



ARCHIVES AND LIBRARY POLICIES 2025



HISTORIC
ENVIRONMENT
SCOTLAND

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PREFACE

The policies in this document set out the purpose and guiding principles for the management of the archives and library in HES and reflect the high professional standards expected of Historic Environment Scotland. Following the creation of HES in 2015 policies were combined to reflect the requirements of both the archives and object collections but for this revision they have been decoupled, updated and simplified to reflect only the professional needs of the archives and library. The Digital Repository Management Policies, previously separate, have been merged to create an integrated and comprehensive management document.

This suite of policies applies to:

- The HES Archives focused on the entirety of the historic environment of Scotland, managed by Cultural Assets
- National Collection of Aerial Photography (NCAP), focused on historic aerial reconnaissance photography from UK and around the World, managed by Marketing and Engagement.
- The HES library, managed by Cultural Assets

There are 8 policies in the suite, as well as background information, references and our statement on sensitivity and inclusive terminology. They underpin and inform all aspects of our work and are essential working documents which we keep under review.

Archives in HES have been recognised as an Accredited Archive Service since 2017, has held Core Trust Seal certification since 2021 and was appointed by The National Archives as a Place of Deposit for the historic aerial photographic records in NCAP in 2024. As well as providing internal guidance, these policies are shared with colleagues across the sector and are used to demonstrate professional practices and procedures for external accreditation or certification.

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Historic Environment Scotland

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1. SUMMARY

1.1 Introduction

Historic Environment Scotland (HES) came into existence on October 1st 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.

HES Archives are managed in accordance with the functions as set out in the Historic Environment Scotland Act 2014, UK Public Records Acts, 1958 & 1967, and the Public Records (Scotland) Act 2011.

Policies have been written to set out the purpose and guiding principles adopted by HES for its archives, and these include:

- a) Archives and Library Collection Development Policy
- b) Archives Appraisal Policy
- c) Library Appraisal Policy
- d) Archives Information Policy
- e) Archives Loans Policy
- f) Archives Collections Care and Conservation Policy
- g) Archives Digital Repository Management Policy
- h) Archives and Library Access Policy

Also provided are:

- i) Appendix 1: Summary of the Archives and Library in HES
- j) Appendix 2: Legislation, Standards and Guidance
- k) Appendix 3: Archival Records: Sensitivity and Inclusive Terminology

The HES Board consider the archives 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.

The vision and mission of HES are set out in *Heritage for All*, the Corporate Plan 2025-2028 onwards.¹

Purpose:

To investigate, care for, and promote Scotland's historic environment, for the benefit of people and communities everywhere.

Vision:

Heritage for all.

¹ <https://www.historicenvironment.scot/about-us/who-we-are/heritage-for-all/>

Our priorities and Outcomes:

These are the five priorities and ten outcomes that we want to achieve and that will help realise our vision:

Scotland's Heritage

1. Increased investment in the heritage assets in our care
2. Provided inspiring and memorable visitor experiences
3. Enabled good decision-making for Scotland's protected places

Skills and Learning

4. Inspired a new generation of learners through our skills and outreach programmes

People and Places

5. Increased the economic and community benefits from Scotland's historic environment
6. Sustained our grant funding to ensure the historic environment delivers against national priorities

Climate Action

7. Led the way in reducing our climate impacts
8. Made Scotland's heritage central to the just transition to net zero

Our Organisation

9. Increased our income and invested it in Scotland's heritage
10. Provided a safe, secure and inclusive environment in which our colleagues can thrive

1.2 Scope

These policies relate, wholly or in part, to all archives 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.

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

These policies also relate to the HES library collections.

1.3 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 on-line opens them up to the welcomed scrutiny of a much wider public and professional audience.

As a 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 welcome collaboration and seek to avoid competition.

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

1.4 Timescale

These policy statements were adopted by the HES Board and agreed by the Director of Cultural Assets on behalf of the HES Chief Executive in July 2025. They will be reviewed no later than October 2028.

2. ARCHIVES AND LIBRARY 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. 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 Archives Accreditation Standard². 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.

2.2 Statement of Purpose

HES Archives are managed in accordance with the functions as set out in the Act. We will also work to the priorities set out in the HES Corporate Plan 'Heritage for All', 2025.³

2.3 Summary of HES Archives and Library

HES holds archives of national and international importance to our understanding and engagement with Scotland's past, and library collections that further these functions.

- a) Archives and records relating to the historic environment in and of Scotland, including architecture, archaeology, industry and maritime
- b) Material created during survey, recording and research activities across HES
- c) Historic aerial photographs relating to locations world-wide and their associated indices
- d) Material relating to the history and operation of the organisation (and predecessors)
- e) Library collections and online resources relating to the historic environment and research needs of HES Archives users

2.4 Collecting Criteria

The Act sets out the means by which archives are acquired.⁴

(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 in trust for the benefit of the public in relation to its stated objectives. The HES Board therefore accepts the principle that sound

² Managed in Scotland by the Scottish Council on Archives.

³ <https://www.historicenvironment.scot/about-us/who-we-are/heritage-for-all/>

⁴ Section 14 of the Act specifies that “‘object’ means an object, document or other thing having historical, archaeological, architectural or cultural significance or interest relating to the historic environment generally or with particular reference to Scotland” <https://www.legislation.gov.uk/asp/2014/19/section/14>

curatorial reasons must be established before consideration is given to any acquisition or disposal to/from its archives.

We recognise our responsibility, when acquiring additions to our archives, to ensure that their care, documentation arrangements and use will meet the requirements of the Archive Accreditation Standards. We will take into account limitations on collecting imposed by such factors as staffing, insurance requirements, long-term storage and collection care arrangements.

In order to develop HES Archives we are committed to acquiring information and illustrative material that builds up a comprehensive record of Scotland's historic environment.

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

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

A more detailed breakdown of these archives 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 as a means of providing access to historic environment information through our search room (see *HES Archives Loans Policy*).

2.5 Archives Procedures

2.5.1 *Limitations on collecting*

HES recognises its responsibility in acquiring additions to its own archives to ensure that care, cataloguing arrangements and use of this material will meet the requirements of the Archive Accreditation Standard. It will fully assess the future resource needs of any archive prior to acquisition and take into account limitations on collecting imposed by such factors as staffing, insurance requirements, storage and care of collection arrangements.

2.5.2 *Collecting Policies of other institutions*

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

Specific reference is made to organisations with similar and/or overlapping collection development policies. 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 *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) We will accept or acquire an item only if HES can provide adequate, continuing long-term care for the item and public access to it, without compromising standards of care and access relating to the existing collections.
- b) 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).
- c) 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 1st 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.
- d) 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.
- e) 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.

- f) We will discuss expectations and clarify in writing the precise terms on which all parties are accepting transfer of title. Exercise sensitivity towards donors when accepting or declining gifts and bequests.
- g) We will conduct due diligence to verify the ownership of any item prior to purchase, and that the current holder is legitimately able to transfer title or to lend. We will apply the same strict criteria to gifts and bequests.

2.6.2 Spoliation

We will use the statement of principles ‘Spoliation 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

We will deal sensitively and promptly with requests for repatriation both within the UK and from abroad. The HES Board, acting on the advice of professional staff, 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 are held on behalf of the public. All items, once acquired, 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.

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 general practice at HES to dispose of archives through the sale of items.

2.7.2.1 Disposal of library material

The majority of library collections are not unique objects, and therefore may be subject to more active disposal procedures than archive collections. Disposal of library collections will be carried out according to criteria and procedures detailed in *HES Appraisal policy*. Disposal of library collections includes but is not limited to: the disposal of printed collections; the discontinuation of subscriptions to online journals or resources; the consolidation of collections into a more sustainable format (i.e. cancelling a subscription in favour of single purchase).

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 archive item 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.

We will not undertake disposal motivated principally by financial reasons.

2.7.5 Consideration of disposals

Factors that will be considered include the public benefit, the implications for HES Archives and for collections held by other organisations collecting the same material or related fields. 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

For contentious disposals, for example items previously purchased at auction; or with a monetary value; or items deemed to be high profile and contentious, a full case for disposal will be made to the Executive Leadership Team (ELT) for Board approval. Disposals that do not meet the above criteria can be considered 'routine'. For these, the HES Board will nominate the Head of Archives to make the final decision on and report the decision to ELT.

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 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 library will be restricted to the long-term sustainability, use and development of those archives.

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 may decide to destroy it. It is acceptable to destroy material of low intrinsic significance (duplicate mass-produced articles or common specimens which 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 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. ARCHIVES 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 over 100 years of survey and collecting, and now comprises 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 Photography (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 Library Collection 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:

- a) identify archive material for long term preservation by HES for business and historical reasons
- b) 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 archive staff
- b) Primary appraisal – this will occur at the point of acquisition when material will be evaluated against the *HES Archives and Library 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 re-appraised at any given point.
- f) Unmanaged or orphaned archive discovered within the collection will be assessed by the archive 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, or if there is a health and safety consideration, e.g. nitrate film
- 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 archive 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.
- c) 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.
- d) 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); 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; HES 2025; Cifa 2020).⁵
- 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.
- c) 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.

