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IIA Archives Collections Management Policy – Version 1.0

For internal circulation only

Table of Contents

1.	Purpose of This Policy Document	3
2.	Aims and Objectives of the Policy	3
3.	Definitions	3
4.	Introduction	5
5.	Mission	5
6.	Authority	5
7.	Scope	6
8.	Acquisition	7
9.	Cataloguing	8
10.	Storage and Preservation	8
11.	Archival Records Access	9
12.	Disposals and Deaccessioning	10
13.	Records Policy for Departing, Retiring and Deceased Employees	10
14.	Collaboration	11
15.	Archive Policy Revision Record	11
16.	Amendment History	11
17.	Appendices	11
18.	References	12

1. Purpose of This Policy Document

The archives policy will support the professional judgement of staff when making decisions relating to the identification and selection of material for permanent preservation and assist with developing those collections. It ensures that it stores valuable archival records that are relevant to the IIA or members who have an interest in Astronomy and Astrophysics. This policy aims to promote and market our IIA community's heritage collections, which are acquired in the last 200 years. It gives clear guidelines to the donors and the users that how we deal with various archival related activities that include collection, selection, storage, organization, preservation of our historical materials in our Archives.

2. Aims and Objectives of the Policy

The objective of this policy document is to provide guidelines and recommendations for the development and maintenance of IIA Archives, which is aims:

- To promote access to the valuable IIA collections for the Astronomy research communities.
- To attract the usage of various services provided by the Archives.
- To make sure to follow the archives related compliance within the IIA user community.
- To integrate various related services and improve the collection of IIA Archives.
- To address compliance with applicable laws and regulations of the Indian National Archives.
- To follow suitable access restrictions rules to the IIA collections to prevent loss, misuse, unauthorised access, and damage.
- To enable the Archives to digitise the rare and endangered collections in the form of electronic data.
- To enhance the collaboration among the research community on the history of astronomy.

3. Definitions

Word/Term	Definition
Accession	Accessioning is the process of formally accepting material into the archives. This process enables staff to gain preliminary and immediate intellectual control over the materials. Accessioning provides the information necessary for maintaining accurate, up-to-date inventory control over archival and manuscript holdings, and for providing immediate reference service on newly acquired collections.
Appraisal	The process of determining which records need to be kept, and for how long, to fulfil business, research, or other identified requirements. The staff at the IIA Archives shall appraise the archival value of a record, and where necessary, make arrangements for the record to be evaluated by external professional archivists.
Archival catalogues	Archive catalogues have a hierarchical structure, which simply means that things are arranged in levels. Catalogues go from the very broad to the narrow, with 'fonds' being the broadest and 'item' is the narrowest. The fonds level is the highest level of description in an archive catalogue; here we are describing the person or institution that created the records. The fonds allows the researcher to get an overview of the entire collection. The next level is the series. This level of the catalogue relates to a particular activity or type of records, for example, correspondence or research work. Lower levels include file and item, although item level descriptions are less common in archive catalogues.
Archival records	The non-current records of an organisation, institution, or individual that have been appraised and selected for preservation because they have continuing or permanent value. In the case of IIA, this value may be for administrative, legal, scientific, research, and/or historical use. Archival record is a specific piece of information generated, collected, or received in the initiation, conduct,

