Historic Environment Records (HER)

Audit Programme

HER Audit Specification based on HER Service Areas, Outcomes and Indicators

Version 2.7

March 2023

Introduction

This Specification has been developed through a process of consultation and co-creation with ALGAO UK HER Committee and key stakeholders. It replaces April 2017 and earlier versions of the audit specification and a previous audit system underpinned by the now outdated 2002 Benchmarks for Good Practice. The HER Audit Specification sets out the criteria by which the HER undertakes self-assessment against nationally-agreed requirements for HERs as directed by *Historic Environment Records in England: Guidance* (2019) with regard to content and coverage, data standards and security, access and engagement, and infrastructure (service delivery).

The aim of the audit is to provide HER host organisations, relevant authorities and Historic England with an accurate picture of the HER's service and its data-holdings. The strengths and weaknesses revealed by this exercise will enable the HER to identify forward actions and guide it through the process of continuous improvement.

HER Service Outcomes and Indicators

The new Specification takes its criteria from the requirements for English HERs as set out in *A Guide to Historic Environment Records (HERs) in England* (2019) with regard to the areas of Content and Coverage, Data Standards and Security, Access and Engagement, and Infrastructure (Service Delivery). The audit aims to encourage, support and document development of the HER in line with this guidance and the Principles of the Heritage Information Access Strategy (HIAS).[1] To assist this process, HER requirements from the *Guidance* have been translated into HER Service Areas and HER Service Outcomes to form the new HER Audit Specification. Where a HER holds a locally-derived Outcomes Framework, a link may be made across to the HER audit (and to the HER's action plan) via the Service Outcomes.

There are four main HER Service Areas with related HER Service Outcomes. Each HER Service Outcome is divided into a number of more detailed Outcomes.
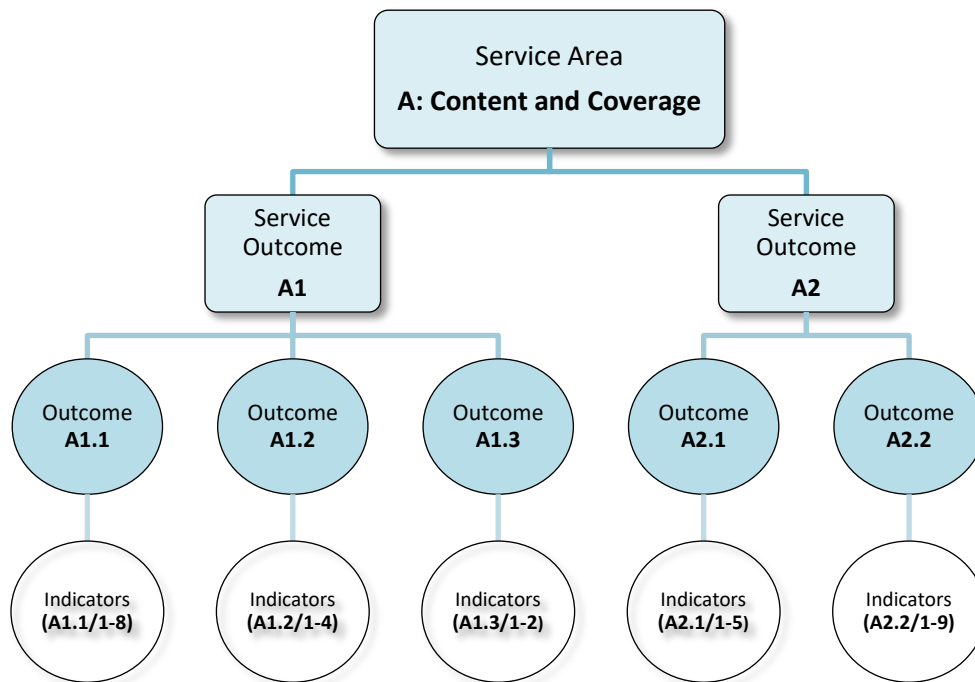
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[1] Heritage Information Access Strategy (HIAS) is an initiative designed to simplify and improve public access to heritage data held or generated by Historic England, by Local Authority HERs and by other bodies. It aims to create a single digital shared national heritage record. HIAS Principle 1 states that Local Authority HERs should be the first point of contact and primary trusted source of investigative research data and knowledge. A full list of HIAS Principles is available on the Historic England website.

HER Service Areas			
A Content & Coverage	B Data Standards & Security	C Access & Engagement	D Infrastructure (Service Delivery)
HER Service Outcomes			
A1 The HER is maintained as a dynamic and constantly evolving resource.	B1 The HER complies with relevant UK national data standards and legislation.	C1 The HER readily makes its information available to all.	D1 The HER is actively managed enabling it to deliver an effective service.
A2 The HER contains and signposts information on the full range of heritage assets of a defined geographical area within the local planning authorities it serves.	B2 The HER is safeguarded by adequate data back-up and security procedures.	C2 The HER actively works to engage audiences.	D2 The HER is appropriately resourced.
HIAS Principles 1 and 4	HIAS Principles 3, 6 and 7	HIAS Principles 4 and 5	HIAS Principles 1, 6 and 7

Table 1: Relationship between HER Service Areas, HER Service Outcomes and HIAS Principles

The diagram below shows the relationship between the various components of the audit, using Service Area A: Content and Coverage as an example.

The HER undertakes self-assessment by providing supporting evidence (referred to as an Indicator) to demonstrate how its efforts match the procedures and principles of good practice that underpin the achievement of the Service Outcomes. Within the range specified under each Outcome, it is hoped that the HER will already be able to offer supporting evidence as defined by one or two Indicators and will work to meet others as appropriate within its next action-plan period.

Progress against each Outcome is assessed by considering the number and range of Indicators met, combined with the work required by the HER to meet outstanding Indicators.

Descriptions follow for individual HER Service Outcomes and their Indicators. It should be noted that a single Indicator can provide the supporting evidence for more than one HER Service Outcome.

The Specification

AREA A: CONTENT AND COVERAGE

HER Service Outcome A1: The HER is maintained as a dynamic and constantly evolving resource.

There are three Outcomes for Service Outcome A1 (A1.1, A1.2 and A1.3). Each Outcome with its definition and supporting Indicators is set out below. The HER is required to provide evidence for each of these Indicators throughout the Audit process.

Outcome A1.1: HER data is regularly updated, actively managed and is fit for purpose.

Definitions

The HER is regularly updated: *mechanisms exist through which the HER is continually updated and enhanced. This may be as a reactive process (for example involving the on-going processing of grey literature) or as part of a structured programme of enhancement (for example, thematic or geographic recording projects).*

The HER is actively managed: *there should be evidence for current and continuing updating and enhancement of the service's procedural infrastructure (for example its Backlog list and Forward Plan) and a demonstrable development and growth of the record itself.*

The HER is fit for purpose: *the HER's content and accessibility allows the service to fulfil the requirements of its users.*

There are 8 Indicators for whether the HER is updated, actively managed and fit for purpose.

- Prioritised list of backlog items **(A1.1/1)**
- Forward Plan **(A1.1/2)**
- List of Future Enhancements **(A1.1/3)**
- Dynamic Content **(A1.1/4)**
- Significant Enhancement Projects **(A1.1/5)**
- Mission Statement **(A1.1/6)**
- Information Services Policy **(A1.1/7)**
- Record Quality **(A1.1/8)**

A1.1 HER data is regularly updated, actively managed and is fit for purpose

	INDICATORS
A1.1/1	**Prioritised list of backlog items**
	This list should include the content of the backlog and an estimation of the time required to clear it. This constitutes supporting evidence of the following: • That the HER has identified the scope of its backlog in accordance with agreed parameters. • That the HER has prioritised its backlog in such a way as to allow the processing of its content to be integrated into its work plan. In future audits the list will provide evidence of progress in the processing of backlog items and the integration of the information derived from them into the HER's database.
A1.1/2	**Forward Plan**
	The HER should have a Forward Plan detailing the tasks required to update and enhance the content of the record. This constitutes supporting evidence of the following: • Commitment of the part of the HER to undertake this work. • That the work has been placed within a structured and prioritised programme to facilitate it being undertaken.
A1.1/3	**List of Future Enhancements**
	The HER should have a written list of enhancements (geographic, thematic or otherwise) identified as being in need of enhancement. Whilst this will potentially, at some future stage, result in an expansion of the HER backlog, the list will not be confined to themes/areas evidenced by the backlog content and may include new topics identified by previous or current audits and research (for example through Research Frameworks). The themes/areas listed may require additional research before they can be progressed through the HER enhancement process and translated into backlog items and forward planning tasks. This constitutes supporting evidence of the following: • That the HER is responsive to user needs and requirements. • That the HER is actively responding to a regional research framework. • The HER has identified potential for the growth of the record
A1.1/4	**Dynamic Content**
	The total number of monument, event and source records within the system. This constitutes supporting evidence of the following: • The HER record is dynamic (i.e. not static, improvement of existing records may result in rationalisation and removal of duplicate records).

A1.5/5	**Significant Enhancement Projects**
	This will comprise a list of enhancement projects from which the HER has incorporated data over the previous 5 years (or since the last audit). Examples might include OASIS, Portable Antiquities Scheme (PAS), National Mapping Programme (NMP), Rapid Coastal Zone Assessments (RCZA) and war memorials. This constitutes supporting evidence for the following: • Continuing enhancement of the record. • That the record continues to be fit for purpose.
A1.1/6	**Mission Statement**
	The HER has a Mission Statement providing a brief outline of its functions within the corporate structure of its host organisation. This constitutes supporting evidence of the following: • That the HER is able to identify its scope and to structure its content accordingly (thus allowing it to be fit for purpose).
A1.1/7	**Information Services Policy**
	The HER has an Information Services Policy (ISP) which lays out: the purposes for which the HER is maintained; the professional and public user groups that the HER aims to serve and the HER's policies regarding consulting its users and confirming their needs. (The ISP will reflect the aims laid out in the HER's Mission Statement). This constitutes supporting evidence of the following: • That the HER has taken steps to identify its audience and their needs. • That the HER's goal of being fit for purpose is set within an adequate organisational framework.
A1.1/8	**Record Quality**
	The HER has made an assessment of the quality of its record content and adequate detail is made available through the Recording Manual to ensure consistency of record quality and content. This constitutes supporting evidence of the following: • That the HER has taken steps to identify areas for enhancement • That the HER is responsive to user needs and requirements. • The HER is meeting its goal of being fit for purpose • In case of quality issues, a remedial programme is in place

Outcome A1.2: The HER has a supporting reference collection that is appropriately indexed, managed and made accessible.

