Archives West Midlands - No Barriers Project
Equality, Diversity, Inclusion and Belonging Self-Assessment Tool for Archives
Beta Version

Document History

Version	Date	Revision Notes
0.1	04/09/2022	Initial draft – for comment and review
0.2	23/01/2023	Revised draft following workshop of No Barriers working party to be sent out for piloting
0.3	08/03/2023	Revised draft incorporating comments from pilots
0.4	15/05/2023	Final version

Contents

Introduction

This Self-Assessment Tool (SAT) enables a quick appraisal of an organisation's current position with regard to equality, diversity, inclusion and belonging (EDIB) relating to the collecting, management and access of its archive collections. Establishing a base line will help guide decisions about how to address the EDIB agenda.

This SAT is inspired by the Digital Preservation Coalition's 'maturity modelling' approach and the Rapid Assessment Model[1] (RAM) it created for digital preservation.   This EDIB SAT is informed by experience, observation and feedback gained through Archives West Midlands' No Barriers Project[2].

The SAT has been developed and maintained by Archives West Midlands[3] (AWM).

This is a Beta version of the SAT. The SAT will be reviewed by AWM in 2025 after it has been in use for two years to understand its strengths and issues and develop a robust final version. If you have any comments on the SAT that you would like to share with AWM please send your comments to AWM at archiveswestmidlands@gmail.com.

Who is this designed for?

This SAT is designed for any type of archive organisation from very small operations to national institutions. It is not prescriptive, recognising the diversity of organisational types, function and user requirements. It provides a set of organisational and service level capabilities that are rated on a simple and consistent set of maturity levels. It will enable organisations to monitor their progress as they develop and improve their capability to support and embed EDIB practices across their service provision and organisational workflows.   The EDIB SAT is intended to be a tool for internal reflection to inform continuous improvement. As a self-assessment process it is inevitably subjective so is neither a benchmark to measure across different organisations nor a certification standard.

The completion of the SAT should be led by the individual responsible for managing the archive. It is recommended that this exercise should be a group exercise that is undertaken by knowledgeable staff at all levels, volunteer post-holders (e.g. trustees) and any other relevant stakeholders to ensure well-informed and comprehensive answers for both strategic and operational issues. However, it is recognised that this is not always possible and that the SAT may be completed by just one person.

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[1] https://www.dpconline.org/digipres/dpc-ram

[2] See the No Barriers entry at https://www.nationalarchives.gov.uk/archives-sector/finding-funding/collaborate-and-innovate/networks-for-change-fund/current-projects/,

[3] https://www.archiveswestmidlands.org.uk

Benefits of Use

The EDIB SAT has a number of advantages:
- Designed for organisations of any size and in any sector
- Non-prescriptive
- Based on existing good practice
- Simple to understand and quick to apply

By applying this SAT, an organisation will be able to produce evidence-based data on their capacity and maturity towards EDIB over time, as well as being able to answer questions such as:
- Where is our organisation now?
- Are there any gaps in our understanding of EDIB?
- What are the EDIB challenges for us?
- Where should we be in the future?
- How close is our organisation to reaching the level of EDIB maturity we would like?
- What should the priorities be for improving our EDIB capability?
- What support and resources do we need in order to help our organisation move forward?
- How has our capability improved over time?

Furthermore, the process of completing the SAT by involving a range of relevant stakeholders can be used as a mechanism to develop advocacy, discussion and solutions for upgrading EDIB within an organisation.

In Appendix 3 is a brief list of useful resources that may be helpful in completing the SAT and developing EDIB with respect to archive collections.

Comments, Feedback and Revisions

Whilst EDIB activities have been occurring in many organisations for years, the discipline as a whole will continue to change and develop in response to external drivers and fresh challenges. New solutions, ways of working and examples of good practice will emerge. For this model to be useful for demonstrating progress, we anticipate that the basic premise of each of the maturity levels will remain the same. However, the examples within each section may be updated and enhanced over time. If you have any suggestions for updates or additions, please contact archiveswestmidlands@gmail.com.

Acknowledgements

AWM is grateful to the Digital Preservation Coalition for developing, trialling and refining the template for a Rapid Assessment Model.

Thanks go to all who have provided advice and suggestions, as the No Barriers Project encountered and explored obstacles to achieving a truly inclusive archive sector.

Feedback on this SAT have been received from AWM Trustees and representatives of member organisations, from the No Barriers Project Board, and from individual archive and related

professionals, service users and members of the public not currently regularly using archive services.

How to apply the EDIB SAT

This model should be used as a rapid self-assessment tool, enabling a quick and simple assessment which can be applied frequently with minimal effort and consultation across an organisation. It is expressly not a comprehensive certification tool.

