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Information and documentation — International archives statistics

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Foreword

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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).

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For an explanation of 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 www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 8, *Quality — Statistics and performance evaluation*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

This document collects statistics for measuring the archives performance of their tasks, services and use.

Clauses 3 and 7 form the core of this document. Clause 3 provides definitions for most of the elements which constitute archives and archives services; these are for statistical purposes only. Clause 7 recommends how each of these elements should be counted. Users need to consult both clauses for the complete picture.

It is recognized that not all measures specified in this document can be collected by archives of different types, sizes, and functions.

Information and documentation — International archives statistics

1 Scope

This document specifies guidelines for the archives community on the collection and reporting of statistics for the following purposes:

— strategic planning and internal management of archives;

— aggregating and comparing operational and performance statistics at regional, national, and international levels;

— reporting to stakeholders such as funding institutions, politicians, researchers, and the general public;

— promoting the role and value of archives for advancing learning and research, education and culture, and social and economic life;

— improving the management of processes, reinforcing transparency and supporting good governance.

This document does not apply to records centres responsible for records that are still in the legal custody of the organization that created or received them, although it is recognized that some archives also have responsibilities for appraising, acquiring, and managing the current records of organizations that can or not be transferred to the archives for permanent retention. When applying this document to archives that also perform records management functions, the archives can exclude statistics that pertain to its records management functions, including measures pertaining to holdings and their usage and preservation, funding and expenditures, space and facilities, staffing and management.

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:

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

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

3.1 General

3.1.1
archives
<organization>organization or part of an organization responsible for selection, acquisition, preservation, and availability of one or more *archives* (3.1.2)

[SOURCE: ISO 5127:2017, 3.2.3.01, modified — Note 1 to entry until Note 4 to entry has been omitted]

3.1.2
archives
<holdings>materials, items, records or documents created or received by a person, family or organization, public or private, in the conduct of their affairs and preserved because of the enduring value contained in them or as evidence of the functions and responsibilities of their creator, especially those materials maintained using the principles of provenance, original order and collective control

[SOURCE: ISO 5127:2017, 3.6.1.03, modified — Items, records or documents have been included to define archives. Note 1 to entry has been omitted.]

3.2 Types

3.2.1
national archives
central *archives* (3.1.1) consisting of and responsible for the *archives* (3.1.2) mainly emanating from the central government of a state

[SOURCE: ISO 5127:2017, 3.6.4.2.03]

3.2.2
regional archives
archives (3.1.1) consisting of and responsible for the *archives* (3.1.2) mainly emanating from the intermediate levels of government

[SOURCE: ISO 5127:2017, 3.6.4.2.04]

3.2.3
local archives
archives (3.1.1) consisting of and responsible for the *archives* (3.1.2) mainly emanating from municipalities or other local governmental authorities

[SOURCE: ISO 5127:2017, 3.6.4.2.05]

3.2.4
departmental archives
archives (3.1.1) of a government department or administrative agency, institution or organization

[SOURCE: ISO 5127:2017, 3.6.4.2.06, modified — Note 1 to entry has been omitted.]

3.2.5
university archives
archives (3.1.1) of or relating to a university

Note 1 to entry: For academic institutions other than universities, such as independent research institutes, select "other type not listed above" in 7.2.1.

[SOURCE: ISO 5127:2017, 3.6.4.2.07]

3.2.6
corporate archives
documents and other materials created or received by a group of people (a company, an organization) in the course of operations and preserved for their enduring value

Note 1 to entry: Includes business *archives* (3.1.1).

Note 2 to entry: Includes foundation *archives* (3.1.1).

[SOURCE: SAA Glossary https://dictionary.archivists.org]

3.2.7
audiovisual archives
archives (3.1.1) and *archives* (3.1.2) of documents in which sound and/or pictures are prominent, and which requires the use of special equipment to be seen and/or heard

[SOURCE: ISO 5127:2017, 3.3.3.07, modified — Archives of documents have been added to the definition. Notes 1 and 2 to entry have been omitted.]