Definitions	There are 4 Indicators for whether the HER has a supporting reference collection that is appropriate indexed, managed and made accessible.
The HER has a supporting Reference Collection: *a reference collection may include digital or paper material and can incorporate (but is not restricted to) aerial photographs, copies of early maps and antiquarian reports, characterisation studies, unpublished 'grey' literature and a reference library of secondary sources. This is material extra-mural to the database and to which the HER Officer makes regular reference.* **Appropriately indexed:** *the collection should be accompanied by an index of the entire collection. This index should specify the archive type, condition, ownership and location of each component collection and an assessment of its value to the HER.* **Appropriately managed:** *this would entail the collection being managed in such a way as to allow its continued use in supporting the HER; to permit adequate access to the collection for HER staff (and through them to the general public); and to ensure that its contents are kept secure and in a stable or improving physical condition.* **Accessible:** *see 'Appropriately managed' above.*	

INDICATORS	
A1.2/1	**Index of Reference Collection**
	The Reference Collection should be accompanied by an index. This index should specify the archive type, condition, ownership and location of each item and an assessment of its value to the HER. This constitutes supporting evidence of the following: • That the extent and whereabouts of all elements of the collection are known. • That the collection is structured, stored and managed in such a way as to facilitate its current and continued use by the HER.
A1.2/2	**Disposals Policy**
	The HER should have a disposals policy outlining priorities for retention and disposal or deposition with an accredited repository for long-term storage. Where it is known that elements of a reference collection are being held for a finite period only, details as to the time-scale should be specified in the policy. This constitutes supporting evidence of the following: • That the collection is being managed in such a way as to facilitate its current and continued use.
A1.2/3	**Appropriate storage conditions for both physical and digital material**
	Conditions of storage for the digital and physical collections making up the HER's reference collection should balance considerations of security with those of accessibility. Conditions of storage for the physical and digital archive should also be conducive to long term preservation; assessments of risks for the collection should be made. Advice on the storage of the physical and digital collection should be sought from appropriately qualified individuals (for example museum or record office conservators). This constitutes supporting evidence of the following: • That the reference collection is being managed in such a way as to facilitate its current and continued use by the HER, and to ensure its long-term preservation.
A1.2/4	**Forward Plan**
	Aspects of the Forward Plan should cover the cataloguing, enhancement and/or digitisation of the Reference Collection. This constitutes supporting evidence of: • The intention to index the collection contents or improve the index • That the collection is being appropriately managed. • If digitisation is involved, that the accessibility of the collection is being improved or maintained.

Outcome A1.3: The HER includes heritage asset (monument) and event records, linked to source information, that are displayed in a GIS.

Definitions	There are 2 Indicators for whether the HER includes heritage asset (monument) and event records, linked to source information, that are displayed in a GIS.
Heritage assets (monuments), events and sources should be recorded separately within the HER database with equal status being given to each: Source records should be recorded in their own right (as separate records) which can be linked to heritage asset (monument) and event records. *A list of site categories is provided by Historic Environment Records in England: Guidance (2016) p4.* *The locations and extent of heritage asset (monument) and event records should be capable of being displayed on a geographic information system (GIS):* "Geographic Information Systems are conventionally defined as systems that capture, store, manipulate and output geographical information" (Informing the Future of the Past v.2).	

INDICATORS	
A1.3/1	**Heritage assets (monuments), events and sources should be recorded separately within the HER database with equal status being given to each category.**
	Most commercially available and open source HER database software (e.g. HBSMR, HEROS, ARCHES) is structured so that Heritage assets (monuments), events and sources are recorded separately with equal status. Those HERs using bespoke databases will need to provide a sample of their dataset in order to show how it is structured. This constitutes supporting evidence of: • The HER having recorded heritage assets (monuments), events and sources separately and with equal status.

A1.3/2	**HER linked to a GIS capable of interrogating the database.**
	Site and event records should be capable of being displayed on a geographic information system (GIS). This constitutes supporting evidence of: • The HER having recorded heritage assets (monuments), events and • The HER being suitably linked to a GIS with the capability of interrogating and displaying data.

HER Service Outcome A2: The HER contains and signposts information on the full range of heritage assets of a defined geographical area within the local planning authorities it serves.

There are two Outcomes for Service Outcome A2 (A2.1 and A2.2). Each Outcome with its definition and supporting Indicators is set out below. The HER is required to provide evidence for each of these Indicators throughout the Audit process.
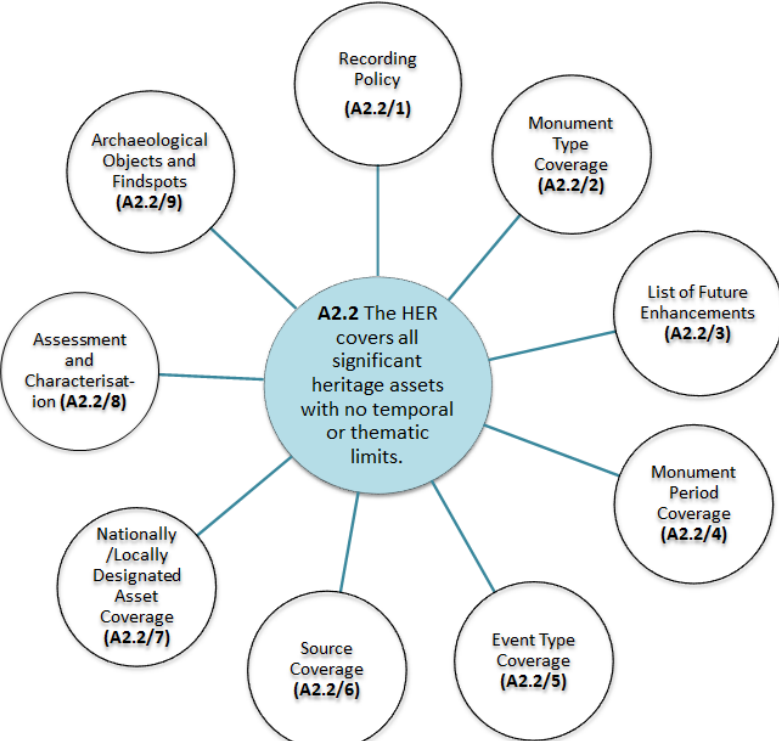
Outcome A2.1: The HER covers a defined geographical area

Definitions

The HER should have a specific geographical remit: *The service should have specified responsibilities for actively collecting, storing and making accessible historic environment data within this defined area. This will, in the majority of cases, correspond to the area(s) covered by the local planning authority (or authorities) that the HER serves. This geographical remit should be set out within the HER's Recording Policy.*

The HER may, however, extend beyond this area to accommodate information necessary to underpin broader, management duties (for example to cover buffer zones with neighbouring HERs or maritime areas). In such circumstances the HER will not be the primary source for this information.

There are 5 Indicators for whether the HER covers a defined geographical area.

A2.1 The HER covers a define geographical area
- Recording Policy (A2.1/1)
- Service Level Agreement (A2.1/2)
- Clear, defined relationships with organisations sharing geographical area (A2.2/3)
- Clearly defined relationships with adjacent HERs (A2.1/4)
- Marine Responsibilities (A2.1.5)

INDICATORS	
A2.1/1	**Recording Policy**
	The Recording Policy of the HER should give details of the geographical remit of the service. There should also be details of arrangements for exchanging and sharing data with neighbouring records. Information within the policy should also detail other organisations or departments maintaining information about aspects of the historic environment that complement the information recorded within the HER (for example Urban Archaeological Database, the National Trust and the Church Heritage Record). This constitutes supporting evidence of: • The extent of the HER's geographical coverage.
A2.1/2	**Service Level Agreements**
	The HER, or the broader Historic Environment Service, may have Service Level Agreements or equivalent (such as a Section 101 agreement) with the groups it serves (for example where the HER is held by a county authority or an external body serving constituent districts or boroughs). The agreements will provide details of the geographical area covered by these arrangements. This constitutes supporting evidence of: • The extent of the HER's geographical coverage.
A2.1/3	**Able to demonstrate clearly defined relationships with relevant organisations and datasets sharing geographic area**
	Relationships of this type might include protocols or data sharing agreements established between HERs and local planning authorities and National Parks, the National Trust, MoD, Church of England, Natural England (e.g. SHINE, Heritage Coast), Forestry England or arrangements with Historic England. This constitutes supporting evidence of: • The extent of the HER's geographical coverage. • Signposting of other datasets to users
A2.1/4	**Able to demonstrate clearly defined relationships with adjacent HERs**
	The HER is able to demonstrate a clearly defined understanding with adjacent HERs in terms of sharing data along its geographical boundaries, possibly including formal protocols regarding whether exchanged data for prescribed areas can be searched and shared. This constitutes supporting evidence of: • The extent of the HER's geographical coverage. • Signposting of other datasets to users

A2.1/5	**Marine**
	Where appropriate the HER is able to demonstrate the geographical area it covers in relation to marine recording. The HER should be clear if it has marine responsibilities and the limits of that responsibility. This includes indicating whether the inter-tidal zone is included in its coverage. This constitutes supporting evidence of: • The extent of the HER's geographical coverage.

Outcome A2.2: The HER covers all significant heritage assets with no temporal or thematic limits

Definitions	There are 9 Indicators for whether the HER covers all significant heritage assets with no temporal or thematic limits.
The HER will cover all Heritage Assets with no temporal limits: *(as specified in the Historic Environment Records in England: Guidance p4) and will store or link to data regarding a wide range of assets including (but not restricted to) those listed in the HER Guidance.* **Coverage should aim to be inclusive of subject and period for all aspects of the historic environment:** *HIAS (Principle 1) specifies that the HER should be the primary source of 'investigative research data and knowledge'.*	

INDICATORS	
A2.2/1	**Recording Policy**
	The Recording Policy should specify the periods and categories covered by the HER. This constitutes supporting evidence of: • The HER having comprehensive coverage inclusive of subject and period.
A2.2/2	**Monument Type Coverage**
	Comprehensive assessment of monument Broad Classes and associated types covered within the HER database. The resulting information should be used to inform the HER's Forward Plan and List of Future Enhancements. This constitutes supporting evidence of: • The HER having comprehensive coverage. • The HER's continued assessment and enhancement of its holdings.
A2.2/3	**List of Future Enhancements**
	The HER has a written list of the areas within its data content which have been identified as being in need of expanding and enhancing. This constitutes supporting evidence of: • The HER's continued assessment and enhancement of its holdings.
A2.2/4	**Monument Period Coverage**
	Comprehensive assessment of the monument periods covered within the HER database. The resulting information should be used to inform the HER's Forward Plan and List of Future Enhancements. This constitutes supporting evidence of: • The HER having comprehensive coverage. • The HER's continued assessment and enhancement of its holdings.
A2.2/5	**Event Coverage**
	Comprehensive assessment of the event records covered within the HER database. The resulting information should be used to inform the HER's Action Plan and List of Future Enhancements. This constitutes supporting evidence of: • The HER having comprehensive coverage.

