate information about the archival collections in its care is collected, recorded, arranged and made available as appropriate. Lincolnshire Archives aims to make collections as accessible and as easy to discover as possible by making available collections information to our stakeholders/customers. Lincolnshire Archives will ensure that all collections information procedures and activities are sustainably resourced, and aims to review and streamline all of its collections information procedures in order to ensure that they are necessary and as efficient as possible.

- **Access:** The service aims of Lincolnshire Archives as set out in the Statement of Purpose above include making its collections accessible to the public as a central function of its entire staff. The Access Policy Statement focuses on the underlying principles, which will ensure all stakeholders in Lincolnshire Archives are clear about their rights and responsibilities. The stakeholders are the community served by the office, its users both actual and potential, its researchers both on-site and remote, its depositors, staff and funders. Legislation, government policies (UK, national and local) and priorities for the service's funding authorities have impact on various points relating to access. Lincolnshire Archives aims to meet all these in its services.

- **Digital Preservation:** Digital preservation issues are critical to many aspects of the work of Lincolnshire Archives. The bulk of Lincolnshire Archives' holdings have so far been received in traditional formats, such as paper or parchment. However, it is anticipated that in future, an increasing quantity will be received in electronic format. Currently access is primarily being provided through the Council's Lincs to the Past website, which is being reviewed. Digital copies of hard copy originals are also being created in-house for preservation or access reasons, or deposited with Lincolnshire Archives in

place of the original. This digital heritage is at risk of being lost to posterity. Contributing factors include the rapid obsolescence of hardware, software and storage media, uncertainties about resources, responsibility and methods for maintenance and preservation, and the lack of supportive legislation. To address the risk of losing digital materials, Lincolnshire Archives has developed a Digital Preservation Policy Statement. This policy statement outlines the Archives' approach to digital preservation. This will ensure preservation of digital material held at Lincolnshire Archives, whether received from the Records Management Service as part of Lincolnshire County Council's electronic corporate memory, deposited or donated by businesses, organisations or individuals, or created as digital surrogates, and to ensure that these can be made available to colleagues and customers, both internal and external, now and in the future. Best practice is developing in the area of digital preservation, so the Digital Preservation Policy Statement can only provide recommendations based on current thinking, and will be reviewed regularly in the light of new research.

- **<u>Care and Conservation</u>:** The Care and Conservation Policy Statement outlines the strategic approach of Lincolnshire Archives in caring for and conserving its archive collections to ensure that they will be available for future generations to use and enjoy. It provides a comprehensive statement on the preservation of the archive collections, and communicates the principles that guide the conservation activities necessary for their long term protection and security. It provides a framework to aid managerial decisions on future development, a source of information to staff who share a common responsibility in caring for the collections; a statement of commitment to archive users and depositors; a supporting document to facilitate funding applications; and a benchmark to improve standards and measure performance. It is underpinned by the British Standards Institution's Conservation and care of archive and library collections, BS4971:2017 and Conservation of Cultural Heritage Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections, BS EN 16893:2018 along with the British Standards Institution and the Collections Trust, Code of Practice for cultural collections management PAS 197:2009.

Appendix 1: Collections Development Policy Statement

1. Collections Development Policy Aims

1.1. The *Collections Development Policy Statement* covers the full range of archive and local studies material at Lincolnshire Archives, and establishes the decision making, ethical and legal framework within which acquisitions and disposals are made.

1.2. The policy sets out priorities for future collecting.

1.3. The statement provides the public and staff with more detail and guidance to inform acquisition and disposal decisions.

2. Existing Collections and Collecting Criteria

2.1. Geographical area:

Lincolnshire Archives is operated and managed by Lincolnshire County Council. It collects preserves and makes accessible not only historically significant records relating to the present day County of Lincolnshire, but also documents of the ancient county, and the historically important archive of the Lincoln Diocese.

Lincolnshire Archives was established as a county service in 1948 with the bringing together of the records collected by the Lindsey, Kesteven and Holland County Councils, the City of Lincoln, and the Lincoln Diocesan Record Office. The Archives service was administered by the joint Lincolnshire Archives Committee until 1974. It is now governed by the Executive Council of Lincolnshire County Council of elected members, with some decisions delegated to the Portfolio Holder for Culture.

2.2. Subject Area:

Record categories include: Ecclesiastical, Manorial, Estate and Family, Local Authority, Business and Solicitor records, and many artificial collections. All of which translate into a rich resource of research material that includes parish records, wills, enclosure maps, tithe maps, architectural plans, property deeds, leases, bonds, letters, minute books; in fact almost every form of information since the written record began, and all professionally managed.

The service also holds local studies collections containing books and other published works relating to Lincolnshire.

2.3. Chronological Period:

The Archives collections date from the early medieval era onwards, with our earliest record dating from 1072.

2.4. Format

Lincolnshire Archives holds and collects documents, maps and plans, photographs, local books and pamphlets and electronic media.

The format of archives includes paper, parchment, seals, photographic, microform or electronic media and may be manuscript, printed or machine readable.

3. Collecting Framework

3.1. Lincolnshire Archives employs a two dimensional collecting strategy:

- Items the Service accepts reactively (i.e. accepting donations etc.). Bequests will only be accepted providing that the archive is able to review all the material being bequeathed. However, depending on the research value, we may decide not to accept everything. It will also need to be made clear in the bequest that material can be disposed in accordance with the archive policy.

- Items the Service goes out to acquire (proactive collecting).

3.2. In line with the core aim and outcomes, and directly relating to the following principle: *Focus on enhancing the overall significance and strength of collections in a proactive and targeted way,* future collecting will continue to be more proactive and concentrate on key identified/priority areas. There will be an effective balance between proactive and reactive collecting (and non-collecting), and a general focus on topic/significance rather than over-arching status.

3.3. Collections are grouped into categories and assessed according to their general significance level (High, Medium, & Low) and the over-arching status (international, national, regional, and local), in accordance with archival and local studies *Assessing Significance* methodology.

3.4. In terms of the whole collection, the Tennyson collection and Bishops Rolls have international status, with the latter also being recognised as a Designated Collection of national and international significance under the scheme now administered by Arts Council England: *The Bishops' Rolls and Registers.*

3.5. A simple traffic light system has been devised to help simplify collecting decisions.

Green = 'Go collect'

- Proactive collecting
- Reactive collecting
- Concentration on identified priorities (both in terms of categories and in terms of identified areas within a category or sub-category).

Amber = 'Pause and consider'

- Proactive collecting on a case by case basis

- Reactive collecting only in exceptional circumstances, on a case by case basis.
- Concentration on identified priorities (both in terms of categories and in terms of identified areas within a category or sub-category).

Red = 'Stop'

- No collecting, either proactive or reactive; only by exception

3.6. The table below illustrates how this broad 'traffic light' framework is applied across the core collections categories and sub categories.

COLLECTION		CURRENT SIGNIFICANCE		COLLECTING STATUS
Category	Sub-category	Rating	Note	Note
Archives		H	REG*	AMBER
	Artificial	M	LOC/REG	AMBER
	Businesses	L	LOC	AMBER
	Ecclesiastical	H	NAT	GREEN
	Estate and Family	H	REG	GREEN
	Industrial	L	LOC	RED
	Local authority	H	LOC	GREEN
	Organisations	M	LOC	AMBER
	Public Records	H	LOC/REG	GREEN
	Solicitors	M	LOC	AMBER
	Records Management	H	LOC	GREEN
Local Studies		L	REG	RED
Foster Library Only		L	INT	AMBER
Tennyson		H	INT	GREEN
	Manuscripts & Proofs	H	INT	GREEN
	Correspondence & Family Papers	H	INT	GREEN
	Photographs	H	INT	AMBER
	Works	H	INT	GREEN
	Biography/Lit Crit	L	INT	AMBER

3.7. Exceptions may be granted on the grounds of significance and filling recognised gaps in the current collections.

3.8. Across each of the categories, and sub-categories, a number of collecting priorities have been established and these will provide a focus for collecting in

future years and be given preferential consideration in the decision-making process (especially within the 'Amber' zone).

3.9. Since 2011 the Service's approach to proactive collecting has been refined and developed, in accordance with aspiration at that time, and as evidenced by data provided in the annual acquisition report.

3.10. Where reactive collecting is agreed, this will be in collections identified as being of high regional significance and high status (i.e. international or national) but still respecting other key principles and outcomes, such as research value, statutory requirements (e.g. Parochial Measure, PR Act etc), non-duplication, sustainable/value for money etc.

3.11. There is recognition that collecting might not (always) mean the acquisition of original materials, especially where the archive does not have sufficient storage capacity or specialist knowledge in house to care and manage. In cases such as this, recording – via photography, reporting, film etc. may be an appropriate alternative means of collecting.

3.12. With regard to the collection of contemporary material, it is difficult to make decisions based on prospective significance. Contemporary collecting is seen as implicit across all subsets rather than a discrete collecting area, although it is recognised that different collections have different potential to receive contemporary material, in terms of availability, necessary funding, storage capacity, staffing resource etc. However, the archive will proactively try to collect material where there are known gaps, for example material relating to new communities within Lincolnshire, such as the Polish community.