	or completion of an action, and that comprises sufficient content, context, and structure to provide proof or evidence of that activity. Archival records may comprise a range of formats - paper, photographic, audiovisual, digital, artefacts, etc.
Archives	This term can refer to archival records or the institution responsible for the care and control of archival records or the repository in which archival records are stored. The term is used in both the singular and plural form.
Deaccessioning	The process of removing archival materials from the holdings. A practice to be avoided and usually unnecessary if the archive's written mandate has been adhered to. The euphemistic term is "reappraisal." Deaccessioning always involves legal, ethical, and practical concerns.
Electronic or digital record	Institutional information created, retained or maintained in any digital format – on a computer, hard disk or solid-state drive, mobile phone, flash drive, magnetic tape, floppy disk or any other magnetic storage format, optical disk, CD-ROM or other optical technology, and any other type of electronic technology such as emails – may be an electronic record that must be retained to meet administrative, fiscal, legal, research and historical requirements of the Institute.
Finding Aid	Descriptive tools which contain information about archival records and facilitate research into the records. Finding aids must conform to the standards of description specified by ISBD(G). These tools may be called guides, inventories, indexes, file or, in the case of photographs, item listings which contain information that establishes administrative, physical, or intellectual control over the holdings of archives, and make it possible to retrieve particular records or information from these archives.
Institutional records	Includes all forms of recorded information regardless of physical characteristics, created, received, recorded, or legally filed in the course of institutional matters or pursuance of the institution's legal obligations. These records serve as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities and are subject to records management review and evaluation before any decisions regarding reformatting or disposal. All records created or received by all administrative officers of the institution, scientists, and other officers are also considered to be institutional records.
Personal records	The following records are those that should be considered personal records. However, the Archives could request the record owner or designee to keep these records within the Archives or to gift them to the Archives after deciding on the mechanisms of access and use: • All personal correspondence with distinguished professionals in the field that enables the historical tracing of a professional trajectory. • Awards, Medals, Certificates, and Citations.
Private records	The following records are those that should be considered private and confidential. The Archives shall not have any rights over such material unless the record owner or designee chooses to loan or gift these records to the Archives. Where it sees issues related to liability, the Archives can elect to not preserve such records: • Personal correspondence, personal diaries, medical and financial records, notebooks with personal information such as health care information, financial information, confidential or sensitive information that could potentially pose a future risk.
Weeding and stripping	The removal of non-archival material from file units during the processing of records. The documents removed may be returned to the donor, donated to another archival institution, or destroyed.
References: https://www.nationalarchives.gov.uk , https://www.trentu.ca/ , https://www.nationalarchives.gov.uk , http://asic.caltech.edu/ , https://documents.uow.edu.au	

4. Introduction

The Indian Institute of Astrophysics is a premier institute devoted to research in astronomy, astrophysics, and related physics. It traces its origins back to an observatory set up in 1786 at Madras which from the year 1792 began to formally function at its Nungambakkam premises as the Madras Observatory. In 1899, the observatory moved to Kodaikanal. In the year 1971, the Kodaikanal Observatory became an autonomous society, the Indian Institute of Astrophysics. The headquarters were shifted to Bengaluru into its present campus in Koramangala in 1975. Today, funded by the Department of Science and Technology, the Institute ranks as a premier institution devoted to research and education of astronomy and physics in the country. The main observing facilities of the Institute are located at Kodaikanal, Kavalur, Gauribidanur, and Hanle.

The IIA Archives is a repository that is dedicated to holding institutional records that capture its organizational and scientific history. There were efforts and attempts to set up the Archives by Prof.M.K.V.Bappu in the year 1979. He visited the Madras State Archives as a first step and collected archival materials pertaining to Madras and Kodaikanal observatories. From the year 2006, groundwork began to collect all the materials of historical value available at Kodaikanal, Later formally the IIA Archives was set up in the year 2008 to coincide with the organization of the National Workshop on Preserving Scientific Heritage at Indian Institute of Astrophysics, Bangalore.

5. Mission

IIA Archives serves as the institutional memory, and its mandate is to collect, catalogue, preserve, provide reference assistance for, promote, and make accessible to the IIA historical records for the researchers and the general public. The missions are:

- Acquiring, and storing the archival materials of IIA are created throughout of an institute's lifetime.
- Establishing and updating guidelines for archival document maintenance.
- Offering a wide range of quality archival reference services to researchers across the world.
- Establishing and promoting the services that widen the understanding of the rich history of the Indian Institute of Astrophysics.
- Implementing a collaborative outreach program to reach a wider audience from Astronomy and related fields.
- Developing and implementing online finding aids and making the IIA archival collections discoverable through online search.
- Serving faculty, student, alumni, and non-affiliated research interests related to the institution's past.