	• The HER's continued assessment and enhancement of its holdings.
A2.2/6	**Source Coverage**
	An assessment of sources covered within HER database. The resulting information should be used to inform the HER's Forward Plan and Backlog and Enhancement Lists. This constitutes supporting evidence of: • The HER having comprehensive coverage.
A2.2/7	**Nationally Designated/Locally Designated Asset Coverage**
	An assessment of nationally and locally designated heritage assets recorded within the database. Resulting information should be used to inform the HER's Forward Plan and List of Enhancements. This constitutes supporting evidence of: • The HER having comprehensive coverage.
A2.2/8	**Assessment and Characterisation**
	An HER will typically include or link to area assessment and characterisation data such as Historic Landscape Characterisation, Extensive Urban Surveys and Farmstead Characterisation. This constitutes supporting evidence of: • The HER having comprehensive coverage.
A2.2/9	**Archaeological Objects and Find Spots**
	The HER should have in place conventions and mechanisms to satisfactorily make available or signpost data relating to archaeological objects and find-spots. These might include: participation in the Portable Antiquities Scheme (PAS) or signposting museum collections and thematic enhancement projects involving periods primarily evidenced by archaeological objects (e.g. the early prehistoric). This constitutes supporting evidence of: • The HER having comprehensive coverage. • That the HER operates without temporal limits. • Comprehensive thematic coverage

AREA B: DATA STANDARDS AND SECURITY

HER Service Outcome B1: The HER complies with relevant UK national data standards and legislation

There are three Outcomes for Service Outcome B1 (B1.1, B1.2 and B1.3). Each Outcome with its definition and supporting Indicators is set out below. The HER is required to provide evidence for each of these Indicators throughout the Audit process.

Outcome B1.1: The HER complies with UK national heritage data standards as recommended by the Forum on Information Standards in Heritage (FISH).

Definitions

The HER complies with the UK national heritage data standards as recommended by FISH: *These would include use of FISH vocabularies and compliance with MIDAS data standard.*

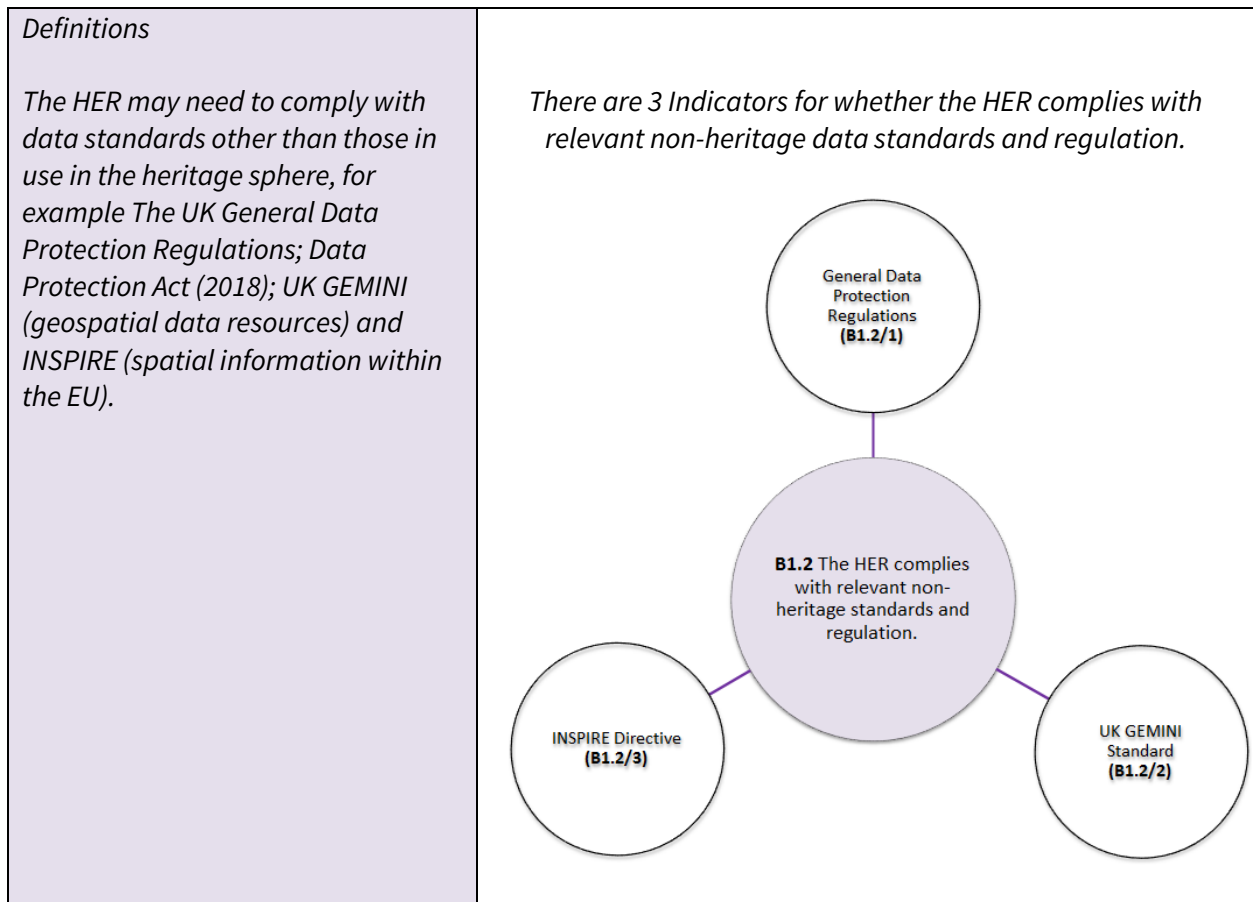*https://historicengland.org.uk/images-books/publications/midas-heritage/*

There are 4 Indicators for whether the HER complies with UK national heritage data standards as recommended by the Forum on Information Standards in Heritage (FISH).

INDICATORS	
B1.1/1	**Use of FISH approved vocabularies and thesauri**
	The HER will be expected to use approved vocabulary lists and thesauri. The current lists approved by FISH can be found at: http://www.heritage-standards.org.uk/fish-vocabularies/ This constitutes supporting evidence of the following: • HER compliance with UK national heritage data standards as recommend by FISH. • The HER promotes and undertakes Best Practice
B1.1/2	**HER Recording Manual**
	The HER's Recording Manual should contain guidance on recording practices which are consistent with the vocabularies and standards (e.g. MIDAS) as recommended by FISH. This constitutes supporting evidence of the following: • HER compliance with UK national heritage data standards as recommend by FISH • The HER promotes and undertakes best practice
B1.1/3	**Membership of the FISH e-mail group**
	FISH regularly reviews its recommendations and updates are provided through the e-mail list. Membership of the e-mail group ensures that the HER keeps up to date with these recommendations and demonstrates an awareness of new developments. This constitutes supporting evidence of the following: • A proactive approach to maintaining FISH compliance.
B1.1/4	**MIDAS Compliance**
	Appropriate use of the MIDAS framework in the creation of HERs provides a common format for information sharing, and will enhance retrieval and promote consistency. This constitutes supporting evidence of the following: • HER compliance with UK national heritage data standards as recommended by FISH. • The HER promotes and undertakes best practice

Outcome B1.2: The HER complies with relevant non-heritage data standards and regulation.

Definitions	
The HER may need to comply with data standards other than those in use in the heritage sphere, for example The UK General Data Protection Regulations; Data Protection Act (2018); UK GEMINI (geospatial data resources) and INSPIRE (spatial information within the EU).	*There are 3 Indicators for whether the HER complies with relevant non-heritage data standards and regulation.*

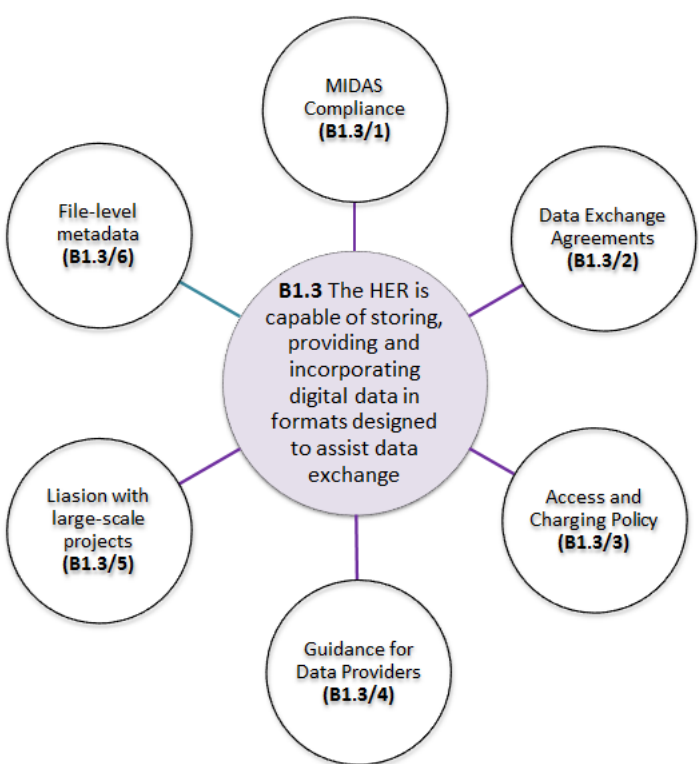| INDICATORS	
B1.2/1	**Compliance with the UK General Data Protection Regulations and Data Protection Act (2018)**
	The regulations control how personal and sensitive information is used by organisations, businesses or the government. Everyone responsible for processing or managing (controlling) data has to follow strict rules called 'data protection principles'. They must make sure the information is: • used fairly, lawfully and transparently • used for specified, explicit and legitimate purposes • adequate, relevant and limited to what is necessary • accurate and up to date • kept for no longer than is necessary • handled according to data subject rights and organisation's data protection and information security policies

	• kept safe and secure and protected against unauthorised processing All relevant HER documentation such as policies, user forms and correspondence should include clear statements informing the user(s) of how their information may be collected, used, processed, shared, stored or retained (Privacy notices) and seek consent where necessary. This constitutes supporting evidence of the following: • HER compliance with relevant non-heritage standards and regulations • That the HER's content (both digital and hard copy) has been checked for compliance with the UK General Data Protection Regulations and Data Protection Act (2018) • That the HER employs efficient records management practices underpinning the delivery of authoritative information
B1.2/ 2	**Compliance with UK GEMINI Standard (version 2.3), 2018**
	UK GEMINI (Geo-spatial Interoperability Initiative) is a specification for a set of metadata elements for describing geospatial data resources. It has been produced and maintained by the Association for Geographical Information. The UK Government has adopted GEMINI as its discovery metadata standard and requires organisations to provide metadata that conforms to the GEMINI standard. https://www.agi.org.uk/agi-groups/standards-committee/uk-gemini/40-gemini/1037-uk-gemini-standard-and-inspire-implementing-rules This constitutes supporting evidence of the following: • HER compliance with relevant non-heritage standards and regulation
B1.2/ 3	**Compliance with INSPIRE**
	INSPIRE: European Directive 2007/2/EC (INSPIRE) establishes an infrastructure for spatial information in the EU and was transposed into UK law in December 2009. Its aim is to facilitate better environmental policy across the EU. Member states must make available in a consistent format spatial datasets. The Directive's annexes set out the 34 environmental themes which come within its scope. https://guidance.data.gov.uk/publish_and_manage_data/harvest_or_add_data/inspire/ Note - Whilst held to fall within the remit of the INSPIRE Directive, current thinking suggests that HERs will conform to it through the medium of the GIS frameworks of the host organisations (within which they are integrated).

	Also, version 2.3 of the UK GEMINI Standard serves as a means of implementing ISO 19115 and, through this, to realising compliance with the INSPIRE Directive. This constitutes supporting evidence the following: • HER compliance with relevant non-heritage standards and regulation

Outcome B1.3: The HER is capable of storing, providing and incorporating digital data in formats designed to assist data exchange between comparable information systems.