3.13. The diversity within collections makes the assessment of international/national/ regional or local status a 'one size fits all', generic judgement and therefore open to argument. For example, the Archives collections have examples of international status (Bishops Rolls and Registers, however the overall collections are not consistently international in their standing.

3.14. The core set of assessment and acceptance criteria outlined below will under-pin all collecting.

4. Collecting Criteria

4.1. The following general collecting statements cover all archive collections.

4.2. The service will carry out all collecting in accordance with this policy statement, and in line with the Collecting Framework above.

4.3. All archives collected will contribute to telling the story of Lincolnshire from its earliest recorded point through to the present day.

4.4. Lincolnshire Archives does not normally seek to acquire archives in fields which fall outside the existing strengths of its holdings.

4.5. Lincolnshire Archives solely collects material from the County of Lincolnshire. For pre 1974 material this is defined as the county prior to the local government reorganization of 1974. For 1974 and later material this is defined as the county following the local government restructure of 1974.

4.6. Collecting is undertaken in collaboration with other collecting authorities. Lincolnshire Archives will respect the collecting policies of other institutions and pay due regard where local repositories have a greater claim to material, or where there are overlapping collecting boundaries (geographical and strategic),

4.7. Lincolnshire Archives concentrates on collecting within statutory (or quasi-statutory) responsibilities in the first instance.

4.8. Collections may be developed in partnership with others, particularly where this adds value and meets the objectives of Lincolnshire County Council.

4.9. Archives are collected where deemed of demand and use for future research or display.

4.10. Lincolnshire Archives may develop new collections that chart historical and contemporary life in Lincolnshire, and reflects the cultural interests of the different communities within the county of Lincolnshire. This may include proactively addressing gaps in collections, focusing on identified priorities to enhance the general significance and strength of collections. However, the archive will proactively try to collect material where there are known gaps, for example material relating to new communities within Lincolnshire, such as the Polish community.

4.11. This may include seeking to rescue collections in danger of being lost due to organisations closing, limited only to where archives are considered to be significant with regard to the stated collecting priorities. This is subject to that material being reviewed so that only the most significant material is collected, and not always the whole collection. It is also subject to the ability of the archive to store that material safely, and has the storage capacity to accept it. Lincolnshire Archives does not have the storage capacity to be able to accept large volumes of material.

4.12. Contemporary archives will be proactively collected to ensure that there is a rich resource to excite and enrich the lives of future generations. Contemporary collecting may be enhanced by encouraging communities to donate in specific areas; for example new communities within Lincolnshire, such as the Polish community.

4.13. Collections will be used to inspire and develop projects aimed at increasing and widening access and celebrating the county's cultural heritage. Collections will be developed with access, exhibitions and activity in mind, and in accordance with the over-riding principles and collecting statements.

4.14. Any duplication of collections will be avoided.

4.15. All collections are considered to be dynamic, i.e. not tied to a specific location and with expectation that they will be developed over time to reflect changing ideas and to meet the changing needs of audiences.

4.16. Lincolnshire Archives is pleased to accept gifts, or donations in areas identified for reactive collecting, but reserve the right to decline or relocate them (geographically) as appropriate in accordance with deposition terms. Bequests will only be accepted if the archive is able to select the material it wishes to accept, and where there are no restrictions on disposal in accordance with the Disposal Policy.

4.17. Lincolnshire Archives will look to increase strategic review of archives to enable greater capacity for collecting and the outcomes behind the Collections Development Policy (improving access, maximising storage space, focusing on significance).

4.18. Where possible the archive will build upon existing staff specialist knowledge in order to provide access and increase the potential to pursue funding to develop (and care for) collections.

4.19. Critical factors such original material format, storage capacity and available resources will be factored into decision making.

5. Exclusions to Collecting

5.1. Lincolnshire archives may accept documents for permanent archival preservation for their evidential and historical value, where they meet the selection criteria outlined above.

5.2. Unless material is in some way deemed to be unique, significant or special enough to override the criteria below, the service will not seek to collect records which fall into the following categories:

- Records of national rather than local remit where there may be a more suitable national or specialist repository which can provide the relevant expertise

- Records with no connection to the historical county of Lincolnshire or its inhabitants

- Records of a particularly specialist nature, requiring skills or equipment beyond the service's resources to preserve, exploit or interpret, or for which there is another more suitable repository.

- Records of low informational value or little historical value for research (e.g. no context or sparse detail) or records with insufficient historical content to add to the archive collections (this judgement will call on the considered opinion of more than one professional staff member).

- Unidentifiable content for example places or people, including unidentified photographs.

- Recently created records (less than 30 years since creation) unless material is of prime significance, or if there is a statutory obligation. This is particularly relevant where material is not to be made immediately available to researchers. An exception may be made in the case of organisations which are no longer active or if they are of significant historical value.

- Records which do not contribute to an understanding of the aims and objectives of the creating body or individual.

- Records which constitute duplicates of original material e.g. typescripts, printed material.

- Records in poor physical condition or beyond repair (including badly faded inks and papers), with the exception of historically significant material where a conservation plan is viable.

- Lincolnshire Archives reserves the right to refuse large collections where the depositor or donor is unable to provide a basic finding aid. This is necessary to maximise potential access to collections which may otherwise not be catalogued by Lincolnshire Archives within a reasonable time period after being accepted.

- Records where Lincolnshire Archives cannot provide adequate storage or space. This includes inability to provide appropriate specialist storage conditions in accordance with relevant British Standards for Collections Care and Storage.

- Material in a format or medium requiring special equipment for their consultation or storage unless we have or plan to obtain the necessary equipment; or can arrange facilities for appropriate public access elsewhere under proper invigilation. This includes the following formats which are not collected:

  - Film and video material: where possible and appropriate, Lincolnshire Archives will recommend transfer to the Media Archive for Central England (MACE), or other relevant specialist archives

  - Audio cassettes: See above

  - Three dimensional objects: These will be redirected to a relevant museum where appropriate.

5.3. Owing to the limitations of current IT systems, digital format archives will only be collected where mandatory, or following careful consideration. This will be reviewed when revised systems have been implemented.

5.4. Further collecting to the Foster Library will only be undertaken where material is directly relevant to existing archival holdings i.e. where relevant to the

understanding and provenance of existing archival holdings or useful to researchers in the interpretation of existing collections.

5.5. All local studies material will be directed towards Greenwich Leisure Limited as the contractor for Lincolnshire's Library service.

5.6. Deposits or donation upon which unreasonable limits on access and copying in excess of legal restrictions applies including data protection. Lincolnshire Archive is unable to collect archive collections specifying a closure period of records unless there is a statutory requirement to do so.

5.7. Lincolnshire Archives reserves the rights to apply deposition criteria and limitations on specific classes of records, including:

- o Hospital Records: Lincolnshire Archives does not routinely accept patient case files (with the exception of historical patient case files)

- o School records: Lincolnshire Archives will take in log books and admission and discharge registers for former Lincolnshire County Council schools. Other records of former Lincolnshire County Council schools are not routinely taken, nor are any records of non-Lincolnshire County Council schools unless the archive already has substantial holdings for the school or it is/was run by an organisation for which we hold material.

5.8. Generally Diocesan/parish records will not be accepted where less than 15 years old, with the exception of parish registers.

5.9. Coroners' and Magistrates' Court records are not accepted where less than 20 years old.

5.10. Industrial records are not normally collected.

5.11. Solicitors Records that include deeds, manorial records, and tithe records may be accepted subject to prior discussion with a qualified archivist.

5.12. The Cultural Service will consider the purchase of items of exceptional interest if they cannot be obtained in any other way. Where possible, external sources of funding will be sought to assist with such purchases.

5.13. No acquisitions will be attempted outside the terms of this policy.

6. Selection and De-accessioning policy

6.1. Full conditions of deposit/donation are provided on Lincolnshire Archives' current Terms of Agreement for the Deposit or Donation of Records. These may be reviewed from time to time with the agreement of the depositor/donor.

6.2. Lincolnshire Archives reserves the right to require a potential depositor or donor to provide a valid title of ownership, and to refuse to accept a donation or deposit if this is not supplied.

6.3. Only documents which in the judgement of a qualified archivist are of sufficient quality for permanent preservation will be accepted. Finding aids will be required with deposits where bulk is likely to render the documents otherwise inaccessible until processed.

6.4. The archive will not accept records that are of a particularly specialist nature, requiring skills or equipment beyond the archive's resources to preserve, exploit or interpret.

6.5. Lincolnshire Archives reserves the right to return to the depositor any records deemed to be of no historical interest or, with the consent of the depositor or under the agreed terms of deposit, to transfer them to a more appropriate place of deposit or to destroy them confidentially.

6.6. Ephemera, duplicates, containers including picture frames, filing cabinets, boxes, tins and unused stationery in archive material will be removed and disposed of during the initial appraisal process.

