



ARCHIVES AND COLLECTIONS POLICIES

2017-2020



HISTORIC
ENVIRONMENT
SCOTLAND

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Cover image: Chart from 1944 showing the location of the D-day landings. On display at Trinity House.

I. SUMMARY

Historic Environment Scotland (HES) is a new body that came into existence on 1 October 2015, bringing together Historic Scotland and the Royal Commission on the Ancient and Historical Monuments of Scotland (RCAHMS).

The functions of HES are set out in the Historic Environment Scotland Act 2014, and include the management of its archives and collections as a national resource for reference, study and research. A number of new policies have been written to set out the purpose and guiding principles adopted by HES for its archives and collections, and these include:

- Archives and Collections Development Policy
- Archive Appraisal Policy
- Archives and Collections Information Policy
- Loans
- Collections Care and Conservation Policy
- Digital Preservation Policy.

The HES Board considers these archives and collections to be assets that both tell Scotland's story in themselves, but also provide sources of information for future generations; they are routes

to enhance our understanding of the past and to inform its care in the future. From the point of view of users of these assets, the Board wants to see a well-integrated service. Combining both archive and collections related policies together here is a good starting point to achieve that aspiration.

The Board has set its focus relating to archives and collections on:

- ensuring and improving the care and conservation of its archives and collections
- investing in collections knowledge and sharing that with others to enhance understanding of Scotland's historic environment
- enabling and increasing public access¹ (in numbers, media and social demographic) both physically and digitally by not only drawing people to our archives and collections but also by taking them to the people.

These policy statements were adopted by the HES Board and agreed by the HES Chief Executive on 29 March 2017.

1. See 'Access Policy for Properties in Care and their Associated Collections', HES, March 2017



Historic lantern slides prior to digitisation and rehousing

1.1 Scope

These policies relate, wholly or in part, to all archives and collections owned by HES or under its direct control and management. The latter may be held in short or long-term custody (e.g. inward loans) or managed by HES under licence, agreements or delegated authority.

Collectively referred to as HES Archives and Collections, these fall into the following groups:

HES ARCHIVES

- National Record of the Historic Environment
- National Collection of Aerial Photography (NCAP).

HES COLLECTIONS

- Properties in Care Associated Collections (PiCACs)
 - owned by, in the custody of, or otherwise under the full control and management of the Scottish Ministers²
- Undeclared Treasure Trove³ – archaeological artefacts from excavations and other fieldwork activities sponsored by HES (and its predecessor bodies).

Both HES Archives and HES Collections hold substantial inward loans – from public institutions and private owners and corporate archives and collections owned by HES and relating to the history and operations of the organisation and its predecessor bodies.

1.2 Approach

These policies are intended to inform and guide. The primary audience is our own staff and senior management, but our desire (and obligation) to publish these statements online opens them up to the welcomed scrutiny of a much wider public and professional audience.

As a new public body with a lead role in the heritage sector, we are eager to hear your views and learn from them. We are always keen to work in active partnerships with others within the sector, to build constructive open relationships and to encourage mutual peer review of areas of our work and interests that overlap or possibly even potentially conflict with others.

In particular, we are aware that any potential future acquisitions will always need to be considered carefully on a case-by-case basis to ensure the best possible public benefit. We will seek to consult both locally and nationally where interests overlap and will expect others to do likewise. We would always prefer consultations than confrontation.

If you have any comments on this document, please send them to collections@hes.scot

1.3 Timescale

These policies will next be reviewed in October 2020.

2. The collections of Scottish Ministers are those associated with properties in the care of Scottish Ministers, responsibility for which Scottish Ministers have delegated to Historic Environment Scotland. The nature and extent of these responsibilities is set out in the Scheme of Delegation.

3. Typically these archaeological assemblages are undergoing conservation, study or are being held in storage awaiting allocation to museums via the Treasure Trove process. They are not part of our registered collections.

2. ARCHIVES AND COLLECTIONS DEVELOPMENT POLICY

2.1 Introduction

This policy sets out the purpose and guiding principles adopted by Historic Environment Scotland (HES) for the acquisition and disposal of material and objects relating to its own archives and collections and, under delegated authority, those of Scottish Ministers.⁴ The HES Board will ensure that all acquisitions and disposals are carried out openly and with transparency. The adoption and implementation of this policy is a requirement of the Museum Accreditation Scheme⁵, the Archives Accreditation Standard⁶ and Scottish Ministers' Scheme of Delegation. Museums Galleries Scotland and the Scottish Council on Archives will be notified of any changes to this policy and the implications of any changes for the future of HES Archives and Collections.

It applies to four distinct areas of collecting:

- Properties in Care Associated Collections (PiCACs) owned by, in the custody of, or otherwise under the control or management of the Scottish Ministers
- National Record of the Historic Environment (includes archives of all formats⁷)
- National Collection of Aerial Photography (NCAP)
- collections relating to the history and operation of Historic Environment Scotland.

Undeclared Treasure Trove – although recognising its duty of care towards this large, significant and geographically dispersed group of material, HES does not normally seek to acquire archaeological artefacts recovered from excavations and other field activities sponsored (wholly or in part) by HES (and its predecessor bodies).

2.1.1 THE SCHEME OF DELEGATION

Under the Historic Environment Scotland Act 2014 (the Act), Scottish Ministers have delegated functions relating to the care and management of the Properties in Care Associated Collections (PiCACs). The nature and extent of the responsibilities delegated with these functions is set out in the Scheme of Delegation.

Provision is made within the Scheme of Delegation (clause 2.1.2) for HES acting on behalf of Scottish Ministers to acquire and dispose of objects associated with Properties in Care. Under this unusual, if not unique, arrangement, delegation by the owner of full control and management to a third party (HES) to acquire and dispose of collections on behalf of the owner is regulated by a requirement under the Scheme to follow the process and procedures set out in this policy; the reservation by Ministers of the right to review this policy at any time and by retrospective annual reporting by HES of all new PiCACs acquisitions and disposals.

2.2 Statement of Purpose

HES Archives and Collections are managed in accordance with the functions as set out in the Act. The HES Corporate Plan *For All our Futures* 2016 states that: "We will maintain and enhance our collections to inform identification, research and understanding and curate them for the future."

2.3 Summary of HES Archives and Collections

HES holds archives and collections of national and international importance to our understanding and engagement with Scotland's past:

- archives in all formats relating to the historic environment of Scotland
- objects of cultural significance to the history and archaeology of Properties in Care (PiCACs)
- photographs and digital images forming the National Collection of Aerial Photography (NCAP)
- collections relating to the history and operation of HES
- artefacts and archaeological assemblages currently under the temporary care of HES being studied prior to allocation to museums via the Treasure Trove process.

4. The collections of Scottish Ministers are those associated with properties in the care of Scottish Ministers, responsibility for which Scottish Ministers have delegated to Historic Environment Scotland. The nature and extent of these responsibilities is set out in the Scheme of Delegation.
5. Overseen by Arts Council England and managed in Scotland by Museums Galleries Scotland.
6. Managed in Scotland by the Scottish Council on Archives.
7. Referred to as archives in this document.

2.4 Collecting criteria

The Act sets out the means by which objects are acquired.

- (1) *Historic Environment Scotland may:*
- (a) *acquire (by purchase, exchange or gift)*
 - (b) *accept on deposit, any object which it considers it is desirable to add to its collections.*
- (2) *The powers in subsection (1) are in addition to any other powers or means of acquisition or acceptance on deposit that Historic Environment Scotland has.*

By definition, HES has a long-term purpose and holds archives and collections in trust for the benefit of the public in relation to its stated objectives. The HES Board therefore accepts the principle that sound curatorial reasons must be established before consideration is given to any acquisition or disposal to/from its archives or collections.

We recognise our responsibility, when acquiring additions to our archives and collections, to ensure that their care, documentation arrangements and use will meet the requirements of the Archival and Museum Accreditation Standards. This includes using SPECTRUM primary procedures for collections management. We will take into account limitations on collecting imposed by such factors as staffing, storage and collection care arrangements.

In order to develop HES Archives and Collections, we are committed to acquiring information and illustrative material that builds up a comprehensive record of Scotland's historic environment and objects that relate specifically to Scottish Ministers' Properties in Care.

We will continue to collect relevant historic photographic media to add to our international aerial photography collections.

New acquisitions to HES Archives and Collections are made according to the following collecting criteria⁸:

- Archives and records relating to the historic environment of Scotland, including architecture, archaeology, industry and maritime.
- Material created during survey, recording and research activities across HES.
- Objects formerly part of the original fabric of a Property in Care – detached building components (typically architectural carved and moulded stones) are considered to be part of the Property in Care.
- Objects discovered at a Property in Care, typically during archaeological or other activities on the site. Where significant collections are already held at another collecting institution, HES would typically step back from acquisition.
- Objects with an archaeological, historical or other appropriate association with a Property in Care (other than those above).
- Objects that have a clear interpretative potential leading to improvements in the presentation and interpretation of a Property in Care to our visitors.
- Historic aerial photographs relating to locations world-wide and their associated indices.
- Material relating to the history and operation of the organisation.

Acquisitions outside these collecting criteria will only be made in exceptional circumstances.

A more detailed breakdown of these archives and collections can be found in Appendix 1. This outlines the key categories of the collection with reference to their scope, history and significance. It also sets out the themes and priorities for developing each area in more detail through future collecting.

In addition, we will also continue to seek inward loans as a way of acquiring material to augment our collections especially for temporary exhibition or permanent displays at Properties in Care as well as a means of providing access to historic environment information through our search room (see HES Loans Policy).

8. The collecting of material relating to Properties in Care is selective and is focus primarily on the augmentation of existing collections.

2.5 Archives and Collections Procedures

2.5.1 LIMITATIONS ON COLLECTING

HES recognises its responsibility in acquiring additions to its own archives and collections and those of Scottish Ministers to ensure that care, cataloguing arrangements and use of this material will meet the requirements of the Accreditation Standard. It will fully assess the future resource needs of any object(s) prior to acquisition and take into account limitations on collecting imposed by such factors as staffing, storage and care of collection arrangements. We also recognise our responsibility to work within the parameters of the Museum Association Code of Ethics when considering acquisition and disposal.

HES has delegated powers from Scottish Ministers to acquire new collections relating to Properties in Care provided they met the criteria set out at 2.4 above and in Appendix 1 (section 8.3). In addition, HES must seek the agreement of Scottish Ministers for any proposed acquisition (or disposal) that may be viewed as novel and contentious, carries with it excessively high risks or costs or is of exceptionally high cultural significance.

2.5.2 COLLECTING POLICIES OF OTHER INSTITUTIONS

HES will take account of the collection development policies of other museums and other organisations collecting in the same or related areas or subject fields. We recognise the collecting policies of national, local and university museums and archives, designated and other specialist collections.