Definitions	
The HER should be able to demonstrate its ability to store, provide and add data in standardised formats that can be either readily exchanged or converted in order to facilitate the process of data exchange. *Provision of accompanying metadata ensures that users of the information are fully informed regarding issues such as purpose, limitations, method of creation, origin, source, context, consistency and currency of the data*	*There are 6 Indicators for whether the HER is capable of storing, providing and incorporating digital data in formats designed to assist data exchange.*

INDICATORS	
B1.3 /1	**MIDAS compliance**
	MIDAS compliance enables the HER to exchange data more easily with comparable databases. It will also provide a consistent framework within which cross searching can be undertaken and facilitates interoperability between records. This constitutes supporting evidence of the following: • The HER employs formats capable of supporting data exchange between comparable systems.

B1.3 /2	**Data Exchange Agreements**
	Agreements of this type should provide details regarding how the HER receives data and provides it to others. This constitutes supporting evidence of the following: • That the HER employs formats capable of supporting data exchange between the HER and other systems.
B1.3 /3	**Access and Charging Policy**
	The HER's Access and Charging Policy should set out the formats in which it can export data in order to appropriately inform users. This constitutes supporting evidence of the following: • That the HER employs formats capable of supporting data exchange between the HER and other systems.
B1.3 /4	**Guidance available to data providers**
	Those providing material to the HER should be issued with clear guidelines as to the formats in which data can be acceptably submitted. This constitutes supporting evidence of the following: • Procedures exist to ensure that data is provided in a format which the HER can utilise. • Promotes best practice for the creation and submission of data
B1.3 /5	**Liaison with large scale projects**
	The HER is able to provide evidence of data exchange undertaken with large scale projects. Their characterising feature is commonly that of geographic extent and they often involve their undertaking data exchange with more than one HER. Initiatives operating at this scale during recent years might include: The Historic England National Mapping Project (NMP): https://historicengland.org.uk/research/methods/airborne-remote-sensing/aerial-investigation/ The High Speed 2 (HS2) Rail Link: https://www.hs2.org.uk/building-hs2/archaeology/ And the English Landscapes (EngLaid) Project: https://englaid.wordpress.com/about/

	Other projects can also be seen as falling into this category judged simply on their scale relative to the HER's ability to respond to searches and process incoming material from the project. At this level (for the purposes of this indicator) the evaluating criterion for what constitutes 'large' will usually be based on the number of records being requested and/or the number of new or enhanced records resulting from the data received. (Typically these will be significantly above the numbers which would result from an 'every day' development or research project and will have involved preliminary discussions between the HER and the contractor or investigating agency): https://www.algao.org.uk/sites/default/files/documents/HER_Services_and_Research_projects_in_England.pdf This constitutes supporting evidence of the following: • Tested procedures and mechanisms exist indicating that the HER is able to participate in large scale data exchange.
B1.3 /6	**File-level metadata**
	The HER records file-level metadata for its datasets for all data formats. This constitutes supporting evidence of the following: • Descriptive metadata is available to accompany datasets which are frequently exchanged or provided to users. • The purpose and limitations of the HER datasets are detailed to ensure the data is used appropriately. • Users of the data are clear about the method of creation, origin, source, context, consistency and currency of the data. Advice on the creation of metadata can be found at: https://archaeologydataservice.ac.uk/help-guidance/instructions-for-depositors/files-and-metadata/; https://ukdataservice.ac.uk/learning-hub/research-data-management/ and https://www.agi.org.uk/uk-gemini/

> **HER Service Outcome B2:** The HER is safeguarded by adequate data back-up and security procedures.

There are three Outcomes for Service Outcome B1 (B2.1, B2.2 and B2.3). Each Outcome with its definition and supporting Indicators is set out below. The HER is required to provide evidence for each of these Indicators throughout the Audit process.

Outcome B2.1: The HER is regularly backed-up; back-ups are stored securely and are retrievable.
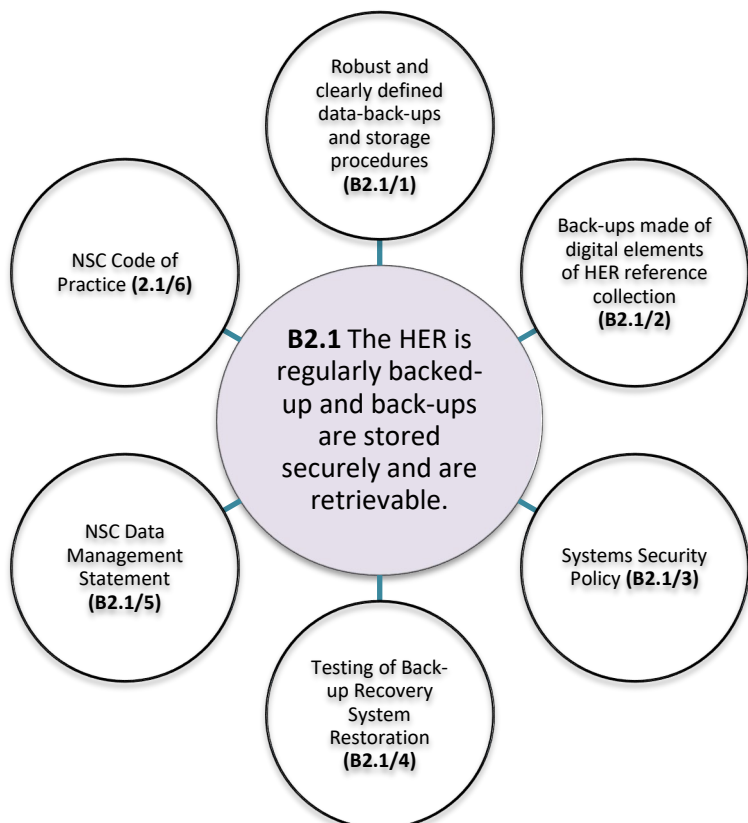
Definitions	
Data back-ups: Copies of the HER digital database(s) and GIS layers should be made often and regularly (once a day is good practice). The copies should be stored securely to protect against data loss, either through accident, technical malfunction or malicious intent. HERs hosted by local authorities will usually have this process carried out as part of the host organisation's back-up routine. This commonly involves daily back-ups combined with set procedures for restoring files which have been lost or corrupted. Stand-alone HERs will need their own back-up procedures (IFP B.10.2).	*There are 6 Indicators for whether the HER is regularly backed-up and back-ups are stored securely.*
Data Storage: Copies of the HER's digital database(s) and GIS layers made as part of back-ups (see above) should be put into secure storage to protect their contents from corruption or loss of data. An additional level of security frequently employed is to ensure that one or more copies are stored offsite. (IFP B.10.2)	
All procedures should be adequately documented to enable data retrieval and restoration should such an event be necessary.	

Diagram indicators: Robust and clearly defined data-back-ups and storage procedures **(B2.1/1)**; Back-ups made of digital elements of HER reference collection **(B2.1/2)**; Systems Security Policy **(B2.1/3)**; Testing of Back-up Recovery System Restoration **(B2.1/4)**; NSC Data Management Statement **(B2.1/5)**; NSC Code of Practice **(2.1/6)**. Centre: **B2.1** The HER is regularly backed-up and back-ups are stored securely and are retrievable.

INDICATORS	
B2.1/1	**Robust and clearly defined data back-ups and storage procedures (covering all digital components of the HER)**
	The HER should have, and consistently implement, a prescribed cycle through which its database(s) and GIS layers is/are regularly copied and the copies safely stored to safeguard against data loss or corruption. Where the HER database is a stand-alone system the process will be managed and monitored by the HER officer (or a designated member of staff) according to timetables/procedures laid out in a Systems Security Policy, Data Management Statement or other documentation (see below). Where the HER is held by a local authority or a similar host organisation, the process will usually be carried out according to the host's back-up routine. In such cases the HER Officer (or equivalent) should have a clear understanding of the process and its implications for the HER database(s). This constitutes supporting evidence of the following • That mechanisms are in place to secure the digital component of the HER dataset against loss and/or corruption.
B2.1/2	**Back-ups made of digital elements of the HER reference collection**
	This relates to digital material held as part of the HER's reference collection (examples would include DVDs, CDs and floppy discs). This constitutes supporting evidence of the following: • That mechanisms are in place to secure the digital component of the HER dataset against loss and/or corruption.
B2.1/3	**Systems Security Policy**
	The HER should have a Systems Security Policy or equivalent documentation. The policy may exist as an independent document or may form a component of the HER's Disaster Plan. Where the HER is held by a local authority (or similar host organisation) the service may be covered by the host's corporate policy. This constitutes supporting evidence of the following: • That measures are in place to safeguard the digital component of the HER's dataset against unauthorised access; malicious damage; data corruption and loss.
B2.1/4	**Testing of Back-up Recovery and System Restoration**
	The HER should be able to demonstrate that its data and system can be successfully restored from back-up. Back-ups should be examined regularly to ensure that there has been no loss of data or corruption. Test recovery exercises should be undertaken periodically to confirm adequacy of restoration procedures and suitability of back-up format. Procedures for recovery and

	restoration should be documented as part of the Systems Security Policy and National Security Copy Data Management Statement. This constitutes supporting evidence of the following: • That measures are in place to successfully restore and recover the digital components of the HER's dataset and systems following system failure; unauthorised access; malicious damage; data corruption and loss.
B2.1/5	**National Security Copy Data Management Statement (DMS)**
	The HER has a Data Management Statement relating to the National Security Copy (NSC) objective of the Heritage Information Access Strategy. https://historicengland.org.uk/content/docs/her/data-management-statement/ This constitutes supporting evidence of the following: • That the HER's data security and back-up procedures are adequately documented and accessible should the need to invoke the protocol arise.
B2.1/6	**National Security Copy Code of Practice**
	The HER has a signed Code of Practice relating to the National Security Copy (NSC) objective of the Heritage Information Access Strategy. https://historicengland.org.uk/content/docs/her/national-security-copy-code-practice/ This constitutes supporting evidence of the following: • That the HER signs up to the principle of the National Security Copy and its protocols.

Outcome B2.2: The HER is kept secure and implements the host organisation's physical and digital security policies and protocols for access, storage and dissemination.

Definitions

Digital security: *Specified procedures employed by the host organisation relating to its computer system and digital holdings. These would include (but are not limited to) procedures relating to tiered levels of data access; user permissions; data security and the use of firewalls.*

Physical security: *Specified procedures employed by the host organisation relating to the security of buildings, offices and equipment.*

Reference Collection: *Whilst it is not a repository for original archive or artefacts an HER may maintain a collection of reference material which is used on a day-to-day basis in the work of the HER. The usage can be either in the compilation of new computer records, the enhancement of existing data or to underpin advice or enquiry responses. The extent of a reference collection is limited to material (whether hard copy or digital) that is exclusively managed by the HER itself. This may include material on loan from other repositories but excludes collections not exclusively employed by the HER (for example collections which are used collectively by planning departments or conservations teams).*

Provision of copies of information comply with UK GDPR, IPR requirements and are provided under relevant data exchange agreements, licences or stated Terms and Conditions.

There are 5 Indicators for whether the HER is kept secure and implements the host organisation's physical and digital security policies.