6.7. Lincolnshire Archives reserves the right to conduct a periodic review of the records held (via re-appraisal), where holdings were not previously subject to the current collecting criteria. Where necessary their disposal or destruction may be recommended.

6.8. Material may be deselected for reasons including items falling outside of the Collections Development Policy, items posing a risk to health and safety, items in a poor physical condition damaged beyond repair.

6.9. There is therefore the potential to deaccession items (other than public records, if they are not considered to be of sufficient value for the historical research of the county.

6.10. Archives will be transferred to a more suitable repository if it is felt that the documents would benefit from their relocation.

6.11. Where appropriate, depositors will be engaged during any decision-making regarding the de-selection of deposited material. Donors will be consulted regarding deselection where relevant to their terms of donation.

6.12. Depositors must notify Lincolnshire Archives of any change of contact details. If all reasonable attempts to trace an owner fail, the deposit will be regarded as a gift and in such circumstances Lincolnshire Archives reserves the associated right to dispose of records where applicable.

7. Withdrawal of Material

7.1. If owners of deposits on long term loan wish to permanently withdraw their records less than 20 years after date of deposit, a fee will normally be levied, which will reflect storage costs.

Appendix 2: Collections Information Policy Statement

1. Collections Information Policy Aims

1.1.   To define the information that Lincolnshire Archives will gather and provide about its archival collections.

1.2.   To outline the history of collections information and cataloguing with the Service and the current cataloguing systems and professional standards used. It outlines how Lincolnshire Archives maintains and provides accurate documentation of its collections for the purpose of improved control and access.

1.3.   To ensure that adequate and appropriate information about the archival collections in its care is collected, recorded, arranged and made available as appropriate. Lincolnshire Archives aims to make collections as accessible and as easy to discover as possible by making available collections information to our stakeholders/customers.

1.4.   To aid Lincolnshire Archives in ensuring that all collections information procedures and activities are sustainably resourced, and aims to review and streamline all of its collections information procedures in order to ensure that they are necessary and as efficient as possible.

1.5.   Lincolnshire Archives effectively and viably manages assets and relates these directly to the needs of our customers. To achieve this we will regularly assess our holdings against both our current and anticipated portfolios. The archive will also ensure that its strategic collecting reflects contemporaneous cultural trends within the county, as well as establishing (and building upon) the core elements of the county's intrinsic and unique archival heritage. In essence, it will focus on relevant collections, whilst also determining the gaps in material culture holdings that relate to the late 20th and 21st Century. The focus on a core collection (and its strategic development) will necessarily entail a critical review of holdings, undertaken in accordance with recognised national professional guidance and key stakeholder input, and will prioritise those elements of the collections against which it intends to dedicate available resources for the foreseeable future, and identify those which will form the subject of potential partnership activity with other relevant/appropriate organisations/sectors.

1.6.   Lincolnshire Archives makes archival material accessible by organising, cataloguing and indexing it. It achieves this through the following functions:

- To provide a supervised Searchroom, open to the public where this material may be used;
- To provide services to remote users;
- To provide professional advice to owners and custodians of archive material (charges may be applicable);
- To raise awareness of the Lincolnshire Archives both within and beyond the county boundary

1.7.   We seek continuous improvement by applying excellence to all that we do.

1.8. We strive to deliver excellence by working within the Cultural Service's Mission, Vision and Values.

2. Collections Information Framework

2.1. Lincolnshire Archives captures information at various stages during the processing of a collection, from its point of deposit through to its accessioning, cataloguing and subsequent development, and as information legislation affecting archives is introduced and modified. This Policy covers information gathered:

- At point of deposit / during the accessioning process
- During cataloguing (including accruals) and indexing, including database input
- Through location and movement control
- Regarding demand, usage and disposal
- Regarding physical condition, preservation and conservation activities.

2.2. This information is recorded and maintained in a variety of places and formats. These include but are not limited to:

- Manual Accessions Register
- Electronic Cataloguing Backlog List
- Electronic Locations Spreadsheet
- Manual Document Request Slips
- Manual Conservation Work Request Slips
- Depositors' Correspondence Files (partly paper, partly electronic) which may be used to augment the information found in accessions and catalogue records
- CALM Collections Management Software (intended eventually to supersede the above formats, if not actually replace them all, as the primary means of collections information)

2.3. Lincolnshire Archives will take steps to record the information required to ensure digital materials are preserved and can be retrieved and used.

3. Information Capture

3.1. Point of Deposit/Accessioning

- Lincolnshire Archives has always maintained an accession register, terms of deposit/donation, and accession forms recording ownership and legal status of collections, though the formats have altered since the

establishment of the Archives in 1948, according to both practical needs and changes in technology and information legislation.

- Accurately recording the provenance of deposited material within Lincolnshire Archives' custody is crucial to preserve the integrity of our archival heritage. In order to achieve this Lincolnshire Archives will continue appropriately and accurately to accession every donation, loan, purchase and bequest of records. This includes recording any information needed to authenticate the ownership and legal status of material.

- Individual deposits are allocated a unique Accession Number at Lincolnshire Archives. This forms a numeric sequence for each calendar year (e.g. 2006/029). These unique accession numbers are subsequently linked to catalogue reference numbers.

- Depositors are required to prepare box/contents lists prior to deposit. We also welcome all relevant information regarding a collection that depositors can supply at the point of accession, as this helps us to process the records within an accurate context.

- Information recorded includes the following:

    - Date of deposit

    - Name and contact details of depositor(s)

    - Accession number, title and summary description of deposit

    - Extent of deposit

    - Approximate creation dates of deposit

    - Accession category (Gift, Loan, Purchase, Transfer etc.)

    - Any access restrictions (due to depositors' conditions, sensitivity of information, etc.)

    - Any known copyright restrictions

    - Any known administrative and custodial history

- A copy of the accession register form, signed by both parties, is issued to the depositor as a receipt. Lincolnshire Archives seeks to retain on-going contact with depositors to ensure that that information on the ownership and provenance of collections is up-to-date.

- A formal combined receipt and agreement for every donation, loan, bequest, purchase and transfer is issued in accordance with Lincolnshire Archives' terms and conditions of deposit and requires the countersignature of the depositor, donor, executor/administrator of the estate or transferring officer. This receipt and agreement is legally binding.

- Lincolnshire Archives participates in The National Archives' annual Accessions to Repositories Survey to enable up-to-date information to appear on the National Register of Archives.

- In keeping with Data Protection restrictions and the confidentiality of the agreement made between Lincolnshire Archives and the depositor(s), full details of the accessions register will not normally be made available to the public.

3.2. Cataloguing (including Accruals) and Indexing:

- Cataloguing since 2003 has been undertaken using CALM software. Lincolnshire Archives uses the following standards:

  - The mandatory elements of International Council on Archives, General International Standard of Archival Description [ISAD(G)].
  - International Council on Archives, International Standard Archival Authority for Corporate Bodies, Persons and Families [ISAAR(CPF)].
  - National Council on Archives, Rules for the Construction of Personal, Place and Corporate Names [NCA Rules].

- The fundamental multilevel description rules outlined in ISAD(G) specify:

  - Description from the general to the specific.
  - Information relevant to the level of description.
  - Linking of descriptions.
  - Non-repetition of information.

- The six essential elements of any catalogue are as follows:

  - Reference number(s).
  - Title.
  - Creator (i.e. person/organisation responsible for creating the records).
  - Covering date(s).
  - Extent (normally given in cubic metres or description of physical unit).

- o Level of description.

- Depositor details are omitted from catalogues for data protection reasons.

- Lincolnshire Archives is committed to cataloguing smaller deposits on accession; larger accessions are prioritised for cataloguing as resources allow, together with upgrading and revision of older catalogues to ensure they meet current standards.

3.3.   Accruals:

- Accruals to existing collections are catalogued separately but linked to previous deposits from the same source through their finding numbers, hierarchical arrangement in CALM and cross-referencing within the catalogue entries.

3.4.   Online Catalogues and Indexes:

- In addition to printed catalogues and indexes available in our Searchroom, access is provided via the online catalogue at www.lincstothepast.com, which links directly to our CALM database.

3.5.   Collection Levels:

- Collection level descriptions are created for all collections. The information elements displayed at fonds (collection) level are:

  - o Reference Code.
  - o Title.
  - o Dates of Creation.
  - o Extent.
  - o Name of Creator(s).
  - o Administrative and Biographical History.
  - o Scope and Content.
  - o System of Arrangement.
  - o Conditions Governing Access.
  - o Finding Aids.
  - o Appraisal, Destruction and Scheduling Information.
  - o Accruals.
  - o Related Units of Description.
  - o Notes.

- The information elements displayed at item/file level are:

  - o Repository.

- o Reference Number.
- o Title.
- o Description.
- o Creation Dates.