3.2.8
family archives
archives (3.2.2) of or relating to a family or similar genealogical entity

[SOURCE: ISO 5127:2017, 3.6.4.2.01]

3.2.9
religious archives
archives (3.1.1) of religious bodies and communities

3.3   Governing authority of archives

3.3.1
governing authority
body with legal and fiduciary responsibility for the *archives* (3.1.1) and for approving archives policy

[SOURCE: ISO 18461:2016, 2.3.1, modified — "Archives" is used to replace "museum". Note 1 to entry has been omitted.]

3.3.2
state-governed archives
archives (3.1.1) governed by governmental authorities at the national level

Note 1 to entry: Lower-levels of government are accommodated by *locally-governed archives* (3.3.3)/*regionally-governed archives* (3.1.1).

[SOURCE: ISO18461:2016, 2.3.6, modified — The term and definition for "state-governed museum" have been adapted to define "stage-governed archives". Note 1 to entry has been added.]

3.3.3
locally-governed archives
archives (3.1.1) governed by city or municipal authorities

[SOURCE: ISO 18461:2016, 2.3.2, modified — The term and definition for "locally-governed museum" have been adapted to define "locally-governed archives".]

3.3.4
regionally governed archives
archives (3.1.1) governed by regional authorities (federal units, province or county authorities

[SOURCE: ISO 18461:2016, 2.3.2, modified — The term and definition for "regionally-governed museum" have been adapted to define "regionally-governed archives".]

3.3.5
other public-governed archives
archives (3.1.1) governed by other public authorities

[SOURCE: ISO 18461:2016, 2.3.3, modified — The term and definition for "other public-governed museum" have been adapted to define "other public-governed archives". Notes to entry have been omitted.]

3.3.6
internationally-governed archives
archives (3.1.1) governed by an international organization (such as non-profit or non-governmental agencies that operate internationally)

3.3.7
privately-governed archives
archives (3.1.1) governed by private entities (such as non-profit or for-profit organizations registered under private law), families or individuals

[SOURCE: ISO 18461:2016, 2.3.4, modified — The term and definition for "private-governed museum" have been adapted to define "private-governed archives". Note 1 to entry has been omitted.]

3.3.8
public/private partnership archives
archives (3.1.1) governed jointly, in partnership of a public and private entity

[SOURCE: ISO 18461:2016, 2.3.5, modified — The term and definition for "public/private partnership museum" have been adapted to define "public/private partnership archives". Notes to entry have been omitted.]

3.4 Archives services, programs and use

3.4.1
access
right, opportunity, means of finding, using or retrieving information, documents and records

[SOURCE: ISO 5127:2017, 3.11.1.01, modified — Documents and records have been added to definition. Note 1 to entry has been omitted.]

3.4.2
download
successful request of a content unit from an archives-provided online service or other internet service

[SOURCE: ISO 2789:2013, 2.2.6, modified — In the definition, a library has been replaced by an archive.]

3.4.4
event
pre-arranged activity, in some cases ongoing or repeatable, with cultural, educational, social, political, scholarly, or other intent involving a group of people

EXAMPLE   Exhibitions, author visits, literary discussions, workshops, etc.

Note 1 to entry: Only events arranged by the *archives* (3.1.1) on its own or in partnership with other institutions are included, whether inside or outside the *archives* (3.1.1.) premises. Events inside the *archives* (3.1.1) premises organized by institutions outside the *archives* (3.2.1) without the *archives'* (3.2.1) cooperation are excluded.

Note 2 to entry: User education lessons and pre-arranged *archives* (3.1.1) visits are excluded.

Note 3 to entry: Ongoing programs are excluded (i.e. education program, exhibition program) but each session of a program is counted as one event.

Note 4 to entry: Virtual events are included.

[SOURCE: ISO 2789:2013, 2.2.9, modified — The definition has been modified to include frequency of the term. Note 1 to entry has been omitted and subsequent notes have been renumbered. In Note 2 to entry, "education" has been used to replace "training" and "archives visits" replaces "library tours". Note 3 to entry has been modified to exclude ongoing programs.]

