Heritage Samples Archives

A Guide for Management

ICCROM

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Foreword

The value of heritage lies not only in its objects and sites but also in the knowledge and practices associated with them. To these we must add the legacies of more than a century of what we now call conservation. This legacy includes a wealth of material: samples collected during research and conservation work, used to investigate original and conservation materials.

Driven by the need to care for our own sample collections, and inspired by growing collaboration in heritage science, ICCROM launched the Heritage Samples Archives Initiative (HSAI) in 2020. Now involving 26 partner institutions across 14 countries, the initiative began with an international survey, capturing responses from 38 countries. The findings revealed the diversity of heritage sample collections and the challenges they face: from lack of recognition and poor cataloguing to preservation concerns. They confirmed the need for greater awareness and systematic management – treating these collections as archives to unlock their full potential as knowledge resources.

To support this goal, the HSAI focused on five core themes: the values and significance of sample collections, their management needs, enhancing access and use, and opportunities for data sharing and research. In 2021, a two-day webinar and poster session attracted 270 attendees from 83 countries. These discussions—centred on recognition, management, and use—continued in 2022 at an international workshop in Portugal. These efforts culminated in this publication, offering guidance on managing sample collections as archives. I hope it contributes to improved safeguarding and management of these often-overlooked resources. I also encourage organizations holding such collections to register them on the ICCROM Register of Heritage Samples Archives—a tool created to raise awareness and promote their research potential.

For me, this is not just a technical matter but an ethical one. Sampling is inherently extractive, and the cultural objects from which materials are taken are non-renewable. We thus have a responsibility to care for samples with the same diligence we extend to the heritage they came from. That means preserving them, making them accessible, and enabling their reuse to support future research and conservation. By framing heritage sample collections as archives, we unlock their potential to inform new ways of understanding, managing, and engaging with heritage—ensuring the knowledge they hold continues to serve and inspire generations to come.

Aruna Francesca Maria Gujral
ICCROM Director-General

1 – Purpose and Scope of Guidance

In the course of their work, many institutions and private practitioners have collected samples of historic material, including reference materials associated with their conservation and display. In the corporate world, analogous material is cared for using archival practices (Bilotto and Guercio, 2003). Paradoxically, these measures are less common in the care of heritage samples, even though sampling is an important part of heritage research and conservation. Samples contribute to our understanding of how heritage items were originally made, used and cared for, how they have changed, and what conservation options are available to preserve them. As the heritage field evolves, we are increasingly aware that there are values in samples in addition to those that motivated original collectors.

While methods of analysis are constantly improving, sampling can be invasive and destructive. Consequently, non-invasive examination has long been advocated as a means of minimizing the irreversible loss associated with taking samples (Icon, 2019). Our obligation now is to treat heritage not only as a precious resource but also as a non-renewable one, with cultural as well as physical sensitivities surrounding its use. This awareness extends to the taking and use of samples of original and analogue material. Developments in conservation – such as people-centred practice and decolonization, awareness of intangible and tangible heritage values, interest in sustainability arising from concern over climate change and depleting resources, awareness of critical heritage theory and conservation's own history, and the growth of the field of heritage science over the past two decades – have changed the significance of heritage samples. There is increasing potential for the reuse of samples of both original materials and associated reference collections. Reference material forms an irreplaceable document of the conservation, storage, understanding, recreation and display of heritage over time. A refreshed ethical approach (→ *see* 2.) to caring for such samples is needed to reflect these developments, treating samples as a shared resource held on behalf of society.

Guidance on sample-taking is available elsewhere.[1] This document focuses on the potential for existing sample collections to support the sustainability of heritage by promoting their reuse, minimizing the collection of more samples. Reconsidering the significance of such collections in light of emerging interests enables samples' potential for reuse to be promoted to new and existing users. Clarifying whether new samples are needed to address research questions reduces the need to take more samples.