⁵https://archives.archaeologyuk.org/aaf_archaeological_archives_2011.pdf;
https://archives.archaeologyuk.org/aaf_archaeological_archives_2011.pdf;
<https://www.historicenvironment.scot/media/m1feout0/depositors-guidance-archaeological-projects.pdf>;

- d) For business records, consideration will be given to ensure the archival integrity of collections relating to the built environment and these records will be retained where appropriate and necessary.
- e) 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 which 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. 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. LIBRARY APPRAISAL POLICY

4.1 Introduction

The HES Library collections were created in 2015 with the merger of the Historic Scotland and RCAHMS libraries. The library contains circa 60,000 books and journals.

The library was developed primarily through donation and purchasing by RCAHMS and Historic Scotland. It focuses on areas of relevance to the organisation and predecessors: archaeology, architecture, maritime and industrial history; archive collections; as well as material relating to technical building conservation and collections management.

4.2 Objectives

The objective is to be a research library with specialist collections relating to the historic environment. Its audience is researchers at SCQF level 9 or higher with specialist interest in architecture; archaeology; maritime history; and industrial history, particularly as they relate to Scotland.

Maintaining access to library collections, print and online, is a resource intensive operation. As such, library collections must be subject to frequent acquisition, appraisal, and disposal, in order to deliver its strategic goals. The objectives of library collections appraisal are to:

- a) Identify and dispose of collections that do not fulfil the strategic objectives of HES Library
- b) Remove access to online journals and resources to allow for the reallocation of budget towards more appropriate resources

4.3 Principles

The following principles have been adopted by HES:

- a) Appraisal of HES Library collections is undertaken by specialist library staff
- b) Primary appraisal – this will occur at the point of purchase or gift when material will be evaluated against the *HES Archives & 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 during the operation of HES Library, either using ad hoc reviews using Library Management Systems, or during the review of usage statistics for online resources.
- d) Material can be re-appraised at any given point.
- e) Condition – material may be appraised on grounds of condition if the items are fragile and beyond repair.
- f) Duplicates – there is a presumption that duplicates will not be retained, with the exception of high traffic items or special print collection items.
- g) Language – there is a presumption that HES Library collections prioritise collections written in English, Scots, or Scottish Gaelic. HES Library will only collect items published in different languages where an appropriate translation cannot be readily obtained.

4.4 Approaches

Appraisal of library collections shall be undertaken by relevant library staff. There is a presumption that the appraisal and disposal of library collections is a regular and necessary practice for a well-functioning library. To support this, appropriate documentation should be maintained to provide accountability for the decisions made by library staff during the operation of their roles. Different types of material require different approaches and the key areas are outlined here.

4.4.1 General Collections

- a) General collections should be evaluated according to how they fulfil the collections development objectives for HES Library.
- b) HES Library will prioritise the retention of current publications over historic publications, especially with regards to textbooks and academic publications. The impetus will be to ensure that HES remains a relevant, up-to-date resource for researching the historic environment.
- c) Staff will review General Collections material for transfer either to the archive or special print collections.

4.4.2 Special Print Collections

- a) Special Print Collections consist of Library print collections that, for a variety of reasons, have been identified as being of specific importance.
- b) HES Library will prioritise the long-term retention and conservation of special print collections. Special print collection items will be subject to appraisal in circumstances where they a) no longer meet the collection goals of HES library, b) have deteriorated past the point of reasonable use or conservation, or c) rationale provided by HES Archives department.
- c) Where Special Print Collections constitute part of an archive deposit, archive collection appraisal policies will be prioritised.

4.4.3 Journals and Periodicals (including eJournals)

- a) Journals and periodicals should be evaluated according to how they fulfil the collections development objectives of HES Archives.
- b) Furthermore, the usage statistics of eJournals will be used to inform continued subscription. These usages statistics will be reviewed on an annual basis.

4.4.4 Pamphlets and Ephemera

- a) Pamphlets and ephemera should be evaluated according to how they fulfil the collections development objectives of HES Archives and library
- b) Collections of pamphlets and ephemera will be stored as per archive standards with batch level 'unit' descriptions

4.4.5 Theses

- a) Theses should be evaluated according to how they fulfil the collections development objectives of HES Archives.
- b) HES Library aims to collect theses that use or make reference to archive, data, or other work conducted by Historic Environment Scotland.
- c) Theses will be subject to appraisal in circumstances where they no longer meet the collection goals of HES Archives

4.4.5 *Online Resources*

- a) Online resources should be evaluated according to how they fulfil the collections development objectives of HES Archives.
- b) Furthermore, the usage statistics of eJournals will be used to inform continued subscription. These usages statistics will be reviewed on an annual basis

4.5 **Documentation**

All decisions made during the appraisal process will be documented. Any decisions regarding further and more detailed appraisal will be documented on standard forms which will be filed with library management documentation.

4.6 **Disposal of Material**

Material will be disposed of according to HES disposal policy (see 2.7 above), with the exception of the removal of access to online resources.

5. ARCHIVES INFORMATION POLICY

5.1 Introduction

Historic Environment Scotland (HES) recognises that harnessing information effectively underpins the core functions of archives and collections management and public access. The overall aim of this policy is to ensure that information relating to HES Archives is in line with the Archives Accreditation Standard⁶. This policy also links to the *HES Records Management Plan 2018*.⁷

5.2 Scope of Policy

This policy applies to all object or item information relating to HES Archives as summarised in 3 above and includes any inward loans to HES.

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

- a) Archives development information
- b) Catalogues and documentation
- c) Archives and collections research
- d) Conservation and collections care records
- e) Enquiries
- f) Information about the use of archives

5.3 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:

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

HES will:

- d) be accountable for archives information that it holds
- e) provide reliable and accurate information systems to manage the archives effectively
- f) maintain at least minimum professional standards in documentation, information and access
- g) extend access to archives information. This will include facilitating physical, sensory and intellectual access on site; by lending and borrowing; as well as virtually through HES online services
- h) strengthen the security of the archives collections through accurate information.
- i) ensure that this information is safeguarded for users in perpetuity
- j) seek to add value to the information it holds through joint initiatives with other institutions

⁶ Managed in Scotland by the Scottish Council on Archives.

⁷ <https://www.historicenvironment.scot/archives-and-research/publications/publication/?publicationId=1799f1d4-14a5-4e0d-940e-a91500b296e4>

5.4 Implementation

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

- a) Accessioning
- b) Cataloguing
- c) Entry and exit processes
- d) Location and movement control
- e) Loans
- f) Collections appraisal
- g) Condition checking
- h) Conservation
- i) Enquiries
- j) Rights management
- k) Digitisation

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 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. We utilise an in-house developed collections management system for this purpose, along with electronic corporate document management systems.

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 Records Management Policy*.

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

5.5 Legislation, Standards & Guidance

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

6. ARCHIVES LOANS POLICY

6.1 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, and those of lenders. 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.

6.2 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. The loans described here are all administered through HES Archives under the management of the Acquisitions and Loans Manager.

6.3 Aims

- a) To ensure that all inward and outward loans are relevant to Historic Environment Scotland's corporate aims and objectives and the current Archives Development Policy.
- b) To work effectively with a wide range of lenders and borrowers to increase public access, understanding and enjoyment of collections.
- c) To ensure that all inward and outward loans are managed with due diligence, in accordance with legal requirements and ethical considerations.
- d) To ensure that all loan requests are rigorously considered in relation to the need to safeguard all the objects concerned.
- e) To ensure all loans are set up with clear terms and conditions that can be achieved by the lender and the borrower.
- f) 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:

- g) Sharing transport where possible and only using couriers where absolutely necessary.
- h) Where possible and practical, carrying out interim condition checks of loan items remotely.
- i) Considering longer-term loans or permanent transfers.
- j) Adopting more sustainable practice reusing packing and display materials where possible.

6.4 Outward Loans

6.4.1 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.

6.4.2 Who we lend to

We principally lend to:

- a) Public museums, archives and galleries in the UK. Preference is usually given to institutions with Archive or Museum Accreditation status.
- b) International museums and galleries with an equivalent to UK Archive or Museum Accreditation status
- c) Public institutions with recognised appropriate facilities for display and exhibition
- d) Archives in Scotland who hold material on our behalf under a Charge and Superintendence Agreement (long term loan)

6.4.3 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 Head of Archives at Historic Environment Scotland, John Sinclair House, 16 Bernard Terrace, Edinburgh EH8 9NX.

6.4.4 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 impact this would have on public access and whether any conservation, framing or mounting would need to be undertaken ahead of the loan. Our acquisition and loans manager will be able to give advice about this before a formal request is made.

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

6.4.5 Due diligence

We would seek 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.'

6.4.6 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.

6.4.7 Authorisation of outward loans

All new loans require authorisation of the Head of Archives. Authorisation of HES Chief Executive (via the Director of Cultural Assets) is required for loans considered to be novel or contentious, and where valuation exceeds thresholds for delegated authority.⁸ The Deputy Head of Archives will sign off renewals of all previously authorised loans.

6.5 Inward Loans

6.5.1 Introduction

Loans are important to develop the archive collection as whole and to increase access to material which would otherwise not be publicly accessible. This section sets out how we would make formal requests and under what circumstances we would withdraw a request.

6.5.2 Formal requests

The Acquisitions and Loans Manager manages all inward loans for Archives. They 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, they are responsible for liaising with the lender, negotiating terms and conditions and signing off loan agreements.