Begin by defining what is the 'organisation' being assessed by the SAT. This could be purely the archive service or include the wider organisation within which the archive might sit e.g. local authority heritage services, or the entirety of the organisation which holds the archive e.g. a charity.

The tool is made up of a number of 'capabilities' organised into 'Organisational' and 'Service' (summarised on pages 9-10). For each 'capability' score the organisation with a score from 0 to 4 that most accurately reflects the organisation (the scoring levels are described on pages 11 and 19). For each capability a guiding statement is supplied outlining the criteria for each scoring level within that capability . For criteria levels 2 to 4, bulleted lists of examples are also supplied. It is important to note that the bulleted lists within each criteria level are provided as <u>illustrative examples and prompts</u>, not a checklist of requirements that must be met before the respective level is attained.

Scoring should be an honest and realistic assessment on the level closest to and organisation's current state. When considering how to score your organisation against an individual capability reflect on the underlying principles of the scoring levels. Where an organisation partially meets a level but feels that more work is required in order to sit comfortably within that level, the score awarded should be the level below. Half marks are not given!

Furthermore, recognise what the organisation is achieving even if it appears small scale. Even modest activity indicates that EDIB does have a place within work practices and attitudes of the organisation and its people. In particular, recognise where the organisation has capability even if it does not have much resource. For example, an organisation may acknowledge that its collection content needs significant development requiring significant investment, which the organisation cannot afford. However, smaller efforts can be undertaken such as acknowledging the need in a collections development plan, collecting individual small collections on an ad hoc basis, raising awareness in staff. Once an organisation is aware of EDIB themes within a particular area of operations it is then more alert to opportunities to address that theme. Something is so much more than nothing.

A worksheet sits alongside this model which allows organisations to record the following:
- The current maturity level for each of the criteria
- Notes on/evidence of why this level has been selected
- The level of maturity the organisation wishes to achieve
- Notes on the target level, specifically, what needs to be done to achieve it
- This worksheet can be found at Appendix 2

Early testing of the model suggests that the basic assessment can be carried out in less than two hours by someone with good knowledge of Equality, Diversity, Inclusion and Belonging and how it is applied in their own organisation. For others it may take longer, particularly if multiple stakeholders need to be consulted. Setting future goals and priorities is likely to be a longer process.

It is suggested that the EDIB SAT is completed by a group to capture a range of perspectives, skills, priorities and experiences. However, the SAT can be completed by one person but in that scenario it could be useful to discuss scorings with a critical friend if possible.

An organisation should then consider which level they would like to achieve in the future. Setting a target level will increase understanding of gaps and priorities for moving forward. A target is most useful if it is realistic and set with a clear understanding of organisational context and priorities. The time frame used for these target levels should be noted – for some organisations short term targets to be completed in the next 12 months will be appropriate, others may find it more helpful to consider where they would like to be in two - three years' time.

Explanation of Terms

EDIB – Equality, Diversity, Inclusion and Belonging
This focuses on activities intended to ensure that organisations are compliant with the Equalities Act 2010. The element 'Belonging' recognises that equality, diversity and inclusion include a sense of belonging to a place or shared space. This is integral to services provided by archives and has a resonance with refugees.

This model has been informed by approaches to the Equalities Act 2010, including:
Arts Council England- Appendix 1
Public Sector Equality Duty https://www.gov.uk/government/publications/public-sector-equality-duty

EDIB Activities
Relates to practical actions to meet the requirements of the Equalities Act 2010. In the archive context, these include:
- H.R, practices – recruitment, selections, retention
- Welfare issues – for staff and researchers engaging with problematic content
- Balanced closure decisions – transparent decision making, relating to access to closed records
- Inclusive Cataloguing – addressing offensive / 'inaccurate / archaic language
- Contemporary Collections – collecting policies, appraisal criteria

EDIB Community of Practice.
This relates to professionals within the archives and related professions, specialist advisers (legal, HR, Information Compliance etc), community advocates, staff and user representatives and all interested people, who combine to share advice, best practice, problem solving activities etc.

Summary of EDIB The Rapid Assessment Model

Organisational capabilities are defined at an organisational or other appropriate high level of granularity. Service capabilities refer to operational levels that might be considered at a lower level of granularity, possibly specific to a particular content stream.

ORGANISATIONAL CAPABILITY - Overview

[A] Organisational Viability
Governance, organisational structure, staffing and resourcing of EDIB activities.