This guidance suggests that definitions of archives are consistent with collections (termed assemblages by archivists) of samples of heritage objects and reference materials, forming "a documentary by-product of human activity retained for their long-term value" (UNESCO 2011). Consequently, the professional standards and

1 – Guidance on collecting samples is often embedded within texts on specific materials, such as the Routledge and Butterworth-Heinemann series in *Conservation and Museology* (e.g. Stoner and Rushfield, 2021, pp. 330–1, 337– 8 and 345– 6) and the English Heritage *Practical Building Conservation* series (e.g. Historic England, 2012, pp. 202– 7 and p. 219). Sampling is also the subject of a few international standards, such as BS 2012.

practices that govern the care of collections in archives, as well as museums and libraries, can be used to help the management of sample collections to promote their reuse (e.g. AAM, 2021; SSA, 2024).[2] A few key areas have been selected for application to the management of sample collections to enable their transformation from stand-alone assets to networked resources available to the whole research world. These areas are, first, ***Managing a Samples Collection as an Archive* (Part I)**, to improve care and organization. In order to be of value, the archive needs to be considered authentic, reliable, possessing integrity, and usable. These values can be explored by developing a ***Statement of Significance* (Part II)**, which helps people understand why they may be interested in the archive, informing an ***Access Policy* (Part III)** that will enable samples' reuse for research and other purposes. Readers are signposted to more detailed resources, and examples are provided to show how these principles can be applied to a variety of contexts.

These procedures were selected to enable samples archives to be better understood, cared for, known about and used. The samples' relevance to the host organization's purposes can be revealed, helping to make the case for the resources needed for proper management – not only from the organization but also from external funders of the activities of which the samples are shown to be part, such as research and archives management, care and conservation. Adopting such processes can also facilitate a sample collection's future acquisition by a museum, library or archive.

Further iterations of this document are envisaged as practice develops and additional areas are identified for which guidance is considered helpful, such as other archives or collections management procedures.

2 – Ethical Practice

Ethical considerations for sample archives

In contrast to morals, which refer to individual beliefs concerning right and wrong, normative ethics is concerned with establishing criteria for behaviour in broader social or professional contexts, which are often formalized within codes of practice. Applied ethics have been used in many sectors, from medicine to conservation, providing principles and guidance established by various organizations to guide behaviour in the interests of promoting individual, organizational and societal well-being and good practice.

While ethics address human actions or failure to act, they are highly relevant to historic artefacts as part of the diverse cultural heritage legacy of humanity, whose multifaceted values play an essential role in human well-being. Although these objects lack agency, how humans handle, preserve or interpret them can significantly affect

2 – See also https://www.nationalarchives.gov.uk/information-management/manage-information/

other people, communities or cultures. Ethics are therefore also relevant to heritage since the way people treat heritage can benefit or harm others.

Ethics are fundamental to any research endeavour, particularly research concerning heritage, where the potential social and cultural impact is profound. This section highlights some key ethical issues related to heritage sample archives and the (re) use of heritage samples, but is not exhaustive. For example, sample-taking is not considered here, as this is not the subject of this guide.[3]

Rather than referring to generic research ethics guidelines, here we intend to position this guidance in a broader ethical approach, namely the application of care ethics (Gilligan, 2003, p.62). Care ethics is an approach founded on "relationships", which emphasizes recognizing needs and taking responsibility for them by building community networks to guide actions to meet ongoing needs. This approach is firmly rooted in communication, promoting listening and discussion and taking appropriate action.

Heritage samples are often viewed as scientific resources, but they are, above all, heritage assets. Thus, ethical considerations relevant to heritage objects may also apply to heritage samples. Moreover, the unique nature and use of heritage samples also introduce additional ethical issues.

