**Appendix 2**

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###### Leicestershire County Council

**Communities and Well Being**

**RECORD OFFICE FOR LEICESTERSHIRE, LEICESTER AND RUTLAND DOCUMENTATION & CATALOGUING POLICY**

**2023-2028**

**LEICESTERSHIRE COUNTY COUNCIL RECORD OFFICE FOR LEICESTERSHIRE, LEICESTER AND RUTLAND (ROLLR)**

**DOCUMENTATION AND CATALOGUING POLICY**

**September 2023**

**This policy sits with the Collections Management Framework and should be read in conjunction with the Collections Development Policy, Care and Conservation Policy, ROLLR Access Policy, Documentation Plan (including Backlog), Care and Conservation Plan, Loans Policy.**

1. **CONTEXT**

**Mission Statement**

***We aim to collect and preserve the written, printed, recorded and digital heritage of Leicestershire, Leicester and Rutland and encourage as many people as possible to access, use and contribute to this rich and diverse archive in many different ways.***

The Record Office for Leicestershire, Leicester and Rutland (ROLLR) is provided by Leicestershire County Council in partnership with the City of Leicester and County of Rutland. This service is the means by which all three local authorities meet their legal responsibilities to collect, care for and provide access to records.

We are an area with a rich history that values its heritage, engages its communities, welcomes those who visit here, and works together with other agencies and organisations to ensure a future for the past. We will do everything that we can to achieve this, whilst recognising the limitations of our building/s and resources, by collecting, preserving and making accessible records from Leicestershire, Leicester and Rutland.

**Purpose**

**The purpose of The Record Office for Leicestershire, Leicester and Rutland is to allow the three local authorities (Leicestershire County Council, Leicester City Council and Rutland County Council) to discharge their legal responsibilities to collect, care for and provide access to records; to safeguard the future of the rich and irreplaceable archival heritage of our area and to provide a high quality accessible, responsive, engaging and sustainable public service.**

**In this context documentation and cataloguing are part of the safeguarding and access aspects of the Record Office’s purpose.**

**AIM OF THE DOCUMENTATION AND CATALOGUING POLICY**

The aims of the Documentation and Cataloguing Policy are that for each document or collection in its care:

• the Record Office has documentary proof of legal title that also meets ethical standards

• there is an accurate record in the appropriate Accessions Register

• there is an accession number which uniquely identifies the object with that entry

• that number is labelled or otherwise marked on the document

• there is a robust link with all associated documentation.

• the Record Office has an accurate and up-to-date record of location

• all documentation procedures meet International Standard for Archive Description (General) (ISAD(G) standards

This policy is to be read in association with the ROLLR Archive Collections Development Policy (2023-28), Archives Care and Conservation Policy (2023-28), ROLLR Archives Access Policy (2023-28), Loans Policy (2023-28) and together they form the Collections Management Framework, part of the Record Office’s Strategic Plan.

**1.1** **Documentation and Cataloguing is a core activity of the Record Office Service.**

**1.2** The role of documentation and cataloguing in the Record Office is to ensure efficient recording of, and access to collections information. Meeting national standards of good collections stewardship, security, accountability, and study, research use and access.

**1.3** Documentation is the responsibility of the Archive and Collections Management & Conservation teams; with documentation activities including cataloguing, the development and supervision of procedural, data and terminology standards being co‐ordinated, and loans delivered by the Archive team and strategic relationship management with the electronic catalogue provider being led Collections and Conservation team.

**1.4** Documentation and catalogue records are held in a number of formats, both paper and digital.

**1.5** The central computerised collections database (CALM), related electronic processing and network infrastructure are developed and maintained by LCC IT, Communications and Digital Services.

**1.6** The Documentation and Cataloguing Policy supports the Record Office’s mission and purpose and its strategic priorities.

**1.7** The purpose of the Documentation and Cataloguing Policy is to provide the framework within which the Record Office formulates and implements a Documentation and Cataloguing Plan, guiding the Record Office in how it documents and catalogues its collections.

* 1. It is recognised that priority should be given to the appropriate and effective allocation of resources for documentation and cataloguing within the Archive and other teams to enable the delivery of the Documentation Plan.

**2. KEY PRINCIPLES**

**2.1. Effective collections management**. The Record Office will record information and create access to that information to support efficient management of the archive collections as part of the Collections Management Framework.

**2.2. Accountability.** The Record Office will record sufficient information about the documents and collections in its care to establish the identity, location and legal ownership of the items.

**2.3. Adherence to standards and guidelines.** The Record Office places a high level of importance on procedural standards and documentation and cataloguing objectives necessary to meet the Accreditation standard for archive collections. The Record Office applies ISAD(G), to all areas of documentation and cataloguing. As a baseline, the Record Office will meet, but aim to exceed, the minimum standards of ISAD(G) primary procedures and the completion of the Mandatory fields. Internal standards and procedures are detailed in the Record Office’s Collections management procedures.

**2.4. Adherence to Legislation and Ethical Codes and Guidelines.** The Record Office’s documentation and cataloguing activities will take account of current legislation, including all applicable legislation relating to Rights, Data Protection and Freedom of Information.

All documentation will be carried out in accordance with the guidelines of ISAD(G) and the ARA.

**2.5. Security of information.** All paper‐based and digital records created by the Record Office will be processed and stored in such a way that they are protected from security risks. Any personal information will be stored in accordance with the General Data Protection Act UK (2018).

**2.6. Preservation.** Both paper and digital records will be stored in such a way as to avoid loss and ensure long‐term preservation.

**2.7. Systems sustainability.** Digital systems to support documentation and cataloguing will be developed in such a way as to promote sustainability and ensure that they can be maintained into the future. We will adhere to the contractual obligations with Axiell (our electronic database supplier)

**2.8. Keeping records up to date**. The Record Office will keep collections information up to date, implementing a long-term policy and plan to eliminate any retrospective accessioning backlog and accessioning new acquisitions as soon as possible. The Record Office will create a file item level entry record (with sufficient location information for object retrieval) for all collections and subsequent catalogue records (with more detailed information).

**2.9. Access to information**. Within a framework of standards and best practice guidelines, particularly requirements to protect sensitive personal and financial information, the Record Office’s documentation systems will be developed to maintain and extend access to collections information. This will involve access to information for both internal and external users, registered volunteers and particularly in-person and remote researchers and enquirers.

**2.10. User focus.** Collections documentation will be responsive to the information needs of service users. Whilst adhering to agreed standards, some aspects of information recording and procedure may evolve in response to changing user requirements.

**2.11**. **Integration and standardisation within the service**. Documentation systems and procedures within the Record Office are already integrated as far as possible. The Office uses the LCC Library l be brought together, as far as practical, to rationalise the management of collections information and maximise the benefits of closer systems integration.

**2.12.** **Open Data.** The Record Office encourages wide access to and use of collections data produced by the service in the form of digital engagement with collections.

**3. IMPLEMENTATION**

3.1. The Documentation and Cataloguing Policy has been submitted Head of Service for approval.

3.2. The Documentation and Cataloguing Policy has been used to guide a Documentation Plan.

3.3. The Documentation and Cataloguing Policy, Plan and any related documents will be posted online for internal access by all staff. The policy document will be posted also on the Record Office’s website for public access.

3.4. Regular audits of documentation, cataloguing, information and procedures will be carried out.

3.5. The Policy will be reviewed every two years. This policy will be renewed every five years

Date of Review 2025

Date of Review 2027

Date of Review and Renewal 2028