[B] Policy and Strategy
Policies, strategies, and procedures which govern the operation and management of EDIB activities

[C] Legal Basis
Management of legal rights and responsibilities, compliance with relevant regulation and adherence to ethical codes

[D] Continuous Improvement
Processes for the assessment of current EDIB preservation capabilities, the definition of goals and the monitoring of progress

[E] Leading and Directing Change for EDIB
Processes for ensuring that EDIB practice is incorporated within all elements of archive practice and the organisation

[F] Stakeholder engagement

The experience for stakeholders (current and potential), who are not users or staff, when engaging with the organisation by any means

[G] Community of Practice
Engagement with and contribution to the wider community of practice concerning EDIB

SERVICE CAPABILITY - Overview

[H] Recruitment, Selection & Retention
Processes to attract and retain diverse applicants

[I] Knowledge and Understanding of EDIB within Archives
Processes to educate existing staff to identify and build confidence in addressing exclusionary practice, offensive / inaccurate language in collections, catalogues and finding aids,

[J] Inclusive Collections Information
Processes for inclusive cataloguing – to address offensive / inaccurate language

[K] New Collections - Acquisition of items reflecting / of interest to diverse communities
Processes for ensuring EDIB issues are incorporated in collections policies and appraisal criteria

[L] Existing Collections - Reinterpretation / Re-presentation of items
Processes to reassess collections for their interest / relevance to diverse communities

[M] Audience engagement
The experience for users (current and potential) when engaging with the service onsite, offsite and online

[N] Access restriction decisions
Processes to ensure that decisions about restricting access affecting collections are transparent and do not favour or disadvantage individuals or communities

[0] Community and Peer Support
Processes for seeking advice from influencers within communities and acknowledged experts

Organisational capability – detail

Scoring

0 - Very low or no awareness
1 - Some awareness but no analysis of barriers and no planning or action
2 - Basic activity – identification of key barriers and simple plans and actions
3 - Managed activity – coherent identification of barriers and comprehensive plans and activities
4 - Optimised activity – EDIB activity fully integrated into all areas of activity and strategic behaviour with on-going review and revision

[A] Organisational Viability

Governance, organisational structure, staffing and resourcing of EDIB activities

0 - The organisation has minimal awareness of the need to incorporate EDIB into its services

1 – The organisation is aware of the need to support EDIB focused activities

2 - Activities are supported and resourced at a basic level within the organisation, for example:
- There is some engagement from senior management.
- Staff have assigned responsibilities and capacity and support to undertake them.
- A budget for EDIB activities has been allocated (may be time-limited).
- Staff development requirements have been identified

3 - Activities are managed and supported within the organisation, for example:
- There is commitment from senior management.
- Responsibility for EDIB is clearly owned.
- Staff have the skills they need to carry out EDIB related activities and access to relevant expertise where required.
- A dedicated core budget for EDIB activities has been allocated.
- Budgets, staff roles and development needs are regularly assessed.
- Metrics and reports can be generated about the impact of EDIB activities to help inform reporting, planning and management.
- Staff development requirements have been funded.
- Equality, Diversity, Inclusion & Belonging activities have been identified as a strategic priority

4 - Activities are proactively managed, enhanced and developed within the organisation, for example:
- Benefits of embracing EDIB activities are recognized, championed and embedded throughout the organisation.
- The organisation links up EDIB activities with stakeholder groups.
- One or more staff are considered to be experts in their field.
- Budgets, staff roles and development needs are proactively assessed in anticipation of future changes.
- Metrics and reports about EDIB focused activities are combined with projections of future needs to proactively inform reporting, planning and management.
- The efficacy of staff development is regularly monitored.
- Continuity and succession plans are in place to ensure ongoing commitment to EDIB focused activities, if management responsibility changes for impacted service areas

[B] Policy & Strategy

Policies, strategies, and procedures which govern the operation and management of EDIB activities

0 - The organisation has minimal awareness of the need for a policy framework for EDIB activities

1 - The organisation is aware of the need to develop a policy framework and may have some relevant   policies, but no EDIB focused policy or strategy exists.

2 - The organisation has a basic policy framework, for example:
- A high-level EDIB policy or strategy exists.
- Other policies relating to EDIB may exist but there are gaps in coverage or application
- Some procedures for EDIB focused activities are in place and may be documented.
- Scope of collection is defined and understood (e.g.: collections development policy, retention schedule).
- Development of policy and procedure is informed by a basic understanding of service user / potential user needs.
- The organisation has a comprehensive & managed suite of policies, strategies & procedures e.g.
- The EDIB policy/strategy is aligned with other organisational policies and is reviewed according to an agreed schedule. Policy and procedure take into account any relevant ethical issues.
- A suite of documented processes and procedures exists for managing, and providing ethical access to collections
- All staff are aware of EDIB priorities and relevant staff are aware of EDIB policies, strategies and procedures, applicable to their roles and responsibilities
- Knowledge of current and future use informs policy and procedure (for example on collecting, conservation, access).