3.4.5
exhibition
curated display of objects on a clear concept and communicating a message

Note 1 to entry: See also ISO 25639-1:2008, 3.1 and ISO 2789:2013, 2.2.10.

[SOURCE: ISO 5127:2017, 3.11.1.09]

3.4.6
informational question
directional and/or administrative inquiry delivered to *archives* (3.1.1) staff

Note 1 to entry: This includes e.g. questions for locating staff or facilities, questions regarding opening times and registering procedures, and questions about handling equipment such as printers and computer terminals.

Note 2 to entry: It is essential that archives do not include *reference questions* (3.4.11) in this category.

[SOURCE: ISO 2789:2013, 2.2.13, modified — "Archives" replaces "library". Note 2 to entry has been replaced. Note 3 to entry has been omitted.]

3.4.7
loan
lending of items in the archives' holdings to, or borrowing an item from, other collecting organizations, private collectors, or agencies

[SOURCE: ISO 18461:2016, 2.4.7, modified — "Items in the archives' holdings" replaces "object in the museum's collection". Note 1 to entry has been omitted.]

3.4.8
physical visit
act of entering into one or all of the parts of the archive's premises to access the services and programs of the archives

[SOURCE: ISO 18461:2016, 2.4.14, modified — "To access the services and programs of the archives" has been added to the definition.]

3.4.9
program
pre-arranged ongoing and repeatable activity having an intent within the mission of the *archives* (3.1.1)

Note 1 to entry: The activity would usually be of a cultural, educational, social, political, or scholarly nature, etc.

Note 2 to entry: Programs can be organized inside or outside the *archives* (3.1.1) premises.

Note 3 to entry: Programs inside the *archives* (3.1.1) premises organized by institutions outside the archives without the archives participation should be counted separately.

Note 4 to entry: Ongoing programs are included under events (i.e. education program, exhibition program) but each session of a program is counted as one event.

Note 5 to entry: Virtual programs are included, but should be counted separately.

[SOURCE: ISO 18461:2016, 2.4.15, modified — Archives replaces museum. In Note 1 to entry, the second line has been deleted. In Notes 2 and 3 to entry, archives replaces museums. Note 4 to entry has been replaced.]

3.4.10
publishing
publishing activities by *archives* (3.1.1), issuing documents for sale or licensing to the public in analogue or digital format

[SOURCE: ISO 2789:2013, 2.5.8, modified — Archives replaces libraries. Notes 1 and 2 to entry have been omitted.]

3.4.11
reference question
information contact that involves the knowledge or use of one or more information sources (such as printed and non-printed materials, machine-readable databases, the *archives*' (3.1.1) own and other institutions catalogues and finding aids) by *archives* (3.1.1) staff

Note 1 to entry: It is essential that *archives* (3.1.1) do not include *informational questions* (3.4.6) in this category.

[SOURCE: ISO 2789:2013, 2.2.26, modified — Archives replaces library´s, and finding aids has been added to the definition. Notes 1 to 4 to entry have been omitted. and subsequent Note 5 to entry has been renumbered and (directional and administrative) questions, e.g. for locating staff or facilities, regarding opening times or about handling equipment such as printers or computer terminals has been omitted.]

3.4.12
registered user
person or organization registered with *archives* (3.1.1) in order to use its holdings and/or services onsite or elsewhere

[SOURCE: ISO 2789:2013, 2.2.28, modified — Archives replaces library, holdings replaces collection, services onsite or elsewhere replace within or away from the library. Notes 1 and 2 to entry have been omitted.]

3.4.13
reproduction services
services provided by the *archives* (3.1.1) to create copies replacing original documents produced for their users

3.4.14
social network service
electronic service designed to allow users to establish a personal or organizational profile and contact other individuals for the purposes of communicating, collaborating, and/or sharing content with them

[SOURCE: ISO 2789:2013, 2.2.33]

3.4.15
user
recipient of services provided by the *archives* (3.1.1)

[SOURCE: ISO 2789:2013, 2.2.36, modified — services provided by archives replaces library services. Notes 1 and 2 to entry have been omitted.]