6.5.3 Authorisation of inward loans

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

6.5.4 Due diligence

We will not normally pursue inward loans requests if:

- a) The lender is unable to provide proof that they are legitimately entitled to offer the requested object(s) on loan.
- b) 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.
- c) Any requested object(s) found to be stolen, illegally exported or imported.
- d) The object(s) are being offered for sale.

6.6 Legislation & Standards

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

⁸ <https://hescot.sharepoint.com/sites/ResourcesandSupport/SitePages/Schemes-of-Delegation.aspx>

7. ARCHIVES COLLECTION CARE AND CONSERVATION POLICY

7.1 Introduction

This policy sets out the purpose and guiding principles adopted by Historic Environment Scotland (HES) for the care and conservation of archive collections in its care. The adoption and implementation of this policy is a requirement of the Archives Accreditation Standard¹². Our approach to the care and conservation of archives will promote wherever possible environmental sustainability in line with our own and Scottish Government policies on Climate Change.

7.2 Scope of Policy

This policy applies to all archives in the control and management of HES as summarised in 3 above. It also includes items awaiting accession into HES Archives and material on loan.

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:

- a) preserving, conserving and developing its collections
- b) making the collections accessible to the public and to persons wishing to carry out study and research
- c) exhibiting and interpreting items from 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.

7.4 Use of Archives

The use of archives carries a potential risk of loss or damage and a certain level of natural deterioration on display or in storage is inevitable. HES aims to achieve an appropriate balance between the long-term preservation of archive collections and provision of public access.

HES will be guided by the principle of risk management in the care of archive collections. The proposed use of any item will be considered on a case-by-case basis considering condition and assessment of any potential risks. 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.

7.5 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).

7.5.1 Objects on Display

- a) We will work to ensure that any risks to items on display are minimised through assessment, control of the environmental conditions, and the use of appropriate display materials.

7.5.2 Objects in Storage

- a) We will ensure that items held in storage spaces be housed and stored to the relevant best practice standards.
- b) All storage materials, equipment and fittings used will be of an appropriate standard and where packaging does not meet this criteria, measures will be taken to address this (e.g. improvement of housing).
- c) Any new storage facility must be in compliance with HES archives collection care standards.

7.5.3 Transportation and Handling

- a) Archives 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 items on loan.

7.5.4 Environmental Management

- a) We will ensure that, as far as practicable, HES archives 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 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.

7.5.5 Integrated Pest Management

- a) Risk to HES archives 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 will be formally assessed for signs of pest and biological infestations and where archive items show signs of a potential infestation, appropriate quarantine and treatment measures will be taken.

7.5.6 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.

7.6 Interventive Conservation

Interventive conservation treatments are intended to extend the usable lifetime of archive collections and stabilise condition. These are essential and allow objects 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.

7.6.1 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 support staff are appropriate for the care of archives.
- 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 practice contracted by us to provide advice or services will be expected to be listed on the ICON Conservation Register and be fully ACR accredited (or equivalent).
- 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. Treatments applied should be reversible where possible and where appropriate.
 - Adopt a preference for minimal intervention and, where possible, explore alternative preventive measures before interventive treatments.

7.6.2 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) Conservation treatment of items on loan to HES will only be undertaken after consultation and approval with the lender.

7.7 Physical Security & Access

- a) We have a duty to ensure the environment in which archive 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 as resources allow.
- c) Access to all storage areas will be provided under the supervision of appropriate trained staff.
- d) Any theft of archives will be reported immediately to Police Scotland and the Metropolitan Police Art and Antiquities Unit. It will also be reported immediately to the HES Chief Executive.

7.8 Incident Response Planning

- a) Unexpected incidents can have a major impact on the safety and condition of archive 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 and recovery procedures.

7.9 Health & 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 and follow HES Archives inhouse standards.

7.10 Reporting & Monitoring

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.

7.11 Legislation and Standards

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

8. ARCHIVES DIGITAL REPOSITORY MANAGEMENT POLICY

8.1 Introduction

HES is actively developing a Digital Repository to ensure the long-term preservation of contemporary records which illustrate or document the historic environment of Scotland.

This is essential for the survival of unique digital records and for the continuing development and currency of the HES Archive. Digital records contribute to telling Scotland's story but will also provide sources of information for future generations. The HES Digital Repository Management policy sets out the purpose, guiding principles and operational policies for the Digital Repository.

8.2 Scope of Policy and Definitions

This policy applies to all digital objects in the control and management of HES, both born digital and digitised.

The functions of HES as set out in the Historic Environment Scotland Act 2014 include management of its physical and digital archives as a national resource for reference, study and research.

Contents of the archive stem from survey, recording and research by HES and other individuals and organisations; from the integration of different organisations and their archives; and active collecting of archives from individuals and organisations relating to the historic environment of Scotland

The principal 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 Library Collections Development Policy*, and the *HES Archive Collections Care and Conservation Policy*.

8.2.1 Digital Repository

HES Digital Repository is an infrastructure which stores manages, publishes and curates digital assets relating to the historic environment of Scotland. This includes software and hardware technologies, policies, processes, services, and people, as well as content and metadata.

HES Digital Repository is underpinned and supported by IT staff and dedicated digital archive staff who form part of the wider HES Archives Department.

8.2.2 Digital Object

Individual digital files (that may comprise a larger digital collection).

8.2.3 Digital Content/Material

A diversity of digital material that forms part of an archival collection (may be part of archival deposits containing physical, analogue and digital objects).

8.2.4 Digital Collections

Curated collections of digital objects (may be associated with related physical materials).

8.2.5 Digital Assets

Digital objects and collections that are recognised to have a long-term value. These are collected according to their accuracy, integrity and authenticity, their provenance and their long-term durability and usability.

8.3 Aims

HES Archives are managed in accordance with the functions as set out in the Historic Environment Scotland Act 2014, UK Public Records Acts 1958 & 1967, and the Public Records(Scotland) Act 2011.

With increased volumes of digital material HES established a digital repository. This is aligned with the wider HES organisational community and strategies in relation to stewardship and management of digital materials and the curation of an open and accessible archive that is preserved for use by future generations.

Our mission is to:

- a) manage our cultural heritage digital collections across the entire digital curation lifecycle according to international standards and domain best practice
- b) ensure wide and continued access to our internationally significant digital collections for future generations
- c) support and anticipate the evolving digital needs of users interested in local and family history, architecture, archaeology, as well as the industrial and maritime environment
- d) collaborate and innovate to enhance knowledge and understanding of Scotland's historic environment

HES Archives aims to serve a broad community, encompassing local, national and international audiences. This community comprises both users and stakeholders from the general public and from those with more defined professional and research agenda including:

- commercial archaeological units
- architectural practices
- engineering companies
- developers and related firms
- university and college researchers, students and staff
- independent researchers, both local and international
- HES staff
- staff from related heritage bodies
- members of Scottish Government
- the police, fire services and armed forces
- schools
- community heritage organisations
- broadcast and other media

- charities
- the creative industries

8.3.1 Policy statement

We are committed to acquiring and preserving digital assets that contribute to a public record of Scotland's historic environment and to delivering high-quality and curated digital collections for use by all in our designated community as stated in the HES Archives Digital Repository Management Policy Aims (section 8.3), both now and for future generations.

This policy complements and is informed by the HES Archives and Library Collections Development Policy and applies to one area of collecting, namely the National Record of the Historic Environment. The policy sets out the purpose and guiding principles adopted by HES for the acquisition and disposal of digital material. It resonates with the digital archive's mission to support and anticipate the evolving digital needs of users interested in local and family history, architecture, archaeology, as well as the industrial and maritime environment.

8.3.2 Scope

New acquisitions of digital materials are made according to the following collecting criteria:

- Digital material relating to the historic environment of Scotland, including architecture, archaeology, industry and maritime
- Digital material created during survey, recording and research activities across HES

We acquire or accept digital materials principally for Scotland and its regions though not exclusively so. In most cases assets held in the digital archive are unique copies and cannot be found elsewhere.

HES Archives makes efforts to confirm that all digital materials are collected in accordance with legal and ethical criteria in place at the time. Where this information is unavailable, the professional judgement of senior archive managers will be used to decide on the inclusion of such material taking into account any relative risk associated with it.

8.3.3 Acquisition

We evaluate and acquire digital materials offered based on our collecting criteria, their intellectual content and potential re-use, and relative digital preservation requirements (e.g. costs, completeness, media, technical documentation). We may consider digital objects that do not meet all these criteria, particularly if there is significant re-use value or historical significance. Instead, documentation accompanying such digital materials may be amended to highlight any re-usability issue.

We offer depositors a list of preferred and accepted formats that HES Archives considers best suited for long-time preservation and continuity of access. The formats are commonly used within the archaeology and architecture domains, have open specifications, and are independent of specific software, developers or supplier. These include formats for digital images, documents and raw text as well as more complex digital objects.

Digital material such as vector graphics (e.g. CAD drawings), geophysical and topographic survey data, relational databases and spatial data often necessitate additional digital preservation actions

in order to maintain their future functionality. These include contingent digital file requirements, complexity and variety of data formats and structures, proprietary formats, the need to maintain the technical and social contexts in which the data exists, as well as growing importance of web services, new technologies and advanced delivery and analytical environments.

Where questions arise about the suitability of a dataset for the archive or its re-use potential is unclear, we will seek advice from domain practitioners within HES to assist with the evaluation process and maintain the high standards necessary for the effective development of a quality national archive.