6. Authority

The Archives of the Indian Institute of Astrophysics is hereby established by the Archives Office and under the immediate authority of the IIA Library. The Archives Office reports to the Chairman of the Archives Committee. The Archives receives input from an Archives Committee, with a rotating cast of members representing a cross-section of the IIA community and external archive experts. Roles and Responsibilities are as follows:

Director	✓ The Director has supreme authority to ensure that the institute and users follow the compliance appropriately with the legislation and guidelines specified in this policy.
Archives Committee	✓ Provide advice on preservation and sustenance of Archives, policy, guidelines, seeking funds for archival activities, and collaboration with other scientific Archives.
Librarian	✓ Prepare and update policy, standards, and guidelines document on a regular basis. ✓ Overall accountability for archives lies with the Librarian, responsible for designing, implementing, and administering effective records management programs within the institute. ✓ Prepare agenda items, meeting presentations, conduct Archives committee meetings, and publish the minutes of the meeting on time. ✓ Manage the archive's operations through proper archives delivery plan.

	✓ Implementing new initiatives that enhance the archive services and usages.
Library Staff	✓ Responsible for ensuring that archive collections are appraised, acquired, and persevered in accordance with the standards outlined in this policy. ✓ Staff members follow authorised procedures in carrying out various archives operations activities related to archives exhibition, storeroom supervision, document production, copying, and enquiry handling based on the supervision of Librarian.
IIA Members/ Other Users	✓ Not only library staff, but users are also responsible for keeping accurate records related to the institute by regular contributions. ✓ Users are to follow procedures and guidelines while handling archival records sensibly and with care to avoid damages. ✓ Users need to quote IIA Archives while referencing in any publications and also must observe security, privacy, and confidentiality requirements at all times.

The Archives will comply with all current archiving regulations and legislation. It will adhere to the principles set out in the [Public Records Act of 1993](#), the [Information Technology Act of 2008](#) in India, other relevant laws in India and global locations, and best practices accepted internationally when storing and keeping personal data. It will be aware of the obligations placed upon it by the [Right to Information Act 2005](#) and other related legislation when storing and keeping its archival records. Also, the Archives shall adhere to the International Council on [Archives Universal Declaration on Archives \(2011\)](#) and the [Principles of Access to Archives \(2012\)](#).

7. Scope

The Archives shall hold institutional records that capture the background and processes that went into its formation as well as the organizational and scientific history of IIA. This is in keeping with two broad goals - to build a repository for institutional history and to be a hub for research and dialogue on the history of astronomy in India. The Archives will seek to acquire institute related records, which has historical interests. Do not destroy any records from IIA offices, departments, and field stations without first informing the Archives of what you would like to dispose of. This policy applies to all field stations located across the state within India. In addition, the Archives will request and seek material charting the geographic trajectories of the individuals that shaped the institution. For instance, the previous research institutions of founder members. All unclassified research and scientific records that are more than thirty years old will be considered as an archival material (Public Records Act, 1993).

- **Subject Areas:** The Archives will seek records that is relevant to IIA and the history of astronomy in India. Where relevant, the Archives will seek material from other subject areas if they show a connection to the history of research in the astrophysics, and relevant to the scientific mission of IIA (for instance, archival papers of a researcher who has no affiliation to IIA but whose work has direct links to the mission of IIA). The archival materials are composed of rare, unique distinctive collections created and accumulated by IIA and its members in the form of manuscripts, rare books, slides, solar charts, photographic collections, etc. ([Appendix 2: List of Records for Preservation at the Archives](#)). Archival record collections are divide into two broad categories that are institutional archive and private collections.
- **Media:** The Archives will accept records in various formats such as manuscript, printed materials, solar charts, slides, instruments, photographs, audio and video records, electronic files, etc.. As far as possible, the Archives shall aim to make digital copies of all records. While the Archives shall adopt a proactive approach to maximize public access, the extent of access to the original and digital copies shall be subject to any restrictions applied by the individual or institution giving the record as a gift or on loan. Where relevant to the collections, sole digital copies of original records will be accepted. The Archives are open to artefacts (for instance, large scientific equipment of historical significance), but only after it determines not just their archival value but also a suitable plan for long-term preservation and access.