Specific reference is made to the following organisations:

- Aberdeen Art Gallery and Museums
- Dundee City Council Leisure and Arts
- Dundee Heritage Trust
- Edinburgh City Museums
- Glasgow Museums
- National Galleries of Scotland
- National Library of Scotland
- National Museums Scotland
- National Records of Scotland
- National Trust for Scotland
- Perth Museum and Art Gallery
- Royal Armouries
- The Hunterian, University of Glasgow.

In addition, Properties in Care are located in every one of Scotland's 32 local authority areas and HES Collections actively seeks to maintain good communications with all local museums within those areas.

We will consult with these organisations where conflicts of interest may arise or to define areas of specialism, in order to avoid unnecessary duplication and waste of resources, to achieve the best outcome for long-term care and best public access to collections while taking account of the wishes of donors.

2.5.3 POLICY REVIEW PROCEDURE

HES will publish this policy on its website and regularly review it. The next review date for this policy will be no later than October 2020.

Museums Galleries Scotland, Scottish Council on Archives and Scottish Government (with regard to PiCACs) will be notified of any changes to this policy and the implications of any such changes for the future of existing collections.

2.5.4 ARCHIVE APPRAISAL

We are committed to undertaking regular appraisals to assess the strengths and weaknesses of our archives. This activity is critical for identifying areas for future development either by collecting or considered rationalisation. Although there is a presumption against disposal, we recognise that responsible, curatorial motivated disposal is one of the tools that can be used for developing collections.

2.6 Acquisitions

2.6.1 ACQUISITION PRINCIPLES

We will exercise due diligence and make every effort not to acquire, whether by purchase, gift, bequest or exchange, any object or specimen unless the HES Board (or its nominee) is satisfied that HES can acquire a valid title to the item in question.

- (a) In particular, we will not acquire any object or specimen unless we are satisfied that the object or specimen has not been acquired in, or exported from, its country of origin (or any intermediate country in which it may have been legally owned) in violation of that country's laws. (The 'country of origin' includes the United Kingdom).

- (b) In accordance with the provisions of the UNESCO 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, which the UK ratified with effect from 1 November 2002, we will reject any items that have been illicitly traded. The HES Board will be guided by the national guidance on the responsible acquisition of cultural property issued by the Department for Culture, Media and Sport in 2005.
- (c) So far as biological and geological material is concerned, HES will not acquire by any direct or indirect means any specimen that has been collected, sold or otherwise transferred in contravention of any national or international wildlife protection or natural history conservation law or treaty of the United Kingdom or any other country, except with the express consent of an appropriate outside authority.
- (d) We will not acquire archaeological material (including excavated ceramics) in any case where the HES Board (or its nominee) has any suspicion that the circumstances of their recovery involved a failure to follow the appropriate legal procedures. In Scotland, under the laws of *bona vacantia* including Treasure Trove, the Crown has title to all ownerless objects including antiquities. Scottish archaeological material cannot therefore be legally acquired by means other than by allocation to HES by the Crown. Where the Crown chooses to forego its title to a portable antiquity, HES Board (or its nominee) will ensure that valid title to the item in question has been acquired by ensuring that a certificate of 'No Claim' has been issued on behalf of the Crown.

Any exceptions to the above clauses a, b, c, or d will only be because HES is:

- (i) acting as an externally approved repository of last resort for material of local (UK) origin
- (ii) acquiring an item of minor importance that lacks secure ownership history but in the best judgement of experts in the field concerned has not been illicitly traded
- (iii) acting with the permission of authorities with the requisite jurisdiction in the country of origin
- (iv) in possession of reliable documentary evidence that the item was exported from its country of origin before 1970.

In these cases, we will be open and transparent in the way we make decisions and will act only with the express consent of an appropriate outside authority. We will document when these exceptions occur.

- (e) We do not collect anatomical specimens, but we (or our agents) do periodically hold (for purposes of post-excavation analysis and study) archaeological human remains recovered from fieldwork funded by us.
- (f) As we hold or intend to acquire human remains from any period, we will follow the guidelines in the *Guidance for the Care of Human Remains in Scottish Museums* issued by Museums Galleries Scotland in 2011 and our own operational policy *The Treatment of Human Remains in Archaeology* (published under Historic Scotland in 1994 and adopted by HES in 2015).

2.6.2 SPOILIATION

We will use the statement of principles *Spoilation of Works of Art during the Nazi, Holocaust and World War II period*, issued for non-national museums in 1999 by the Museums and Galleries Commission.

2.6.3 REPATRIATION AND RESTITUTION OF OBJECTS AND HUMAN REMAINS

The HES Board, acting on the advice of professional staff, may take a decision to return human remains (unless covered by the *Guidance for the Care of Human Remains in Scottish Museums*, issued by Museums Galleries Scotland in 2011), objects or specimens to a country or people of origin. We will take such decisions on a case-by-case basis taking into account all legal and ethical implications and available guidance.

2.7 Disposal

2.7.1 INTRODUCTION

HES Archives and Collections are held on behalf of the public. All items, once acquired and registered, are therefore held in public trust and are considered inalienable. There is a strong presumption against the disposal of any items except in the most exceptional of circumstances. For this reason, we do not intend to dispose of collections during the period covered by this policy.

This statement and associated procedures cover the limited circumstances in which disposal may take place and how this will be done.

Under the Historic Environment Scotland Act 2014:

- (3) *Historic Environment Scotland may dispose of any object from its collections (including any object it has created) if:*
- (a) *the object is a duplicate of, or similar to, another object in the collections*
 - (b) *Historic Environment Scotland considers that the object is not required for the purposes of the collections*
 - (c) *because of damage, deterioration or infestation by destructive organisms, the object is no longer of use for the purposes of the collections*
 - (d) *the object is hazardous*
 - (e) *in any other case, the Scottish Ministers agree to the disposal.*
- (4) *Disposal under subsection (3) may be by sale, exchange, gift, return or destruction.*

The HES Board (or its nominee) will ensure that the disposal process is carried out openly and with transparency.

2.7.2 DISPOSAL OF ARCHIVE MATERIAL

Disposal of archive in all formats including photographs and printed ephemera will be guided by the standards outlined in the *National Archives Standard for Record Repositories* (1st edition, 2004). The HES Board will give delegated authority to a nominated senior member of HES staff to ensure that appraisal of records takes place. This will be carried out according to the criteria and procedures laid out in HES Appraisal Policy. It is not professional practice at HES to dispose of archives through the sale of items.

2.7.3 DISPOSAL PROCEDURES

The HES Board (or its nominee) will ensure that there are no legal impediments to dispose of an item and any agreements on disposal made with donors will be taken into account.

When disposal of an object or archive is being considered, we will establish if it was acquired with the aid of an external funding organisation. In such cases, any conditions attached to the original grant will be

followed. This may include repayment of the original grant and a proportion of the proceeds if the item is disposed of by sale.

2.7.4 MOTIVATION FOR DISPOSAL AND METHOD OF DISPOSAL

When disposal is motivated by curatorial reasons the procedures outlined below will be followed and the method of disposal may be by gift (our preferred method), sale or as a last resort destruction. Duplicate books are the only items we will consider disposal through sale.

We will not undertake disposal motivated principally by financial reasons.

We will follow the guidelines in the *Guidance for the Care of Human Remains in Scottish Museums* issued by Museums Galleries Scotland in 2011.

2.7.5 CONSIDERATION OF DISPOSALS

The final decision to dispose of material from HES Archives and Collections will be taken by the HES Board only after full consideration of the reasons for disposal and on the recommendation of HES archives or collections staff. Other factors including the public benefit, the implications for HES Archives and Collections and for collections held by other organisations collecting the same material or related fields will be considered. External expert advice will be obtained and the views of stakeholders such as donors, researchers, local and source communities will also be sought.

2.7.6 RESPONSIBILITY FOR DISPOSAL DECISIONS

The HES Board will be responsible for any decisions to dispose of an item, whether by gift, sale or destruction (in the case of an item too badly damaged or deteriorated to be of any use for the purposes of the collections or for reasons of health and safety).

Recommendations and advice will be provided only by professional members of staff of HES Archives and Collections.

2.7.7 DISPOSAL BY GIFT OR SALE

Once a decision to dispose of material in the archive or collection has been taken, priority will be given to retaining it within the public domain unless it is to

be destroyed. It will therefore be offered in the first instance, typically by gift, directly to other accredited organisations likely to be interested in its acquisition. The only exception to this is duplicate books that, if no other public organisation is interested, will be considered for sale as a matter of course.

If the material is not acquired by any accredited organisations to which it was offered directly as a gift or for sale, then the wider archival and museum community will be advised of the intention to dispose of the material, normally through an announcement in the appropriate specialist journals and online resources.

The announcement relating to gift or sale will indicate the number and nature of the items involved and the basis on which the material will be transferred to another institution. Preference will be given to expressions of interest from other accredited organisations. A period of at least two months will be allowed for an interest in acquiring the material to be expressed. At the end of this period, if no expressions of interest have been received, we will consider disposing of the material to other interested organisations and individuals giving priority to organisations in the public domain.

2.7.8 USE OF PROCEEDS OF SALE

We will ensure that the proceeds of any sale are allocated so that we can demonstrate that they are spent in a manner compatible with the requirements of the Accreditation standard.

Any money received from disposal of items or paid to us in compensation for damage, loss or destruction of items from our archives or collections will be restricted to the long-term sustainability, use and development of those archives or collection.

2.7.9 DISPOSAL BY EXCHANGE

We will not dispose of items by exchange.

2.7.10 DISPOSAL BY DESTRUCTION

If it is not possible to dispose of an object through transfer or sale, the HES Board may decide to destroy it. It is acceptable to destroy material of low intrinsic significance (duplicate mass-produced articles or common specimens that lack significant provenance) where no alternative method of disposal can be found.

Destruction is also an acceptable method of disposal in cases where an object is in extremely poor condition, has high associated health and safety risks or is part of an approved destructive testing request identified in our own or another organisation's research policy.

Where necessary, specialist advice will be sought to establish the appropriate method of destruction. Health and safety risk assessments will be carried out by trained staff where required.

The destruction of objects should be witnessed by a member of HES Archives and Collections staff. In circumstances where this is not possible (e.g. destruction of controlled substances), appropriate contractors should be used and, where possible, a certificate should be obtained and kept in the relevant object history file.

2.7.11 DOCUMENTING DISPOSAL

Full records will be kept of all decisions on disposal and the items involved and proper arrangements made for the preservation and/or transfer, of the documentation relating to the items concerned, including photographic records where practicable in accordance with recognised professional standards on deaccession and disposal.