3 – The organisation has a comprehensive and managed suite policies, plans and procedures e.g.
- The EDIB policy/strategy is aligned with other organisational policies and is reviewed according to an agreed schedule.
- Policy and procedure take into account any relevant ethical issues.
- A suite of documented processes and procedures for managing, and providing ethical access to archives exists.
- All relevant staff are aware of EDIB policies, strategies and procedures.
- Knowledge of current and future use cases for content informs policy and procedure (for example on collecting, conservation, access).

4 - The organisation proactively manages its policies, plans and procedures and has a commitment to continuous process improvement, e.g.
- A full suite of policies, plans and procedures relating to EDIB activities is in place
- Policy and strategy is fully implemented and staff actively engage with it.
- Policy, strategy and procedure are proactively monitored and updated to reflect internal changes, changes in other policies, user needs, or other external factors.

[C] Legal Basis

Management of legal rights and responsibilities, compliance with relevant regulation and adherence to ethical codes

0 - The organisation has minimal awareness of either the need to manage legal rights and responsibilities or basic principles for applying them.

1 - The organisation is aware of the need to manage legal rights and responsibilities and an understanding of basic principles

2 - Basic management of legal rights and responsibilities relating to EDIB is carried out e.g.
- Key legal rights and responsibilities have been identified and documented.
- Relevant codes of conduct relating to professional ethics are adhered to.

3 - Legal rights and responsibilities relating to EDIB are managed e.g.
- Information relating to legal rights and contracts can be easily located and accessed when necessary
- Legal issues and risks are managed and regularly reviewed.
- Roles and responsibilities for managing legal issues and risks are clearly assigned.
- Expert advice can be accessed when necessary (e.g., Legal, HR, information compliance)
- Actions carried out due to legal rights and responsibilities are documented.
- Ethical Accessibility responsibilities are fulfilled, in line with the requirements of relevant local or national legislation

4 - Legal rights and responsibilities relating to EDIB are proactively managed e.g.
- Legal issues and risks are proactively monitored and mitigated.
- The organisation engages with and inputs into legal and judicial processes that create regulation.

[D] Continuous Improvement

Processes for the assessment of EDIB capabilities, the definition of goals and the monitoring of progress.

0 - The organisation has minimal awareness of current position or goals.

1 - The organisation is aware of the need to understand current position and define goals.

2 - The organisation has a basic understanding of current EDIB capabilities & areas for improvement:
- An initial benchmarking exercise has been carried out.
- Gaps in EDIB capability have been identified.
- There is an understanding of where the organisation is relative to peers

3 - The organisation has a managed process for benchmarking and establishing goals e.g.
- Goals have been established and agreed with senior managers.
- Roadmap is in place to reach goals.
- Benchmarking exercise is repeated periodically.

4 - The organisation undertakes continuous process improvement, with proactive management e.g.
- Certification/external review has been achieved and is maintained as appropriate e.g. Archive Service Accreditation, external stakeholder consultation
- Recommendations for improvement have been acted upon
- Outcomes of reviews are communicated to key stakeholders
- Goals and roadmap are reviewed periodically
- Improvement is viewed as a long-term process with on-going planning, evaluation and development

[E] Leading and Directing Change for EDIB

Processes for ensuring that EDIB practice is incorporated within all elements of archive practice and the organisation

0 – The organisation has minimal awareness of the need to lead and direct change

1 - The organisation is aware of the need to lead and direct change

2 - The organisation has a basic understanding of the need to lead and direct change e.g.
- Barriers to EDIB in archives are identified [See [I] below]
- Ad hoc activities are undertaken to address barriers e.g., approach potential donors for community records
- Ad hoc community engagement activities are undertaken
- Internal advocacy for EDIB within the organisation is undertaken

3 - The organisation has comprehensive processes, embedding EDIB within all elements of archive practice e.g.
- Accurately identify target communities, whose protected characteristics under the Equality Act 2010 overtly or subtly result in their marginalisation from archives [see [I] below]
- Identify inclusive practice which can engage such communities, develop policies and procedures to facilitate this [see [G] above]
- Prioritise activities for EDIB with resource requirements, within a framework of developing the whole organisation
- Effective staff induction, development and support, to ensure EDIB objectives are achieved

4 – The organisation proactively leads and directs change for EDIB e.g.
- Partnerships are developed and maintained with internal and external stakeholders, to underpin EDIB for the organisation
- Partnerships are developed and maintained with identified diverse communities, to underpin the organisation's commitment to EDIB
- A culture of open discussion on EDIB matters within a safe environment, so that all aspects can be respectfully examined, leading to an EDIB positive outlook at all levels of the organisation
- Sharing knowledge and experience with other archive organisations to support their EDIB development
- Advocating to current and potential stakeholders about the importance of developing good EDIB practice within archive organisations

[F] Stakeholder engagement

The experience for stakeholders (current and potential), who are not users or staff (who are covered by other capabilities), when engaging with the organisation by any means

0 - The organisation has minimal awareness of the differing needs and aspirations of diverse stakeholders

1 – The organisation is aware of the need to support different needs and aspirations of a range of diverse stakeholders, both current and potential

2 - Undertaking a small number of ad hoc actions to engage a narrow range of different stakeholders through existing routes of engagement. For example:

- Inviting a known and recognised community representative onto the governing body of the organisation
- An one-off project to work with a specific community

3 – Development of engagement with diverse range of stakeholders is managed and supported e.g.