8. Acquisition

Archival collections are acquired through systematic record transfer via gifts, donations, and internal transfer from the main campus and field stations of IIA. The terms and conditions are articulated at the point of record collection process through the records transfer form and accessions register ([Appendix 5](#)). All historical material that comes into the Archives from a current or ex-employee should be gifted to the Archives by signing a Deed of Gift ([Appendix 6](#)). Should the said ex-employee be deceased, the material can be gifted to the Archives by the next of kin or designee with a signed Deed of Gift ([Appendix 7](#)) or given to the Archives under a Permanent Loan with applicable restrictions. The Archivist is authorized to sign and accept the material. Oral history interviews done for the institutional archives shall also require a Deed of Gift to be part of the archival records. All records are subject to restrictions mentioned in the Deed of Gift. Where no such transfer of ownership is documented for a record, the Archives Office has final authority on the extent of accessibility for a record.

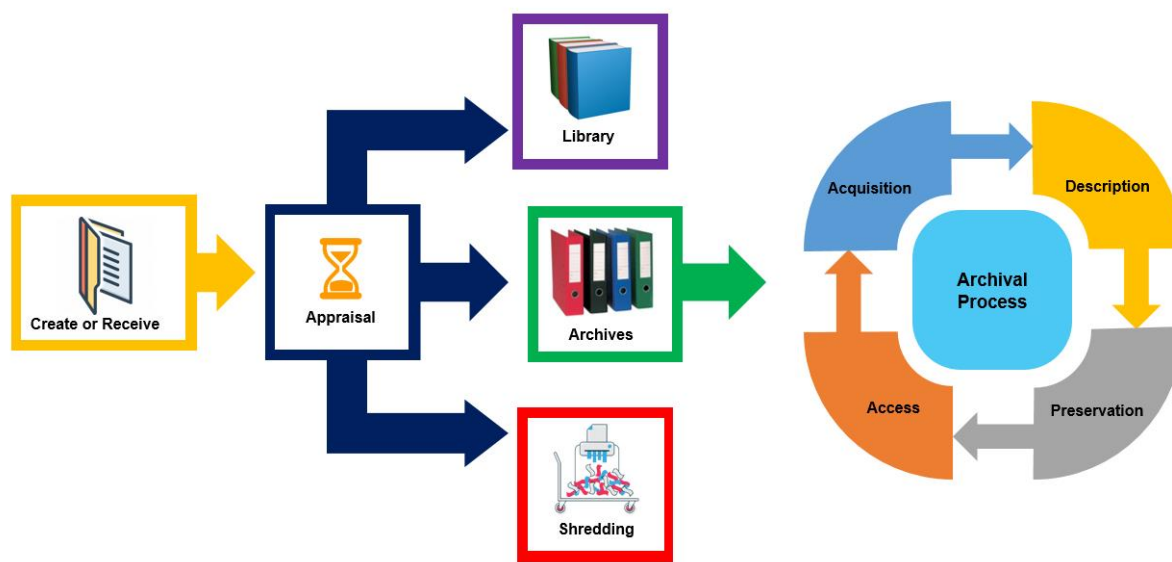


Figure: Archives collections development process

Following is the guidelines to be followed during the acquisition process:

1. IIA follows [Records Retention Schedule \(RRS\)](#) guidelines to identify the retention periods for old office records across the department and field stations. Potential record owners should consult the IIA Archives before destroying any official records. Electronic records such as the contents of a scientist's computer storage device and e-mail correspondences will follow the same archival judgment process as any other record. Electronic records selected for the Archives will be preserved as digital-native archival material.
2. Potential donors should bring or send the archival records along with the list (Records Transfer Form) and should state clearly the physical conditions of the records.
3. The library staff will verify the condition of received archival objects, and store them in a container which intended for the long term storage. Also, they will adhere to the [Records Retention Schedule \(RRS\)](#) and ensure the timely transfer of records to the archives.
4. The library staff will seek clarity about intellectual property rights (copyright, data protection, etc.) of the relevant archival materials from the depositors at the point of accession. Archives reserve the right to reject archival records which has a lack of ownership, rights issues, etc..
5. During the appraisal process, the library staff evaluates the Records Transfer Form and archival objects and determine the archival value of specific objects at or before the point of accession. The archival objects which do not meet the collection development policy and guidelines are not accepted and will be returned to the depositors.

6. Preservation and conservation specialist is not available at Archives. If the records received from the user are in poor condition, a decision to the accession of records will be based on availability of the sufficient funds for conversation. The Archives will verify that records received are in a condition that can be preserved. This can mostly be done by storing them in containers intended for long-term preservation. Sometimes, the records may need to be restored – a badly torn paper record, or a damaged magnetic tape, for instance. In such cases, the Archives will work with external resources to try and restore the record.
7. IIA Archives shall have the authority to transfer the records to suitable repository or field stations if it is considered that the documents would benefit from relocation.

Priority Acquisition targets for 2020-2022

To fulfil the IIA Archives, planning acquire following new archival records categories:

- Archival records which support the strategic aims of IIA
- Archival records which enhance the institutional memory of IIA
- Archival records which strengthen the relationship between the IIA and the world and the nation.

9. Cataloguing

Archives maintain an accessions register for all transfers of institutional archival objects. Cataloguing is the process of creating metadata and description for the records that are transferred to the Archives. The records can be searched later using metadata within catalogues. IIA Archives is committed to developing and maintaining a quality database of archival description, to facilitate the retrieval of records by staff and users of IIA. Archives follow ISAD(G) (General International Standard Archival Description) to define metadata description elements that are used in an archival finding aid. Initially, a description for the archival records will be created in hard copy format data entry sheet will be made available in the Exhibition Room, and later will be captured in an Online Finding Aid system. Library staff is engaged in capturing these archival descriptions in defined data entry sheets based on ISBD(G). Archives have substantial cataloguing and retrospective conversion backlogs, and it will be prioritized based on the collection categories.

10. Storage and Preservation

The Archives takes responsibility for the storage and preservation of all the record collections under its ownership. All records collections are stored in Archives storage & exhibition room in the institute main campus library and field stations library. Currently, Archives exhibition room at the main campus has provided with the controlled environment with regard to monitored temperature and relative humidity for its physical collections. The field stations libraries have limited environmental control and are consequently Kodaikanal has naturally suitable climate in which to store archives. Following storage and prevention measures are designed and implemented at archives to promote the long-term stewardship of the archival records.

- Store all physical archival records in a secured environment
- Monitor the storage locations and environment on a periodic basis
- Store vast majority physical archives items such as manuscript, photos, correspondence, etc. are boxed or otherwise enclosed using appropriate materials and packaging (example: Acid-Free Archives Box)
- Carries out a regular risk assessment process to identify and manage risks to the archival records.
- Ensure that the consultation of archives is as per the practice suggested by the policy
- Undertake the conservation treatment by the trained conservator from the library
- Consult with qualified external archive conservator as and when required for specialist intervention
- Implement and maintain an integrated pest management program within collection storage and exhibition rooms

Digital Preservation: IIA Archives promotes the acquisition of digital and born-digital archival records along with other analogue formats to cover the complete research activities of the institute. Physical records policies related to acquisition, target, accessioning, cataloguing, access restrictions, archival information retrieval, etc. will be applicable as it for both digital and born-digital records. The IIA Library is planning to implement a system for acquiring, storing, preserving, and retrieving digital archival records. As an interim measure, both digital and born-digital archival records will be stored in the external hard disk.