3. ARCHIVE APPRAISAL POLICY

3.1 Introduction

Historic Environment Scotland (HES) is one of only a few organisations that purposefully creates material to archive as well as curating extensive collections. HES Archives contain the accumulated information and material from more than 100 years of survey and collecting, and now comprise extensive holdings of architectural, archaeological, industrial and maritime material created by other organisations or individuals, as well as one of the largest aerial photographic collections in the world.

HES is committed to providing access to information and material relating to Scotland's places, as well as to the National Collection of Aerial Photographs (NCAP) and key to this is appraisal. This policy outlines HES approach to appraisal of its archive collections and relates closely to and is informed by the *HES Archives and Collections Development Policy*.

3.2 Objectives

It is inefficient, undesirable and costly to preserve everything and appraisal is therefore an integral part of the archival activities of HES and should result only in the retention of appropriate records. Appraisal aims to:

- identify archive material for long-term preservation by HES for business and historical reasons
- ensure the retention of the appropriate archives to provide information about Scotland's places and assist in the understanding of these places.

3.3 Principles

The following principles have been adopted by HES:

- (a) Appraisal of HES Archives is undertaken by specialist curatorial staff.
- (b) Primary appraisal – this will occur at the point of acquisition when material will be evaluated against the *HES Archives and Collections Development Policy*. This will inform the decision as to whether it is appropriate for material to be acquired. For large collections, primary appraisal may result in a decision based on a general overview of the material.

- (c) Secondary appraisal – this will occur at the point of accessioning and high level cataloguing when a more detailed examination will be made of the material. This allows the material to be grouped and decisions made about what categories are appropriate to be kept. At this stage, material can also be identified for disposal.
- (d) Tertiary appraisal – should mainly involve the removal of duplicates and material highlighted for removal in the secondary appraisal.
- (e) Material can be reappraised at any given point.
- (f) Unmanaged or orphaned archive discovered within the collection will be assessed by the curatorial staff before it is decided whether or not to retain them permanently.
- (g) Condition – material may be appraised on grounds of condition if the items are fragile and beyond repair.
- (h) Duplicates – there is a presumption that duplicates will not be retained. If the duplicate is born digital then physical copies will be disposed of, if the duplicate is digital then a copy may be kept for dissemination purposes.

3.4 Approaches

Appraisal of archive material needs to be undertaken by relevant curatorial staff and requires appropriate documentation to be produced to explain in the future what decisions were made. Different types of material require different approaches and the key areas are outlined here. Material generated by HES will already have been reviewed by staff prior to deposit within the archive.

3.4.1 ARCHITECTURAL ARCHIVES

- (a) Overall evaluation of the significance of the architectural practice, the projects worked on, including their clients, within a regional, national or international context and how this contributed to Scotland's built heritage.
 - (b) Evaluation of building types – the type, nature and style of buildings may be of significance (rather than the architect or practice) in terms of understanding the development of Scotland's built environment nationally, regionally or within a particular time period.
- (a) The main focus is to ensure the retention of

an adequate archive for the nature of the practice or building. Some archives may be of such significance that all the material should be retained, e.g. Sir Basil Spence Archive. For others it might be appropriate for a selection of projects to be kept as examples of the range of work the practice undertook.

- (b) There is a presumption that the following records relating to a building will not be retained unless there are exceptional circumstances – financial records; personnel records; field sets of drawings (especially if not annotated); electrical and mechanical drawings unless innovative or dictates the design of the building; specifications of plumbing or electrical work; and design detail – especially if repetitive – only key examples should be kept.

3.4.2 ARCHAEOLOGICAL ARCHIVES

- (a) HES is the main repository in Scotland for archaeological excavation and survey archives. There is a general presumption that all material generated and documented in national guidelines will be retained (2011 AAF; RCAHMS 2012).
- (b) Archaeological archives record a destructive process and as such even a negative excavation outcome is of value and requires to be archived.
- (c) The main focus within the archaeological archive is to ensure an adequate archive for the nature of the site and evidence found.
- (d) The photographic record will be scrutinised and appraised if found to contain a high volume of bracketing shots.

3.4.3 INDUSTRIAL ARCHIVES

- (a) Evaluation of the industry in terms of its local, regional, national and international context and how this has contributed to Scotland's development.
- (b) Different industries will be significant within different regions and periods.

- (a) The main focus is to ensure the retention of an adequate archive for the nature of the industry. Some collections may be of such significance that all the archive should be retained. For others, it might be appropriate for only a selection of records to be kept.
- (b) HES does not collect business records and will focus on archives relating to buildings, structures and illustration of the industrial processes.
- (c) In some cases it may be appropriate for HES to retain archive material relating to clients and orders.

3.4.4 MARITIME ARCHIVES

- (a) Maritime archives, in particular those recording underwater or coastal archaeology, are generated at significant expense and record sites that are under a variety of threats e.g. threat of erosion and as such the outcome is of value and requires to be archived.
- (b) The main focus of the archive is to ensure an adequate record of the nature of the site and evidence found.
- (c) The photographic record will be scrutinised and appraised if found to contain a high volume of bracketing shots.

3.5 Documentation

All decisions made during the appraisal process will be documented within the database. Any decisions regarding further and more detailed appraisal will be documented on standard forms which will be filed with the appropriate accessions paperwork.

3.6 Disposal of Material

Material will be disposed of according to HES disposal policy (see 2.7 above).

4. ARCHIVES AND COLLECTIONS INFORMATION POLICY

4.1 Introduction

Historic Environment Scotland (HES) recognises that harnessing information effectively underpins the core functions of collections management and public access. The overall aim of this policy is to ensure that information relating to HES Archives and Collections is accurate, secure, reliable and accessible and that systems are developed in line with the Accreditation Scheme for Museums and Galleries in the United Kingdom⁹, and the Archives Accreditation Standard.¹⁰ This policy also links to *HES Information and Records Management Policy*.

4.2 Scope of Policy

This policy applies to all object information relating to HES Archives and Collections and includes any inward loans to HES.

This policy covers the gathering, creation, management, dissemination and protection of information principally relating to:

- archives and collections development information
- catalogues and object documentation
- archives and collections research
- conservation and collections care records
- public enquiries
- information about the use of archives and collections.

4.3 Aims

As outlined in section 2.4 of the Historic Environment Scotland Bill (2014), HES has a duty to carry out the following particular functions:

- preserving, conserving and developing its collections*
- making the collections accessible to the public and to persons wishing to carry out study and research*
- exhibiting and interpreting objects in the collections.*

9. Managed in Scotland by Museums Galleries Scotland.

10. Managed in Scotland by the Scottish Council on Archives and Museums Galleries Scotland. For example, Collections.



Historic drawing
being consulted in
the Search Room

HES will:

- Be accountable for archives and collections and collections information that it holds.
- Provide reliable and accurate information systems to manage the archives and collections effectively.
- Maintain at least minimum professional standards in documentation, collections information and access to collections.
- Extend access to archives and collections and collections information. This will include facilitating physical, sensory and intellectual access on site; by lending and borrowing; as well as virtually through HES online services.
- Strengthen the security of the collections through accurate collections information.
- Ensure that this information is safeguarded for users in perpetuity.
- Seek to add value to the information it holds through joint initiatives with other institutions.

4.4 Implementation

We will ensure that the principles and standards set out in this policy are implemented throughout the following procedures:

- accessioning
- cataloguing
- entry and exit processes
- location and movement control
- loans
- collections appraisal
- condition checking
- conservation
- public enquiries
- copyright.

We will ensure that staff, volunteers, interns and placements are trained and familiar with the relevant standards and procedures to generate, manage, access and disseminate collections information as appropriate.

Access to existing archive and collections information is available through the HES website. There are a variety of methods for capture, management and dissemination of this information at individual collection level. These range from spreadsheets through to formal Collections Management Systems (CMS). In addition, some archives and collections are made available through handlists and collections guides.

HES will safeguard the information gathered and produced (in accordance with principles for managing paper and digital archives). HES will ensure continuity of information management and dissemination, taking full account of both legacy and institutional memory, and of *HES Information and Records Management Policy*.

We are committed to carrying out regular reviews of our procedures¹¹ in order to ensure that the systems remain efficient and effective.

4.5 Legislation, Standards & Guidance

See Appendix 2: Legislation, Standards & Guidance for full list

11. For example, Collections Documentation Procedural Manual 2017-2020.

5. LOANS POLICY

5.1 Introduction

Historic Environment Scotland (HES) is committed to lending and borrowing as a principal way of extending public access and engagement with its own archives and collections, those of lenders and of Scottish Ministers¹². We recognise that lending and borrowing plays an important part in developing national and international partnerships and furthering the understanding and appreciation of the archives and collections that we hold on behalf of the public. This policy sets out the aims, principles and standards that govern how inward and outward loans are managed by HES.

5.2 Scope

This policy covers all HES loans (both inward and outward) for the purposes of providing public access through long-term or short-term exhibitions; a means of providing public access to material that would otherwise not be accessible.

This policy does not apply to movements of objects from HES for conservation or research purposes. It also does not apply to object(s) held as temporary deposits for the purpose of identification or potential acquisition or to acquire for handling or other educational purposes which are not to be accessioned into the permanent collection. The loans described here are all administered through HES Collections under the management of the Collections Registrar.

5.3 Aims

- To ensure that all inward and outward loans are relevant to Historic Environment Scotland's corporate aims and objectives and the current Archives and Collections Development Policy.
- To work effectively with a wide range of lenders and borrowers to increase public access, understanding and enjoyment of collections as set out in the Museums Association *Smarter Loans*, February 2012.

12. The collections of Scottish Ministers are the Properties in Care Associated Collections (PiCACs), responsibility for which Scottish Ministers have delegated to Historic Environment Scotland. The nature and extent of these responsibilities is set out in the Scheme of Delegation.

Assessing the armour collection at Edinburgh Castle, on loan to HES from the Royal Armouries



- To ensure that all inward and outward loans are managed with due diligence, in accordance with legal requirements and ethical considerations.
- To ensure that all loan requests are rigorously considered in relation to the need to safeguard all the objects concerned.
- To ensure all loans are set up with clear terms and conditions that can be achieved by the lender and the borrower.
- To work closely with borrowers and lenders to ensure all loans are regularly monitored and managed fully in accordance with these terms and conditions.

We are committed to minimising the environmental impact of loans by:

- sharing transport where possible and only using couriers where absolutely necessary
- considering longer-term loans or permanent transfers
- adopting more sustainable practice reusing packing and display materials where possible.

5.4 Outward loans

5.4.1 INTRODUCTION

We consider outward loans in relation to their purpose, the need to safeguard the collection and the resources available to facilitate them. This section sets out who we lend to, how requests are made, timescales for making requests, how requests are approved and the general conditions that the borrower is expected to meet in order for the loan to proceed.