These considerations can be organized into three main areas:

1. **Ethical engagement of people**: this includes research participants, local communities, authorities and other stakeholders connected to the heritage samples (→ *see* 12.2). Engaging with these groups is crucial to obtain informed consent, respect cultural significance and ensure that research adequately acknowledges and benefits all parties involved. Effective engagement helps establish the cultural significance and values of artefacts and practices associated with the samples, as well as identify any cultural sensitivities concerning the proposed use (e.g. for research or didactic purposes), especially concerning the rights of communities from whose heritage the samples originate. It is especially important to obtain relevant permissions from originating authorities and communities not only for the initial use but also for the continued maintenance of samples once this use is concluded. Accordingly, there is a moral obligation to involve stakeholders actively and clarify consent regarding not only the current use but also the preservation of the samples for future reuse. This necessitates obtaining any required legal and administrative permissions from custodial and governance authorities.

2. **Ethical handling of heritage assets**: As heritage assets, heritage samples must be treated with respect and care to preserve their tangible and intangible cultural significance, such as the historical and cultural narratives they embody. Researchers must ensure their work does not unjustifiably compromise the integrity of the samples, adhering to best practices in conservation. Some samples

3 – Literature on ethical considerations concerning heritage sample-taking remains limited, highlighting the need for further work in this area. Quye and Strlič 2019 stands out as a valuable resource offering practical tools, including a flow chart and checklist, to address ethical aspects of common sampling scenarios. Available at: https://www.icon.org.uk/resource/ethical-sampling-guidance.html

may be protected by law, such as human tissue or material from endangered species, such as tortoiseshell and elephant ivory (CITES, 1973) (→ *see section* 4.2). In the natural heritage field, the Nagoya protocol (Oxford University n.d., UN 2011) requires researchers to use genetic resources and associated traditional knowledge in accordance with any laws passed by the source country on access and benefit-sharing in line with the Convention on Biological Diversity (CBD). This responsibility continues after the research has been concluded to ensure that appropriate preservation measures are applied to maintain the samples and their cultural and scientific value, ideally as part of a sustainable sample archive.

3 **Data management**: Ethical challenges also arise concerning the management of data generated through research. Researchers must ensure that data is handled responsibly, respecting confidentiality and the rights of individuals and communities. This includes being mindful of how data is shared and used, particularly concerning sensitive cultural information. Compliance with professional standards such as FAIR data management principles is also an important consideration (Wilkinson et al., 2016). In the case of heritage samples, this responsibility affects not only the preservation of the samples themselves but also any associated documentation and data.

Researchers and heritage practitioners can align their work with good practice principles for responsible research and heritage preservation by adopting a comprehensive ethical framework encompassing these considerations. In academic contexts, research usually has to comply with formal ethics review processes, so adherence to these principles can facilitate smoother ethics approval. This alignment not only strengthens the integrity of heritage research but also contributes to the preservation of cultural heritage. Promoting knowledge sharing and sample reuse minimizes the need for new sampling. This approach supports sustainability and aligns with circular economy principles by maximizing the value of existing resources.

Heritage organizations and research bodies need to plan proactively for these ethical responsibilities to ensure compliance. This involves the obligation of individuals and organizations holding heritage samples to manage legacy issues effectively. It also requires acknowledging a "duty" to safeguard the value of samples and sample collections while enhancing their potential values (functionalities) by ensuring they are available or accessible for existing or future uses. Key steps towards fulfilling these responsibilities include developing a statement of significance and conservation and data management plans, as outlined in this document (→ *see sections* 7, 9, 14 *and* 15). These measures are critical to ensuring the long-term preservation and ethical handling of heritage samples.

3 – Key Terms

This is a brief list of the terms used most frequently in this document where definitions are not already in the relevant section. The list is complemented by a more comprehensive glossary provided in **Appendix 1.**

Archives
Assemblages of primary source material produced and/or accumulated over time by a person, group of persons, or organization. This material is a byproduct of the producer(s)' activities and is preserved because of its continuing value, which is realized through use. "Material" is a generic term for the variety of items that an archive might collect, regardless of medium, format or type.