Systems Security Policy **(B2.2/1)**

Training in security procedures **(B2.2/2)**

Access and Charging Policy **(B2.2/5)**

B2.2 The HER is kept secure and implements the host organisation's physical and digital security policies.

Reference Collection has management controls in place **(B2.2/4)**

Reference Collection is stored securely and promotes its long-term conservation **(B2.2/3)**

INDICATORS	
B2.2/1	**Systems Security Policy**
	A System Security Policy covers arrangements relating to the HER's computer database(s) including access and modification control; user permissions; anti-virus software; firewalls and data back-up procedures. The policy may exist as an independent document or may form a component of the HER's Disaster Plan. Where the HER is held by a local authority (or similar host organisation) the service may be covered by the host's corporate policy. This constitutes supporting evidence of the following: • That measures are in place to keep the HER (digital and physical) secure and protected from loss, damage and degradation. • That the Systems Security Policy employed by the HER complies with that of the host organisation. • That the HER's host organisation demonstrates commitment to the security of its databases and physical collections.
B2.2/2	**Training in security procedures provided/received**
	The HER's host organisation will have policies and guidelines relating to the security of its IT systems. In all probability there will also be established corporate procedures regarding the security of buildings, offices and equipment. HER staff (or those responsible for maintaining the HER) should be conversant with these and receive regular training in their applications. This training should also be extended to volunteers and placements working for the service. This provides supporting evidence of the following: • That measures are in place to keep the HER (digital and physical) secure and protected from loss, damage and degradation. • That the security measures in place relating to the HER's reference collection are underpinned by those of its host organisation. • That the HER's host organisation demonstrates commitment to the security of its databases and physical collections.
B2.2/3	**Reference collection stored securely and promotes its long-term conservation**
	The integrity of the HER's reference collection (both physical and digital) should be safeguarded against loss, degradation or unstructured dispersal. Relevant measures will include appropriate storage of items according to be best practice so far as can be implemented at the site, keeping the collection together in one place; ensuring that no items are removed from the collection without appropriate authorisation and keeping the collection under lock and key (either

in a secure room or lockable cupboards/cabinets). For digital items file and folder security procedures should be implemented.

This constitutes supporting evidence of the following:
- That the integrity of the reference collection is being safeguarded.
- That the future accessibility of the collection (through the medium of the HER) will be assured.

B2.2/4	**Reference Collection Management Control**
	If items from the collection can be borrowed for use beyond the HER, appropriate mechanisms should be in place to monitor their movement and ensure the return of loaned material (for example, loans should be logged in a borrowers' book). This constitutes supporting evidence of the following • That the collection is being managed in such a way as to facilitate its current and continued use by the HER. • That the collection continues to be accessible (through the medium of the HER).
B2.2/5	**Access and Charging Policy**
	Information supplied to users of the HER whether directly or remotely (i.e. via a website) should be covered by appropriate data exchange agreements, licences or Terms and Conditions which set out the permitted and restricted uses of the information. These may include details on use, re-use, third party distribution, time-dependant restrictions as well as copyright or other IPR statements, permissions or restrictions. All processing of data should comply with the principles of the UK General Data Protection Regulations and Data Protection Act (2018). Such information should be set out in the Access and Charging Policy or the policy should provide details or links as to where this information can be found. This constitutes supporting evidence of the following: • That measures are in place to prevent misuse or unfair appropriation of information held by the HER. • That distribution of data by the HER complies with requirements of data contributors. • That the HER continues to be the authoritative source of information on the historic environment.

Outcome B2.3   The HER meets the requirements of relevant UK legislation regarding data storage, protection and security.

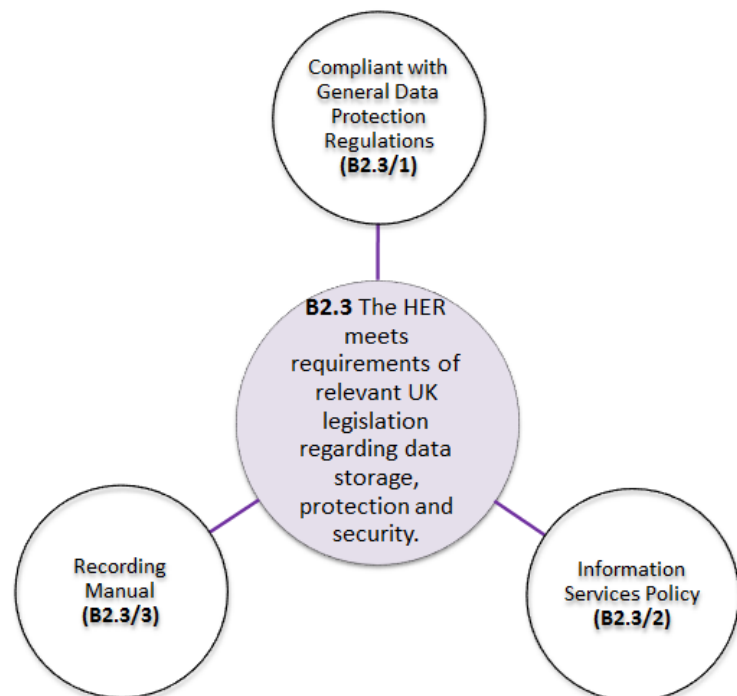|	
Definitions ***Data Protection Act (2018) and UK General Data Protection Regulations:*** *The regulations control how personal and sensitive information is used by organisations, businesses or the government.* *Everyone responsible for processing or managing (controlling) data has to follow strict rules called 'data protection principles'. They must make sure the information is:* • *used fairly, lawfully and transparently* • *used for specified, explicit and legitimate purposes* • *adequate, relevant and limited to what is necessary* • *accurate and up to date* • *kept for no longer than is necessary* • *handled according to data subject rights and organisation's data protection and information security policies* • *kept safe and secure and protected against unauthorised processing* *All relevant HER documentation such as policies, user forms and correspondence should include clear statements informing the user(s) of how their information may be collected, used, processed, shared, stored or retained (Privacy notices) and seek consent where necessary.*	*There are 3 Indicators for whether the HER meets requirements of relevant UK legislation regarding data security e.g. UK General Data Protection Regulations and Data Protection Act (2018).*

	INDICATORS
B2.3/1	**HER complies with UK General Data Protection Regulations and Data Protection Act (2018) (including storage, collection and provision of data)**
	All relevant HER documentation such as policies, user forms and correspondence should include clear statements informing the user(s) of how their information may be collected, used, processed, shared, stored or retained (Privacy notices) and seek consent where necessary. The HER staff should adhere to the protocols of its host organisation(s) and approach compliance with the responsible officer within the host organisation. There should be documented procedures regarding the supply of information to users and stakeholders which comply with the principles of UK GDPR and DPA (2018). This constitutes supporting evidence of the following: • That the HER employs efficient records management practices underpinning the delivery of authoritative information
B2.3/2	**Information Services Policy**
	An Information Services Policy (ISP) should specify the procedures employed by the HER to ensure that its data content and business practices conform to the UK GDPR. This constitutes supporting evidence of the following: • That the HER's policies take into account the relevant UK legislation regarding data storage • That the HER employs efficient records management practices underpinning the delivery of authoritative information
B2.3/3	**Recording Manual**
	The HER's Recording Manual should contain guidance on recording practices which should be consistent with the standards enforced by the UK GDPR and DPA (2018). This constitutes supporting evidence of the following: • That the HER's content (both digital and hard copy) complies with the UK GDPR and Data Protection Act (2018) • That the HER employs efficient records management practices underpinning the delivery of authoritative information.

AREA C: ACCESS AND ENGAGEMENT

> **HER Service Outcome C1.** The HER readily makes its information available to all.

There are two Outcomes for Service Outcome C1 (C1.1 and C1.2). Each Outcome with its definition and supporting Indicators is set out below. The HER is required to provide evidence for each of these Indicators throughout the Audit process.
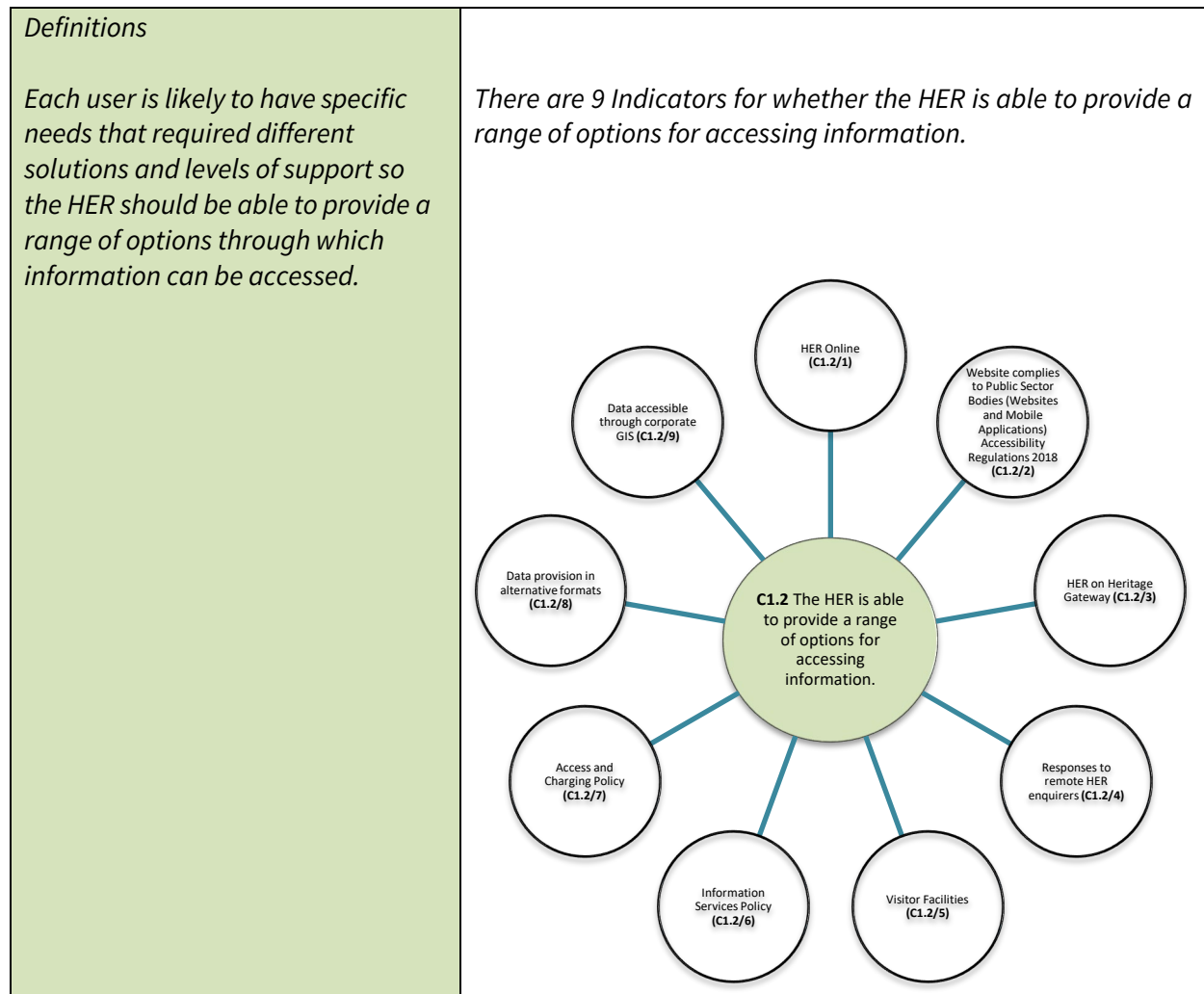
Outcome C1.1: The HER is able to mediate and interpret information to a range of users.