3.6.   Restrictions and Closure Periods

- Lincolnshire Archives collections include records subject to certain access restrictions or periods during which the records are closed. These are determined by Data Protection including GDPR and FOI legislation, advice and guidance from The National Archives and the Information Commissioner's Office or where agreed, imposed by the depositor. The County Council's Information Assurance Team also offers guidance and advice in this respect. Lincolnshire Archives reviews existing catalogued collections to ensure that sensitive or personal information is not released.

- Lincolnshire Archives encourages depositors not to impose undue restrictions on access to collections, and we will not acquire material that will remain closed for a significant period of time unless, it is immediately at risk and worthy of permanent preservation. Such material is typically bulky and often semi-current. For reasons of confidentiality and access, it is recommended that depositors retain such material until the closure period has expired. At this point, we shall evaluate and select material worthy of permanent preservation. If storage space is an issue, there are many external commercial storage options available. Church of England bodies may contact the Church of England Records Centre to discuss the possibility of using their charged-for accommodation.

- Users are made aware of restrictions and their rationale and staff follow documented procedures when advising users of the steps necessary to gain access to particular classes of restricted records.

3.7.   Location and Movement Control

- To help fulfil its obligations of care to the archive material it holds and to the depositors of such material, Lincolnshire Archives always aims to maintain up-to-date information on the locations of all items in its care.

- Depositors wishing to withdraw their own archive material temporarily must complete and countersign a form prepared and signed by Lincolnshire Archives staff to authorise such a withdrawal.

3.8.   Disposals and Withdrawals

- Lincolnshire Archives reserves the right to review archives in its custody and to recommend their transfer, disposal or destruction provided that this complies with its aims and objectives and that all relevant consents have been obtained.

- Lincolnshire Archives maintains a record of all disposal decisions, including their rationale.

- If owners of deposits on long term loan wish to permanently withdraw their records less than 20 years after date of deposit, a fee will normally be levied which will reflect storage costs.

Appendix 3: Collections Access Policy Statement

1. Aims and General Principles

1.1. Lincolnshire Archives subscribes to the principles of the Standard for Access to Archives (PSQG)1:

- To serve its community as effectively and efficiently as possible.
- To seek to serve **all** of its community, devising a range of services appropriate to the community's stated or implied needs.
- To aim to encourage as much access by users to primary source material as is compatible with the permanent preservation of unique and irreplaceable material. There should be a presumption of openness and any restrictions should conform to tightly defined criteria.
- To define the objectives it is seeking to achieve and consult with stakeholders to develop and review that definition. The satisfaction of users shall be amongst its primary objectives.
- To plan explicitly to achieve these objectives and consult with stakeholders in developing that plan.
- To have systems to measure its performance against its plans.
- To have user feedback mechanisms and complaints procedures and clear channels of communication to and from other stakeholders.
- To respond explicitly in its plans to over and under-performance and to use stakeholder feedback to maintain an appropriate balance of resources over the full range of objectives.
- To communicate to stakeholders its definition of stakeholders, its objectives, its plans, its performance, the means of communicating with it, and its response to feedback.
- To function through processes in which the user is an active participant and in which the user has responsibilities as well as rights.

2. Principles of Good Practice

2.1. It is clear who Lincolnshire Archives is intended to serve and what it is intending to achieve in providing access to its collections.

2.2. To achieve **equity** Lincolnshire Archives aims to satisfy users in its community and does not discriminate against any member of its community.

2.3. Lincolnshire Archives has open, effective, two-way **communications** with its community and its policies are available for scrutiny and comment.

2.4.   Lincolnshire Archives is **responsive**, dealing effectively with comments and complaints from users, regularly reviews its performance and makes improvements and its policies reflect the views and interests of its stakeholders.

2.5.   Lincolnshire Archives is managed to meet its aims **effectively and efficiently**, innovates to deliver better services while actively managing risk and regularly reviews the effectiveness of its actions.

2.6.   It is clear who has **managerial responsibility** for the service and how they can be contacted.

2.7.   All **staff participation** in delivering the right service to users is guided by clear standards of service with most service delivery problems resolved by staff at the point of contact.

2.8.   All staff providing services are individually **identifiable** and are fully trained for their jobs, or are supervised trainees.

2.9.   **Users' responsibilities** in helping to ensure the preservation of archival materials, in their courteous treatment of staff and respect for other users are made clear.

2.10.   **Information on services** of Lincolnshire Archives is known by the community it serves, including those with a potential interest and also users are aware of their rights of access.

2.11.   Information on **practical arrangements** for access to services is available, that the services can be easily located and are available at times when the community requires them.

2.12.   Users have reasonable access for the **consultation of finding aids**, are able to find specific records and items of interest and where enquiries cannot be answered, staff do their best to refer them accurately to an appropriate source.

2.13.   Users have a **choice** of means of access through a range of services.

2.14.   **Restrictions** on access are clearly communicated to users.

2.15.   Users are able to obtain **copies** of relevant materials or given clear reasons where restrictions apply.

2.16.   The Archives allows **researchers** to make full use of its services with confidence and the minimum of formalities.

2.17. Researchers are able to **access on-site services**, and are accommodated in an environment for consulting documents, appropriate to the nature of the material.

2.18. **Service processes and standards** are clearly explained and understandable to the user.

2.19. **Remote access** to services including information on content is provided and will continue to be developed to widen access and to establish new audiences.

2.20. **Fees and charges** for the different services we offer are reviewed annually. We currently offer the following charged services:
- a research service for checking of references and original resources
- Managed access to collections outside of our normal operating hours
- Loan out preparation
- Reprographics and copying service
- Publications and Reproductions

Full details of the services offered and current fees and charges are available on request from Lincolnshire Archives.

3. Guidelines

A suite of Access Guidelines has been developed to explain aspects of the Access Policy Statement in more detail to staff, users and stakeholders:

- Adding to Our Collections Guidelines
- Closure Periods Guidelines
- Copying and Reproduction Guidelines
- DDA and Equalities Compliance Guidelines
- Document Handling Guidelines
- Documents Classed as NFP Guidelines
- Exhibition and Display Guidelines
- Filming by the Media Guidelines
- Lending and Borrowing Guidelines
- Licensing – Use and Re-use – Guidelines
- Remote Access Enquiry and Research Services Guidelines
- Taking your own Digital Photographs for Private Study Guidelines
- Use of Surrogates Guidelines
- Using the Search Room Guidelines

4. Related documents

- Public Services Quality Group: Standard for Access to Archives
- The National Archives: Archives Unlocked: Releasing the Potential (2017) and Archives Unlocked: Delivering the Vision (2017)

- Lincolnshire Archives: Statement of Purpose
- Lincolnshire Archives: Access Strategy
- Lincolnshire Heritage Service: Interpretation Strategy
- Lincolnshire Heritage Service: Audience Development Policy
- Lincolnshire Archives: Collections Care and Conservation Policy Statement
- Lincolnshire Heritage Service: Fees and Charges
- Lincolnshire Archives: Search Room Rules
- Lincolnshire Archives: Document Handling Guidelines
- Lincolnshire Archives: Terms of Deposit
- Lincolnshire County Council: Strategic Equality Plan
- Lincolnshire Heritage Service Workforce Development Strategy

Appendix 4: Digitisation Policy Statement

1. Digitisation is key to the mission of Lincolnshire Archives as a means of preserving archives and making them widely available for research to all people, now and in the future.

2. Aims:

2.1 Digitisation is carried out to:

- Widen and improve access to resources for researchers
- Open and add value to new areas of research (for example by using digitisation techniques that reveal illegible, inaudible or otherwise hidden content; and by providing deep-level metadata to enable swift and reliable identification of relevant information)
- Preserve fragile and vulnerable materials by providing digital surrogates in their place
- Lower the carbon footprint associated with Lincolnshire Archives by reducing the need to travel to the archive.

3. Selection

3.1 Selection of materials for digitisation takes into account many factors, including actual or potential research demands, the condition and physical characteristics of the original, ownership of and rights in the material, the complexity and length of projects, cost and the likelihood of obtaining funding, and the availability and quality of descriptive metadata. Based on these variables, Lincolnshire Archives reviews priorities for digitisation on a regular basis.

4. Standards and Legislation

4.1 Lincolnshire Archives creates digital surrogates that are fit for their intended purpose. Specific and detailed digitisation standards are cited in the supporting documents and are selected with the end use of the digital surrogate in mind.

4.2 When making decisions about the digitisation and dissemination of material, due consideration will be given to:

- Copyright legislation. The Copyright Designs and Patents Act 1988 and Intellectual Property Rights. A 'best endeavours' approach to finding rights-holders will be employed.
- Data Protection Legislation and protection for the rights of living individuals identified in the documents.
- Contractual obligations. Agreements with owners (depositors), donors and commercial partners.

5. Methodology

5.1 Digitisation equipment and methodologies are selected to ensure the care of the original and the production of a digital surrogate that is fit for purpose.

5.2 Staff involved in digitisation are trained in digitisation techniques and appropriate handling of the originals.

6. Metadata

6.1 Digital surrogates to be retained for the long term must retain a permanent reference to the original.

6.2 Additional metadata may be created as part of the digitisation process. This may include technical metadata captured through the digitisation process, information relating to the process of digitisation (date of digitisation and member of staff who carried out the work), methodology (particularly where specialist techniques have been used) or other information to supplement existing archival descriptions or add value to the digitised material.