3.4.16
user education
instruction program designed to teach users how to utilize effectively the sources and the information services available in an *archives* (3.1.1)

[SOURCE: ISO 5127:2017, 3.11.5.05, modified — The definition has been amended to apply to archives.]

3.4.17
virtual event
event in digital format, specifically designed for use via the Internet

[SOURCE: ISO 2789:2013, 2.2.38, modified — Digital replaces electronic.]

3.4.18
virtual visit
session
one continuous cycle of user activities on the *archives* (3.1.1) website, regardless of the number of pages or elements viewed

[SOURCE: ISO 2789:2013, 2.2.39, modified — Archives replaces library, by users from outside the library's IP address space (usually from outside the library premises) has been omitted. Notes to entry have been omitted.]

3.4.19
visitor
person (individual) entering the *archives* (3.1.1) premises to access the services and programs of the archives

[SOURCE: ISO 2789:2013, 2.2.40, modified — Visitor replaces visit, archives replaces library, to access the services and programs of the archives has been added to the definition.]

3.4.20
website
collection of logically connected web pages managed as a single entity and accessed through the same base URL

[SOURCE: ISO 5127:2017 3.3.3.24]

3.5   Holdings

3.5.1
analogue document
object usable without digital equipment

[SOURCE: ISO 5127:2017, 3.3.3.01, modified — object replaces document]

3.5.2
architectural document
items and materials that are created or assembled as part of the design, construction, and documentation of buildings and similar large structures, and that are preserved for their administrative, legal, fiscal, or archival value

[SOURCE: SAA Glossary https://dictionary.archivists.org, modified — architectural document replaces architectural record, items replaces documents.]

3.5.3
archival unit
single document or set of documents in an *archives* (3.1.1), treated as an entity

[SOURCE: ISO 5127:2017, 3.4.4.07]

3.5.4
archive group
record group
primary division in archival arrangement at the level of the independent originating unit or agency

Note 1 to entry: See also fonds

[SOURCE: ISO 5127:2017, 4.6.3.27]

3.5.5
artefact
object made or shaped by a human, such as a tool or a work of art

[SOURCE: ISO 18461:2016, 2.5.4]

3.5.6
audiovisual document
document in which sound and/or pictures are prominent, and which requires the use of special equipment to be seen and/or heard

Note 1 to entry: This includes audio documents such as phonographic records, tapes, cassettes, audio compact discs, DVDs, files of digital audio recordings; visual documents such as slides, filmstrips, transparencies; and combined audiovisual documents, such as motion pictures, video recordings, etc.

Note 2 to entry: Microforms are excluded.

[SOURCE: ISO 5127:2017, 3.3.3.07, modified — Film strips has been added, computer games have been omitted in Note 1 to entry. In Note 2 to entry, for library and museum statistics purposes has been omitted.]

3.5.7
born-digital document
document that has been created originally in digital form

[SOURCE: ISO 2789:2013, 2.3.5]

3.5.8
cartographic document
conventional representation, on a reduced scale, of concrete or abstract phenomena which can be localized in space and time

Note 1 to entry: This includes documents such as two- and three-dimensional maps, globes, plans, topographic models, tactile maps and aerial representations, but excludes atlases and any other cartographic documents in codex, micro, audio-visual and digital form.

[SOURCE: ISO 2789:2013, 2.3.6 – modified — Note 1 to entry has been omitted.]

3.5.9
collection
gathering of documents accumulated on the basis of some common characteristic without regard to the provenance of those documents

[SOURCE: ISO 5127:2017, 3.6.1.05, modified — documents accumulated replaces items assembled, without regard to the provenance of those documents has replaced for some purpose, or as the result of some process. Note 1 to entry has been omitted.]

3.5.10
container
receptacle, box, package or housing used to hold materials

[SOURCE: SAA Glossary https://dictionary.archivists.org/entry/container.html, modified — a box has been added to definition.]

3.5.11
digital collection
all objects in digital form in the *archives* (3.1.1) holdings, whether born-digital or digitized