8.3.4 Metadata and documentation

We require depositors to provide appropriate metadata and documentation to enable us to both preserve and make digital files accessible. To promote resource discovery we need Site and Project-level metadata, as well as file level metadata and technical metadata for more complex digital objects. Where practicable we also require that digital objects are accompanied by comprehensive machine readable contextual documentation including file inventories, technical notes, reports, and errata in open and accessible formats. Non-digital documentation may be digitised if required.

In cases where metadata or documentation is insufficient, we will work with depositors to ensure that digital files are useable and understandable by generating additional contextual information.

8.3.5 Appraisal

Appraisal is the process of selectively retaining or disposing of digital objects in a transparent and accountable way. This activity is critical for identifying areas for future collection development, either by considered rationalisation or through retention scheduling. 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.

We appraise digital objects according to the following principles:

- digital objects meet the criteria of the archive as set out in 8.3.2 (above)
- digital objects are unique and are not duplicates of, or similar to, other objects in the collections
- digital objects meet the standards and accepted formats in 8.3.3 (above)
- digital objects deemed to be inadequately documented; are potentially disclosive; are acquired or generated illegally; or are suspected or known to contain inaccuracies.

We operate with internal and external appraisal guidance for digital archive staff and depositors respectively.

8.3.6 Disposal

We are committed to ensuring that digital material we hold in the repository is preserved and made available for people to use. However, we are also committed to ensuring that material is archived and displayed lawfully and appropriately.

There is a strong presumption against the disposal of any objects in the digital repository except in exceptional circumstances. These include:

- A record contains personal or sensitive personal information about a living individual and continued access to this would be unlawful or unfair under the General Data Protection Regulation (GDPR), Data Protection Act 2018 or the Human Rights Act 1998.
- A digital object is not unique and is a duplicate
- A digital object is no longer of use for the collection due to deterioration, corruption or damage e.g. through obsolescence, bit rot
- Information or images were obtained illegally

We will ensure that the disposal process is carried out openly and with transparency through the established formal review process. 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. This includes digital images where practicable in accordance with recognised professional standards on deaccession and disposal.

We will restrict access to digital objects that may be subject to a copyright enquiry or an ‘embargo’ publication period with metadata record only remaining in the public domain.

8.4 Submission Policy

8.4.1 Policy statement

We are committed to acquiring and preserving digital assets that contribute to a public record of Scotland’s historic environment and to delivering high-quality and curated digital collections for use by all in our designated community as stated in Aims (see 8.3.), both now and for future generations. This policy sets out the preconditions by which digital objects will be submitted and accepted into the HES Archives.

8.4.2 Scope

We accept transfers of digital objects from depositors through set channels such as on physical storage media and secure file transfer. We will work closely with depositors to ensure that all digital objects comply with preferred and accepted formats and are accompanied by appropriate discovery metadata and contextual documentation. Digital objects submitted will be published only when they have been quarantined, appraised, accessioned, and catalogued against minimum standards and verified by Digital Archive staff.

8.4.3 Depositors

Deposits come from a variety of sources as indicated in Aims (see 8.3.). Subjects covered include Scottish history, architecture, archaeology, as well as the industrial and maritime environment. HES also transfers internally the products of its own research, survey and recordings programme to the archive for long-term preservation and public access.

8.4.4 Assets

Digital assets include anything that has been created in a digital format i.e. is ‘born’ digital or is a digital surrogate of a physical object. This can include digital photographs, survey reports, raw laser survey or geophysical data, GIS data, CAD drawings, 3D scans or illustrations. Digital objects submitted for deposit are processed in tandem with the physical archive. Depositors are requested

to make it clear, through folder structuring, file naming conventions, and inventories, any collection relationships which may already be in existence. Digital objects which do not directly adhere directly to the HES Archives: Digital Repository Collections Policy (8.3.2) are not to be included in the deposit, for instance, HES Archives will not retain images of vehicles, animals or people unless they are clearly relevant.

8.4.5 Volume

There is no current restriction on file size or volume (though delivery of digital assets by secure file transfer may have network bandwidth or imposed transfer limits e.g. for ShareFile each file must be less than 100GB in total size though there is no total upload limit). We follow set appraisal procedures as detailed in the Collections Policy (see 8.3.1.) in order to organise and rationalise deposits for ingest into the archive. In cases of large volume deposits we will use judgement to re-arrange and structure according to the catalogue hierarchy.

8.4.6 Copyright

In order to accept digital material into the repository and to ensure long-term preservation, we require that depositors accept the HES Archives Deposit Agreement⁹ summarised below:

- physical ownership of archive material must be transferred to HES via a signed Deposit Agreement to aid its successful curation.
- Intellectual Property Rights (including Copyright) of the archive must be established, and any special conditions attached to material made clear at the time of deposition with HES.
- Intellectual Property Rights can be transferred to HES as part of the Deposit Agreement. If a depositor wishes to retain Intellectual Property Rights for the material they have created then a licence must be signed to allow HES to disseminate material as per their advertised terms and conditions.
- Depositors must provide licenses for third party material allowing its dissemination by HES
- In the event of an organisation holding copyright ceasing to exist, notification of this should be made to HES, as soon as possible, with details of any new arrangements.

We will deploy open licensing frameworks where applicable and or necessary, to comply with research funding requirements and service obligations including Creative Commons and Open Government Licences with the terms of use of digital assets and any attribution included. HES also utilise a range of open mapping products for the purposes of site identification, context navigation, resource location, and spatial data download.

8.4.7 Withdrawal

Digital objects, assets or collections (see Definitions 8.2) can be placed under embargo for a specified period where appropriate. In cases of removal of digital objects from the public catalogue metadata records will remain visible with a note of the withdrawn record, but the digital contents will not be viewable or downloadable.

8.4.8 Standard requirements

We are responsible for complying with government and industry requirements to make sure all digital collections relating to the historic environment are accessible and maintained for future use.

⁹ <https://www.trove.scot/about-us/information-for-depositors>

Data standards underpin the information we curate and publish. They ensure that our digital objects are recorded consistently, are discoverable and easily searchable. A catalogue record must be created for each digital object deposited. We ensure that each record is valid in accordance with the requirements of a set of Minimum Record Standards. To be accepted into HES Archives and published, digital assets must conform to the following requirements:

- All texts and supporting images that may comprise a final report or publication should form the core of the digital deposit.
- Any supporting graphics that are embedded into a final report but which are also available in higher resolution or uncropped should be included as separate items.
- All raw (unprocessed) data relating to various specialist activities should be included where possible. If unprocessed data is not available in digital form, and provision cannot be made to scan it electronically, it can be supplied to HES as hardcopy. Adobe Portable Document Format files are accepted. However, any constituents that go to make up the PDF file (e.g. TIFF files, Microsoft Word document) should be documented and supplied as well.
- Depositors should not provide digital objects in more than one file format if their content is identical, unless the original format is known to be at risk. When submitting digital images depositors should avoid duplicate, near duplicate or extraneous images. Where a document exists in several versions, only supply the final (non-draft) version with the assemblage. Written correspondence (electronic or scanned hardcopy) relating to the project should not be included unless it represents a primary aspect of the project's brief or adds value to the assemblage. No material should be included that may be interpreted as being defamatory or libellous to any living person. We also need contextual documentation for the deposited archive.

This includes:

Technical documentation: information about items, or groups of items, within the archive which will enable the data to be understood and reused by others. This also encompasses documentation relating to third party material that may be embedded within the resource being deposited. Technical documentation should be submitted with the archive in electronic form only.

Formats and conventions: Wherever possible, depositors should supply digital material in preferred or accepted standards as detailed in the Guidelines for Archiving of Archaeological Projects Appendix C¹⁰ This includes a list of recommended file formats¹¹ for a range of data types relating to archaeological and architectural activities. Bespoke text file formats developed by depositors for very specific and specialised purposes are acceptable, provided that adequate information is supplied concerning the files' internal data structures.

Where the original format used is bespoke, very newly developed and/ or not widely accepted depositors may supply a single item in more than one format.

8.4.9 Validation and approval

All submissions will be validated against minimum requirements and collecting criteria by staff. If the submission is deemed out of scope of the Collection Policy (see 8.3.1.) it may be rejected.

¹⁰ <https://www.historicenvironment.scot/media/m1feout0/depositors-guidance-archaeological-projects.pdf>

¹¹ <https://www.historicenvironment.scot/media/v5af3iic/recommended-file-formats.pdf>

If the submission is in scope of the Collection Policy (see 8.3.1.) but fails to meet the minimum requirements it will be returned to the Depositor with a request for the required information/data.

We may modify metadata elements to correct minor errors, ensure consistency with our policies, and add administrative metadata, but will not make substantive modifications to descriptive metadata without the prior approval of the Depositor. We will not check the accuracy and authority of the content of submissions. These are the sole responsibility of the Depositor.

Once a submission has been ingested, catalogued and approved it will form part of HES Archives.

8.5 Preservation & Storage Policy

8.5.1 Policy statement

HES Archives are an integral part of Historic Environment Scotland (HES). We are committed to safeguarding and protecting the cultural significance and integrity of our digital collections for the benefit of the public.

This policy sets out the purpose and guiding principles adopted HES for the long-term storage and preservation of digital objects in its collections. It relates closely to and is informed by the Collections Policy (see 8.3.1.) and wider HES Archives and Libraries Policies.

