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Information and documentation — Collections management for archives and libraries

Information et documentation — Gestion des collections pour les archives et les bibliothèques

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ISO copyright office
Ch. de Blandonnet 8 • CP 401
CH-1214 Vernier, Geneva, Switzerland
Tel. +41 22 749 01 11
Fax +41 22 749 09 47
copyright@iso.org
www.iso.org

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see the following URL: www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 46, *Information and documentation,* SC 10, *Requirements for document storage and conditions for preservation*.

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Introduction

This document is based on ISO 11799 and BS 5454:2012. It is intended to be used with ISO 11799 and ISO/TR 19815.

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Information and documentation — Collections management for archives and libraries

1 Scope

This document provides guidance and recommendations in the planning, implementation, maintenance and improvement of the preservation of archive and library collections through:

— recommendations and guidance for preservation planning and ongoing management of physical collections in archives and libraries;

— procedures for managing collections in the stacks, research and reading rooms, conservation facilities and while on exhibit and during transportation.

— guidance and recommendations for appropriate enclosures and containers for archive and library collections.

This document applies to preservation of archive and library physical collections of institutions and volumes small and large. It applies to all collections housed by an institution; their own collections and deposits or loans from other institutions. Some information on digital collections, born digital and digitized, for conservation is included for reference.

This document also applies to collections that are being managed by governmental agencies.

This guidance is intended for collections that are being preserved for long-term use.

Collections intended for long-term use need to be managed to mitigate many risks that can cause loss, including catastrophic loss from fire and floods, risks of vandalism and theft, to instability of materials, including acetate film and acidic paper. Collections management addresses the risks from a holistic perspective. It is recognized that compromises are necessary based on, among other factors, the quantity of collections in archives and libraries. The compromises can be managed when the factors of use, significance, vulnerability of the collections and the expertise and best practices from several fields are included in the decision-making process.

This document covers specifically the operations required to manage the collections environment that are relevant to the preservation policy and plan of the institution. This includes the monitoring of climate stability, control of exposure to light, preventive cleanliness measures and cleaning of the collections storage areas.

The conservation treatment of individual items within the collections is not covered in this document.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— IEC Electropedia: available at http://www.electropedia.org/

— ISO Online browsing platform: available at http://www.iso.org/obp

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3.1
accessioning
action of adding *document* (3.8) or group of documents to the collections of an information and documentation organization

[SOURCE: ISO 5127:2001, 4.1.2.16, modified.]

3.2
archival-quality material
material that does not cause harm or reduced life expectancy when in contact with other *items* (3.16)

[SOURCE: SAA Glossary — A Glossary of Archival and Records Terminology]

3.3
archive
organization or part of an organization responsible for selection, acquisition, *preservation* (3.21) and availability of one or more *archives* (3.4)

[SOURCE: ISO 5127:2001, 3.1.02]

3.4
archives
records of the same provenance accumulated by an organization or person in the course of the conduct of affairs and preserved because of their enduring value

[SOURCE: ISO 5127:2001, 3.1.01]

3.5
collection
gathering of *documents* (3.8) assembled on the basis of some common characteristics without regard to their provenance

[SOURCE: ISO 5127:2001, 3.1.07]

3.6
conservation
intervention techniques applied to prevent, arrest or delay *deterioration* (3.7) of a *document* (3.8)

[SOURCE: ISO 5127:2001, 6.1.03]

3.7
deterioration
gradual degradation and possible ultimate destruction of materials arising from damaging inherent properties or interaction with environmental influences

[SOURCE: ISO 5127:2001, 6.1.13]

3.8
document
recorded information or material object which can be treated as a unit in a documentation process

Note 1 to entry: Documents can differ in form and characteristic.

[SOURCE: ISO 5127:2001, 1.2.02]

3.9
dry-stamping
embossed mark for security

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3.10
hazard
source of potential harm

[SOURCE: ISO Guide 73:2009, 3.5.1.4]

3.11
memory organization
institution involved in the *collection* (3.5) and *preservation* (3.21) of cultural information, such as a *library* (3.17), *archive* (3.3) or museum that is itself together with its collections, established as a permanent entity

[SOURCE: ISO 27730:2012, 3.6]

3.12
holdings
totality of materials in the custody of an information and documentation organization

Note 1 to entry: Holdings includes all types of materials kept in archives and libraries regardless of their physical format, mainly books, manuscripts, files, maps, seals and graphic collections and other documents consisting of paper, but also parchment, papyrus, films, photographic materials, audiovisual recordings, magnetic and optical media and materials such as stone, metal, wax, textiles. (Partial source ISO 11799)

[SOURCE: ISO 5127:2001, 3.1.13, modified — Note 1 to entry has been added.]