5.4.2 WHO WE LEND TO

We principally lend to:

- public museums and galleries in the UK. Preference is usually given to institutions with Museum Accreditation status
- international museums and galleries
- public institutions with the required facilities for display and exhibition
- archives in Scotland who hold material on our behalf under a Charge and Superintendence Agreement.

5.4.3 HOW FORMAL REQUESTS ARE MADE

Initial requests should be addressed to the Chief Executive of Historic Environment Scotland and sent by post or email to the Collections Registrar at Historic Environment Scotland, Longmore House, Edinburgh EH9 1SH.

5.4.4 TIMESCALES FOR MAKING REQUESTS

Preliminary enquiries are welcomed well in advance of a proposed exhibition. This will help us assess what objects are available, what changes would need to be made to permanent displays and whether any conservation, framing or mounting would need to be undertaken ahead of the loan. Our collections managers will be able to give advice about this before a formal request is made.

- Loan requests to UK museums, galleries and public institutions need to be made more than six months in advance of a proposed exhibition.
- Loan requests to international museums and galleries need to be made more than 12 months in advance of a proposed exhibition.

We aim to respond to formal loan requests within five weeks of receiving them.

We will inform the Scottish Government of our intention to lend items from the collections of Scottish Ministers prior to final decision being made where it involves:

- object(s) or collections of high cultural significance
- significant risk.

5.4.5 DUE DILIGENCE

We require written confirmation of the following statement from the borrower before finalising the loan agreement:

“The Borrower warrants, covenants and agrees that it has no reasonable cause to believe that any object comprised in the exhibition in which the Objects shall be displayed was stolen, illegally exported or illegally imported from its country of origin, as defined in the UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, 1970.”

5.4.6 COSTS

In most instances, we would expect to recover all costs from the lender arising for the conservation, shipping, couriering and installation of outward loans. This may not apply to partnership exhibitions or where we are sponsoring a loan as part of our outreach programme. We would normally expect to cover all reasonable cost relating to inward loans provided they are discussed and agreed with us in advance.

5.5 Inward Loans

5.5.1 INTRODUCTION

We consider inward loans with strong associations with Properties in Care to be an important way of enhancing site-based interpretation to visitors. Loans are also important to develop the National Record of the Historic Environment and to increase access to material which would otherwise not be publicly accessible. Inward loans also offer an opportunity to link to a varied events and outreach programme at public exhibition venues such as Duff House, Stirling Castle and Edinburgh Castle. This section sets out how we would make formal requests and under what circumstances we would withdraw a request.

5.5.2 FORMAL REQUESTS

Our Collections Registrar manages all inward loans. S(he) will consider the potential impact of all new loans and discuss this with relevant colleagues before making a formal request to the lender(s). Once agreed, s(he) is responsible for liaising with the lender, submitting UKRG Facility Reports, negotiating terms and conditions and signing off loan agreements.

5.5.3 AUTHORISATION OF INWARD LOANS

- The Collections Registrar will sign off renewals of all previously authorised loans.
- All new loans will be authorised by Head of Archives or Head of Collections advising the HES Chief Executive of any loans considered to be novel or contentious.

5.5.4 DUE DILIGENCE

We will not normally pursue inward loans requests if:

- the lender is unable to provide proof that they are legitimately entitled to offer the requested object(s) on loan
- the lender is unable to lend the requested object(s) to us free from any encumbrances outside what we would consider to be normal terms and conditions
- any requested object(s) found to be stolen, illegally exported or imported.

5.6 Legislation & Standards

See Appendix 2: Legislation, Standards & Guidance for full list.



**Remedial conservation
treatment being carried
out on glass lantern slides**

6. COLLECTION CARE AND CONSERVATION POLICY

6.1 Introduction

This policy sets out the purpose and guiding principles adopted by Historic Environment Scotland (HES) for the care and conservation of objects in its own collections, those of lenders and of Scottish Ministers¹³. The adoption and implementation of this policy is a requirement of Museum Accreditation Scheme¹⁴, the Archives Accreditation Standard¹⁵ and Scottish Ministers' Scheme of Delegation. Our approach to the care and conservation of archives and collections will promote wherever possible environmental sustainability in line with our own and Scottish Government policies on Climate Change.

6.2 Scope of policy

This policy applies to all objects and archives in the control and management of HES. It also includes items awaiting accession into HES Archives and Collection and material on loan.

6.3 Aims

As outlined in section 2.4 of the Historic Environment Scotland Bill (2014), HES has a duty to carry out the following particular functions:

- preserving, conserving and developing its collections
- making the collections accessible to the public and to persons wishing to carry out study and research
- exhibiting and interpreting objects in the collections.

We are committed to safeguarding and protecting the cultural significance and physical integrity of collections for the benefit of the public. This will be achieved through a combination of preventive and interventive conservation measures working within a framework of current best practice standards.

6.4 Use of archives and collections

The use of archives and collections carries a potential risk of loss or damage and a certain level of natural deterioration on display or in storage is inevitable. HES will aim to achieve a balance between the long-term preservation of archives and collections and provision of public access. We will actively seek opportunities to display objects in their original context at Properties in Care to aid public understanding and enjoyment of these sites.

The proposed use of any object will be considered on a case-by-case basis taking into account its condition and assessments of any potential risks. HES will be guided by the principle of risk management in the care of its archives and collections. This approach involves the assessment of the issues that threaten the objects followed by the development of a programme or set of actions to address these in a structured way.

6.5 Preventive conservation

The aim of preventive conservation is to minimise or eliminate the risk to collections of potential loss or damage. This is achieved by preventing or slowing down deterioration through management and control of the environment in which they are displayed, stored and transported. This approach does not eliminate the need for interventive conservation treatment (see 6).

6.5.1 OBJECTS ON DISPLAY

- (a) We will work to ensure that any risks to objects on display are minimised through control of the environmental conditions and the use of appropriate display materials.
- (b) Where objects are displayed in their original context at Properties in Care special consideration will be given to the long-term preservation of the objects and the needs of the historic building.
- (c) Awareness of collections care and conservation issues will be promoted to site staff and visitors.

13. The collections of Scottish Ministers are those associated with properties in the care of Scottish Ministers, responsibility for which Scottish Ministers have delegated to Historic Environment Scotland. The nature and extent of these responsibilities is set out in the Scheme of Delegation.
14. Overseen by Arts Council England and managed in Scotland by Museums Galleries Scotland.
15. Managed in Scotland by the Scottish Council on Archives and Museums Galleries Scotland.

6.5.2 OBJECTS IN STORAGE

- (a) We will ensure that objects held in storage spaces will be housed and stored to the relevant best practice standards.
- (b) All storage materials used will be of an appropriate standard and where packaging does not meet this criteria, measures will be taken to address this (e.g. set up work programmes to improve housing).
- (c) When tendering for new storage contracts, prospective tenderers must demonstrate how their policies and procedures comply with HES collections care standards.

6.5.3 TRANSPORTATION AND HANDLING

- (a) Archives or collections in the care of HES will only be moved, handled, or accessed by trained staff, or under the supervision of trained staff, following appropriate standards and guidelines, to mitigate risk of damage.
- (b) Government Indemnity Scheme (GIS) standards will be followed where necessary to ensure appropriate and effective measures are in place to evaluate, control and limit risk to archive or collections items on loan.

6.5.4 ENVIRONMENTAL MANAGEMENT

- (a) We will ensure that, as far as practicable, HES archives and collections are stored and displayed within the environmental parameters outlined in published best practice guidance appropriate to the type of material held.
- (b) Risk to HES archives and collections from unsuitable environments will be determined through an active monitoring programme.
- (c) Environmental monitoring will be used to inform environmental management programmes. This will prioritise actions and resources to mitigate risks to the archives and collections.

6.5.5 INTEGRATED PEST MANAGEMENT

- (a) Risk to HES archives and collections from insect infestation will be determined by an active monitoring programme.
- (b) Pest management monitoring will be used to inform how controls are put in place e.g. housekeeping, environmental control and treatment.
- (c) All new acquisitions and incoming archives and collections will be formally assessed for signs of pest and biological infestations and

where an object shows signs of a potential infestation, appropriate quarantine and treatment measures will be taken.

6.5.6 HOUSEKEEPING

- (a) A regular programme of housekeeping will be implemented in spaces where collections are stored or displayed.
- (b) Archive and collections cleaning guidelines and training will be provided to relevant staff.

6.6 Interventive conservation

Interventive conservation treatments are intended to extend the useable lifetimes of archives and collections and prevent or halt further damage. These are essential and allow object(s) to continue to be used for display, research and education. Where treatment is required, it will go hand in hand with identifying and addressing the cause of the damage to prevent further exposure to the hazard that caused the damage.

6.6.1 CONSERVATION TREATMENTS

- (a) All conservation treatments will be conducted in accordance with international best practice and ethical guidelines.
- (b) We will ensure that the skills and expertise of in-house conservators and technicians are appropriate for the care of specific archives or collections.
- (c) All remedial conservation work will be carried out by, or under supervision of, an experienced and appropriately trained conservator.
- (d) Any conservator or conservation practise contracted by us to provide advice or services will normally be expected to be listed on the ICON Conservation Register and be fully ACR accredited.
- (e) The conservation treatment approach will:
 - seek to preserve historical and technological information and context as far as possible taking into account the purpose for which the object is to be, or was, used
 - ensure treatment methods will not cause damage to the object or compromise future conservation treatment
 - adopt a preference for minimal intervention and, where possible, explore alternative preventive measures before interventive treatments.

6.6.2 ASSESSMENT AND DOCUMENTATION

- (a) Conservation assessments will be carried out prior to any treatment and an accessible conservation report will be produced at the end of the treatment.
- (b) The recording of conservation activities will meet the standards outlined by the Collections Trust in SPECTRUM 4.0.
- (c) We will arrange for the assessment, stabilisation and investigation of archaeological material unearthed during excavations sponsored by us.
- (d) Conservation treatment of objects on loan to HES will only be undertaken after consultation and approval with the lender.

6.7 Physical security and access

- (a) We have a duty to ensure the environment in which archives and collections are displayed, studied, transported and stored are physically secure.
- (b) Regular security audits of storage, study and display areas will be undertaken and any additional measures will be implemented as appropriate and resources allow.
- (c) Access to all storage areas will be provided under the supervision of appropriate trained staff.
- (d) Any theft of archives or collections will be reported immediately to the police and, where appropriate, the Art Loss Register and other possible recovery agents.

6.8 Incident response planning

- (a) Unexpected incidents can have a major impact on the safety and condition of collections and we will ensure that robust response, salvage and recovery procedures are in place and that these procedures are regularly reviewed and updated.
- (b) We will ensure staff are adequately trained in incident response procedures.