Definitions	
Each of the HER's users are likely to have specific needs that require different solutions and levels of support and interpretation (e.g. public summaries for online access, resources for teachers). The day-to-day HER work may well also involve an element of interpretation based on professional understanding and judgement. This will sometimes include developing and utilising management tools (for example alert/constraint mapping and SHINE). *The HER does not merely provide 'undigested' data in raw formats. At the basic level, a range of formats should be available and, where necessary, data may require re-casting according to user needs.*	*There are 3 Indicators for whether the HER is able to mediate and interpret information to a range of users.*

INDICATORS	
C1.1/1	**Information Services Policy**
	The content of the Information Services Policy (ISP) underpins processes that aim to identify and break down barriers to usage to ensure that the HER is accessible to both existing and potential users. An ISP should give details regarding the following topics: The professional and public user groups that the HER aims to serve.

	The HER's policy with regard to consulting existing users and confirming their needs.
	The HER's policy with regard to defining and consulting potential and future users, establishing the needs of these groups and identifying barriers to the use of the HER.
	The policy should also reflect the aims of its host organisation in meeting the requirements of the Equality Act 2010.
	This constitutes supporting evidence of the following: • The HER's commitment to identifying and addressing the needs of users to inform and develop the process of mediation and interpretation. • The HER's commitment to identifying and addressing the needs of potential users and to informing and developing the process of mediation and interpretation.
C1.1/2	**Access and Charging Policy**
	The aspirations laid out in the HER's Information Services Policy (see above) regarding the availability of information to users should translate into its Access and Charging Policy. The document will evidence the HER's ability to accommodate the needs of a range of users. This constitutes supporting evidence of the following: • The HER's ability to provide a range of data-provision options for users, underpinning the processes of mediation and interpretation.
C1.1/3	**Provision of interpreted data**
	The HER should be able to provide interpreted information for users. Examples of this might include alerts/constraints maps; SHINE and outreach and educational resources. The HER should be able to provide a list of projects of this type in which it has participated. This constitutes supporting evidence of the following: • The HER's ability to provide a range of options for interpreting and mediating information to users.

Outcome C1.2: The HER is able to provide a range of options for accessing information.

Definitions	
Each user is likely to have specific needs that required different solutions and levels of support so the HER should be able to provide a range of options through which information can be accessed.	*There are 9 Indicators for whether the HER is able to provide a range of options for accessing information.*

INDICATORS	
C1.2/1	**HER Online**
	The HER will be able to provide remote access to a range of its data via the internet which will allow it to be interrogated by the online user. Options currently include: a stand-alone website; hosting within the website of the host organisation, hosting via ADS. This constitutes supporting evidence of the following: • The HER is accessible through the internet.
C1.2/2	**Public Sector Bodies (Websites and Mobile Applications) (No. 2) Accessibility Regulations 2018**
	If the HER dataset is available online through its own web presence the website complies with the Public Sector Bodies (Websites and Mobile Applications) (No.

	2) Accessibility Regulations 2018. https://www.legislation.gov.uk/uksi/2018/852/contents/made This constitutes supporting evidence of the following: • The HER's web presence complies with the Accessibility Regulations of 2018.
C1.2/3	**HER on the Heritage Gateway**
	The HER makes its data available through the Heritage Gateway and is part of the virtual national information network for the historic environment for England. Increased availability has benefits for the HER's profile, for the user experience and for projects working to increase our understanding of heritage. This constitutes supporting evidence of the following: • The HER is accessible through the internet. • The HER is part of a virtual national information network for the historic environment for England. • The HER provides a range of options for accessing information.
C1.2/4	**Responses to remote HER enquiries**
	The HER should make provision for remote enquiries including (but not restricted to) a specified level of response to postal, telephone and e-mail enquiries and/or remote access to the record via other services. This constitutes supporting evidence of the following: • That the HER provides a range of options for remote enquirers.
C1.2/5	**Visitor facilities**
	The HER is able to accommodate visitors to the HER. This may be to: provide the visitor with additional information held in hard copy at the HER; help the visitor to understand and interpret HER data; show the visitor how to use online HER resources; provide advice to the visitor. Facilities may include access to the use of a computer, the internet or work area. This constitutes supporting evidence of the following: • Visitors to the HER can be suitably accommodated and gain access to a full range of information.
C1.2/6	**Information Services Policy**
	This policy should detail the HER's arrangements for providing information and access for users according to their particular needs and will outline the aims of

	the HER in respect of identifying potential new user groups and their requirements. This constitutes supporting evidence of the following: • The HER demonstrates its commitment to provide a range of options for accessing information. • The HER demonstrates that expanding its range of options for access is a key element within its forward planning process.
C1.2/7	**Access and Charging Policy**
	The Access and Charging Policy provides information for users regarding the range of access available to them. Different options and levels of access may be available, some of which will be dependent on the HER's framework of access and charging (for example priority searches). This constitutes supporting evidence of the following: • That the range of options available is communicated to users.
C1.2/8	**Data provision in alternative formats**
	The HER should have mechanisms and procedures in place to provide data and publicity material in alternative formats. These processes might, in some cases, be supported by the corporate communication resources of the host organization. As a minimum the HER should be able to demonstrate that it is aware of how material in alternative formats may be sourced. This constitutes supporting evidence of the following: • The HER's ability to provide access to information and publicise its service in a range of formats.
C1.2/9	**Data accessible through corporate GIS**
	The HER may be interrogated by internal colleagues through a corporate GIS, where appropriate. This constitutes supporting evidence of the following: • That the HER is accessible within the host organization (e.g. to planning archaeologists and historic building conservation colleagues).

HER Service Outcome C2: The HER actively works to engage audiences.

There are two Outcomes for Service Outcome C2 (C2.1 and C2.2). Each Outcome with its definition and supporting Indicators is set out below. The HER is required to provide evidence for each of these Indicators throughout the Audit process.

Outcome C2.1: The HER has a planned, customer-focused approach to improving access and engagement that enables it to respond continuously to the needs and interests of all users.

Definitions	There are 6 Indicators for whether the HER has a planned, customer-focused approach to improving access and engagement that enables it to respond continuously to the needs and interests of all users.
The HER should be able to demonstrate that appropriate consideration has been given to improving and expanding access and engagement. Also, that is has developed mechanisms for gathering and collating user feedback and has active procedures in place to ensure that the information derived is fed into its forward planning processes and translates into its day-to-day management. *These processes should form part of a continuous cycle of assessment and improvement as outlined by the HER's Information Services Policy and Forward Plan.*	

INDICATORS	
C2.1/1	**Information Services Policy**
	The ISP should give details of: the HER's policy in consulting users and confirming their needs and the HER's policy with regard to defining and consulting potential and future users.

This constitutes supporting evidence of the following:
- That the HER has a customer focused approach to improving access and engagement.
- That a structured plan exists to improve access and engagement.

C2.1/2	**Enquiries Log**

The enquiries log constitutes a maintained record of users and type of enquiry for both local and remote use. Data collected should feed into the analysis of service provision, underpinning a planned approach to expanding and developing access to the record.
This constitutes supporting evidence of the following:
- An informed approach to improving access and engagement.

C2.1/3	**Mechanisms to gather user feedback**

The HER should have mechanisms in place to gather information from users of the service as well as other stakeholders. This should include both *ad hoc* feedback and regular surveys of user satisfaction and stakeholder engagement. The HER should be able to provide examples of how this has been used in developing its service, policies and outreach strategies.

This constitutes supporting evidence of the following:
- A customer focused approach to improving access and engagement.
- Evidence of a commitment to continuous enhancement.

C2.1/4	**Research into user and non-user groups**

Studies of this nature may include surveys amongst groups recognised as being under-represented in the HER's existing audience or market research into potential new user groups. These may also serve to identify the needs of such groups in order to achieve a better understanding of how these might be served by the HER.
The HER should be able to provide examples to illustrate how the information derived has been used to improve its services, expand its range of publicity material and develop outreach strategies.

This constitutes supporting evidence of the following:
- Responsiveness to the needs of potential users in expanding and developing and developing access and engagement.
- A commitment to identifying potential new users and understanding their needs and interests.
- The HER is able to demonstrate how its developing understanding feeds into forward planning and the enhancement of accessibility and engagement.

C2.1/5	**Access and Charging Policy**
	The HER's Access and Charging Policy underpins access to the HER and should be made available and regularly reviewed and revised to improve its effectiveness in this role. This constitutes supporting evidence of the following: • A customer-focused approach to accessing the HER.
C2.1/6	**Forward Plan**
	The Forward Plan should include tasks aimed at gathering user feedback and undertaking research into under-represented and potential new user groups. In addition to this the Plan should incorporate tasks which can be shown to act upon this feedback and research data. The Plan should also be seen to implement the process of continuous improvement and expansion of user access to the HER as outlined in its Information Services Policy. This constitutes supporting evidence of the following: • A planned approach to improving user access and engagement. • A continuing responsiveness to identified needs and interests.

Outcome C2.2: The HER is proactive in promoting access and enabling others to contribute to the record.

Definitions	There are 6 Indicators for whether the HER is proactive in promoting access and enabling others to contribute to the record.
The HER should actively publicise its service and should have mechanisms in place to encourage wider usage and contributions from an expanding range of groups and individuals. These mechanisms should be driven and guided by a continuing programme of research and information gathering.	

INDICATORS	
C2.2/1	**Outreach activities**
	The HER should have a range of outreach activities informed by continuing research into current users and potential new user groups. These should not only involve promoting access to the HER but also broadening the base of users contributing to the record.

Examples of such activities might include:
The distribution of publicity material; talks; guided walks; school or college visits; staging exhibitions; attending events; use of social media; newsletters; engaging volunteers in HER work.

This constitutes supporting evidence of the following:
- Pro-activeness in the promotion of the HER and, specifically, expanding access and contributions. |

C2.2/2	**Guidance available for data providers**
	The HER should support and enable contributors by providing guidance on how contributions can/should be made. This might include guidance to contractors on the provision of digital data (the HER may specify the form in which information is presented in fieldwork reports). More detailed and generally accessible guidance may also be provided for use by groups and the general public. This constitutes supporting evidence of the following: • That the HER is ready to support and enable others to contribute to the record.
C2.2/3	**Tools to facilitate the collection and deposition of data**
	The HER has available pro-forma and other tools (including digital) to facilitate the collection and deposition of data. This may include the crowd-sourcing of data and the use of data collecting apps. It also includes OASIS. This constitutes supporting evidence of the following: • The HER is pro-actively enabling others to contribute to the record.
C2.2/4	**Information Services Policy**
	The HER's ISP should outline its aspirations to promote access to the record (which will include the ability of others to contribute to it). This constitutes supporting evidence of the following: • A pro-active approach to promoting and expanding access to the HER. • A pro-active approach to enabling others to contribute to the record.
C2.2/5	**Participation in networks, groups and associations**
	The HER's association with national, regional and local networks, groups and associations and participation in collaborative activities will provide opportunities to promote the service, develop wider access and encourage contributions. This constitutes supporting evidence of the following: • A pro-active approach to expanding access to the HER. • A pro-active approach to enabling others to contribute to the record.
C2.2/6	**Publicity**
	The HER will make available publicity material which will detail how the record can be accessed and how contributions can be made to it. This constitutes supporting evidence of the following: • A pro-active approach to expanding access to the HER. • A pro-active approach to enabling others to contribute to the record.