- Analysis to identify imbalances in particular stakeholder types e.g. depositors, trustees
- Development of goals and workplans for diversifying stakeholders e.g. recruitment drive for trustees
- Senior management support for stakeholder development e.g. attending key meetings, advocating at leadership level, developing appropriate policies, providing resource

4 - - The organisation undertakes continuous process improvement, with proactive management to develop the diversity of stakeholders

[G] Community of Practice

Engagement with and contribution to the wider community of practice concerning EDIB. A community of practice is where people come together to shares ideas and experiences about a particular theme. Such communities could be external (e.g. the Archives and Records Association's Diversity Allies, the Disability Collaborative Network, Curating for Change) or internal (e.g. diversity working groups, EDI forums).

0 - The organisation has minimal awareness of the need to engage with the wider EDIB community of practice

1 - The organisation is aware of the benefits of collaboration with the wider community of practice

2 - The organisation engages with the wider community of practice at a basic level e.g.
- Network/s of relevant contacts have been established
- Relevant community events can be accessed.
- There is commitment to learn from the experiences of others.

3 - Engagement with the wider community of practice is supported and managed e.g.
- Relevant networks and communities have been joined.
- An active role is taken in relevant EDIB communities of practice
- Expert advice can be accessed as appropriate.
- Successes and lessons learned from own work is shared with the community

4 - The organisation takes a leadership role in the EDIB community of practice and proactively manages these engagements e.g.
- A proactive role is taken in establishing or organizing community networks, collaborative activities or events
- Contributions are made to expert groups, specialist subject networks, committees or task forces.

SERVICE CAPABILITY – Detail

Scoring

0 - Very low or no awareness
1 - Some awareness but no analysis of barriers and no planning or action
2. - Basic activity – identification of key barriers and simple plans and actions
3. - Managed activity – coherent identification of barriers and comprehensive plans and activities
4. - Optimised activity – EDIB activity fully integrated into all areas of activity and strategic behaviour with on-going review and revision

[H] Recruitment, Selection & Retention

Processes to attract and retain diverse applicants for both paid and volunteer posts

0 - The organisation has minimal awareness of the need to attract and retain diverse applicants, and the basic steps to achieve this.

1 - The organisation is aware of the need to attract and retain diverse applicants, and has a basic understanding of the steps to achieve this

2 – The organisation has implemented a basic process to attract and retain diverse applicants e.g.
- Advertising and Application form text is inclusive
- Advert placement takes account of non-traditional sources of recruitment
- Induction and Exit interviews capture both practical details but also aspirations for employment with and actual experience of working with the organisation

3 – The organisation has implemented a coherent and managed process to attract and retain diverse applicants e.g.
- Criteria for job descriptions and person specifications accurately match the requirements of the post offered, with a focus on essential, not desirable criteria
- Existing patterns of recruitment (he 'recruitment pipeline' are identified and understood, to inform how this 'pipeline' can be extended to potential new community recruitment pools
- Proactive engagement with advocates for target communities, to ensure direct placement of advertising for all archive sector posts, both professional and para-professional
- Integrated staffing approach between professional and para-professional roles, enabling mentoring and informal career support within teams
- Non-traditional routes into the sector e.g., Archive Trainee posts, supporting para-professional study through distance learning; supporting the archive & records management apprenticeship; secondments
- Non-traditional recruitment approaches e.g. targeted workshops in community settings

4 – The organisation proactively manages and improves the recruitment, selection and retention processes e.g.
- Coordinates with advocates of marginalised communities, to ensure that career opportunities are widely understood and communicated within communities
- Advertising text and imagery, application forms, job descriptions, person specifications etc are regularly reviewed and adapted, to ensure that they remain as effective as possible
- Metrics are regularly collected and reviewed, to ensure that organisational performance on EDIB is understood and to guide future recruitment, selection and retention activities

[I] Knowledge and Understanding of EDIB within Archives

Processes to educate existing staff to identify and build confidence in addressing exclusionary practice, ethical access, offensive / inaccurate language in collections, catalogues and finding aids,

0 - The organisation has minimal awareness of the need to educate staff and build their confidence

1 - The organisation is aware of the need to educate staff and build their confidence

2 - The organisation has a basic understanding of the need for and the content that staff education on EDIB for archives consists of. It also understands the need to build staff confidence in this regard.
- Topics including exclusionary practice, ethical access, offensive / inaccurate language in collections, catalogues and finding aids are discussed in team meetings
- Policies and procedures are developed, with input from team members and community advisers
- There is cultural sensitivity with regard to service provision, language used etc.