**Practising protecting objects
in situ as part of collections
salvage planning training**



6.9 Health and safety

- (a) We will abide by all relevant health and safety legislation.
- (b) Staff and contractors are expected to carry out their own risk assessments, method statements and COSHH forms when engaging in interventive or preventive conservation activities.
- (c) We will ensure that any objects that contain, or are suspected of containing, hazardous materials will be assessed and managed in line with legal regulations.

6.10 Reporting and monitoring

- (a) We will undertake a regular programme of assessments for collection environments and objects on display and in storage, including assessing how objects are stored, documented, interpreted and made available. The results of these assessments will be used to analyse any potential risk to a collection, to establish benchmarks for collections care, to measure success, and to inform and prioritise future work. These assessments will form the basis for reporting on the key performance indicators for collections.

6.11 Legislation and Standards

See Appendix 2: Legislation, Standards & Guidance for full list.



**General view of
archive storage at
John Sinclair House**

7. DIGITAL PRESERVATION POLICY

7.1 Introduction

This policy sets out the purpose and guiding principles adopted by Historic Environment Scotland (HES) for the long term care and accessibility of digital objects in its own collections, those of lenders and of Scottish Ministers¹⁶.

7.2 Scope of policy

This policy applies to all digital objects in the control and management of HES, both born digital and digitised. These collections include the Properties in Care Associated Collections (PICACs) managed on behalf of Scottish Ministers, National Record of the Historic Environment (NRHE), the National Aerial Photography Collection (NCAP) and collections relating to the history and operation of Historic Environment Scotland.

The principle objective of HES' digital preservation policy is the long-term preservation and accessibility of the digital objects in our care. This policy relates closely to and is informed by the *HES Archives and Collections Development Policy* and the *HES Collections Care and Conservation Policy*.

7.3 Aims

As outlined in section 2.4 of the Historic Environment Scotland Bill (2014), HES has a duty to carry out the following particular functions:

- *preserving, conserving and developing its collections*
- *making the collections accessible to the public and to persons wishing to carry out study and research*
- *exhibiting and interpreting objects in the collections.*

We are committed to safeguarding and protecting the cultural significance and integrity of our digital collections for the benefit of the public. This will be achieved through the continued development of the Digital Archive to achieve and demonstrate its

status as a Trusted Digital Repository. Trusted Digital Repository status will be achieved by adherence to international standards and best practice in the planning and management of the Digital Archive and by an ongoing programme of review and audit.

7.4 Digital preservation approach

We will ensure that the authenticity, integrity and provenance of our digital archives is maintained. HES will aim to collect and create digital objects in fully specified, standards-based open formats. Where this is not possible, we will adopt a normalisation approach and convert the digital objects we receive to fully specified, standards-based open formats. In these cases, HES will also retain the original digital record to return to if a chosen preservation format is superseded or if a better approach is developed. In this way we will ensure sustainability and flexibility.

In some instances it will not be possible to convert into an open format. In these cases, HES will maintain these digital objects in their existing format and seek to process them in future when a suitable approach has been identified.

7.4.1 BUSINESS PLANNING

Economic constraints are among the primary threats to the successful curation of digital objects. With this in mind, HES will develop and maintain suitable business plans and practices to counteract these threats. To meet this aim HES will:

- (a) recognise and support the routine management and maintenance of the Digital Archive as a core function of the organisation
- (b) define and maintain dissemination and outreach plans suitable for the Digital Archives' needs.

16. The collections of Scottish Ministers are those associated with properties in the care of Scottish Ministers, responsibility for which Scottish Ministers have delegated to Historic Environment Scotland. The nature and extent of these responsibilities is set out in the Scheme of Delegation.

7.4.2 STAFFING

It is important to maintain the stability of the Digital Archive through the training and retention of competent and experienced staff. To meet this aim, HES will:

- (a) clearly define and document roles and responsibilities of staff working with the Digital Archive
- (b) acquire and maintain adequate staffing to fulfil specified roles
- (c) maintain staff skills through continual professional development.

7.4.3 INGEST

HES will develop clear procedures and practices for the generation of material in-house and the collecting of material from external sources, including metadata specifications and automation of systems where practical. To meet this aim, HES will:

- (a) Define standards for the creation of digital archive material by HES programmes and projects.
- (b) Institute a programme of outreach to depositors to assist them in meeting required standards and to ensure that all relevant archive material is ingested into the Digital Archive.
- (c) Negotiate deposit agreements for all external archive deposits.
- (d) Maintain the relevance of deposit agreements in light of changes to legislation and user community needs.
- (e) Only acquire archive material for which appropriate licences can be gained to allow preservation activities and dissemination.
- (f) Specify metadata required for ingest into the Digital Archive and only acquire material for which this can be provided by the depositor or derived from the contents of the objects.
- (g) Specify the digital formats that the archive will be capable of preserving and only ingest material in, or that can be converted to, these formats.
- (h) Update the specifications of format types in line with technology changes.
- (i) Automate processes where possible to increase the efficiency of ingest.

7.4.4 TECHNICAL SYSTEMS

It is essential that the Digital Archive is built and

maintained on strong technological foundations to ensure its success. Therefore, HES will identify and implement suitable technological solutions for the Digital Archives' hardware, software and networking needs. To meet this aim HES will:

- (a) Develop an IT infrastructure for the Digital Archive that will be capable of coping with the scale of data storage and processing and the complexity of functions required.
- (b) Implement systems and processes to guarantee the integrity, authenticity and security of the digital objects held within the Digital Archive.
- (c) Maintain system stability to ensure maximum uptime for services.

7.4.5 PRESERVATION

Preservation activities within the Digital Archive require research and updating to keep pace with changing technologies. To guarantee that preservation activities remain valid, HES will adopt an ongoing programme of research and review of preservation options, updating and refining processes as required. To meet this aim, HES will:

- (a) Collaborate with the international community to monitor contemporary and emerging standards, formats and hardware, software and storage technologies.
- (b) Consider user community definitions, and their associated competences and knowledge base, when developing preservation activities to ensure digital objects remain suitable for their needs.
- (c) Develop, implement and review preservation strategies for the types of objects in the Digital Archive, including specifications for metadata to be captured during preservation activities to ensure they can be accessed in perpetuity.
- (d) Develop, implement and review appropriate appraisal strategies to determine which information must continue to be preserved.

7.4.6 DISSEMINATION

In order to facilitate access to the material held within the Digital Archive, HES will implement systems for dissemination of digital objects designed with its identified user communities in mind, while also respecting any legal restrictions on access. To meet this aim, HES will:

- (a) Develop and maintain a definition and understanding of its user communities.
- (b) Develop and implement technological solutions for dissemination that are suitable for user needs and manages access restrictions.

7.4.7 SUCCESSION AND DISASTER PLANNING

It is essential that repositories plan for likely threats to the digital objects they hold and for threats of a more disastrous nature. To counteract these threats, HES will develop disaster preparedness. To meet this aim, HES will:

- (a) Develop and maintain a disaster plan detailing responses to major and minor changes in the Digital Archive's environment.
- (b) Develop and maintain a succession plan to ensure the preservation of material beyond the existence of the Digital Archive and/or the organisation itself.

7.4.8 AUDIT AND REVIEW

To demonstrate a repository's success, it is important to engage in a process of peer review using a suitable metric. HES will assess the success of its Digital Archive using an appropriate audit system, making the results available to relevant stakeholders. To meet this aim, HES will:

- (a) Select a relevant audit system to implement.
- (b) Define and execute an audit programme to be carried out upon completion of archive development and at regular intervals thereafter.
- (c) Publish audit results to ensure accountability to Digital Archive stakeholders.

7.5 Legislation & Standards

See Appendix 2: Legislation, Standards & Guidance for full list.

Setting up a KyroFlux, used to preserve software saved onto floppy disks





APPENDIX I: SUMMARY OF HES ARCHIVES AND COLLECTIONS

8.1 Introduction

This summary outlines the archives and collections held by HES. HES Archives and Collections is made up of five components – Properties in Care, Associated Collections, National Record of the Historic Environment, National Collection of Aerial Photography and archives and collections relating to the history and operations of Historic Environment Scotland (and its predecessor bodies). A detailed appraisal is planned to identify how these archives and collections can be managed and integrated to deliver the new organisation's corporate objectives. This is particularly applicable where strong linkages and synergies between archival records, Properties in Care and their collections can be made.

8.2 National Record of the Historic Environment

8.2.1 HISTORY

The National Record of the Historic Environment stems from survey, recording and research by HES (and formerly RCAHMS); from the integration of different organisations and their archives; and active collecting from individuals and organisations. It also includes Canmore (www.canmore.org.uk), which is the modern manifestation of the National Inventory where information and archives come together for public access. The purpose of our work is to create a comprehensive record of the historic environment.

Between 1908 and 2015, RCAHMS generated its own collection through measured survey drawings, photography and research. The remit – to collect, record and interpret information relating to Scotland's archaeological, architectural, industrial and maritime heritage – resulted in an extensive archive. From the earliest years, RCAHMS also accumulated information and material from individuals. A number of organisations were integrated into RCAHMS through time, including the Scottish National Buildings Record (SNBR) in 1966, the Ordnance Survey Archaeology Branch in 1983, the Scottish Industrial Archaeological Survey in 1985, and the Scottish Office

Aerial Photographic Unit in 1993, adding a wealth of historic drawings, prints and engravings, photographs and books to the collection. RCAHMS also actively encouraged individuals to document and record their heritage, sometimes providing photographic film or sharing expertise. This resulted in the deposit of some significant collections, such as the graveyard photographs of Betty Willsher or the carved stone photography of Tom E Gray. With the creation of MyCanmore in 2008-9, and active community projects such as Scotland's Rural Past (launched in 2006), the facilities were developed for individuals or groups to upload material (information, drawings, manuscripts and photographs) directly to help enhance the National Record (for more detailed history see¹⁷.)

8.2.2 ARCHITECTURE

a) Scope

The architectural collections comprise information and archive in all formats documenting individual buildings, sites and monuments, recording change through time and illustrating the architectural design and build process. They include internally generated archival material created in the course of RCAHMS survey work between 1908 and 2015, and HES from 2015 onwards. Significant elements of the archive include:

- Results of RCAHMS and HES fieldwork and research in all archive formats, including field notes, written description and analysis, correspondence, glass plate, film and digital photography, building survey and publication drawings, 3D data, mapping data, databases and interpretative material.
- Material from architectural practices, including papers, drawings, photographs and books from firms based in Scotland spanning the 19th to mid-20th century. This material relates mainly to Scotland but some of the architects also worked abroad. Practice papers are collected as they highlight changes in projects and design.
- Material from individual architects – Scottish or mainly working in Scotland including student drawings, portfolios, design albums and

17. RCAHMS 1991 *A Guide to the Collections*; RCAHMS 2008 *Treasured Places: A Centenary*; RCAHMS 2015 *An Inventory for the Nation*.

drawing instruments.