8.5.2 Scope

This policy applies to all digital objects in the control and management of HES Archives and aligns with the Digital Repository mission to:

- manage our cultural heritage digital assets across the entire digital curation lifecycle according to international standards and domain best practice
- ensure wide and continued access to our internationally significant digital collections

The Preservation & Storage Policy is informed by a variety of community-driven standards. These include the Open Archival Information Systems (OAIS) reference model¹², ISO 16363¹³, Core Trust Seal¹⁴, National Digital Stewardship Alliance (NDSA)¹⁵ and represent an international body of knowledge and expertise relating to various issues within digital preservation.

8.5.3 Digital preservation

We are committed to ensuring that all digital assets held are preserved and made available for people to use. However, we are also committed to ensuring that material is archived and displayed lawfully and appropriately.

In line with the Collections Policy (see 8.3.1.) we follow a set of detailed internal processes and guidelines to ensure the authenticity, integrity and provenance of HES digital assets.

¹² <http://www.oais.info/>

¹³ <http://www.iso16363.org/>

¹⁴ <https://www.coretrustseal.org/>

¹⁵ <https://ndsa.org/>

Upon receipt of new digital content, we work with depositors to ensure digital objects are accompanied with metadata and supporting technical or contextual documentation, to resolve irregularities with digital objects, and migrate file formats if necessary. We will also address ethical, privacy or rights management so that digital deposits can be fully understood and re-used in perpetuity.

Depositors are offered a list of preferred and accepted file formats that we consider best suited for long- time preservation and continuity of access. The file formats are commonly used within the archaeological and architectural domains, have open specifications, and where possible independent of specific software vendor. Non-standard formats will be considered for ingestion where necessary, such as in the case of rescue-type deposits.

A Forensic Recovery of Evidence Device (FRED) is utilised as part of the deposit workflow and integrity management of born-digital material. FRED is a specialist workstation designed to provide a secure and controlled environment for handling digital data. FRED, isolated from any networks, is equipped with an Utrabay write-blocker for transfer of born-digital material minimising the risk of potential threats and preventing any alteration to the data. It is used to acquire digital data from various sources including hard drives and optical media in a forensically sound manner, preserving the integrity of the data. Forensic Toolkit is installed for archival processing of born-digital material, providing tools to analyse and examine the data, extracting relevant information and performing data cleaning and auditing in advance of accessioning.

All newly acquired digital objects go through this quarantine process and are check-summed prior to transfer into a non-public Accessions database. Checksums are also created upon ingest from the Accessions database and stored within a table of an Oracle Application Express (Apex) database. To ensure data integrity an automated fixity script is run to validate each object against the stored checksum to verify checksum, permissions, and record counts.

The original bitstream of all digital objects is retained once objects have been ingested and catalogued into the Oracle Application Express (Apex) database and form part of the national record. Requests for withdrawals, revisions or deletions are monitored and logged through a formal audit and review process as outlined in the Disposal (see 8.3.6) and internal guidance for managing rescans of digital images.

Digital Archive staff can withdraw or restrict access to digital objects, as outlined in the HES Archives: Digital Repository Submission Policy (see 8.4.7). Acceptable reasons for withdrawal include copyright violation, data protection infringement, material considered defamatory, obscene or contravene equalities or diversity legislation, or digital objects published online in error. For withdrawn items the original metadata record is marked as superseded with a note detailing the replacement object. The permanent link to metadata record remains in the public domain to avoid broken links. Under specified circumstances, conditions and following agreed procedures digital objects can be deleted by staff.

In the event of a major incident, HES has in place appropriate business continuity plans for the Digital Repository.

By way of succession planning the Digital Repository will work in accordance with existing agreements and procedures to fully transfer digital assets and contextual documents to the National

Records of Scotland to ensure the preservation of material beyond the existence of the Digital Repository.

8.5.4 Storage

We accept transfers of data from depositors through set channels on physical storage media and secure file transfer. Original storage media is retained within archival quality storage folders which prevents oxidation and neutralised corrosive gasses to prevent fungus and bacterial growth. These are then stored within our climate controlled archival strong rooms which are managed and controlled by professional preventative conservators.

The Digital Repository is presented as a network share hosted by a virtual server running Microsoft Server operating system and using storage from an enterprise class Storage Area Network.

8.5.5 Security

The Digital Repository technical infrastructure is protected by HES IT & cyber security protocol and policies. The policies provide a security and acceptable-use framework for Historic Environment Scotland as an organisation. These are published on the HES intranet to safeguard HES security systems and for HES staff.

The digital repository is secured by a hardware Firewall. All digital information is stored in a database behind this to ensure confidentiality. The database system is password protected and only staff with special permissions may access the system.

8.5.6 Preservation watch

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

- Collaborate with the international community to monitor contemporary and emerging standards, formats and hardware, software and storage technologies.
- Consider user community definitions, and their associated competences and knowledge base, when developing preservation activities to ensure digital objects remain suitable for their needs.
- Develop, implement and review preservation strategies for the types of objects we hold in the Digital Repository, including specifications for metadata to be captured during preservation activities to ensure they can be accessed in perpetuity
- Conduct periodic staff skill audits to ensure expertise and capability is developed.

8.6 Summary of HES IT Policies and Procedures

HES IT & cyber security protocol and policies have been developed and maintained by outsource partner Protocol Policy Systems Ltd and provide a security and acceptable use framework for Historic Environment Scotland as an organisation.

The protocols and policies address the need to protect confidential and sensitive information held on HES networks and computing equipment from disclosure, unauthorised access, loss, corruption and interference, and are relevant to information in both electronic and physical formats. They also

help ensure that information is only made available or disclosed to those authorised to use it, that data integrity is safeguarded, and that information is accessible and useable on demand by those authorised to do so.

The policies are also designed to protect users, stakeholders and the organisation from illegal or damaging actions through inappropriate or unauthorised use of computer systems, communications systems and networks.

The HES Information and Data Management Strategy and Digital Strategy together ensure that a considered and joined-up approach to information and IT technology is taken across HES, in order to realise savings and efficiencies while enabling information and digital transformation. The Digital Design Authority has a role ensure those strategies are being adhered to and our digital estate is being developed appropriately and effectively. Information Management (IM) and Digital Transformation and Delivery (DT&D) work closely together with the Head of DT&D being accountable for the deployment, use and security of technology, the Information Management Team responsible for all corporate information within HES and ensuring that effective policies and procedures are in place, and the Chief Technical Officer (CTO) who is accountable for HES's technology strategy, technology architecture and design, and architecture governance.

All users have a responsibility to ensure they are familiar with the Policies and abide by them. All policy breaches are handled in accordance with existing disciplinary procedures and may result in action up to and including dismissal.

HES IT Policies comply with a broad range of international codes, standards, regulations, frameworks and guidelines including GDPR; Computer Misuse Act 1990; Privacy and Electronic Communications (EC Directive Amendment) Regulations 2015; Intellectual Property Act 2014; Public Sector Network Cyber Essentials Plus; COBIT; ITIL; ISO9000.

HES IT Policies are also in compliance with a number of international security standards. These include:

- ISO 27002 - Organisational security management
- ISO 22313 - Resilience and business continuity management
- ISO 27017 - Cloud-based technology security controls
- ISO 29151 - Personally Identifiable Information (PII) protection-specific controls

HES IT Policies are regularly monitored and reviewed to ensure that they remain relevant to Historic Environment Scotland's business aims and objectives and in the event of the introduction of new or upgraded technology. A review of Policies may be instigated in the event of a security incident in order to prevent a similar occurrence. The Head of IT will monitor staff compliance to the Policies, associated standards and procedures on an ongoing basis.

Training needs will be identified and continuous offending will be escalated to Managers and above.

8.7 HES Security and IT Policy Summary

This summary briefly outlines each Security and IT Policy in effect and as they apply to the Historic Environment Scotland networks, systems and equipment.

8.7.1 Acceptable Use Policy

The Acceptable Use Policy ensures that all computer systems and networks owned or managed by HES are operated in an effective, safe, ethical and lawful manner and it is the responsibility of every computer user to know these requirements and to comply with them.

8.7.2 Access Control Policy

The Access Control Policy ensures that information systems resources and electronic information assets owned or managed by HES are available to all authorised personnel. The Policy also deals with the prevention of unauthorised access through managed controls to create a secure computing environment.

8.7.3 Anti-Virus Policy

This Policy is about protecting networks, systems and equipment from malicious code and malware. Laptops and mobile devices are most at risk as they may only be connected to the network periodically. The appropriate use of Anti-virus software will lessen the risk of the HES experiencing this type of security incident.

8.7.4 Business Continuity/DR Policy

The IT Business Continuity/DR Policy ensures that HES has the appropriate resources available for planning, establishing, implementing, operating, monitoring, reviewing, maintaining and continually improving a Business Continuity/DR capability that will enable the organisations to prepare for, respond to and recover from disruptive incidents when they arise. The scale of events covered by this Policy ranges from minor or partial system unavailability (business continuity) through to total system loss (disaster recovery).

8.7.5 Cloud Computing Policy

The Cloud Computing Policy ensures that the confidentiality, integrity and availability of the HES's information is maintained when services are delivered through a cloud computing environment. As the cloud can be private or public, local or international it is important to ensure that arrangements are supported by a Service agreement, meet the HES's requirements for information security and enable statutory and legislative obligations to be met.