3 – The organisation has a coherent and managed suite of policies, plans and procedures e.g.
- Ethical Access
- Offensive Language – in records, in legacy finding aids, new accessions
- Inclusive cataloguing
- Contemporary Collecting
- Engagement and outreach work
- See [H] & [I] below

4 – The organisation undertakes continuous improvement, with proactive management assessment:
- The contents of each of these policies, strategies, procedures and their relationship to each other within the EDIB framework, is integral to the archive operating model
- Regular liaison between management, staff and community advocates ensures that polices etc and how they are implemented remains current, effective and sensitive to evolving and emerging community needs

[J] Inclusive collections information

Processes for inclusive cataloguing to address inaccurate, exclusionary or offensive language (including 'visual language' i.e. the use of imagery to communicate ideas) and support wider engagement with collections

0 – The organisation has minimal awareness of the need to tackle inaccurate, exclusionary or offensive language

1 - The organisation is aware of the need to tackle inaccurate, exclusionary or offensive language

2 - The organisation has a basic understanding of how to tackle inaccurate, exclusionary or offensive language e.g.
- Identify barriers to engagement, pertaining to the specific archive organisation
- Formulate responses to barriers e.g., offensive or unhelpful finding aids; identify existing collections which can be re-presented to new communities, undertake contemporary collecting [see [J] below]

3 – The organisation has a systematic approach to tackling inaccurate, exclusionary or offensive language is adopted e.g.
- a comprehensive and managed suite policies, plans and procedures[see [G] above]
- Accurately identify marginalised communities to develop & maintain partnerships [see [H]

4 – The organisation proactively tackles inaccurate, exclusionary or offensive language through its policies, procedures and partnerships
- Policies and procedures are regularly reviewed, with staff, stakeholder and partnership input and with reference to the latest professional advice and recommendations
- Takes a sector wide perspective, contributes to and leads initiatives to tackle barriers to engaging with archives

[K] New Collections – Acquisition of items reflecting / of interest to diverse communities

Processes for ensuring EDIB issues are incorporated in collections policies and appraisal criteria

0 – The organisation has minimal awareness of the importance of acquiring collections relevant to diverse communities

1 – The organisation is aware of the importance of acquiring collections relevant to diverse communities

2 – The organisation has a basic understanding of contemporary collecting e.g.
- Has included a general statement in the collections policy
- Ad hoc additions, though, donation, deposit or purchase
- Ad hoc engagement with community representatives, for advice and suggestions

3 – The organisation has a systematic and ethical approach to contemporary collecting
- Partnership with community representatives and peers (archives and related professions) to help review existing collecting policy and expand it with a contemporary collecting element
- Work with community representatives to support ongoing donations and deposits
- Budget identified to support targeted purchase, in support of contemporary collecting
- Robust appraisal criteria, to inform acquisition process, in line with sector best practice e.g., UNESCO weighting for collections reflecting underrepresented groups, interests in collections
- Collecting is undertaken on the basis of equity and is genuinely participatory to the benefit of both the organisation and the record creator

4 – The organisation proactively pursues contemporary collecting
- Budget for purchases is regularly reviewed, in line with contemporary collecting policy
- Collecting policies and appraisal criteria are regularly reviewed
- Partnerships with Community representatives, internal and external stakeholders are maintained, expanded and regularly reviewed
- There is a coherent/holistic approach connecting collecting with outreach
- Develops participatory and equitable relationships with record creators to ensure collecting is for the long-term benefit of those record creators

[L] Existing Collections – Reinterpretation / Re-presentation of items

Processes to reassess collections for their interest / relevance to diverse communities

0 – The organisation has minimal awareness of the importance of reassessing collections

1 – The organisation is aware of the importance of reassessing collections

2 – The organisation has a basic understanding of the need to reassess collections e.g.
- Has included a general statement in the collections policy
- Ad hoc review of how individual collections of presented or interpreted
- Ad hoc engagement with community representatives, for advice and suggestions

3 – The organisation has a systematic approach to reassessing collections e.g.
- Partnership with community representatives and peers (archives and related professions) to help review existing collecting policy and expand it with a reassessment element
- Work with community representatives to support ongoing assessments, with re-presentation in catalogues and finding aids, with re-interpretation through articles, blogs, displays etc
- Sufficient staff time is committed to a programme of reassessment, re-presentation and reinterpretation
- Robust appraisal criteria, to inform reassessment process, in line with sector best practice e.g., ethical reappraisal and deaccessioning