- Manuscripts relating to research on buildings such as the research notes prepared for the Buildings of Scotland publication series.
- Three-dimensional material relating to the design process has been selectively acquired such as maquettes, models and drawing instruments.
- Photographs – glass plate negatives through to digital – comprising topographical views of buildings and photo albums. In addition there are collections relating to particular organisations such as the Country Commission, Country Life and ScottishPower, practice photography and company photography e.g. Scott Morton, and Whytock and Reid.
- Books from architects and architects practices (often annotated) as well as early imprints and rare volumes.
- Outreach and community engagement projects which have generated descriptions, drawings and photographs in all formats to enhance the record.

Not in scope are:

- material relating to the planning process
- estate maps
- printed maps
- business papers (unless complementing other parts of the collection)
- furniture, objects and artefacts relating to architect's practices
- material which would be appropriately housed in another publicly accessible collection.

b) Significance

The architectural collections represent Scotland's most comprehensive, wide-ranging record of the architecture of Scotland and, as such, are of national importance as a detailed, authoritative, record of Scotland's historic environment. They are constantly expanding through ongoing buildings survey, recording and research by HES, and by deposits of records from external projects including from universities, architects, individuals and community groups.

c) Future collecting

We will continue to collect archive in all formats created in the course of HES survey, recording and research, as well as from architectural practices,

organisations and individuals. We are particularly keen to collect archival material from the 1980s onwards including born digital architectural records. These are at increasing risk of loss and are currently not a feature of the collection except for a small sample of material from two architectural practices.

8.2.3 ARCHAEOLOGY

a) Scope

The archaeology collections contain information in all formats documenting excavations, surveys and research into human activity in Scotland, from the Mesolithic to the present day. They include internally generated collections created in the course of RCAHMS survey work between 1908 and 2015, and HES from 2015 onwards. Significant elements of the collections include:

- Results of RCAHMS and HES fieldwork and research in all archive formats, including field notes, written description and analysis, correspondence, glass plate, film and digital photography, field survey and publication drawings, 3D data, mapping data, rectified aerial imagery, databases and interpretative material.
- Material from early archaeological investigations and research, including papers, drawings and books from the 18th century onwards, and photographs from the late 19th century.
- Archaeological excavation and survey material including site archives of field notes, drawings, photography, survey data, geophysics, 3D laser scans, post-excavation and desktop research files. These come from government and university departments, professional archaeological units, local and national societies, and individuals, and together represent a significant part of the collection.
- Outreach and community engagement projects which have generated descriptions, drawings and photographs in all formats to enhance the record.

b) Significance

The archive is of national importance as a detailed, authoritative, record of Scotland's historic environment. It is constantly expanding through ongoing field survey, recording and research by HES, and by deposits of records from external projects including from universities, commercial archaeological units, individuals and community groups.

c) Collecting

We will continue to collect archive in all formats created in the course of HES survey, recording and research, as well as from archaeological investigations by state-funded projects, commercial units, academic research, national and local societies and by individuals. There will be an increasing focus on digital records. The aim is constant enhancement of the historic environment record and archive.

8.2.4 INDUSTRIAL

a) Scope

The industrial collections comprise information and archive in all formats documenting Scotland's industrial buildings, processes and recording change through time. These include internally generated collections created in the course of RCAHMS survey work between 1908 and 2015, and HES from 2015 onwards.

Significant elements of the archive include:

- Results of RCAHMS and HES fieldwork and research in all archive formats, including survey notes, written description and analysis, correspondence, glass plate, film and digital photography, building survey and publication drawings, 3D data, databases and interpretative material.
- The Scottish Industrial Archaeology Survey.
- Material focusing on particular industries e.g. power, hydro-electrics, gas, ship-building, distilleries, civil engineering etc.
- Archives from significant individuals active in the field such as Professor John Hume.
- Archives from significant companies e.g. William Arrol, ScottishPower, Scottish Gas, etc.
- Outreach and community engagement projects that have generated descriptions, drawings and photographs in all formats to enhance the record.

b) Significance

The industrial archives are of national importance as a detailed, authoritative record of Scotland's industrial heritage. The comprehensive nature of the record has established the archive as a key point of reference in any study of the industrial past.

c) Future collecting

We will continue to collect information and archive

material relating to significant industries, including more recent industries or those under threat.

8.2.5 MARITIME

a) Scope

The maritime collection comprises information and archive in all formats documenting Scotland's marine historic environment, including shipwrecks. It includes internally generated collections created in the course of RCAHMS survey and research work from the between the 1990s and 2015, and HES from 2015 onwards. We are recognised as a MEDIN Digital Archive Centre.

Significant elements of the archive include:

- Results of RCAHMS and HES fieldwork and research in all archive formats, including field notes, written description and analysis, correspondence, film and digital photography, aerial photography, mapping data and databases.
- Material from commercial maritime organisations.
- Archives from significant individuals active in the fields such as Dr Colin and Paula Martin.
- Dive footage from underwater excavations – video, as well as other technical datasets used for remote sensing.

b) Significance

The maritime archive is of national importance as a detailed, authoritative record of Scotland's historic marine environment. The comprehensive nature of the record has established the archive as a key point of reference in any study of the maritime past.

c) Future collecting

We will continue to collect information and archival material relating to the historic marine environment as we work to develop a comprehensive record.

8.3 Properties in Care Associated Collections (PiCAs)

8.3.1 ARCHITECTURE

a) Scope

Detached building fabric associated with Properties in Care including architectural carved stones, doors, floor tiles, painted ceilings, panelling, roofing material, timbers, wall plaster, window glass and yetts.

b) History

This collection has developed from a wide range of building fabric originating from Properties in Care that has either become detached from buildings historically before they came into State Care or intentionally removed by the predecessors of HES (Ministry of Works or Historic Scotland) as part of the management and conservation of these sites.

c) Significance

This collection is a key source of evidence for understanding and interpreting the structural history of specific sites and the building techniques and styles used at sites across Scotland. The medieval architectural carved stones collection is the most extensive of its kind in Scotland. It represents a wide range of functional and decorative mouldings such as capitals, column corbels, vault bosses and window mullions, most notably from Jedburgh Abbey, Melrose Abbey and Elgin Cathedral. Extensive collections of medieval tiles and water pipes survive from medieval monastic sites, most notably Melrose Abbey and Glenluce Abbey. Other medieval building fabric includes stucco, lead work, drawbridge timbers and window glass.

Post-medieval building fabric includes 16th-century ceiling roundels known as the 'Stirling Heads' from Stirling Castle, 16th-century carved oak wall panels and carved stone garden panels from Edzell Castle and church bells from Dunblane Cathedral, St Bride's Chapel, Trinity House, Seton Collegiate Church and Whithorn Priory.

More recent building fabric includes a series of late 18th-century prison doors with graffiti carved by French prisoners at Edinburgh Castle, one of the most complete series of 19th-century stained glass made by the Royal Bavarian Stained Glass Establishment of Munich at Glasgow Cathedral, and doors, windows and fittings from Fort George and the Palace of Holyrood House.

d) Future collecting

Building fabric normally enters the collection when it is removed as part of essential works to conserve Properties in Care, particularly the replacement of weathered architectural elements that affect the stability of a building structure or elements that can no longer be preserved *in situ*. Building fabric that has been removed historically may also become available

to collect from external sources. This could either have been reused as building fabric or passed into external private or public collections.

On behalf of Scottish Ministers, HES will actively consider collecting any building fabric known to have been previously associated with Properties in Care but now removed.

We will consider collecting relevant building fabric that will support the objectives of the Engine Shed, the new building conservation centre currently under construction in Stirling. This could include selective examples of traditional building fabric to be used for either reference, display or demonstration (See under Education and Research collections).

8.3.2 ARCHAEOLOGY**a) Scope**

Archaeological finds from Properties in Care discovered either by excavation, as chance discoveries ('stray finds') or deriving from antiquarian collections.

b) History

This collection includes finds from more than 50 Properties in Care across Scotland dating from prehistoric to modern times. The oldest of these assemblages were formed by antiquarian collectors in the first half of the 20th century, most notably by David Hay Fleming at St Andrews Cathedral, James Curle at Melrose Abbey and Colonel 'Soapy' Ogston at Kildrummy Castle. Other historic collections are associated with Arbroath Abbey, Glenluce Abbey, Linlithgow Palace, Melrose Abbey and Whithorn Priory. Significant excavated finds assemblages have been acquired via Treasure Trove in the last 80 years, most notably from Skara Brae (1930s), Caerlaverock Castle (1955-66), Smailholm Tower (1980-81), Tantallon Castle (1978) and Edinburgh Castle (2014).

The majority of the remaining sites have smaller-sized collections formed from chance finds discovered over the last century. The majority of archaeological finds recovered from Properties in Care are held in other collections, most notably National Museums Scotland and some 30 regional and local museums across Scotland. Selected items from these collections have been borrowed as long-term loans for display at their site of origin, most notably at Jedburgh Abbey, Skara Brae and Urquhart Castle.

c) Significance

The collection is a key source of archaeological evidence for nationally and internationally important sites across Scotland. Particularly significant are Neolithic finds from Skara Brae that complement material held in National Museums Scotland and Orkney Museum, significant medieval monastic collections associated with Melrose Abbey and St Andrews Cathedral, and a well-preserved collection of organic finds including shoes, decorated leatherwork, combs and basketry from Caerlaverock Castle.

d) Future Collecting

On behalf of Scottish Ministers, HES will seek to acquire selectively¹⁸ via the Treasure Trove process archaeological finds recently-discovered at Properties in Care.

We may seek to acquire historic and antiquarian archaeological finds from Properties in Care from other collecting institutions or private collectors.

We will consider as a 'last resort' accepting archaeological assemblages from excavations, surveys and other fieldwork funded fully or in part by us or our

predecessor bodies. However, our hope is that other collecting institutions will accept such assemblages into their long-term care.

We will consider accepting maritime archaeological finds referred to us by the Receiver of Wreck.

We seek to borrow archaeological finds associated with Properties in Care held in other museum collections where this can enhance the understanding and interpretation of these sites.