8.7.6 Communication and Mobile Devices Policy

The Communication and Mobile Devices Policy advises on acceptable use with regard to mobile devices (including mobile phones) and communication systems used for business activities. With the convergence of data and voice and video communication systems the ability to connect remotely to internal systems and the wide range of options offered by mobile devices it is essential that these technologies be used by authorised persons for legitimate business activities.

8.7.7 Computer Systems and Equipment Use Policy

The Computer Systems and Equipment Use Policy advises users of the HES's expectations regarding the acceptable use of the technology provided to them.

8.7.8 Computers for Board Members Policy

The Computers for Board Members ensures that computers supplied for HES business are managed, maintained and operated in accordance with HES requirements.

8.7.9 Cyber Crime and Security Incident Policy

The Cyber Crime and Security Incident ensures that the correct procedures are followed should systems be affected by a security incident or other event. The impact an event will have on business continuity will depend on how well it is handled.

8.7.10 Email Policy

The purpose of the Email Policy is to document how electronic mail systems and services are to be used. Email has become a major communication channel and a common means of conducting day to day business. Compliance with these Policies is essential to ensure that important email documents become part of the corporate knowledge-base and to ensure compliance with information management and legal requirements.

8.7.11 Encryption Policy

The Encryption Policy ensures that encryption keys are securely managed throughout their life cycle. This includes their creation, storage and the manner in which they are used and destroyed.

8.7.12 Firewall Management Policy

The Firewall Management Policy ensures that the external perimeter defence for HES is configured, managed and maintained to prevent the occurrence of a major security threat.

8.7.13 Hardware Management Policy

The Hardware Management Policy ensures that the correct procedures are followed with regard to the purchase, deployment, maintenance and replacement of computer hardware and other devices.

8.7.14 Information Management Policy

The Information Management Strategy and Policy sets out the guidelines for managing the data and information stored in the files and directories that comprise the electronic information repositories of HES.

8.7.15 Internet Use Policy

The Internet Use Policy ensures that the internet is used for business purposes at Historic Environment Scotland (HES) and to ensure that users conduct their online activities in an appropriate, responsible and ethical manner.

8.7.16 Laptop and Tablet Security Policy

The purpose of this Policy is to inform those who have been allocated a laptop computer or tablet of the HES's requirements for its use and care. Theft, loss or damage to portable computers is becoming increasingly commonplace. The costs of replacement are not just financial and include loss of data, lost productivity, increased insurance premiums and the time to configure and set up a new machine. There are also risks associated with the loss or exposure of sensitive, unique or

personal information including reputation, commercial advantage and privacy and this Policy seeks to mitigate these risks.

8.7.17 Legal Compliance Policy

The Legal Compliance Policy ensures that staff understand the implications of privacy, confidentiality, copyright, intellectual property, misrepresentation and other relevant legislation in respect to information and information systems.

8.7.18 Network Management Policy

The Network Management Policy protects HES's internal computer systems and networks from abuse or exploitation and defines the parameters for managing, designing and connecting to the HES's computer systems.

8.7.19 Online Services Policy

The Online Services Policy provides the guidelines for configuring systems to safely enable business to be carried out over the Internet as an alternative service channel. The term "business" can apply to anything from providing information online to making payment for a service online and using online services.

8.7.20 Password and Authentication Policy

This Policy describes the authentication requirements for accessing internal computers and networks and includes those working in-house as well as those connecting remotely. Every person, organisation or device connecting to internal IT resources and networks must be authenticated as a valid user before gaining access to HES's computer systems, networks and information resources.

8.7.21 Personnel Management Policy

The Personnel Management Policy ensures that those using and managing HES's computer systems and networks act in a responsible and ethical manner. It is also intended to minimise the threat of an internal security breach.

8.7.22 Physical Access Policy

The Physical Access Policy protects HES's IT resources from harm, abuse or exploitation and describes the parameters for controlling the environmental conditions for critical computing devices.

8.7.23 Remote Access Policy

This Policy describes the security requirements for remote access connections to internal IT resources. It covers a wide variety of technologies and methods of effecting the connection.

8.7.24 Software Management Policy

The Software Management Policy ensures that the correct processes and procedures are followed when purchasing, developing, deploying, maintaining and replacing software applications. It assists with compliance with industry standards, encourages consistency throughout HES and ensures that software continues to meet the needs of the business.

8.7.25 Special Access Policy

Special Access relates to System Administrator and Domain Administrator rights. The purpose of the Special Access Policy is to ensure that only those users needing special access rights and enhanced

privileges to manage the HES's computer systems and networks are granted them with the appropriate controls.

9. ARCHIVES AND LIBRARY ACCESS POLICY

9.1 Introduction

This policy sets out how Historic Environment Scotland (HES) makes its archives and library collections accessible to the public. As a national resource for reference, study and research the function of making the archives accessible to the public is specified in the Historic Environment Scotland 2014 Act.

This policy also supports the vision and mission of HES as set out in *Heritage for All*, the Corporate Plan 2025-2028 onwards.

9.2 Access principles

HES is committed to promoting access to the archives and the library through a diversity of channels including the search room, online services, publications, outreach, social media, exhibitions and displays and the organisational intranet.

We aspire to identify and meet the different needs and requirements of a diverse range of users and are committed to providing access for everyone to the archives either directly or through the provision of a surrogate copy, in the HES search room or remotely by all appropriate channels. There is no charge to consult the archives in the search room and access online is free for personal or educational use.

HES aims to make access as unrestricted as possible but must take into consideration any statutory or legal requirements, as well as the rights of document or copyright owners. Wherever possible we will facilitate direct access to original archive items. However, we must also take into consideration the condition of original material: where this is judged to be vulnerable we will endeavour to supply a surrogate.

We are committed to a continuous service improvement approach for access supported by a programme of surveys, feedback forms and user engagement activities to ensure access services meet the needs of users.

9.3 Our commitment to accessibility

We aim to provide the widest possible access to the archives and services to enable audiences from all sections of the community to enjoy them. HES's corporate commitment to accessibility is outlined in the document *Our Equality Outcomes 2025-29*.¹⁶

Our commitment to accessibility spans staff, volunteers, visitors, remote users and all other stakeholders. We are committed to ongoing training in access issues for our staff and to the delivery of a high standard of service. We aspire to constantly widen access to all archives both physical and digital.

¹⁶ Our Equality Outcomes 2025-29 accessible via <https://www.historicenvironment.scot/archives-and-research/publications/publication/?publicationId=38e0d7c9-1ba1-47d8-af10-b2a70108b477>

We aim to eliminate barriers and ensure equality of access and we will consider the following forms of accessibility:

Physical – to enable people with physical disabilities to fully enjoy the archive.

Sensory – to enable visitors with impaired vision or hearing to enjoy HES archives.

Intellectual – We recognise that people have different learning approaches and we will provide interpretation in a range of learning styles.

Cultural – to consider the needs of people for whom English is not a first language, or whose knowledge of Scottish history and culture may be limited.

Attitude – to ensure that the search room environment and staff are welcoming to visitors from all communities.

Financial – we provide free access to archives and information in the search room and online for education and personal use. We license all use of imagery and information.

Technological – we aim to use digital technology to enable greater access to archives.

Geographical – we endeavour to provide access to users regardless of geographical location through digitisation programmes and the delivery of online services.

Temporal - we provide 24-hour online access to our resources that might not otherwise be available to users restricted by working hours or other commitments.

9.4 Access to Archives and Services

Access to HES archives and public services is through:

- HES Archives Search Room (John Sinclair House) and at NCAP (Seven Hills)
- Virtual Reading Room
- Enquiry services
- Digitisation services
- Online services (Trove.scot, Britain from Above, NCAP)
- Engagement through education and learning
- Local archives holding material on long term loan (Charge and Superintendence)

9.4.1 Search Room

The HES Archive Search Room and Library is at John Sinclair House, 16 Bernard Terrace, Edinburgh EH8 9NX where archive staff are on hand to welcome and help users with enquiries. A dedicated area for consultation of NCAP material is also available at Seven Hills, 39 Bankhead Crossway South, Edinburgh EH11 4EP. Facilities are open Tuesday to Friday between 10.00am and 4.00pm by appointment. Researchers can consult original archive material in these search rooms where access

is free. The HES Library is within the search room and serves as a reference resource to support the research needs of visitors and staff, and does not require an appointment. It is not a lending library.

John Sinclair House and Seven Hills are fully accessible with ramps, designated bays for disabled parking, disabled toilet facilities and lift access. They meet the requirements of health and safety and equality legislation.

HES owns a number of archives which are of particular local significance. In order to facilitate and encourage local access these have been placed with local authority archives on long term loan, under 'charge and superintendence' agreements.

9.4.2 Virtual Reading Room (VRR)

HES Archives provides a VRR service for users unable to attend the Search Room in Edinburgh. The VRR service is a one hour appointment via Teams or Zoom where a member of archive staff uses a visualiser to show users the items they are interested in. This service is free of charge.