4 – The organisation proactively pursues reassessment
- Budget for staff allocations for reassessment and related tasks is regularly reviewed
- Collecting policies and appraisal criteria are regularly reviewed
- Partnerships with Community representatives, internal and external stakeholders are maintained, expanded and regularly reviewed

[M] Audience engagement

The experience for users (current and potential) when engaging with the service onsite, offsite and online

0 – The organisation has minimal awareness of the differing needs and aspirations of service users

1 – The organisation is aware of the need to support different needs and aspirations of service users, both current and potential

2- A simple variety of different service provision shaped to users' needs and aspirations, at a basic level within the organisation, informed by basic evaluation. For example:

Developing one or two new areas of outreach or engagement focused on a specific user group (current or potential)/ community/ interest group which includes seeking feedback from that audience
- Have a statement inviting feedback in the reading room and on the website
- Reviewing how elements of the public service are presented e.g. website content, advice leaflets

3 – Development of appropriate user services are managed and supported e.g.

- Defined audience development goals with supporting work plan and appropriate resourcing
- Clear programmes of engagement with specific audiences
- Evaluation processes that inform future planning and support advocacy
- Senior management encouragement and recognition for developing services to engage a wider range of audiences

4 - - The organisation undertakes continuous process improvement, with proactive management to develop services that engage a diverse range of users

- On-going review and evaluation of users and non-users of the services and their experiences
- On-going development of services in response to review and evaluation
- Horizon-scanning for emerging and future audiences with a view to developing services to meet their needs and aspirations
- Undertaking comparator research
- Benchmarking of service provision against other organisations across the heritage and information service sectors

[N] Access restriction decisions

Processes to ensure that decisions about restricting access affecting collections are transparent and do not favour or disadvantage individuals or communities, whilst observing access requirements under legislation (e.g. GDPR, copyright and Freedom of Information) and also recognising that general access to certain material may be detrimental for particular groups.

0 – The organisation has minimal awareness of the need for balanced restricted access decisions

1 – The organisation is aware of the need for balanced restricted access decisions

2 – The organisation has a basic understanding of the need for balanced restricted access decisions e.g.

- Policy governing access to records for internal, stakeholder, academic, non- academic and independent researchers
- Access to Closed Records procedure, covering closure for information legislation, condition, operational reasons, commercial confidence, depositor stipulation, potential harm to specific groups etc
- Terms of Deposit specify if and when the depositor can stipulate access restrictions to ensure that discriminatory/ marginalising clauses or clauses that allow privileged access (other than for the record creator) are not included

3 – The organisation has a systematic approach to restricted access decisions e.g.

- Partnerships with community representatives and peers (archives and related professions) to help review existing policies, and to reassure and explain why certain access restrictions might apply and in what circumstances
- Robust policies and procedures for restricting access to records and opening them when the restrictions have elapsed and operating the access procedure
- Full documentation for these policies and procedures – including Terms of Deposit
- Sufficient staff time is committed to balanced restricted access decisions
- Staff are fully aware of both the policies and procedures, how they support EDIB and their underpinning by legal, contractual and professional standards

4 – The organisation proactively pursues balanced restricted access decisions e.g.

- Participates in and leads sector initiatives re: balanced restricted access decisions, including review of professional ethics and standards
- Budget for staff allocations for implementing and maintaining balanced restricted access decisions is regularly reviewed
- Policies and procedures are regularly reviewed – with a focus on legal, contractual and professional standards
- Partnerships with Community representatives, internal and external stakeholders are developed, maintained and reviewed

[0] Community and Peer Support

Processes for seeking advice from influencers within communities and acknowledged experts

0 - The organisation has minimal awareness of the need to seek advice

1 - The organisation is aware of the need to seek advice

2 - The organisation has a basic understanding of the need to seek advice:
- Ad hoc engagement with professional and cross-sectoral initiatives around EDIB
- Ad hoc engagement with community representatives e.g., on individual projects

3 - The organisation has a systematic approach to community and peer support
- Partnerships with community representatives and peers (archives and related professions) to help inform approaches to various aspects of EDIB
- Works with internal and external stakeholders

4 - The organisation proactively pursues community and peer support e.g.
- Participates in and leads sector initiatives across the range of EDIB activities affecting archives
- Budget for staff allocations engaging with community and peer support
- Partnerships with Community representatives, internal and external stakeholders are developed, maintained and reviewed

Appendix 1 Arts Council England - 'Equality objectives improving access and opportunity and achieving our equality objectives – let's create delivery plan 2021 -2024'