7. Storage

7.1 All digitised materials that need to be preserved in perpetuity (such as digitised versions of sound recordings) will be curated and managed in accordance with the Collections Care and Conservation Policy.

7.2 All other digitised materials with long term value will be curated and managed appropriately.

7.3 A full image copy of the server and all its data is taken daily, and hosted separately at a different datacenter. In addition there are multiple copies maintained of this daily copy, which is held offsite on a high availability array. An archive copy is also taken on a monthly basis and retained for 12 months. All these images are kept off-site from the primary server for safety, so at any one time there is typically 28 daily+ 12 monthly copies of the data held off site as a minimum.

8. Preservation and Migration

8.1 CD-R and DVD-R/DVD+R have life expectancies of 5 to 10 years. They will need checking regularly for outward signs of deterioration, and data will also need checking regularly using checksums* to detect signs of corruption and deterioration The checksum will also cover security, to ensure, and demonstrate, that data hasn't been tampered with.

8.2 Born-digital and digital surrogates will need to be migrated to new storage media and accessible versions of software, typically at five year intervals

8.3 Costs of migration can be minimized by adhering to standards that promote open systems and interoperability of data, as well as careful selection of the most useful records to preserve, but especially by being involved as early as possible in advising projects which will result in output in electronic format.

8.4 The migration process is straightforward, and could be automated in the near future. However, at present, it should be done manually, as Lincolnshire Archives does not have the technology necessary to automate the procedure.

8.5 The secure server approach described above will help to preserve the original born-digital items and bit-streams. However, a strategy for checking and migrating these files will need to be developed, in discussion with The National Archives and other organisations developing practice in digital preservation.

9 Access

9.1 Digitised materials will be made available online where appropriate throughwww.lincstothepast.com

10 Sustainability

10.1 Lincolnshire Archives digitisation activities will be sustainable and will evolve in line with industry developments. Staff within Lincolnshire Archives will determine the cost and benefits of different options and secure project funds and resources for digitisation and on-going curation as needed.

Appendix 5: Care and Conservation Policy Statement

1. Collections Care and Conservation principles

1.1 The Collections Care and Conservation policy is designed to:

- Support the long-term preservation of all collections including those in digital formats for current and future access (see the Digital Preservation Policy Statement)
- Ensure we follow relevant national standards and best practice, and a professional code of ethics, in all aspects of collections care and conservation.
- Facilitate compilation of strategic plans and procedures for the conservation and management and maintenance of collections and the accommodation used to protect and provide access to them.
- Assist in developing priorities
- Ensure documentation systems for both preservation and conservation are provided and maintained.
- Inform a focused use of resources
- Identify accountability and responsibility
- Ensure preservation awareness among staff, volunteers and users is raised through good housekeeping, training, continuing professional development, display including online or via social media
- Assist with identifying financial, staff, volunteer etc. resources for the efficient and effective care of collections in all formats and policy development.

2. Risk Management for Collection Care and Conservation

2.1 Lincolnshire Archives recognises that the assessment of risk to the collections is key to the long-term preservation of all collection formats. The purpose of risk management is to identify and address each risk, but this may result in differing responses as each risk and the organisation's capacity to respond to it will vary. Consequently, responses will consist of the following graded objectives:

- Eliminate the risk
- Control the risk
- Mange the other issues that affect the severity of the risk
- Accept the risk; but plan to address the risk in the future

2.2 Lincolnshire Archives will actively undertake risk management for collections care and conservation by:

- Assessing the level of risk to the collections at all stages of collection management including controlling and stabilising environmental factors
- Identifying practical and operational procedures and protocols to address the risks.
- Developing the awareness and skills of staff to meet the challenges
- Carrying out remedial and preventive work in-house and commissioning external specialists where appropriate, where funding is available, using appropriate techniques to stabilise and slow down further deterioration with the minimum of intervention.

- Providing access to archives, while ensuring their protection and minimising the risk from handling.
- Providing alternatives to consulting original material.
- An on-going programme of condition surveys and assessment followed by appropriate remedial action; A National Preservation Office Preservation Assessment Survey was conducted in 2003 providing a base line from which to measure and monitor the needs of the collections. Data derived from collection level surveys, along with a biennial review of Museums and Libraries Association MLA Benchmark for Collections Care self-assessment check list will, alongside the 2003 survey, help inform the preservation and conservation priorities detailed in our Conservation Plan.
- Care for our born-digital collections in accordance with our Digital Preservation Policy Statement
- Lincolnshire Archives stores archival material, whatever its nature or format, in secure and suitable accommodation with appropriate managed and monitored environmental conditions.

3. **Accommodation for the archive collections (including fire safety)**

3.1. Lincolnshire Archives aims to fulfil the requirements of BS 4971:2017 Conservation and care of archive and library collections, which replaced PD 5454:2012 Guide for the storage and exhibition of archival materials

3.2. The archive collections are housed in purpose-built accommodation comprising 6 repositories and an out-store at The Collection Museum.

3.3. In the repositories archive collections are stored, according to their physical nature and condition, on clearly-labelled mobile and static steel shelving.

3.4. Lincolnshire County Council's Property Service inspects and maintains the buildings and carries out regular testing and servicing of the fire detection and alarm systems.

3.5. All 6 repositories on site, and the out-store, are constructed to withstand fire and are fitted with 4-hour fire doors. Smoke detectors are located throughout the building and automated fire detection and alarm system, compliant with BS 5839–6:2019 Fire detection and fire alarm systems for buildings. Code of practice for system design, installation, commissioning and maintenance, is linked to a monitoring Centre who will call Lincolnshire Fire and Rescue Service in the event of an alarm. Automatic fire extinction is not installed because of the controls in place. In the event of a fire an automated system of dampers stops air flow in the trunking of the air-conditioning system.

3.6. The Fire Risk Assessment for the archives building considers the risk to the archive collections as well as to staff and visitors, and documents the measures in place to minimise the risk of fire.

4. **Security of the archive collection**

4.1. Appropriate levels of security reduce the risk of vandalism and theft.

4.2. External security is provided by Static Security Ltd. There is security lighting and surveillance by DVD-recording infrared cameras. These are not continuously monitored, but are checked regularly by Archives staff. An intruder alarm is provided to meet the requirements of DD 245:2002 – Code of practice for the management of false alarms and PD 6662:2000 - Scheme for the application of European standards for Intruder Alarm systems. It is linked to a monitoring centre who monitor the alarm 24/7 and if the alarm is triggered the monitoring centre call Static Security, Lincolnshire Police and a keyholder.

4.3. All doors are fitted with appropriate locks. Access to the staff and repositories areas is restricted to relevant staff and operated by electronic security fobs.

4.4. Everyone visiting Lincolnshire Archives is required to sign in and out of the building. We issue badges to volunteers and accompany visitors at all times.

4.5. Searchroom staff operate a security barrier to allow access to and from the secure area of the Searchroom where archives are consulted.

4.6. We provide lockers for visitors to secure their personal possessions, and ensure that large items and bags are not brought into the secure area of the Searchroom

5. Environmental control and monitoring

5.1. Lincolnshire Archives aims to provide environmental conditions which conform to BS 4971:2017 Conservation and care of archive and library collections, superseding PD 5454:2012.

5.2. Air-handling systems, replaced in 2011, are in operation at the main site. An air-handling system is also in operation at the out-store, which was commissioned for use in 2011. Lincolnshire County Council's Property Service maintains the plant in both locations. The systems are supported with portable humidifiers/de-humidifiers when required.

5.3. Sensors within the air-handling system monitor the system performance and the system provides visual alerts of system failures and/or set-point breaches to inform Site Operations staff. The alert panel is checked daily during unlocking/locking procedures by all keyholders. Site operational staff also log into the system daily to check for issues.

5.4. Environments within the main archives building and the outstore are independently monitored using standalone data loggers and monitors. Data loggers collect and store information recording and monitoring patterns and changes in the environmental conditions. This information is used to evaluate performance of the air-handling systems and can also be used in mapping areas dedicated to specific collections.

5.5. The 6 month period prior to the plant replacement in 2012, when the old air handling units were de-commissioned afforded the opportunity to evaluate the baseline performance of the 6 repositories in the main archives building. During the refurbishment work, and to closely monitor the conditions, the number of

independent data loggers was significantly increased and were places strategically within boxes of stored material across the each repository, as well as within the storage rooms. This gave detailed information about the conditions experienced by the stored material across all areas, and showed very stable conditions throughout the project period. This enabled a specification for the new air-handling unit to operate on-demand, when conditions trigger a requirement for de-humidification, humidification, heating or chilling, rather than running continuously (reducing energy consumption).