Collections
Assemblages of material selectively acquired or designated retrospectively for a particular purpose or intent in accordance with specific criteria (type of material, format, time period, geographic location, association with a particular person or event, etc.).

Heritage object
A portable object, fixed feature (such as a building or monument), collection or site, including materials associated with its care and interpretation, that is considered to hold cultural heritage **value**.

Provenance
In sample collections, provenance refers to the material's place of origin (e.g. the object or source from which the sample[s] were taken) with the addition of the archives dimension of reference to the organization or individual(s) that generated, accumulated, maintained and/or used the samples.

Sample
A small amount of material that is collected to investigate or be representative of the whole or a specific aspect of the whole whether a heritage object or materials used in their re-creation, conservation or display. A sample may be extracted from an object, a selection of materials designed to be representative of a collection of objects or an example of a type of material associated with the care or interpretation of a heritage object.

Part I

Managing a Samples Collection as an Archive

4 – Introduction

After a sample has been identified and removed to the collector's place of work, it becomes part of a collection. The collection may be formed on a sequential basis, according to the collector's area of practice and work schedule (which may be defined by others) or with a specific research question in mind, such as the history and technology of particular forms or periods of heritage or of individual artists or manufacturers. Once a collection has developed, questions arise over what to do with it, for which archival management provides a helpful model.

4.1 - What is archival management?

Archival management establishes order in a collection by applying standardized procedures for the acquisition, care, arrangement, description and retrieval of materials and their associated records. In order for a samples collection to become an archive, samples and records undergo a further process of selection and transfer to a repository that meets recognized archival standards (e.g. ICA, 2000; ICA/SUV, 2010; IRMT, 1999/2003; SAA, 2020; SAA, 2024; and TNA, 2018)[4] (→ *see also Figure 1: Archival management flow chart*).

4.2 - How can archival management help me?

Managing a samples collection as an archive means samples are easier to care for and retrieve and information about them can be shared more easily, which facilitates their long-term preservation and (re)use. These benefits may demonstrate compliance with national and international standards that govern collections care, whether regulated by ethical and/or professional standards (e.g. as promoted by international bodies such as the International Council on Archives [ICA] and the International Records Management Trust [IRMT], as well as national bodies, such as national archives and national associations, or law [e.g. conventions, such as CITES, governing the collection of or trade in materials]). Being able to demonstrate such compliance can reinforce your collection's standing and help attract resources from e.g. external funders of research, archives, and collections management and conservation.

4.3 - Are you already behaving like an archive?

Your current record-keeping and collections management procedures may already meet archival standards, particularly where your samples are part of historic collections in museums, libraries and archives, which may already be governed by the professional standards and accreditation schemes to which these bodies subscribe. These schemes consider the governance of the entire organization, which is not the focus of this guidance, as well as the treatment of individual objects and records (e.g. TNA, 2018) on which this document concentrates.

4 – See also https://sites.harvard.edu/joint-processing-guidelines/accessioning/.

4.4 - Samples archive management self assessment

The following flowchart and checklist are designed to help you evaluate the extent to which archival standards are being met in the current management of your sample collection and what you can improve. The activities are organized according to the life cycle of a sample of cultural heritage material (→ *see Figure 1 and Table 1*). Figure 1 gives a general schema of the overall workflow. Table 1 gives examples of levels of archival management procedures to aid self-assessment. Please note: these may vary according to the nature and purpose of the collection.