We have a legal duty to consider equality in our policy making. We aim to prevent discrimination and promote equality and diversity for people from protected characteristic groups defined in the Equality Act 2010 – including age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. We also recognise the barriers that arise from class and socio-economic status and will seek to go beyond our legal duty to ensure that the work we invest in is reflective of the diversity of contemporary England. In addition, we take into account the geographic distribution of our investment and other resources to try to ensure that our support reaches all parts of this country. The four Equality Objectives set out how we will put our legal duty into action over the next three years. They will remain in place for the duration of this Delivery Plan. These objectives will inform the design and delivery of all our work and will be supported through the development of discrete Equality Analyses for all new work that we undertake. You can read the one for this Delivery Plan here
https://www.artscouncil.org.uk/our-delivery-plan-2021-2024/equality-objectives

These Equality Analyses are designed to ensure that no one with a protected characteristic or from a lower socio-economic background is impacted adversely by our investment programmes or other development work. Our commitment to this is not only about fulfilling a legal duty. The only stable foundation for a sustained recovery for the cultural sector is one where it reaches more people, nurtures talent wherever it is found and finds inspiration from every quarter. Everyone should have a chance to discover the cultural sector and make a career in it if they have the talent. A number of the Actions set out under each of the Themes are specifically designed to further our Equality Objectives and to create the conditions for more equitable distribution of our investment. They are also designed to help build a sector that is more inclusive of and relevant to the communities we serve. Critically, they require the Arts Council to lead by example through the targets we set, and the culture change we are committing to.

Appendix 2 - SAT Worksheet

This worksheet is also available as an Excel spreadsheet if you would prefer to use that format.

Organisation:	
Number of employees:	
Type of organisation:	Archive / Business / Higher Education & Research / Library / Museum or Gallery / Other (Delete as appropriate)
Time frame used for target levels (e.g. 1/3/5 years)	
Assessment completed by:	
Assessment complete on:	

ORGANISATIONAL CAPABILITIES				
	Current Level	**Why did you select this level?**	**Target Level (optional)**	**What needs to be in place to get there?**
A. Organisational viability: Governance, organisational structure, staffing and resourcing of EDIB activities				
B. Policy and strategy: Policies, strategies, and procedures which govern				

the operation and management of EDIB activities				
C. Legal basis: Management of legal rights and responsibilities, compliance with relevant regulation and adherence to ethical codes				
D. Continuous Improvement: Processes for the assessment of current EDIB capabilities, the definition of goals and the monitoring of progress				
E. Leading and Directing Change for EDIB: Processes for ensuring that EDIB practice is incorporated within all elements of archive practice and service				
F Stakeholder engagement: The experience for stakeholders (current and potential), who are not users or staff, when engaging with the organisation by any means				

G. Community of Practice: Engagement with and contribution to the wider community of practice concerning EDIB				

SERVICE CAPABILITIES				
	Current Level	**Why did you select this level?**	**Target Level (optional)**	**What needs to be in place to get there?**
H. Recruitment, Selection and Retention: Processes to attract and retain diverse applicants for both paid and volunteer posts				
I. Knowledge and Understanding of EDIB within Archives: Processes to educate existing staff to identify and build confidence in addressing exclusionary practice, ethical access, offensive / inaccurate language in collections, catalogues and finding aids				
J. Inclusive Collections Information: Processes for inclusive cataloguing to address offensive / inaccurate language and support wider engagement with collections				

K. New Collections - Acquisition of items reflecting / of interest to diverse communities: Processes for ensuring EDIB issues are incorporated in collections policies and appraisal criteria				
L. Existing Collections - Reinterpretation / Re-presentation of items: Processes to reassess collections for their interest / relevance to diverse communities				
M. Audience engagement: The experience for users (current and potential) when engaging with the service onsite, offsite and online				
N. Closure Decisions: Processes to ensure that closure decisions affecting collections are transparent and do not favour or disadvantage individuals or communities				
O. Community and Peer Support: Processes for seeking advice from influencers within				

communities and acknowledged experts				

Appendix 3 Possible sources of information to support the completion of an EDIB SAT

Archive specific

The organisation's own Archive Service Accreditation application form and supporting documents

The organisation's own The PSQG Visitor Survey results

Date from the Archives Card or reader's card applications

Code of Ethics for members of the Archives and Records Association

https://static1.squarespace.com/static/60773266d31a1f2f300e02ef/t/6082c97ac1fa88333ca028b1/1619183995112/Code_Of_Ethics_February_2020_final.pdf

The National Archives' Inclusion resources https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/running-your-organisation/inclusion/

Internal

Organisational policies e.g. on HR

Organisational performance data

Community impact assessments

Staffing reviews

Community consultations

National Heritage Lottery Fund applications and backing documents

Case studies

Legislative

Equalities legislation

https://www.gov.uk/guidance/equality-act-2010-guidance

GDPR

https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/

Other external sources

Census data

UNESCO Guidelines for measuring cultural participation

https://unesdoc.unesco.org/ark:/48223/pf0000217143