3.13
collections management
activities to stabilize materials for long-term storage by placing materials in appropriate housings and environments

Note 1 to entry: Collections management includes ensuring materials are in containers, that the documents are supported within containers and that fragile documents have individual enclosures for additional protection.

Note 2 to entry: Collections management also includes all aspects of the storage environment, including temperature, humidity and shelving.

[SOURCE: Partial source SAA Glossary — A Glossary of Archival and Records Terminology]

3.14
collections maintenance
actions taken to prepare collections for storage and for use (e.g. packaging)

3.15
housing
actions to enclose collections in *packaging* (3.19) before they are placed in storage

Note 1 to entry: Housing is an action in collections maintenance.

3.16
item
archive or library item
smallest intellectually indivisible unit (e.g. a letter, memorandum, report, photograph, sound recording, book, graphic or map)

[SOURCE: ISO 5127:2001, 2.1.13, modified.]

3.17
library
organization or part of an organization the main aim of which is to facilitate the use of such information resources, services and facilities as are required to meet the informational, research, educational, cultural or recreational needs of its users

[SOURCE: ISO 5127:2001, 3.1.03]

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3.18
ownership mark
unique identifying mark made on each *item* (3.16) by the owner

3.19
packaging
layer of protection for *items* (3.16)

Note 1 to entry: Examples include a box, folder and envelope.

Note 2 to entry: Packaging should protect the items from light and pollutants. It also provides some protection from physical damage, pests and moderate changes in temperature or humidity.

3.20
powder-coating
protective and decorative coating formed by the application of a coating powder to a substrate and fusion (and curing if necessary) to give a continuous film

[SOURCE: ISO 8130]

3.21
preservation
all measures taken including financial and strategic decisions to maintain the integrity and extend the life of *documents* (3.8) or collections

[SOURCE: ISO 5127:2001, 6.1.01]

3.22
preventive conservation
measures and actions aimed at avoiding and minimizing future *deterioration* (3.7), damage and loss

Note 1 to entry: Generally indirect measures or actions.

[SOURCE: EN 15898:2011, 3.3.5, modified.]

3.23
radio frequency identification
RFID
electronic device used for security and tracking

3.24
record
document (3.8) created or received and maintained by an agency, organization or individual in pursuance of legal obligations or in the transaction of business

[SOURCE: ISO 5127:2001, 2.2.1.08]

3.25
reformatting
action to create a copy with a format or structure different from the original especially for *preservation* (3.21) or access

[SOURCE: SAA Glossary — A Glossary of Archival and Records Terminology]

3.26
restoration
actions taken to return a *document* (3.8) which has suffered *deterioration* (3.7) or damage as closely as practicable to its original state

[SOURCE: ISO 5127:2001, 6.1.04]

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3.27
reversibility
quality of a *conservation* (3.6) *treatment* (3.31) which would allow the *document* (3.8) to be returned to its pre-treated state without damage

Note 1 to entry: Ethical principle within conservation; often difficult, but a consideration in the decision-making before treatment.

3.28
risk
effect of uncertainty on objectives

Note 1 to entry: Risk is often characterized by potential events and consequences or a combination of these.

Note 2 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including change in circumstances) and the associated likelihood of occurrence.

[SOURCE: ISO 31000:2009, 2.1, modified.]

3.29
risk management
coordinated activities to direct and control an organization with regard to *risk* (3.28)

[SOURCE: ISO 31000:2009, 2.2]

3.30
storage area
area of the information and documentation organization where the collections are kept under controlled conditions

3.31
treatment
direct action carried out on an *item* (3.16) or collections for *conservation* (3.6)

3.32
vulnerability
intrinsic properties of something resulting in susceptibility to a *risk* (3.28) source that can lead to an event with consequence

[SOURCE: ISO Guide 73:2009, 3.6.1.6]

4 Preservation in collections management

4.1 Collections management practices

4.1.1 General

Preservation planning and policies are fundamental to the mission and strategic plan of preserving collections in archives, libraries and other cultural institutions. Collections management is integrated into the goals and objectives of the institution through preservation policies and preservation planning.

Written collections management procedures are essential to achieving the preservation plan in archives and libraries, ensuring consistency of procedures followed by staff throughout the institution.

Scientific and technical exchanges with other sectors of heritage preservation are advisable to avoid redundant preservation activities.

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