9.4.3 Enquiry services

There are centralised enquiry services where dedicated teams of staff are responsible for coordinating and responding to all enquiries received by telephone, letter or email. There is no charge for enquiries requiring up to 30 minutes of research. Beyond this there is a charge per half hour of research. We follow the service standards outlined by HES.¹⁷

9.4.4 Digitisation and Licensing services

Digitisation services are available for archive material that has not yet been digitised. The service also includes the provision of high quality images, other digital file formats (including data) and the licensing of information for general and commercial re-use. These services have associated fees structured around scales of usage to enable small-scale, community-based re-use.

Where appropriate, users may be permitted to take photographs of archive and library materials during search room consultations. Use of these images is managed by a content licence agreement that can be obtained on-site in the Historic Environment Scotland search room.

9.4.5 Online services

Trove.scot (<https://trove.scot>) is a digital platform bringing together HES' diverse collections in one place. It combines information from the Historic Environment Portal, Sites and Archives records (previously available via Canmore), Properties in Care collections, as well as the Scran images and media library. Trove.scot is an online service and is accessible around the world. The volume of archive material available to view online is continuously increasing due to our ongoing digitisation programme. Trove.scot is a free service and users can download images for personal and educational use. Charges apply for other use and access to high resolution images.

Koha (<https://hes.koha-ptfs.co.uk/>) is an open-source integrated library system (ILS). Koha is used by HES Archives to catalogue and manage library collections and services, as well as licenced third-party access to eResources and ePeriodicals. Koha has configurable ILS features, including union

¹⁷ <https://www.historicenvironment.scot/customer-services/service-standards/>

cataloguing, online circulation, patron registration, MARC cataloguing data standards, report generation, and Z39.50/SRU data retrieval. Koha is an online service and can be accessed globally. There is no fee to access Koha and the service can be used to query HES Library collections on-site at John Sinclair House or remotely.

Britain from Above (<http://www.britainfromabove.org.uk/>) is a website which provides access to the Aerofilms Collection owned jointly by Historic England, RCAHMW and HES. As an online service it is accessible round the world. There is no charge to download the images from the website for personal or educational use. Charges apply for other use and access to high resolution images. HES Archives manages the service on behalf of the partners.

National Collection of Aerial Photography (<https://www.ncap.org/>) is one of the largest collections of aerial imagery in the world, containing tens of millions of images featuring historic events and places around the world. Access is free to thumbnails of images but for more value-added content and information NCAP is a subscription service. All operational and development costs are funded through commercial enterprise. Access to the original imagery is available at Seven Hills, Edinburgh.

9.4.6 Engagement through education and learning

We aim to proactively promote the collections to as wide an audience as possible through all appropriate means. We are committed to providing programmes of learning and engagement through guided tours, training, community activities, projects and digital media.

The archives support learning at all levels. The HES Education and Outreach department use the archives for learning visits to Properties in Care, in education resources aligned with the Scottish Curriculum for Excellence, and for life-long learners within the Making Sense of Scotland framework.¹⁸ Further and Higher Education classes are facilitated at the HES Archive Search Room. Life-long learning is supported with a programme of public talks, delivered online and in person to support access. Presentations on HES Archive services are delivered to groups of interest online and in person to audiences throughout Scotland. Through specific projects, HES supports all kinds of initiatives which help people to explore and celebrate aspects of the history of Scotland by offering training, access to essential resources and continued support. HES promotes archive and library services to professional audiences in the sector via CPD events and exhibiting at Conferences.

Community engagement is delivered through group visits and local talks, with a focus on facilitating communities' connections to their local historic environment. Groups are actively encouraged to visit the search room to discover the range of archives and online resources held by HES. Staff provide induction and guidance and tailor displays to meet the interests of the visitors. Staff also routinely provide talks to local societies and community groups about the archives and services provided by HES.

We extend access to the archives by creating exhibitions and displays (original material, surrogates or digital), and aim to engage with audiences across Scotland. HES also provides original material on loan to other organisations for exhibition and display. The loan of original material is subject to strict terms and conditions and subject to conservation assessment. The archives are also used in HES Publications.

¹⁸ <https://www.historicenvironment.scot/learn/making-sense-of-scotland/>

10. SUMMARY OF HES ARCHIVES & LIBRARY

10.1 Introduction

This summary outlines the archives and collections held by HES. HES Archives & Library is composed of a number of parts as outlined the *HES Archives and Library Collections Development Policy*.

HES Archives and Library and NCAP undertake the management of the main areas of collecting for:

- a) Archives and records relating to the historic environment in and of Scotland, including architecture, archaeology, industry and maritime
- b) Material created during survey, recording and research activities across HES
- c) Historic aerial photographs relating to locations world-wide and their associated indices
- d) Material relating to the history and operation of the organisation
- e) Library collections reflecting the subjects of the archives

10.2 Historic Environment Scotland Archives

1.2.1 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 see ¹⁹.)

1.2.2 Architecture

- a) Scope

¹⁹ RCAHMS 1991 *A Guide to the Collections*; RCAHMS 2008 *Treasured Places: A Centenary*; RCAHMS 2015 *An Inventory for the Nation*

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 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 Countryside Commission for Scotland, Country Life and Scottish Power, practise 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 architects' 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 is of national importance as a detailed, authoritative, record of Scotland's historic environment. It is 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.

1.2.3 *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 eighteenth 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 desk-top 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.

1.2.4 *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, Scottish Power, Scottish Gas, etc.
- Outreach and community engagement projects which 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.

1.2.5 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.

10.3 Historic Environment Scotland library collections

1.3.1 History

HES Library collections were created in 2015 after the merger of Historic Scotland and RCAHMS to form Historic Environment Scotland. The library contains circa 60000 books and a small but comprehensive collection of journals.

The library was developed primarily through donation, merger of other organisations and purchases by RCAHMS, Historic Scotland and predecessor bodies. It focuses on areas of relevance to the organisation and predecessors: archaeology, architecture, maritime and industrial history; collections in the archive, as well as material relating to technical building conservation and collections management.

The library was held in Longmore House (Historic Scotland) and John Sinclair House (RCAHMS) until 2015, when the library was merged.

There are additional libraries (or collections of books) dispersed through the HES estate. Notably this includes a small selection of business literature at the Engine Shed in Stirling, and a collection of rare books held at Duff House. These collections have either been developed, or were acquired by HES, in unique situations specific to their location.

1.3.2 General Collections

a) Scope

General collections constitute the majority of HES Library materials. These materials include books, booklets, and reference texts. General collections are typically available on open access shelves for public consultation and staff loan. The HES Library does not collect eBooks or digital media, such as CD-ROM or VHS.

b) Significance

HES Library general collections are an important aide for researching the historic environment. The collections have been curated over 100 years to represent high quality research materials relating to Scottish topographical history, architectural history, and archaeology.

a) Future Collecting

HES Library will continue to collect publications that best represent current research into the historic environment and specific archival holdings. Furthermore, HES Library will cultivate relationships with prospective donors who may supplement HES Library through depositing private collections.

1.3.3 Special Print Collections

a) Scope

HES Library contains a range of printed items that, for multiple reasons, require additional management, conservation, and security. These materials are defined as special print collections.

Some of the items contained in our special print collections may be classified as rare books. Not all items identified as special print collections are rare books.

A special print collection is a printed object with “national or international importance to our understanding of Scotland’s past.” Further, a special print collection is assessed according to the following criteria:

- Scarcity – to what extent is this item accessible for researchers in Scotland/UK?
- Fragility – to what extent is this book at risk of damage through storage and handling?
- Value – to what extent does this book have significant value? (whether monetary or regarding its relationship to Scotland’s historic environment)

The identification of a special print collection is based on how a printed object meets multiple points within the assessment criteria. For example, a book may be fragile yet still not meet the definition of a special print collection.

b) Significance

Special print collections have been identified as being of specific national importance. They represent high value items, which may be expensive or impossible to replace due to scarcity or provenance.

b) Future Collecting

HES Library will continue to collect special print collections through acquisition and purchase; through depositing book collections accompanying archive deposits; and by the evaluation of general collections materials for reclassification as a special printed object.

1.3.4 Pamphlets and Ephemera

a) Scope

HES Library collects pamphlets and ephemera relating to the historic environment and to HES archival holdings. The bulk of these collections have been extracted and stored in a run of approximately 250 ‘green boxes’, with individual record cataloguing on the Library Management System. These items typically related to the historic environment, however there is a significant series of sales brochures and catalogues, as well as bibliographic materials.

b) Significance

Pamphlets and ephemera are a significant resource for research into the built environment. The collections often hold specialist information and research that is later used in published collections. Furthermore, pamphlets and ephemera are often designed to be read and discarded, and as such there is a higher likelihood of rarity for older items in this collection.

c) Future Collecting

HES Library will continue to collect pamphlets and ephemera primarily through archive collection acquisition and deposit. For these new acquisitions pamphlets and ephemera will be stored and retrieved as archive collections. The ‘green box’ pamphlets are a closed collection, with no further planned accessions.

1.3.5 Journals, eJournals, and Periodicals

a) Scope

HES Library holds ongoing and historic journals and periodicals. The scope of this collections includes architecture, archaeology, history, and specialist topics relating to the historic environment. HES Library collects academic journals and periodicals, as well as a limited selection of 'commercial' magazines.

In addition to physical collections, HES Library also subscribes to a small number of ongoing eJournals. These subscriptions are managed through the HES Library annual online subscriptions budget.

b) Significance

This collection represents an excellent resource for individuals researching the historic environment. Many historic periodicals have been discontinued or are difficult to access. HES library allows open access browsing to the majority of its journal and periodical collections.

d) Future Collecting

HES library will continue to collect periodicals and journals that best represent the collection development goals of the Archives and Library. The majority of HES journal and periodical collections are held in physical format, which is a more cost sustainable option for HES library.