5.6. The expanded data logging scheme referenced in 5.5 has been maintained, with data loggers being deployed within storage boxes, storage rooms and other areas where collections are housed or used (e.g. Reading room and Tennyson Research room). Conditions are monitored by our Preservation Officer. Strategically selected loggers across the site are downloaded weekly, with full data collection taking place quarterly. Data is evaluated weekly and monthly, accessing external specialist advice as needed.

5.7. A review meeting to evaluate performance of air-handling system and environment within repositories, is held on a 6-monthly basis. The review meeting includes Archives Site Operations staff, Collections Development Team Senior Managers, Preservation Officer, Property Service Managers, Engineer, and external specialist advisor.

5.8. Environmental conditions within cases housing displayed material, are also monitored and evaluated using data loggers and monitors, and conditions are managed using passive control (e.g. conditioned silica gel products).

5.9. In order to reduce the risk of damage by UV light the archive storage areas have no windows. Artificial lighting has automatic emergency mechanisms and the fluorescent tubes within storage and public areas are filtered by use UV filtering film and diffusers. Windows in public and staff working areas are fitted with vertical blinds.

5.10. Light (Lux and proportional UV) is measured periodically to assess performance of filtering systems, and to manage exposure limits for displayed material.

5.11. All environmental monitoring and/or control equipment is routinely maintained/calibrated in accordance with manufacturer's instruction.

5.12. Lincolnshire Archives recognises the importance of a safe clean environment in the storage areas and the value of good housekeeping in collections care. All repositories are inspected and cleaned regularly by Collections Development staff, on a cyclical rota, as part of the routine monitoring of these areas. Housekeeping regimes are coordinated and overseen by the Preservation Officer.

5.13. A pest monitoring scheme is operated across the main Archives site as well as the offsite. Pest traps are deployed in areas containing collections. They are collected and replaced quarterly, and collected contents identified and risk evaluated, with further inspection/action taken as required.

5.14. At Lincolnshire Archives collections care is the responsibility of every member of staff. The Collections Development team works closely with the Visitor Experience team to minimise the risk of infestation and of carrying and transporting contaminated material within a collection. Wherever possible potential new accessions are surveyed and treated at source.

5.15. When a new accession arrives, we survey, and repackage the material and create a collection (fonds) level entry for the archive before locating it in a repository.

6. Packaging and storage of the archive collections

6.1. Provision of appropriate packaging and storage reduces the risk of damage to the archive collections.

6.2. We use a range of conservation grade products: for example, low-acid and acid free boxes, acid-free paper and board, polyester sleeves, unbleached tape and brass paperclips which meet the technical specifications recommended for archival use.

6.3. We assess the physical condition of all new accessions in a designated area and provide appropriate preventive conservation treatment, including cleaning, packaging and boxing. Contaminated archive material, which has the potential to harm or infect other collections, is placed in isolation and assessed by trained staff who determine appropriate treatment.

6.4. We carry out an on-going programme of re-boxing and repackaging earlier accessions which were not prepared to current standards. pH testing of boxes is carried out as required to inform the re-boxing programme.

6.5. We store archives in the repositories according to their physical nature and condition - on shelves, in cabinets, drawers and boxes as appropriate for their format. The location of items is clearly indicated by box labelling and shelf signs, in conjunction with a staff locations guide.

6.6. We seek to maintain a tidy and safe environment in the repositories. The Senior Collections Development Officer and Visitor Experience Manager ensure regular Health and Safety procedures are followed

7. Conservation treatments

7.1. Remedial conservation is essential for the long-term survival and accessibility of the archive collections.

7.2. At Lincolnshire Archives remedial conservation is carried out by trained and qualified conservators (in-house and commissioning external specialists as appropriate) under the direction of the Collections Development Manager. It is undertaken in accordance with health and safety requirements and appropriate risk assessments, and following nationally recognised ethical and technical standards - especially The British Institute's BS 4971:2017 Conservation and care of archive and library collections, and The Institute of Conservation's Code of Conduct, and Professional Standards

7.3. The Preservation Officer, contracted Archive conservators, or trained staff carry out condition surveys and audits using bespoke collection survey templates and the Benchmarks in Collection Care assessment tool to inform the direction of conservation work. By identifying archives likely to deteriorate because of chemical or mechanical damage we can determine future conservation priorities.

7.4. Individual items are prioritised for treatment depending on user demand, the context of the item within the collection, or its physical condition, and funding availability.

7.5. We assess material before conservation work is carried out in order to determine the most appropriate treatment.

7.6. Conservation treatments are carried out in a manner to retain the integrity and authenticity of the item and with a policy of minimum intervention to prevent further deterioration (without necessarily altering appearance), where interventive treatment is governed by identified emergency remedial needs and/or the result of strategic survey.

7.7. Taking a project-based approach to further conservation needs (e.g. considering on a case by case basis) to support engagement events, displays etc. This may include further conservation work to lead to an improvement in the aesthetic appearance of the item, including potential restoration.

7.8. The future storage format, storage location and anticipated use of the item also influence the level of treatment applied.

7.9. All externally contracted work will be let via the Institute of Conservation's (ICON) Conservation Register and/or through contractors holding ICON's Professional Accreditation Conservator-Restorers (PACR) standards status.

7.10. We record all conservation treatments and examinations and include photographic documentation where appropriate.

7.11. We use the CALM archive management system to record information about the physical condition of archives, their conservation requirements and record of treatment.

8. Access and Handling

8.1. Lincolnshire Archives welcomes people from all sectors of the community and aims to provide access for everyone in accordance with the Lincolnshire Archives **Access Policy Statement**.

8.2. Lincolnshire Archives makes catalogued archives available to all users for consultation in appropriately controlled and supervised conditions, and in accordance with the Rules set out in the current **Using the Searchroom Guidelines**. Uncatalogued material or archives deemed to be at risk in their present format may be produced under supervision and subject to an assessment by the archivist, and in accordance with the Un-catalogued Collections Access form.

8.3. Access to archives is subject to legitimate closure requirements, Data Protection legislation, and the reasonable wishes of the depositor and the physical condition of the item.

8.4. Lincolnshire Archives supports the use of surrogate copies and makes them available where the condition of the original material is unstable, or where current or anticipated use will pose a threat to its survival. Microfilm or digital surrogates are provided in line with our **Use of Surrogates Guidelines.** Researchers are encouraged to use surrogate copies to minimise handling and reduce the risk of further damage to the original.

8.5. Staff and volunteers are trained in handling archives and promote best practice in the Searchroom, in accordance with our **Document Handling Guidelines**. We provide researchers with appropriate aids, (such as foam book wedges, protective polyester sheets, and a variety of weights) to protect books and archives, and show them how to use them.

8.6. Lincolnshire Archives recognises the value of using digital technology to increase access to archives and safeguard the collections. Many archive catalogues are available remotely through the online catalogue Lincstothepast and the National Archives' Discovery catalogue. An increasing number of original archives is also being made available online. Digitisation is carried out in line with our **Digital Preservation Policy Statement**.

8.7. Photocopies and digital copies of documents provide remote access and are supplied in accordance with our **Copying and Reproduction Guidelines.**

8.8. Lincolnshire Archives recognises both the benefits of displaying archives and the risks of exhibiting original material. Material from the archive collections is

made available for exhibition in line with national and professional standards. Institutions and individuals borrowing original material are required to comply with the terms and conditions specified in our **Exhibition Loan Agreement**.

9. Disaster planning

9.1. Lincolnshire Archives maintains **an Emergency Preparedness, Resilience and Response Plan** in line with the corporate framework, and is a member of the **Emergency Risk Network (ERN)**). This ensures protection of the buildings, archive collections and staff as well as the most appropriate response to recover archival holdings and make provision for business continuity in the event of an emergency. The plan has provision for staff training and testing.

9.2. Lincolnshire County Council subscribes to Harwell Drying Restoration Priority User Service which in the event of a disaster will provide recovery and emergency salvage services.

9.3. Disaster and recovery equipment is housed in one central location, in a designated metal cabinet in the main stairwell. Items held in each box are listed on the outside of the cupboard. All items are checked and replaced as needed annually.

10. Communication and training

10.1. Lincolnshire Archives provides advice and guidance on best practice and the importance of collections care to other Lincolnshire County Council Services, outside organisations and institutions, community groups, owners of private archives and the general public.

10.2. We communicate an understanding of the nature and value of archives and the importance of collections care and appropriate conservation through our outreach activities and in exhibitions, publications and information leaflets.

10.3. We support and develop staff to deliver high quality services in line with the framework of Lincolnshire County Council's corporate strategy, and the Heritage Services Training Plan**.** All staff and volunteers are trained in handling archives and in safe working practices.

10.4. Lincolnshire Archives maintains active professional relationships with the archival and preservation communities and organisations in the UK, including the Archives and Records Association, Archives Connected and the Institute of Conservation.