AREA D: INFRASTRUCTURE (SERVICE DELIVERY)

> **HER Service Outcome D1:** The HER is actively managed enabling it to deliver an effective service.

There are two Outcomes for Service Outcome D1 (D1.1 and D1.2). Each Outcome with its definition and supporting Indicators is set out below. The HER is required to provide evidence for each of these Indicators throughout the Audit process.

Outcome D1.1: The service has a tested disaster plan and procedures which enable it to respond effectively to emergency situations and ensure business continuity.

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Definitions

*The form and content of **Disaster Plans and Business Continuity Plans** will vary from organisation to organisation*.*
These documents will, however, deal with the processes or procedures involved in:
- *Risk Assessment*
- *Measures to detect and warn of developments likely to result in an emergency*
- *Measures to prevent and safeguard against potential emergencies*
- *Measures to minimise and contain damage whilst an emergency situation is in progress.*
- *Measures to restore full business capability after an emergency has ended.*

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There are 3 Indicators for whether the HER service has a tested disaster plan and procedures which enable it to respond effectively to emergency situations and ensure business continuity.

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* In the vast majority of cases the HER will be using facilities, equipment and IT systems shared with a larger, host organisation. This will necessitate absolute consistency between the HER's procedures and those of its host, something which may be reflected in differing frameworks of policy and planning documentation. Thus specific elements from the list above may be covered under separate, individual headings. For example, a Disaster Plan may stand distinct from an organisation's Business Continuity Plan. Other possibilities would see the security and safeguarding of service's IT systems covered by a separate Systems Security Policy or a separate suite of documentation dealing with the process of Risk Assessment.

More details regarding disaster planning can be found in Informing the Future of the Past B.13.

INDICATORS	
D1.1/1	**Disaster Plan**
	The HER service should be covered by a Disaster Plan (or Emergency Preparedness Plan) – This may be an independent component of a broader corporate disaster plan or, alternatively, the corporate plan may be seen as sufficiently detailed to adequately cover the requirements of the HER. At a basic level this will cover procedures relating to: Risk assessment and monitoring, establishment of appropriate mitigation, IT security and measures to restore full business capability after an emergency has ended. Alternatively these issues may be dealt with separately in other documents (see Systems Security Policy and Business Continuity Plan). Measures to minimise and contain damage whilst an emergency situation is in progress. This constitutes supporting evidence of the following: • That the HER has in place mechanisms and procedures to enable it to respond effectively to emergency situations. • Safeguards are in place to protect the HER database and reference collection in the event of an emergency.
D1.1/2	**Business Continuity Plan**
	The HER service should be covered by a Business Continuity Plan – This may be an independent component of a broader corporate business continuity plan or, alternatively, the corporate plan may be seen as sufficiently detailed to adequately cover the requirements of the HER. At a basic level this will cover procedures relating to restoring full business capability after an emergency has ended; Risk assessment, appropriate mitigation, IT security, mechanisms measures to minimise and contain damage whilst an emergency situation is in progress might also be covered within this plan. Alternatively these issues may be dealt with separately in other documents (see Systems Security Policy and Disaster Plan). This constitutes supporting evidence of the following: • That the HER has in place mechanisms and procedures to restore full business capability following an emergency. • Safeguards are in place to protect the HER database and reference collection in the event of an emergency.
D1.1/3	**Training in Disaster Recovery and Business Continuity**
	All HER staff should receive training in disaster recovery, at least in respect of measures in place to prevent and safeguard against potential emergencies (including IT systems security), and procedures to direct staff, volunteers and

visitors in instances of potential danger and to ensure their safety in the event of an emergency breaking out.

Certain designated members of HER staff should also receive training in: Understanding the measures in place to detect and warn of developments likely to result in an emergency.

Carrying out any steps necessary (according to their specified role in a Disaster Plan) to minimise and contain damage whilst an emergency situation is in progress.

Carrying out any steps necessary (according to their specified role in a Disaster Plan (or Business Continuity Plan) to restore full business capability after an emergency has ended.

The process of training should include regular drills and test runs. These will not only serve to familiarise staff, volunteers and placements with the procedures involved but should also be used to test the practicability and effectiveness of these procedures. The results should be recorded and fed into the disaster planning process, both for the HER service and at the corporate level with the host organisation.

This constitutes supporting evidence of the following:

- All staff operate according to practices which will reduce the risk of an emergency situation occurring.
- All staff are familiar with emergency procedures and are able to respond satisfactorily should an emergency occur.
- The HER service is able to restore full business capability with the minimum delay after an emergency.
- Safeguards are in place to protect the HER database and reference collection in the event of an emergency.
- Mechanisms and procedures to safeguard staff/volunteer safety and protect the HER database and reference collection are tested regularly.

Outcome D1.2: The purpose of the HER is formally recognised and is supported by the host organisation and local planning authorities it serves.

Definitions	
Formal recognition: In statutory terms HERs are underpinned by the process of formal adoption in accordance with the terms of the Town and Country Planning (General Permitted Development) Order 1995 and the Hedgerow Regulations 1997. *However, in terms of their recognised responsibilities, local planning authorities "should either maintain or have access to a historic environment record" (National Planning Policy Framework (2012) paragraph 169) and this may translate into definite statements regarding the HER (or the wider historic environment team) within the host organisations' Forward Plan.*	*There are 5 Indicators for whether the HER is formally recognised and is supported by the host organisation and local planning authorities it serves.*

INDICATORS	
D1.2/1	**HER formally recognised by host organisation (and/or constituent local planning authorities)**
	In legal terms this constitutes formal adoption of the HER as the register of "sites of archaeological interest" in accordance with the terms of the Town and Country Planning (General Permitted Development) Order 1995 and/or as the "record of archaeological features and sites" as defined in the Hedgerow Regulations 1997. In terms of their recognised responsibilities, local planning authorities "should maintain or have access to a historic environment record" (National Planning Policy Framework (2021) paragraph 192) This constitutes supporting evidence of the following: • That the HER is formally recognised by its host organisation.

D1.2/2	**Mission Statement**
	The HER has a Mission Statement providing a brief outline of its functions within the corporate structure of its host organisation. This constitutes supporting evidence of the following: • That consideration has been given to the HER in respect of its role within the context of its host organisation (or group of organisations).
D1.2/3	**Succession Plan**
	The HER has a Succession Plan based on an assessment of the training needs of existing staff, matching these against the planned future management, enhancement and development of the record. This plan should outline the mechanisms which the HER has in place to ensure a smooth hand over of responsibilities in the event of staffing changes or other re-allocations of roles and duties. This constitutes supporting evidence of the following: • That mechanisms are in place to ensure the continued functionality and development of the HER in the event of staffing changes or other re-allocations of responsibility.
D1.2/4	**Forward Plan**
	The HER's host organisation will have a forward planning cycle (typically covering a three year period) and will outline its goals and objectives for the forthcoming period within a service plan. Depending on the level of detail addressed this plan may make specific reference to the role of the HER or the team within which it sits. This constitutes supporting evidence of the following: • That the role of the HER has been recognised by its host organisation and receives due consideration within its forward planning processes.
D1.2/5	**Service Level Agreements**
	The HER, or the broader Historic Environment Service, may have Service Level Agreements or equivalent (such as a Section 101 agreement) with the groups it serves (for example where the HER is held by a county authority or an external body serving constituent districts or boroughs). The agreements will provide details of the geographical area covered by these arrangements. This constitutes supporting evidence of: • That consideration has been given to the HER in respect of its role within the context of its host organisation (or group of organisations).

HER Service Outcome D2: The HER is appropriately resourced

There are three Outcomes for Service Outcome D2 (D2.1, D2.2 and D2.3). Each Outcome with its definition and supporting Indicators is set out below. The HER is required to provide evidence for each of these Indicators throughout the Audit process.

Outcome D2.1 The HER is supported by the provision of suitably qualified and competent staff.

Definitions	
Suitably qualified and competent: *Whilst host organisation may define particular aspects of what constitutes an appropriate level of qualification for those responsible for the management and maintenance of an HER, a service of this type can reasonably be seen as falling within the framework of commissioning work and providing consultancy advice on archaeology and the historic environment (as defined in the CIfA guidance, 2014).* *As such the HER Officer (or equivalent) should be able to demonstrate accreditation, qualifications, skills and competence appropriate to work within that field.*	*There are 5 Indicators for whether the HER is supported by the provision of suitably qualified and competent staff.*

INDICATORS	
D2.1/1	**HER Staffing Provision**
	The number of HER staff Full Time Equivalents (FTE) should be commensurate with the level of service required. This constitutes supporting evidence of the following: • That the HER is adequately resourced

D2.1/2	**Continuing Professional Development**
	Continuing Professional Development (CPD) is defined as "The systematic maintenance and improvement of knowledge, skills and competence throughout a professional's working life and the process by which a professional person maintains the quality and relevance of the professional services they provide during their working life" (IFP B.3). Many organisations support staff development through CPD. Alternatively individuals can pursue CPD through external professional bodies. This constitutes supporting evidence of the following: • Those managing and maintaining the HER are actively engaged in updating and extending their expertise. • The HER's host organisation is supportive of staff training and development.
D2.1/3	**Membership of relevant organisations and associations**
	Organisations within this category would include professional bodies (examples: the Chartered Institute for Archaeologists (CIfA) and the Institute of Historic Building Conservation (IHBC)); groups and societies engaged in promoting archaeological and architectural studies at the national level (examples: The Society of Antiquaries, the Society of Architectural Historians of Great Britain, the Council for British Archaeology or the British Association for Local History); groups promoting HER best practice (for example the HER Forum) and groups and societies engaged in architectural, archaeological and historical studies at the local level. This constitutes supporting evidence of the following: • Those managing and/or maintaining the HER are actively engaged in updating and extending their expertise. • Those managing and/or maintaining the HER have links within the wider sphere of research and professional development which will increase their capabilities, both in managing the record and in enhancing its scope and relevance.
D2.1/4	**Qualification in archaeology or a related heritage field**
	Qualifications within this category would include those attained at degree level and through postgraduate study. This constitutes supporting evidence of the following: • That those managing and/or maintaining the HER possess a level of understanding adequate to provide fit for purpose data on archaeology and the historic environment to consultants, contractors and the general public.