11. Archival Records Access

IIA Archives is open without fee to qualified researchers on the topics related to astronomy and astrophysics, regardless of academic affiliation or geographies. Any archival material can be made accessible for research and educational purposes only after addressing the copyright issues pertaining to the record. All users of IIA Archives have the same rights and must follow the guidelines, rules, and policies. In order to preserve the IIA Archival collections for future use, make them available for current use, and honour the rights of copyright owners the following display and access policy has to be followed.

1. Researchers can request copies of archival records subject to current copyright legislation and provided that the copy reproduction process should not damage the archival materials.
2. No materials may be borrowed. All reproduction work is done through the archives. No attempt is made to provide archival quality prints.
3. Manuscript materials may be used only in the archival reading room. No manuscript can be taken out without the specific permission of the Officer in Charge of the archives.
4. All reproductions made are for personal reference use only and possession of a reproduction does not constitute permission to publish it. To publish a reproduction from the IIA Archives collection, a request for one-time use must be requested by filling up the Archives Request form downloaded, filled duly signed, and submit to the archives@iiap.res.in prior to the use. (If the request for one-time use of Archival material has been submitted, multiple uses of the same cannot be permitted).
5. The IIA Archives reserves the right to refuse to grant permission and/or to provide photographic reproduction services to individuals who have not complied with filling up the copyright form, duly signed.
6. We do not offer our collections for commercial use and alteration, reproduction, and resale.
7. The copyright Act of India (1957, Section 52) makes provision for making of photocopies and other reproductions of copyright materials under certain conditions. As per this, Archives are authorized to furnish a photocopy or other reproduction, provided it is used for private study, scholarship or research.
8. IIA reserves the right to refuse to accept a copying order for photographs/images in its collection if in its judgement, the fulfillment of the order would involve violation of copyright law.
9. As a policy, a reproduction fee may be levied according to the individual request.
10. To schedule a visit, contact the Library, via e-mail or by phone at archives@iiap.res.in / +91-80-2254 1203

Consultation of the archival records must take place in the Archives exhibition room at the main campus. Archives contribute to research and teaching activities within the institute by conducting a regular exhibition of original archive material in the archives exhibition room and the main campus library. Library staff and requester need to adhere to following measures when transferring the archival records between the Archives and other parts of the institute.

- During the transit, the archival records must be protected by a waterproof archive box.
- Librarian and respective field station scientist in charge need to be authorised for all the transactions.
- Archival records in transit must be accompanied by inter loan memorandum (ILM) slip that will help to identify and replace archival materials at the right place.
- Archival records must be transferred by the institute delivery service and identified as “Archival Records”
- Library staff and must unpack and keep in the boxes where it was taken as soon as the materials reach to the place.

12. Disposals and Deaccessioning

Archives reserve the right to conduct periodic retrospective appraisal exercise and remove legacy records collections, which were not subject to current appraisal principles and processes. Library staff is given the authority to do this activity and recommend the list of archival records to be deaccessioned. Deaccessioning decisions should not be influenced by external factors such as budgetary and storage constraints. The Archive Committee has final authority to review and approve the list of archival records recommended for the deaccessioning process. The next steps for the deaccessioned archival records would be any one of these: a) return to the donor or b) transfer to a more appropriate collection facility or c) destroy when it becomes redundant or physically deteriorated.