8.3.3 SOCIAL, INDUSTRIAL AND MARITIME HISTORY

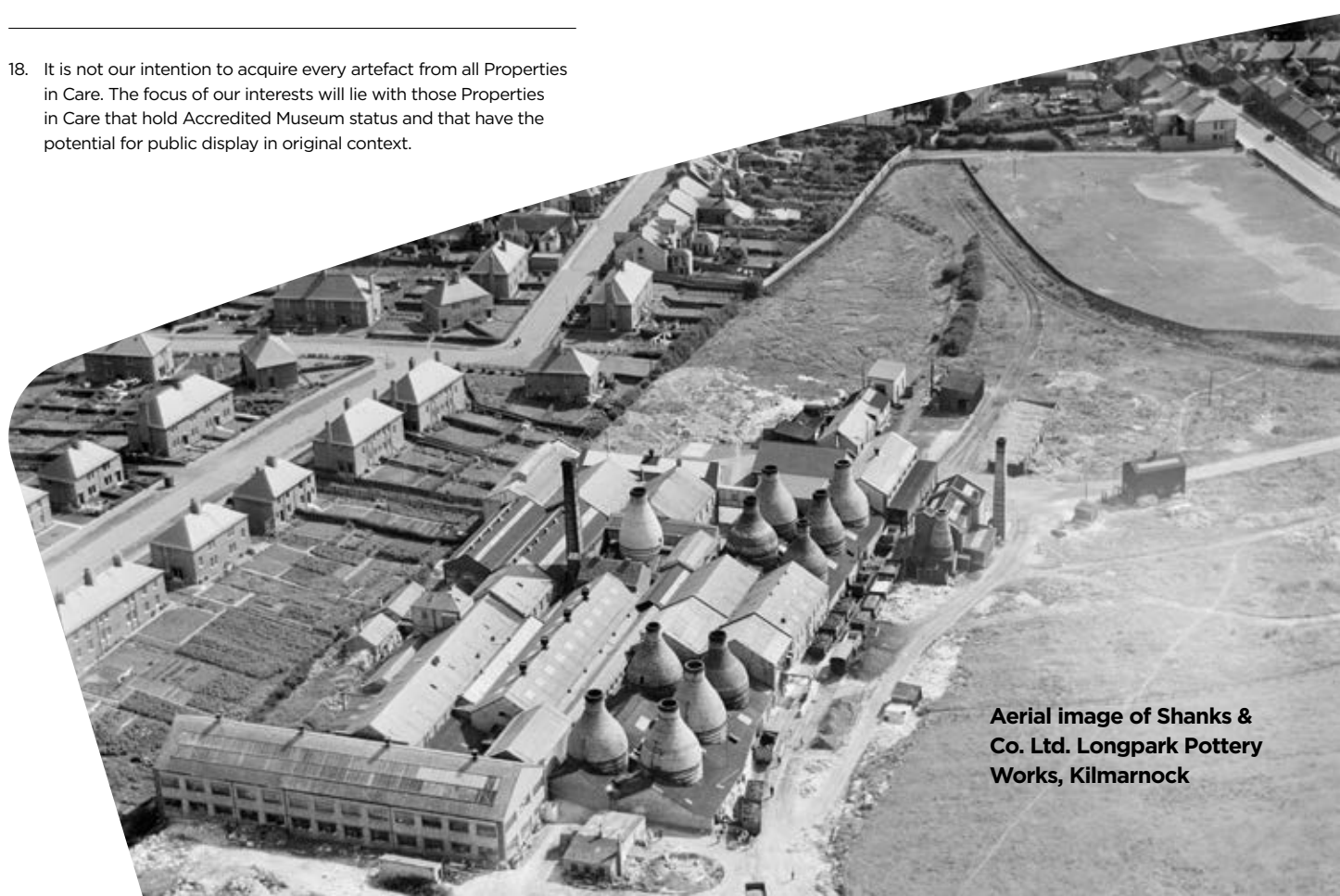
a) Scope

Objects associated with domestic, personal and community life, industry and maritime history associated with Properties in Care.

b) History

Significant social history collections have been acquired with a number of Properties in Care. These include the furnishings and contents of Arnol Blackhouse, Isle of Lewis, a traditional building dating from the 1880s; the lighthouse keeper's

18. It is not our intention to acquire every artefact from all Properties in Care. The focus of our interests will lie with those Properties in Care that hold Accredited Museum status and that have the potential for public display in original context.



Aerial image of Shanks & Co. Ltd. Longpark Pottery Works, Kilmarnock

accommodation at Kinnaird Head Lighthouse, last occupied in the 1980s; and objects from Duff House, occupied as a family house and subsequently used as a hotel, hospital, prison camp and Allied headquarters during the Second World War. Furniture dating from the 16th to 20th century is displayed at Dunblane Cathedral, Edinburgh Castle, Doune Castle and Trinity House.

Key collections of tools, machinery and working life objects are associated with cotton manufacture at Stanley Mills, whisky distilling at Dallas Dhu Distillery, the production of town gas at Biggar Gasworks and pig iron at Bonawe Iron Furnace. Collections relating to corn milling are on display at New Abbey Corn Mill, Dumfries and Galloway and at Tormiston Mill, Orkney.

Objects relating to Scotland's seafaring heritage include a large collection associated with the operation of Kinnaird Head lighthouse, Fraserburgh and an extensive collection of navigational instruments, ship model and objects relating to whaling and the merchant navy at Trinity House, Leith.

c) Significance

This collection has a specific value in understanding the lives of people who lived in, visited or worked in these properties. It also represents many aspects of Scotland's social, industrial and maritime past associated with personal experience, local and national culture and identity.

d) Future collecting

We will continue to build on these collections with a particular focus on recently occupied or used sites where good social historical information still survives externally such as photographs and objects associated with Properties in Care. We aim to collect relevant photographs, videos and oral history recordings as part of planned fieldwork.

8.3.4 MILITARY HISTORY

a) Scope

Artillery, weapons, armour, uniforms and other militaria relating to Properties in Care.

b) History

HES has an extensive collection of artillery, weapons, armour and other militaria on display at Properties in Care. The majority of this collection comprises of

artillery, weaponry and armour originating from the Tower of London. This material was introduced to supplement displays at Edinburgh Castle, Dumbarton Castle, Stirling Castle and Fort George from the late 19th century onwards. This material now forms a long-term loan with the Royal Armouries.

Other significant collections are more directly associated with the military use of sites, most notably at Dumbarton Castle, Edinburgh Castle, Fort George and Stirling Castle. The Seafield Collection on display at Fort George is a rare collection of 18th-century muskets, bayonets, knapsacks, buckles and other equipment from the Strathspey Regiment, the 97th Regiment of Foot and the Inverness-shire Volunteers, raised by Sir James Grant at the time of the Napoleonic Wars in the late 1790s and early 1800s. The Seafield Collection was taken by HM Treasurer in lieu of death duties following the death of the Dowager Duchess of Seafield in 1976 and donated to National Museums Scotland, from whom the collection at Fort George is currently on long loan.

c) Significance

Although a proportion of this material originates from fortified castles, forts, tower houses, coastal defences and a post-war bunker, 85 per cent (2,658 objects) of this has been introduced to trophy displays or for interpretative purposes.

Weapons representing medieval siege warfare include Mons Meg at Edinburgh Castle – one of the finest bombards in existence – and stone trebuchet balls found at Bothwell Castle, Caerlaverock Castle and Urquhart Castle. A large collection of medieval armour and pole weapons form part of an extensive trophy display in the Great Hall at Edinburgh Castle, which also includes 18th and 19th-century swords, mortars, bayonets and pistols. These are all part of a historic loan from the Royal Armouries.

Modern weaponry and militaria associated with the First World War, Second World War and Cold War are associated with Dumbarton Castle, Edinburgh Castle, Hackness Battery, Inchcolm, Trinity House and Tomnaverie Bunker.

There is currently little in the collection that represents the current use of Edinburgh Castle and Fort George as military barracks.

d) Future collecting

We will continue to collect historic objects that represent the military use of Properties in Care. We aim to collect contemporary objects that represent the changing use and occupation of Edinburgh Castle and Fort George as military barracks, ceremonial headquarters and training bases.

8.3.5 SCULPTURED STONES

a) Scope

This category includes a wide range of carved stones that are not architectural in function including Pictish symbol stones, crosses, funerary monuments and grave slabs.

b) History

This collection has been acquired when key sites became Properties in Care, most notably St Vigean (1960) and Meigle (1936). Other collections were formed as a result of antiquarian interest and transferred to the Ministry of Works most notably at St Andrews Cathedral (1904), Iona Abbey (1999) and Whithorn Priory (1908).

c) Significance

The collection includes the most extensive and well-preserved collections of Pictish symbol stones in Scotland, most notably at St Vigean, Meigle and St Andrews Cathedral. These and other stones form the most tangible and distinctive evidence of the Pictish culture. It also includes the largest and most significant collection early medieval crosses and funerary monuments in Scotland, most notably at Iona Abbey, Kirkmadrine Church, St Andrews Cathedral and Whithorn Priory Museum. Specific objects of high cultural significance include the St Andrews Sarcophagus, the Ruthwell Cross, the Dupplin Cross, St John's Cross, St Oran's Cross and the Jedburgh Shrine.

Later medieval grave-slabs and effigies also form a significant part of this collection at Iona Abbey and sites in Argyll. Important and well-preserved Post-Reformation tombstones and heraldic stonework are associated with Elgin Cathedral, Huntly House and St Andrews Cathedral.

d) Future collecting

We will continue to collect sculptural stones that are discovered through archaeological excavations

or building conservation at Properties in Care or sculptural stones offered from external collections.

In situ sculpture (for example, statues) removed for conservation reasons from a building at a Property in Care is not *bona vacantia*. It remains part of the Property albeit detached. Such pieces remain the property of the owner of the Property in Care and, under guardianship, within the full control and management of HES. As required under Scots law, buried sculpture discovered by chance or through archaeological excavation will be reported and its acquisition will be sought via the Treasure Trove process.

8.3.6 BOOKS, DOCUMENTS, PHOTOGRAPHS, ARCHIVES

a) Scope

This includes books and archives from the historic contents of Properties in Care or material collected to support the understanding and interpretation of these sites.

b) History

HES has two major collections of antiquarian books that were acquired when Dumbarton Castle and Trinity House became Properties in Care.

c) Significance

Significant archives of documents, photographs and books are associated with Dallas Dhu Distillery, Biggar Gasworks, Stanley Mills and Trinity House.

An extensive archive is associated with the collection and stored in object history files.

d) Future collecting

We will continue to collect books, photographs and archives that are relevant for understanding and interpreting Properties in Care and their associated collections.

8.3.7 FINE AND DECORATIVE ARTS

a) Scope

Oil paintings, watercolours, prints, drawings, ceramics, metalwork and textiles.

b) History

This collection is principally originated with the historic contents of properties such as Trinity House when they came into State Care.

c) Significance

There are more than 800 art works in the collection. These include oil paintings, watercolours, prints and drawings from the 16th century to present day. The main subjects include topographical pictures of HES monuments and portraits of royalty and people associated with Properties in Care.

d) Future collecting

We aim to collect relevant historic artworks relating to Properties in Care. Priority will be given to artworks known to have originated from specific Properties in Care or represent significant historical and topographical evidence of these sites. In certain circumstances, HES may seek to work with artists to commission artworks to be installed at Properties in Care. These will be acquired as part of the collection.