11. Collection Care and Conservation Standards

11.1 To underpin this policy Lincolnshire Archives is informed and guided by the following professional standards and methodologies:

- **British Standards Institution**, Conservation and care of archive and library collections, BS 4971:2017 superseding PD 5454:2012

- **British Standards Institution**, Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections, BS EN 16893:2018, superseding PD 5454:2012 and PAS198
- **British Standards Institution and the Collections Trust**, Code of practice for cultural collections management. PAS 197:2009
- **The Collections Trust**, Benchmarks in collection care for Museums, Archives and Libraries: A self-assessment checklist, 2.1, 2018
- **British Standards Institution,** Conservation of cultural heritage. Integrated pest management (IPM) for protection of cultural heritage BS EN 16790:2016
- **British Standards Institution,** Conservation of cultural heritage. Conservation process. Decision making, planning and implementation BS EN 16853:2017
- **British Standards Institution,** Conservation of cultural property. Packing principles for transport BS EN 15946:2011
- **British Standards Institution,** Conservation of cultural heritage. Guidelines for design of showcases for exhibition and preservation of objects. General requirements BS EN 15999-1:2014
- **British Standards Institution,** Conservation of cultural property. Condition recording for movable cultural heritage BS EN 16095:2012
- **British Standards Institution,** Conservation of cultural heritage. Procedures and instruments for measuring humidity in the air and moisture exchanges between air and cultural property BS EN 16242:2012
- **British Standards Institution,** Conservation of cultural heritage. Transport methods BS EN 16648:2015

11.2   These documents will enable Lincolnshire Archives to present a:

- Consensus for managing collections
- Range of benchmarks against which to measure performance
- Means by which to assess and evaluate
- Process to identify funding, either internally or from external sources

12.   Identifying Priorities and Implementing Policy

12.1   Lincolnshire Archives will use this policy to compile priorities which will be influenced by:

- Availability of resources, both financial and staff resources, including volunteer contribution
- Access to specialised services and spaces to respond to collection needs
- The overall objectives of the organisation
- Reflecting and supporting evolving user needs

12.2   Lincolnshire Archives will draw on this policy and identified priorities, to develop care and conservation strategic actions within the *Lincolnshire Archives Forward Action Plan 2019 – 2024* in order to formulate programmes of work that directly reflect the needs, priorities and resources of the organisation.

12.3   The Care and Conservation Policy and identified priorities, will inform the *Lincolnshire Archives Conservation Plan 2019 -2024*

12.4   The Care and Conservation Policy, strategic action plans, and conservation plan will be implemented within a procedural guidance framework.

12.5   Lincolnshire Archives recognises that this policy is a time-bound document and that the priorities and objectives of any organisation can change over time. This Care and Conservation Policy must be flexible and able to respond to change – both local operational impacts and the wider economic and political contexts.

Appendix 6 – **Digital Preservation Policy**

1. Purpose of policy

1.1 This policy explains why Lincolnshire Archives is committed to investing in and undertaking digital preservation, our approach to the on-going development of and the preservation and management of 'digital archives'.

1.2 Digital records due to their format are inherently more vulnerable requiring a separate policy. The purpose of this policy and related guidance is to produce a consistent approach to protect the county's information assets and reduce the risk of unintentional information loss ensuring continued access to digital archive material and/or its informational content.

2. Definition

2.1 Digital preservation is a formal endeavour to ensure that digital information of continuing value remains accessible and useable.

3. How digital preservation achieves Lincolnshire Archives core objectives

3.1 Lincolnshire Archives acquires and preserves for unique and authoritative archives which constitute unrivalled sources for the study of most aspects of Lincolnshire life and makes them available for everyone. Collecting and preserving 'born digital' records as they replace paper archives and making them accessible ensures Lincolnshire archive collections remain a coherent and relevant record of Lincolnshire for current and future generations.

3.2 A responsible approach to digital preservation engenders openness and trust in the authenticity, integrity and reliability of records and ensures confidence in their use and legal admissibility, which helps Lincolnshire Archives meet the government's national strategy for archives expressed in The National Archives: Archives Unlocked, Releasing the Potential, 2017 and the Archives Accreditation Standard.

3.2 The targeted expansion of Lincolnshire Archive's digitisation programme facilitates improved collections care and conservation. The planned generation of digital surrogates of original archives, which are then made available online, will help LA's service transformation and sustainability, encouraging a sense of local and community ownership and raising its profile nationally and internationally.

3.4 Digital preservation aligns with and engenders the priority themes of Lincolnshire County Council including efficient and effective services, economic growth and improved quality of life and emotional wellbeing. Supporting the management of digital records and information by Lincolnshire

County Council is an important role for Lincolnshire Archives as more files are shared across the organisation and customers use the material on linked platforms.

4. Benefits and risks of digital preservation

4.1 Lincolnshire's information is one of its most important assets for supporting culture and memory and is required to last longer than the technology on which it is created or currently stored (software and hardware). Failing to engage effectively with digital preservation may lead to informational gaps in Lincolnshire Archive's collections which could result in:

- A negative personal and cultural impact on individuals and organisations
- Failure to meet legislative and business requirements by organisations leading to legal, financial and reputational consequences.

4.2 These risks are enhanced by technical, organisational, or business change and increase over time if not managed from the outset. There are also risks associated with people accessing records they are not entitled to see or altering records. Lincolnshire Archives will therefore collaborate with the Lincolnshire County Council Information Assurance Team to:

- Ensure born digital records for permanent retention are identified, captured and transferred in a standardised and streamlined process to the archive at an early stage along with their associated metadata
- Automatically generate metadata wherever possible
- Decide what can be safely stored on LCC servers or elsewhere e.g. the cloud
- Move from fragmented data silos towards distributed data having due regard for ethical and legal constraints by providing graduated access i.e. what is available only to certain categories of LCC staff, or depositors/owners, what is only accessible on site in our Searchroom, and what is more widely available through the Lincolnshire Archives website by implementing user controls
- Implement physical and systems access controls
- Redact sensitive information

4.3 The benefits are largely covered in sections 2 and 3 above. Preserving and placing digital content online not only improves access for researchers but also encourages reuse of digital content in new and creative ways.

5.   Scope

5.1   This policy applies to the management of digital information throughout Lincolnshire Archives collections, and should be read in conjunction with the Digitisation Policy.

5.2   Digital collections are made up of components: the original object, file etc to be preserved and descriptive component or metadata associated with it. All those responsible for collections management, development and access must adhere to this policy for:

- Born Digital records irrespective of the creating organisation

  o Files deposited, bequeathed, purchased or given to Lincolnshire Archives under the terms of our Collections Management Policy.
  o Files received from LCC departments, the Records Management Team, other local authorities, statutory bodies etc as a statutory deposit or an official transfer or presentation after the records are no longer required for current use

- Surrogates created by Lincolnshire Archives and others

- Digital surrogate/access copy files created from 'original' documents in any media (manuscript, photograph, map, video, audio, digital file etc) for the purpose of permanent preservation

6. Security safekeeping now and in the future – Sustainability

6.1   Lincolnshire Archives is committed to the safekeeping of all its collections and ensuring their long-term physical and intellectual security and accessibility. Best practice in digital preservation is continually evolving. Lincolnshire Archives will always work to the highest professional standards underpinned by robust procedures, collaboration and advice wherever practicable.

6.2   Standards and codes of Practice – to be used as guidance:

- Standard for a Trusted Digital Repository ISO 16363/TDR
- OAIS (Open Archival Information System) Reference model ISO 14721:2012:
- https://www.iso.org/standard/57284.html
- Dublin Core Metadata Element Set Part 1 – Core Elements (ISO Standard
- 15836-1: 2017) http://dublincore.org/documents/dces/ https://www.iso.org/standard/71339.html
- BS 10008 Evidential Weight and Legal Admissibility of Electronic Information

- https://www.bsigroup.com/en-GB/bs-10008-electronic-information-management/
- BS4783 Storage, transportation and maintenance of media for use in data processing and information storage – various media.
- Data Protection Act 1988 and General Data Protection Regulations 2018
- Freedom of Information Act 2000
- Environment Information Regulations 2004

6.3   Sources of advice:

- The Digital Preservation Coalition http://www.dpconline.org/ including the Digital
  Preservation Handbook http://www.dpconline.org/handbook
- The Digital Curation Centre http://www.dcc.ac.uk/
- The National Archives
  http://www.nationalarchives.gov.uk/informationmanagement/manage-information/preserving-digital-records/guidance/ including the PRONOM technical registry of file formats and software products
  https://www.nationalarchives.gov.uk/PRONOM/Default.aspx#
  http://www.nationalarchives.gov.uk/documents/informationmanagement/ redaction_toolkit.pdf
- UK Data Archive http://www.data-archive.ac.uk/

6.4   Business Continuity:

6.4.1   Lincolnshire County Council, its ICT providers and Lincolnshire Archives will make all reasonable efforts to ensure all digital archives are preserved. Business Continuity Plans describe the actions to be taken to secure electronic data in the event of a major disaster. These are regularly reviewed and updated.

6.4.2   Lincolnshire Archive's current digital preservation system provides a resilient and secure storage environment in line with established standards. Digital files will be migrated to new storage media and accessible versions of software as required.