13. Records Policy for Departing, Retiring and Deceased Employees

Every employee creates records throughout of their work at IIA. These can be in various forms – paper (including letters, scientific journals, books, administrative documents, reports, and lab notes), photographs, audio-visual files, e-mail

correspondence. The physical layout of an office or lab space in itself is an ever-changing record. All of these can be classified as personal, private, or institutional records. If an employee is planning to leave or is no longer part of IIA, the records under the employee should be reviewed in consultation with the employee. This can be triggered by human resources offices to request the employee to contact the Records Officer and Archives Office prior to leaving. If the employee is deceased or cannot be present, the institute shall work with his/her next of kin or designee to sort through the records. All kinds of records – personal, private, or institutional – can be confidential. Hence, the review of an employee's records will be done jointly by the employee and the Archivist or their designees. Active records will be transferred to the custody of another employee or the Institute's records management office. Inactive records will be categorized as personal, private, or institutional. Institutional records of historical significance will automatically be catalogued and moved to the Archives. Personal and private records are the property of the employee or his/her next of kin or designee. If there are any such records of historical significance, IIA can request the employee or his/her next of kin or designee for records to be collected in the Archive through a Deed of Gift.

14. Collaboration

The IIA Archives Office shall coordinate with other national and international intuitions related to Astrophysics to procure digital copies of records that are relevant to IIA and its history. These shall be catalogued in the IIA Archives using a standard classification system consistent with other original records. The metadata can be shared with other institutions or made available for the public to promote the accessibility of the Archives. The record can also be made available through its website, keeping in mind any restrictions applied by the original record owner. Such records could also be held at the IIA Archives on permanent loan and used for any archival exhibition. The same process applies to collaborations with any other institution or individual.

15. Archive Policy Revision Record

This document, "Archives Collections Management Policy – Version 1.0", is in effect from 01, September, 2020. The Archives Policy is subject to revision and the revision record is available for viewing along with the policy. In the first five years, the policy shall be reviewed at least once a year. Thereafter, the policy shall be reviewed every five years.

16. Amendment History

Version	Date	Author	Approved by	Nature of the changes
1	07/09/2018	Librarian	Director	Initial Release

17. Appendices

- ✓ [Appendix 1: Sample Announcement of Archives to IIA Members](#)
- ✓ [Appendix 2: List of Records for Preservation at the Archives](#)
- ✓ [Appendix 3: Archives Request Form](#)
- ✓ [Appendix 4: Archives Policy Letters to Users](#)
- ✓ [Appendix 5: Records Transfer Form](#)
- ✓ [Appendix 6: Deed of Gift Form](#)
- ✓ [Appendix 7: Deed of Gift Form for Oral History Interviews](#)
- ✓ [Appendix 8: Transfer of Rights Form](#)
- ✓ [Appendix 9: Loan Agreement](#)

18. References

1. Universal Declaration on Archives, 2011 - <https://www.ica.org/en/universal-declaration-archives>
2. Code of Ethics, 1996 - <https://www.ica.org/en/ica-code-ethics>
3. Principles of Access to Archives, 2012 - <https://www.ica.org/en/principles-access-archives>
4. Records Retention Schedule (RRS) from National Archives of India - <http://nationalarchives.nic.in/content/records-retention-schedule-rrs>
5. Information Technology Act of 2008 - [http://nagapol.gov.in/PDF/IT%20Act%20\(Amendments\)2008.pdf](http://nagapol.gov.in/PDF/IT%20Act%20(Amendments)2008.pdf)
6. The Public Records Act of 1993 - <http://nationalarchives.nic.in/sites/default/files/public.pdf>
7. Right to Information Act 2005 - <https://rti.gov.in/rti-act.pdf>
8. Archives Universal Declaration on Archives (2011) - <https://www.ica.org/en/universal-declaration-archives>
9. Principles of Access to Archives (2012) - <https://www.ica.org/en/principles-access-archives>
10. Record retention schedule in respect of records common to all ministries/ departments https://darp.gov.in/sites/default/files/RRS_WC.pdf
11. PD 5454:2012 Guide for the storage and exhibition of archival materials - <https://www.thenbs.com/PublicationIndex/documents/details?Pub=BSI&DocID=300479>
12. BS 4971:2017 Conservation and care of archive and library collections - <https://www.thenbs.com/PublicationIndex/documents/details?Pub=BSI&DocID=319706>