8.3.8 INTERPRETATION**a) Scope**

Models, replicas and objects commissioned for interpretation at HES Properties in Care

b) History

This collection has largely been formed by the Ministry of Works or Historic Scotland over the last century. It includes objects that have been recognised to have a long-term value as interpretative aids or continue to have an intrinsic quality as commissioned works.

c) Significance

A wide range of replicas and models has been accessioned into the collections. These have either been retained as historic pieces or commissioned as part of new interpretation projects. Significant material in this category includes the tapestries, furniture and roundels commissioned for the reconstruction of the Palace apartments at Stirling Castle. Historic items include the model of Edinburgh Castle made by Julius Geercke in 1886.

d) Future Collecting

We will continue to collect high-quality interpretative objects that are recognised to have a long-term value. These will be collected according to their accuracy and authenticity as interpretative aids, their quality of manufacture and their long-term durability and sustainability as exhibits. We will not collect interpretative objects that are designed to have a short life span as interpretative aids. We will

consider these criteria when commissioning any new interpretative exhibits. This will also allow their history as commissioned pieces to be fully documented.

8.4 National Collection of Aerial Photography (NCAP)**a) Scope**

The National Collection of Aerial Photography (NCAP) consists of more than 26 million aerial photographs and associated documents covering places around the world, of which 1.5 million cover Scotland, and which range in date from 1927 to 2012. It is the official place of deposit under the UK Public Records Act (1958) for declassified and released UK Government aerial photography of places around the world.

It contains military aerial photography dating from the Second World War and Cold War, formerly held by the Allied Central Interpretation Unit (the main Allied photographic intelligence centre during the Second World War), the Joint Air Reconnaissance Intelligence Centre (the UK photographic intelligence centre during the Cold War), and the Mediterranean Allied Photo Reconnaissance Wing (the Allied photographic intelligence unit covering the Mediterranean theatre during the Second World War). It also holds aerial survey photography taken by agencies such as the German Air Force, Royal Air Force, Ordnance Survey, the Directorate of Overseas Surveys (a government agency responsible for mapping colonial territories around the world), and commercial survey firms including Airbus Defence & Space, Simmons Aerofilms Ltd, BKS Surveys Ltd, Cartographical Surveys Ltd and Getmapping plc. It can be found online at <http://ncap.org.uk>

b) History

NCAP has its origins in military aerial photography declassified and released under the terms of the then recently enacted Public Records Act 1958 (PRA) to Keele University in 1967 where Professor Beaver in the Geography Department recognised the potential of the imagery for academic research and study. The Public Record Office (now The National Archives) was (and is) responsible within the UK Government for implementing the requirements of the PRA and had identified that the former RAF aerial photographs were records which were to be permanently preserved. In 1967, Keele University became the

designated place of deposit for declassified military aerial imagery and subsequently formed The Aerial Reconnaissance Archives (TARA).

In 1993, the former Scottish Office Air Photographs Unit was transferred from the Scottish Office to RCAHMS, which became recognised as the repository for historic aerial photography of Scotland. This included imagery taken by the Royal Air Force, the Ordnance Survey and the All Scotland Survey, commissioned by the Scottish Office in 1987-9.

In 2008, The Aerial Reconnaissance Archives were transferred to RCAHMS from Keele University and with the Scottish Office Air Photographs Unit were rebadged as the National Collection of Aerial Photography.

c) Significance

NCAP is one of the largest and most significant archives of historical aerial photography in the world. It is a unique archive for its range, quality, heritage and memorial status and for the diverse applications it serves today and into the future.

d) Future collecting

As the official place of deposit for declassified and released UK Government aerial photography, NCAP regularly ingests rolls of aerial film from government and military agencies and will be accepting digital imagery as it is released. It also acquires archives of aerial survey photography from significant UK aerial survey companies when these become available.

8.5 Collections relating to the history and operations of HES

8.5.1 ORGANISATIONAL HISTORY COLLECTIONS

a) Scope

Archival evidence such as documents, publications, photograph, films, tickets and other ephemera and objects such as staff uniforms, signage, tools and equipment that represent the history of HES.

b) History

HES and its predecessor organisations have generated a wide range of archival evidence that can be used to represent its history over the last century. Objects such as signage, uniforms, tools and equipment have been collected in the last 10 years.

c) Significance

HES currently has a wide range of documents, publications, photograph, and films representing key aspects of the organisation. Less well represented are objects such as equipment used for activities such as surveying and conservation, and systematically collected key material e.g. organisational publications, guidebooks, visitor books etc. and selective ephemera e.g. tickets and event publicity and examples of staff uniforms and equipment.

d) Future collecting

We will continue to collect material that represents its development as an organisation. Specific focus will be given to filling gaps in the collection so that key activities such as recording, scheduling, protecting, conserving the historic environment and promoting and providing visitor access to its Properties in Care and collections are more fully represented. It will also take a more systematic approach to contemporary collecting by actively recording key activities and collecting related objects and ephemera.

8.5.2 OPERATION OF HES - EDUCATION AND RESEARCH COLLECTIONS

a) Scope

Objects specifically used to support educational and research objectives through handling, demonstration and reference.

b) History

This collection has been largely formed in the last decade to support educational and research initiatives.

c) Significance

Most material reserved for this usage is either of low significance or well represented elsewhere in the collection. The use of accessioned material for these purposes is considered on an object-by-object basis and assessed according to health and safety considerations, security risks and physical robustness.

d) Future collecting

We aim to collect this material selectively where it fulfils a clear educational or research purpose and will consider giving any actively used material a separate status to accessioned material. This will allow this material to be acquired with a clear understanding that it will be used and potentially worn or broken in the service of this objective and can if necessary be disposed when this is no longer fulfils its function.



Display of Ministry of Works signs from various properties across Scotland

APPENDIX 2: LEGISLATION, STANDARDS AND GUIDANCE

Historic Environment Scotland is committed to the following legislation, standards and guidelines that apply to the archives and collections.

9.1 General

- Historic Environment Scotland Act 2014 and Schemes of Delegation
- Public Record Act (Scotland) 2011
- UK Public Records Acts 1958 & 1967
- Data Protection Act, 1998
- Freedom of Information Act, 2000
- Freedom of Information (Scotland) 2002
- Public Service Information Directive 2005
- Copyright Act 1911 and 1956
- Copyright and Related Rights Regulations, 2003
- Copyright, Designs and Patents Act, 1988
- Dealing in Cultural Objects (Offences) Act, 2003
- Health and Safety at Work Act, 1974
- Management of Health and Safety at Work Regulations 1999
- The Environmental Information Regulations, 2004
- COSHH: Control of Substances Hazardous to Health Regulations, 2002
- Convention on International Trade in Endangered Species of Wild Fauna and Flora
- Work at Height Regulations, 2005
- Manual Handling Operations Regulations, 1992
- Control of Asbestos Regulations, 2012.

9.2 Archives and Museum Standards

- SPECTRUM Knowledge: Standards for cultural information management, H Ashby, G McKenna and M Stiff, Collections Trust (published when MDA) 2001
- SPECTRUM: The UK Collections Management Standard (version 4.0), Collections Trust, 2011
- Accreditation Standard for UK Museums, 2011
- Archive Accreditation Standard, 2014
- ISAD(G): General International Standard Archival Description, International Council on Archives, 1999
- MIDAS Heritage: the UK historic environment data standard
- PAS197:2009: Code of practice for cultural collections management, BSi and Collections Trust
- PAS 198:2012 - Specification for managing environmental conditions for cultural collections
- PD 5454:2012 - Guide for the storage and exhibition of archival materials
- Benchmarks in Collection Care for Museums, Archives and Libraries 2.0, 2011
- ISO 14721:2012 Open archival information system (OAIS) - reference model
- ISO 16363: 2012 Audit and certification of trustworthy digital repositories
- Data Seal of Approval
- United Kingdom Registrars Group (UKRG) standards for undertaking Facility Reports to assess internal and external loan venues:
 - Standard Facility Report.
 - Security Supplements
 - Display Case Supplements.

9.3 Guidelines

- Code of Ethics for Museums, Museums Association, 2008
- Archives and Records Association Code of Conduct and Code of Ethics, June 2012
- Institute of Conservation (ICON) Code of Conduct and Professional Standards, 2014
- Code of practice for archivists and records managers under Section 51(4) of the data Protection Act, 1998
- Government Indemnity Scheme: Guidelines for National Institutions, July 2012
- Government Indemnity Scheme: General conditions for:
 - Security and environmental control
 - Transport
 - Food and drink
- The International Council of Museums (ICOM) Code of Ethics
- ICOM red list;
- *Combating Illicit Trade: Due Diligence guidelines for museums, libraries and archives on collecting and borrowing cultural material*, Department of Culture, Media and Sports (DCMS), October 2005
- UK Export Licensing for Cultural Goods – Procedures and guidance for exporters of works of art and other culture goods, DCMS, 1997
- *Convention on the Means of prohibiting and Preventing the Illicit Import, Export and Transfer of Cultural Property*, UNESCO, November 1970
- *Archaeological Archives: A Guide to Best Practice in Creation, Compilation, Transfer and Curation*, Archaeological Archives Forum, 2011
- *Guidelines for Archiving Archaeological Projects*, RCAHMS, 2012
- *Treasure Trove in Scotland, A Code of Practice*, Queen's and Lord Treasurer's Remembrancer, July 2014, revised January 2016.

9.4 HES Working Documents

- Historic Environment Scotland Corporate Plan
- Historic Environment Scotland Salvage Policies and Strategies, 2014-15
- John Sinclair House Incident Plan, 2016
- *More than the sum of the Parts* – Historic Scotland Internal PIC Archaeology Policy
- Climate Change Action Plan, 2012-17
- Historic Environment Scotland Archives and Collections Development Policy, 2016
- Historic Environment Scotland Archive Appraisal Policy, 2016
- Historic Environment Scotland Archive & Collections Information Policy, 2016
- Historic Environment Scotland Collections Access Policy, 2016
- Historic Environment Scotland Collection Care & Conservation Policy, 2016
- Historic Environment Scotland Loans Policy, 2016
- Historic Environment Scotland Collections Documentation Procedural Manual 2017.



HISTORIC
ENVIRONMENT
SCOTLAND

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ALBA

Historic Environment Scotland is the lead public body established to investigate, care for and promote Scotland's historic environment.

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