Figure 1

Archival management flow chart

Table 1

The Samples Archive Management Checklist

Type of procedure	Level of practice: Basic	Level of practice: Better	Level of practice: Best
CREATE SAMPLE COLLECTION			
Sampling policy	Sampling policy drafted	Sampling policy consistent with professional practices	Stakeholders and rights holders have been consulted and have signed off on sampling policy
Sampling procedure including description	Samples taken are listed	Samples taken are listed with rationale	Sample-taking recorded on sample form with rationale, description and location or source
Photographic documentation	Sample photographed on collection	Sample and location photographed on collection	Sample and location photographed on collection and sample rephotographed after preparation for storage and analysis
Sample arrangement	Samples are arranged according to date collected	Samples are arranged according to date collected and site or source	Samples are arranged according to date collected, site or source of origin and material characteristic
Numbering and labelling	Samples are numbered sequentially	Samples are numbered sequentially as parts of a site or according to source	Samples are numbered sequentially as parts of a site or source according to material characteristic
Storage and housing	Samples are stored in the enclosures in which they were collected	Samples are placed in archival-quality housing	Samples are mounted for examination and stored in archival-quality housing
SELECT SAMPLES FOR ARCHIVING			
Appraisal (assess samples for retention or disposal)	Review	Record whether for disposal or retention	Record rationale for disposal or retention
Disposal (of unwanted samples)	Document unwanted samples prior to disposal	Consult other interested parties – e.g. donors, collectors or users – and document decision	Return to donor/owner or transfer to other collections/archives and document samples/records disposed of and rationale
Accession	List in in/out book	Inventory samples with unique IDs in computer system	Catalogue samples with unique IDs in computer system
MANAGE SAMPLE COLLECTION AS AN ARCHIVE			
Rephotograph	Samples rephotographed	Samples rephotographed under standard conditions	Sample photographs digitally corrected
Rearrange	Samples arranged according to institutional guidelines	Institutional guidelines adapted to nature of samples	Sample arrangement dedicated to nature of collection fitting institutional guidelines
Renumber and relabel	Renumbering consistent with accession system and some objects labelled with archive materials	As before – most samples labelled to archival standards	As before – all samples labelled to archival standards
Archival description (using archival standards on description)	Minimum required metadata collected	Complete metadata assembled	Complete metadata assembled with archival description database
Statement of significance	Research statement of significance	Research and draft statement of significance	Consult on statement of significance with stakeholders and rights holders, refine and approve
Access Policy (including Intellectual Property Rights Management Plan)	Design user form including IPR	Consult on user form including IPR with supporting policy	Sign off on user form including IPR and supporting policy
Preservation plan (including risk assessment, risk mitigation and data management plan)	Commission risk assessment, risk mitigation and data management plan	Design policy	Implement policy
Reappraisal (Deaccession)	Plan and schedule reappraisal	Carry out reappraisal according to plan	Deaccessions carried out according to plan

5 – Creating a Samples Collection

The first stage in a sample collection's life cycle is its accumulation from the collector's activities, for example, through gathering (samples assembled or taken by an analyst, conservator or technical historian) or through receipt (being sent by others, e.g. for analysis). While it may be ideal for the analyst to collect the sample, this may not always be practical in the field or in private practice for logistical and/or financial reasons, with samples deposited by other departments, institutions or collaborators.

The procedures that help manage the accumulation phase include the following (→ *see also Table 1*):

5.1 - Sampling policy

Guidelines that describe the approach to collecting samples are essential to ensure consistency and transparency. A policy outlines the principles governing the purpose and arrangement of the collection, summarizes what is to be sampled and why, describes where and how to take the sample, identifies interested parties such as researchers and owners/custodians and agreements between them, and covers the ethics and responsibilities related to removing material from objects and sites. (e.g. Icon, 2019). For reference samples, the policy should also describe the purpose for which the samples are collected or assembled as well as the source, methods and materials involved, and whether the purpose is for analysis and testing, such as ageing tests, or for future reference, for example, materials used in the conservation, storage, display or reproduction of historic objects. Where samples are collected by people other than those who ultimately care for them, it should still be possible to set out the rationale for sampling as well as for depositing them with another body. Sample collectors can be encouraged to provide this information, or work with a person tasked with its collation.