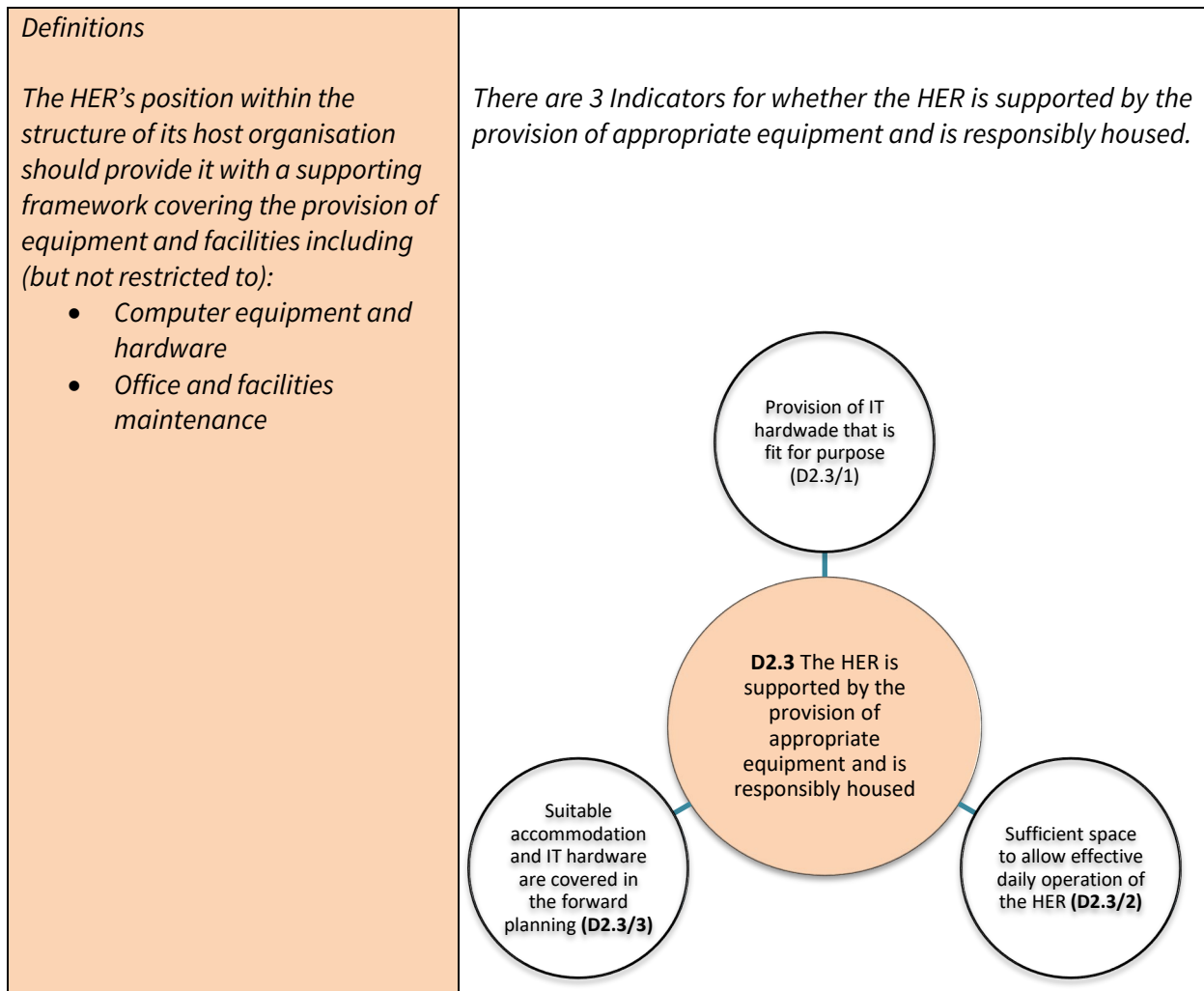|	
	• Those managing and/or maintaining the HER possess a level of understanding sufficient to enable them to satisfactorily enhance the scope and relevance of the record.
D2.1/5	**Experience in HER work or a related field.**
	This can include experience either in a professional capacity or as a volunteer. This constitutes supporting evidence of the following: • That those managing and/or maintaining the HER possess a level of understanding adequate to provide fit for purpose data on archaeology and the historic environment to consultants, contractors and the general public. • Those managing and/or maintaining the HER possess a level of understanding sufficient to enable them to satisfactorily enhance the scope and relevance of the record.

Outcome D2.2: The HER is supported by the provision of, or access to, necessary administrative, IT and technical services.

Definitions	
"HER computer systems may be based on a corporate network or on stand-alone PCs and may make use of standard commercial packages or bespoke systems. However, installed, computer systems need technical support for both hardware and software. Such support may be available from corporate IT departments but, even where centrally provided, the actual support may be supplied by contractors" (IFP B.10.1). *Beyond the sphere of IT, the HER's position within the structure of its host organisation should provide it with a supporting framework including (but not restricted to):* • *Administrative support (including financial administration, payroll and customer invoicing)* • *Training*	*There are 5 Indicators for whether the HER is supported by the provision of, or access to, necessary administrative, IT and technical services.*

	INDICATORS
D2.2/1	**Access to financial and administrative support staff**
	The HER (either directly or as part of a wider team or section) should have access to administrative support (including postal and courier services and office administration e.g. rental arrangements and overheads) through its host organisation (or by a third party contracted by the host organisation). The HER (either directly or as part of a wider team or section) should have access to financial administrative support (including banking, payroll services and customer invoicing) through its host organisation (or by a third party contracted by the host organisation). This constitutes supporting evidence of the following: • The HER has access to the administrative support required to satisfactorily fulfil its role. • The HER has access to the financial administrative support required to satisfactorily fulfil its role.
D2.2/2	**Access to IT and technical support staff**
	The HER (either directly or as part of a wider team or section) should have access to appropriate IT support (covering, but not restricted to, hardware installation and repair, software and software development) entirely or partially through its host organisation. The HER (either directly or as part of a wider team or section) should have access to appropriate technical support (covering, but not restricted to, installation and repair of telephones, telecommunications equipment; electrical equipment and circuitry) through its host organisation (or by a third party contracted by the host organisation). This constitutes supporting evidence of the following: • The HER has access to the IT support required to satisfactorily fulfil its role. • The HER has access to the technical support required to satisfactorily fulfil its role.
D2.2/3	**Access to external, third party, software support (where relevant)**
	Where required, the HER (either directly or as part of a wider team or section) should have access to appropriate IT software and software development support from one or more contracted external third-party organisations. This constitutes supporting evidence of the following: • The HER has access to the IT support required to satisfactorily fulfil its role.

D2.2/4	**IT licenses**
	Where applicable, the HER should have the requisite licenses for any software or equipment provided by an external supplier or suppliers. This constitutes supporting evidence of the following: • The HER has, through valid licensing arrangements, access to the IT support required to satisfactorily fulfil its role.
D2.2/5	**IT Training**
	Training is an integral part of ensuring that an HER is adequately maintained and that the service it supports meets the needs of its users. Training requirements should be an integrated part of the HER's forward planning. Staff responsible for managing and maintaining the HER should have access to a continuing programme of training, underpinned by appropriate resourcing. Ideally this should take the form of a Continuing Professional Development framework, recognised and endorsed by the host organisation. This constitutes supporting evidence of the following: • That those responsible for managing and maintaining the HER are trained to a level which allows the record to function as a fit for purpose resource for users. • Commitment on the part of the host organisation to staff training.

Outcome D2.3: The HER is supported by the provision of appropriate equipment and is responsibly housed.

Definitions *The HER's position within the structure of its host organisation should provide it with a supporting framework covering the provision of equipment and facilities including (but not restricted to):* • *Computer equipment and hardware* • *Office and facilities maintenance*	*There are 3 Indicators for whether the HER is supported by the provision of appropriate equipment and is responsibly housed.*

INDICATORS	
D2.3/1	**Provision of IT hardware that is fit for purpose**
	Arrangements should exist whereby the HER is provided with appropriate IT hardware to satisfactorily fulfil its role. This constitutes supporting evidence of the following: • The HER has access to computer hardware which is appropriate to its needs and allows it to fulfil its role effectively.
D2.3/2	**Sufficient space to allow effective daily operation of HER**
	The HER service should have access to sufficient physical space to allow staff to satisfactorily undertake their day to day work. This includes the provision of sufficient visitor facility space.

	This constitutes supporting evidence of the following: • The HER has appropriate accommodation for its needs and which allow it to fulfil its role effectively.
D2.3/3	**Sufficient space and IT hardware covered in Forward Plan**
	The provision of sufficient physical space and IT hardware is satisfactorily covered in the HER forward planning so in the event of an office move, the HER will be suitably equipped and accommodated. This constitutes supporting evidence of the following: • The Forward Plan makes reference to suitable accommodation and IT hardware, regardless of the current situation.

Appendix 1: HER Service Outcomes

HER SERVICE AREA A: CONTENT AND COVERAGE

A1. The HER is maintained as a dynamic and constantly evolving resource.
A1.1. HER data is regularly updated, actively managed and is fit for purpose.
A1.2 The HER has a supporting reference collection that is appropriately indexed, managed and made accessible.
A1.3. The HER includes heritage asset (monument) and event records, linked to source information, that are displayed in a GIS.
A2. The HER contains and signposts information on the full range of heritage assets of a defined geographical area within the local planning authorities it serves.
A2.1. The HER covers a defined geographical area.
A2.2. The HER covers all significant heritage assets with no temporal or thematic limits.

HER SERVICE AREA B. DATA STANDARDS AND SECURITY

B1: The HER complies with relevant UK national data standards and legislation.
B1.1: The HER complies with UK national heritage data standards as recommended by the Forum on Information Standards in Heritage (FISH).
B1.2: The HER complies with relevant non-heritage standards and regulation.
B1.3: The HER is capable of storing, providing and incorporating digital data in formats designed to assist data exchange between comparable information systems.
B2. The HER is safeguarded by adequate data back-up and security procedures.
B2.1. The HER is regularly backed-up, back-ups are stored securely and are retrievable.
B2.2. The HER is kept secure and implements the host organisation's physical and digital security policies and protocols for access, storage and dissemination.
B2.3. The HER meets the requirements of relevant UK legislation regarding data storage protection and security.

HER SERVICE AREA C. ACCESS AND ENGAGEMENT

C1. The HER readily makes its information available to all.
C1.1. The HER is able to mediate and interpret information to a range of users.
C1.2. The HER is able to provide a range of options for accessing information.
C2. The HER actively works to engage audiences
C2.1. The HER has a planned, customer-focused approach to improving access and engagement that enables it to respond continuously to the needs and interests of all users.
C2.2. The HER is proactive in promoting access and enabling others to contribute to the record.

HER SERVICE AREA D. INFRASTRUCTURE (SERVICE DELIVERY)

D1. The HER is actively managed enabling it to deliver an effective service.
D1.1. The service has a tested disaster plan and procedures which enable it to respond effectively to emergency situations and ensure business continuity.
D1.2. The purpose of the HER is formally recognised and is supported by the host organisation and the local planning authorities it serves.
D2. The HER is appropriately resourced.
D2.1. The HER is supported by the provision of suitably qualified and competent staff.
D2.2. The HER is supported by the provision of, or access to, necessary administrative, IT and technical services.
D2.3. The HER is supported by the provision of appropriate equipment and is responsibly housed.