1.3.6 *Theses*

a) Scope

HES Library has a small number of theses gathered through partnership with doctoral candidates and postgraduate researchers.

b) Significance

HES Library typically acquires theses which have either a specific focus on HES collections or publications or have a specific focus on the Scottish built environment.

e) Future Collecting

HES Library will continue to collect theses through deposit and partnership with researchers using HES Archive collections.

1.3.7 *Online Resources*

a) Scope

HES Library subscribes to a small number of online resources. These online resources support HES operations and staff, with additional benefits for researchers in HES library and search room. HES library liaises with eResource suppliers to ensure distributed access across the HES estate, typically via VPN identification.

b) Significance

HES Library supports the strategic operations of Historic Environment Scotland by subscribing to a small number of eResources. These eResources were previously subscribed by discrete teams and departments. HES library has taken on subscription management in order to streamline purchasing, as well as ensuring best value for staff and public users.

f) Future Collecting

HES Library will assess each subscription's value for money to ensure the best possible allocation of its annual budget. Further attention will be paid to important stakeholders, who may require limited specialist access to certain eResources.

10.4 National Collection of Aerial Photography (NCAP)

a) Scope

The National Collection of Aerial Photography (NCAP) consists of over 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 recognised 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. HES was formally recognised as the Place of Deposit by The National Archives in 2024.

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.

10.5 Collections relating to the History & Operations of HES

1.5.1 *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.

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.

1.5.2 *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.

11. LEGISLATION, STANDARDS & GUIDANCE

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

11.1 General

- [Historic Environment Scotland Act 2014](#) and [Schemes of Delegation](#)
- [Public Record Act \(Scotland\) 2011](#)
- UK Public Records Acts [1958](#) & [1967](#)
- [Data Protection Act, 2018](#)
- [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](#)

11.2 Archives & Museum Standards

- [Archive Accreditation Standard, 2014](#)
- [ISAD\(G\): General International Standard Archival Description, International Council on Archives, 1999](#)
- [MIDAS Heritage: the UK historic environment data standard](#)
- PAS 197:2009 - 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
- [BS EN 16893:2018 Conservation of Cultural Heritage](#) – Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections
- BS 4971:2017 - Conservation and care of archive and library collections
- [Benchmarks in Collection Care for Museums, Archives and Libraries 2.1, 2018](#)
- ISO 14721:2012 Open archival information system (OAIS) – reference model
- ISO 16363:2012 Audit and certification of trustworthy digital repositories
- [Core Trust Seal Certification](#) 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

11.3 Guidelines

- [Archives and Records Association Code of Ethics, updated March 2024](#)
- [Archives and Records Association Security Guidance, 2024](#)
- Chartered Institute of Field Archaeologists (Clfa) 2014, Standard and Guidance for the creation, compilation, transfer and deposition of archaeological archives [Clfa-SandG-Archaeological-Archives-2020.pdf](#)
- [Chartered Institute of Library and Information Professionals Ethical Framework 2018](#)
- [The Institute of Conservation \(Icon\), Professional Standards and Judgement & Ethics, June 2020](#)
- [The Institute of Conservation \(Icon\), Ethical Guidance, June 2020](#)
- [Code of practice for archivists and records managers under Section 51\(4\) of the data Protection Act, 1998](#)
- [Government Indemnity Scheme Guidelines](#), including
 - 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, HES, 2016](#)
- [‘Treasure Trove in Scotland, A Code of Practice’](#), Queen’s and Lord Treasurer’s Remembrancer, July 2014, revised January 2016

11.4 HES Working Documents

- [Historic Environment Scotland Corporate Plan](#)
- [Historic Environment Scotland Salvage Policy, 2022](#) (Internal Only)
- [Historic Environment Scotland Archives Incident Plan, 2020](#) (Internal Only)
- ‘More than the sum of the Parts’ – Historic Scotland Internal PIC Archaeology Policy
- [Climate Change Action Plan, 2020-2025](#)
- [Historic Environment Scotland Archives & Collections Development Policy, 2022](#)
- [Historic Environment Scotland Archive Appraisal Policy, 2022](#)
- [Historic Environment Scotland Archive & Collections Information Policy, 2022](#)
- [Historic Environment Scotland Collections Access Policy, 2022](#)

- [Historic Environment Scotland Archives Access Policy, 2022](#) (Internal Only)
- [Historic Environment Scotland Collection Care & Conservation Policy, 2022](#)
- [Historic Environment Scotland Digital Repository Management Policies 2020](#)
- [Historic Environment Scotland Loans Policy, 2022](#)
- [Historic Environment Scotland Collections Documentation Procedural Manual, 2019](#) (Internal Only)
- Historic Environment Scotland Archive Conservation Standards and Processes (Internal Only):
 - [Documentation and Assessments, 2020](#)
 - [Conservation Treatments: Remedial Conservation, 2020](#)
 - [Exhibition and Loan, 2020](#)
 - [Environmental Management, 2020](#)
 - [Housekeeping and Integrated Pest Management, 2020](#)
 - [Housing, Packaging, and Labelling, 2020](#)
 - [Safe Systems of Work, 2020](#)
- [Historic Environment Scotland Records Management Policy, 2022](#) (Internal Only)

12. ARCHIVAL RECORDS: SENSITIVITY AND INCLUSIVE TERMINOLOGY

A statement on the presence of potentially upsetting content and language within the archival record.

12.1 Introduction

We at Historic Environment Scotland (HES) recognise that some records contained within the archive may cause upset or distress to researchers due to historic attitudes. As an institution which collects and preserves the history of the historic environment in Scotland, we need to ensure that we maintain the integrity of this record, which means the inclusion of archival records that may contain sensitive material. These may cover historical events and figures which may be distressing for some people, as well as themes of racism, homophobia, and ableism, or other attacks on protected characteristics. Further, due to the nature of the remit of the archive at Historic Environment Scotland, users may encounter records which depict human remains or depictions of medical detail. Review of potentially upsetting material will be assessed on a case-by-case basis, in line with the HES digital policy and the Archives and Collections Policy. All records are added to the public archival catalogue in line with the relevant legislation, namely, the Data Protection Act 2018, General Data Protection Legislation, and the Freedom of Information Act 2000.

12.2 Use of Historic Language

We aim to describe records in the archive in a way that is accurate, inclusive, and respectful but we recognise that there is outdated language in historic catalogue entries. We will not now use offensive terms and any use of these does not reflect endorsement from HES. It is important that we acknowledge the upset or distress such terms may cause people, whilst also ensuring that these attitudes are not erased from the historical record. Using historic terms can help to ensure that researchers are able to find records that they are searching for by using the terminology of the time. In some cases, language may have been used by those individuals collating and processing the records rather than having come directly from the record, in these cases, we aim to change this. We recognise that language and archival best practice is constantly changing, and what might have been considered appropriate for past description of archival materials is no longer acceptable. As such, the review of archive material is an on-going process that is subject to continuous improvement and feedback.

We aim to accurately depict and present materials while respecting users and those represented in our collections. We value the research potential of the records and strive not to alter or remove any part, focusing on informing individuals about the content's nature beforehand.

12.3 Protected Characteristics

We understand that language used in the past to describe protected characteristics could be offensive for a modern audience. Protected characteristics under the Equality Act 2010 constitute: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sex. We will not gratuitously use historic language associated with these

groups in the archival record, however, to ensure that records are searchable, some language may remain. Language is constantly evolving and, as such, to preserve this evolution and any ideas that may be represented by certain terminology, in some cases, language is kept in the archival record. The representation of these categories may also extend to inaccurate, offensive, or stereotyped depictions of protected characteristics. We do not condone this, however, feels it is important to ensure that this behaviour is not erased from the historical record.

12.4 Children and Vulnerable Adults

The HES archives do contain some images and representations of children and vulnerable adults. Images of children and vulnerable adults present in the HES archives form part of the historical record and are used with discretion. Where relevant, consent forms have been acquired to ensure the protection of the individuals represented.

12.5 Security

Where archival entries in the catalogue or archival digital images may compromise the security of a building, object, or person, restrictions on access may apply. This extends to, but is not limited to, information about artefacts and representations held within our Properties in Care, domestic interiors, government or other official buildings, and church interiors. Access to records associated with these categories will be permitted in certain circumstances.

12.6 Human Body

Due to the nature of the collections held at HES, there are some images which depict human remains and the human body. Depictions of human remains should exclusively extend to those which form part of the archaeological record and, therefore, are relevant for the representation of the historic environment. Depictions of medical detail and artistic depictions of the human body will also be present in the archive.

12.7 Takedown Policy

Historic Environment Scotland does have an active [takedown policy](#) which can be referred to if any user wishes to express concern about records within the archive. Any report will be reviewed in line with the Archives and Library Collections Development Policy and the any other relevant HES policies. This policy forms part of an ongoing review process of the records held at Historic Environment Scotland.

All decisions about the acquisition, cataloguing, and presentation of records are made within the context of applying this policy while maintaining access to all part of the historical record.

If you require further clarity on the information outlined in this statement or have any enquiries around access, please contact the HES Archives at archives@hes.scot