6.4.3   File formats including audio and image:

- Digital archives can be received in many different formats. Lincolnshire Archives will maintain and regularly review a list of acceptable file formats for long-term preservation. These will include files created within open format, or very widely used non-lossy software.

- Staff will ensure all incoming deposits are checked for interoperability/compatibility with our systems. If staff are unable to read the file an alternative version will be requested from the depositor. The depositor will also be required to provide descriptive, structural, administrative and technical metadata. Lincolnshire Archives should be involved as early as possible in the life cycle of an electronic record or in advising on digitisation projects to ensure future long-term preservation.

6.4.4 Files will be reviewed for obsolescence, signs of corruption and deterioration and appropriate measures taken to ensure born digital files remain in an accessible state. A surrogate copy will be made for public access in an appropriated format in the Searchroom and online. We will explain what we have done so users can understand the provenance of a record.

7. Responsibilities

7.1 Lincolnshire Archives Managers and staff will work with colleagues across Lincolnshire County Council especially in Information Assurance and ICT to ensure digital continuity issues are considered and included in relevant strategies and projects. They will collaborate to facilitate good management of information throughout its lifecycle e.g. by contributing to retention schedules.

7.2 The Collections Manager will have overall responsibility for the 'Digital Archive'. Archivists will be responsible for the daily management of digital preservation and access working in conjunction with Lincolnshire County Council ICT, and any external providers,

7.3 Lincolnshire Archives will endeavour to support other collecting bodies in Lincolnshire such as community archives and museums. It will share best practice, provide advice and seek partnership projects where appropriate. Lincolnshire Archives will develop the digital skills and knowledge of current and new staff, trainees and volunteers to meet the skills needs of the archives/heritage sector in Lincolnshire.

8. Digital preservation strategy

8.1 Lincolnshire Archives will use this policy, to inform the development of priorities, a strategy and procedures for digital preservation in line with best practice, standards and Lincolnshire County Council Informational Management and ICT policies and procedures.

9. Action plan, benchmarking and measuring success

9.1 This policy informs the Digitisation, Collecting, Collection Development and Collection Access Polices and work plans and will be monitored and reported on as part of the annual performance review of Lincolnshire. We will monitor projections for data volumes being stored for permanent preservation with Lincolnshire County Council ICT as part of business planning to manage data storage in a cost-effective way.

13. Digital Preservation

10.1 Lincolnshire Archives advocates the acquisition of born-digital records alongside other formats in order to provide a complete picture of the activities of a particular organisation or individual.

10.2 The service acquires digital surrogates provided that these complement existing holdings (for example by filling in a gap in an existing series) and provided that the original document is unavailable for acquisition.

10.3 Digital records are subject to the same acquisition principles and considered against the same priority collection targets as physical formats.

10.4 Digital records are accepted on the understanding that the aim is to make them available for consultation alongside physical records.

10.5 Digital records are subject to the same rigour concerning accession information, access restrictions, etc.

10.6 The service recognises its lack of experience in managing digital archives and seeks to work collaboratively with partners with similar aims in order to develop an infrastructure, policies and procedures in this area of expertise.

11. Digitisation Activity

11.1 Lincolnshire Archives currently undertakes three main types of digitisation activity:

- On-demand digitisation of specific archives and printed materials to meet customer orders for copies and for use in promotional and educational material.
- Planned in-house projects.
- Work with external partners on larger-scale initiatives.

11.2 Where possible and appropriate, digital copies will be made directly from the original archives and printed materials rather than existing microform surrogates, both to ensure optimum quality and to maintain control over reproduction rights.

11.3 Intellectual property rights and views of the depositors and owners of the collections will always be considered and respected.

12. In-house digitisation

12.1 Digitisation will be managed and carried out by trained Collections Development Assistants and supported by volunteers who have been fully trained in the use of relevant equipment and software in a fully colour-managed workflow.

12.2 Images are stored and backed up on LCC systems (servers and backup). Images are managed through database tables linking images and CALM records to server file paths. This is managed as part of the system currently providing the Lincs to the Past website

12.3 Surrogate copies can be supplied in any format and enhanced as necessary according to individual needs.

13. Digital Access

13.1 Digitisation on demand increases the scope to provide customers with copies of archives and allows the archive service to use images of archives in promotional and educational material.

13.2 When developing agreements with external partners where a charge for online access to the images applies, we will always aim to secure free access for customers at Lincolnshire Archives.

Appendix 7 - Access

1.   Lincolnshire Archives is open to all researchers on completion of a registration form and agreement to abide by the user guidelines. Access to the archives in person is free of charge.

2.   The Archives strive to offer all users excellent customer service and support them in making the best use of the collections we hold.

Enquiry Service

3.   Enquiries can be received via email, telephone, post or in person. All enquiries should receive an initial response within 10 working days. If this is not possible the enquirer will be notified.

4.   All enquiries should be answered in the order they are received but internal enquiries may take precedence over external enquiries at busy times.

5.   Archive staff will spend a maximum of 20 minutes on each enquiry. If the work takes longer than this the enquirer can either come into the archives to conduct the research themselves or pay for more of the qualified Archivist's time.

Search Room access

6.   The Archives Search Room is situated on the ground floor of Lincolnshire Archives and is made available for researchers to consult collections in person either as a research visit or as part of a pre-arranged group visit. Search Room use is supervised at all times and handling aids, secondary sources and duplicates of key items are provided for researchers' use.

7.   All researchers must abide by the Guidelines for Users and follow any handling advice they are given by Archive staff.

8.   Access to the Search Room is during normal opening hours, which are Tuesday – Saturday from 10am to 4pm, and for the Tennyson Research Centre by prior appointment. Group visits may be arranged outside these times to avoid disruption to the Search Room. In exceptional circumstances it may be possible to arrange access for individual researchers outside the published opening times. However there may be a charge for this.

9.   The Tennyson Research Centre is located on the third level of Lincolnshire Archives and has lift access. In the event of a fire the lift cannot be used, therefore any users who cannot walk down three flights of stairs unaided must notify the Archivist when making an appointment so that an alternative room can be arranged for their visit.

Specialist sessions

10. Subject to available resources, the Archives can provide group sessions for students or external visitors. These can be designed to match the interests of the group.

Managed Access

11.	Where users require assistance outside of the normal service offered by Lincolnshire Archives, then archivists are able to offer a managed access service; however charges may apply.

Online access

Archives website

12.	The Archives websites: https://www.lincolnshire.gov.uk/history-heritage/lincolnshire-archives provides access to the online archive catalogue for researchers anywhere in the world. The catalogue contains descriptions of the collections but is not intended as a replacement for consulting the original documents.

13.	The Archives website contains information for researchers about the scope and content of the collections, onsite access, reprographics and contact details to make an enquiry.

Other websites

14.	Catalogue descriptions for the archive collections are available on the AIM25, Archives Hub and Discovery websites which allow users to search across multiple repositories

Outreach and promotion

Physical Exhibitions and Events

15.	The Archives runs its own events and exhibitions throughout the year to showcase its collections. The Archives can also offer exhibitions or visits to the archives for other events. Requests for archive exhibitions should be directed to the Archivist.

Online Exhibitions

16.	If copyright of the material allows, physical exhibitions are recreated on the archives website. This allows visitors to gain a greater understanding of the collections without the restrictions of opening hours.

Loans

17.	Items from the archives can be loaned externally on request. Applications to borrow items from the collections should be directed to the Senior Collections Development Officer. Requests will be assessed on a case by case basis taking into account security, environment and insurance coverage at the loan location, agreement to our loan terms (listed in the Loan Agreement) and the physical condition of the item to be loaned.

Reprographics

18	The Archives offer a range of reprographics options for users. Researchers visiting the reading room can use their own camera to take copies of documents provided

they abide by the Digital Camera Policy and Safe Handling Guide and purchase a camera pass.

19.   Users are also able to request photocopies or scans of documents for which there is a charge (details of which can be found on the Archives website). Unbound items up to A3 size can be photocopied or unbound items up to A4 size can be scanned. The Digitisation Guidelines set out the recommended scanning resolutions and file naming conventions for digitised material.

20.   The Archives reserve the right to refuse copying of documents if they are fragile or if doing so could cause damage to the item. Bound items cannot be copied on a flatbed scanner or photocopier but can be photographed.

21.   All users (whether requesting copies to be made or taking their own copies with a camera) must fill out a Copyright Declaration Form.

22.   Remote users can request copies to be made in consultation with staff. If users wish to publish copies of archival documents they must complete a Publication Declaration form. Staff can provide advice on copyright restrictions and clearance.

Access Restrictions

23.   It is necessary to restrict access to some collections for a number of reasons including:

- **Legislation**

  Access to the records held by the Archives must comply with relevant legislation including:

  - General Data Protection Regulations (GDPR)
  - Freedom of Information Act
  - Copyright legislation

- **Preservation**

  Some items are too fragile to consult in the reading room. If this is the case, surrogate copies of the material will be provided when possible.

- **Un-catalogued material**

  It may be necessary to restrict access to material which is un-catalogued if the material has not been fully checked for data protection issues.