5.2 - Sampling procedure (including description)

The sampling procedure describes the methods used to collect or assemble samples and information to be gathered about them, enabling understanding of their significance and retrieval for future use. This information can include, for example, who collected the sample(s), where from, why (the research question the sample is intended to help answer) and when, and to whom the samples and/or the site or object belong. It can be helpful to use a sample form to collect this data systematically (→ *Appendix 2*). Ownership information can be crucial in responding to future requests to use the samples, particularly where permission for reuse did not form part of the original sampling exercise.

5.3 - Photographic documentation

Photographic documentation records the sample itself and its sampling location, and how it is handled subsequently. It can indicate why a particular area has been sampled or certain sampling and analytical methods were used.

5.4 - Sample arrangement

The samples may have been arranged in a way that facilitates the use and management of the samples for a specific purpose or research question. Archival practice defines six main types: numerical, chronological, alphabetical (often found in geographically based collections), hierarchical, geographical, and record type (e.g. correspondence, either incoming or outgoing, photographs and reports) (IRMT, 1999/2003). This structure should be set out in the collection's sampling procedure and/or established from historical documentation where this structure is not explicit. This structure may affect future marking and labelling samples for archiving purposes. The original order should be maintained once the collection is transferred to an archive unless there is no clear organization, in which case rearrangement should be documented, including the rationale for making the change.

5.5 - Numbering and labelling

A unique identifier allows samples to be managed more easily and facilitates access. Creating lists of samples in software using spreadsheets or databases can generate a number, usually sequential, according to the order in which data is entered. Identifiers can also be a word, letter, symbol, or a combination of these identifying specific sites or types of objects according to the collector's or custodian's coding system and using subsets of numbers to group samples according to particular sites, locations, features or objects. Professional guidance on marking should be followed to minimize the risk of damage from marking or labelling that may compromise samples' potential for reuse, although sometimes durability can be just as important (Collections Trust, 2020; ICA, 2000, section 3; Museums Association of Saskatchewan, 2016; SAA, 2020, section 2.1). These numbers form a basic inventory, or list, of samples, alongside the name of the source, collector and date of collection, and elementary description, such as material or colour, enabling retrieval. Inventories are the basis of more detailed catalogues that add information about the sample's original and subsequent history, date of manufacture, provenance, materials and technique, and the results of further research such as historical or scientific analysis.

5.6 - Storage and housing

To ensure samples remain usable in the long term, damage and contamination that could affect the sample's potential for reuse should be avoided during storage. Having ensured that the storage area is physically safe, secure and not at risk of fire, flood or other catastrophic threats, environments should be managed to avoid accelerating rates of deterioration (such as corrosion, embrittlement or the yellowing of embedding resin). This includes avoiding extremes or major fluctuations of relative humidity (RH) or temperature (T) according to the nature of the sample material and avoiding exposure to dust and dirt, pollutant gases or excessive light levels (e.g. BS 4971:2017) by using archival housings that are acid-free and chemically neutral (BS EN 16893:2018; CCA, 2003, Chapter 6; ISO, 1994 and 2007; NARA, 2015 and 2023, and Appendix 3).

6 – Review – Selecting Samples for Transfer to an Archive

Once the samples have been used for the purpose for which they were initially collected (e.g. examination and analysis), questions about the future retention of samples arise. If they are to be kept, a selection process can determine which samples are of sufficient intrinsic significance or potential research value to be retained (→ *see Section 9.*). An official archive will have its own reviewing procedures,[5] which can help prepare a collection for future transfer and improve routine management by avoiding wasting resources on caring for material of no significance. Selection typically involves the following steps:

6.1 - Appraisal

The process of evaluating records (in this case, samples) to determine:

- which are to be kept for specified periods
- which will be disposed of
- which are to be retained for non-invasive examination for permanent preservation
- which are to be retained for potentially invasive analysis

A professional archivist's decisions on accessioning samples to a formal archive are based on legal and professional requirements (such as ISO, 2018 and TNA, 2018), as well as the samples' current and potential usefulness.

6.2 - Disposal

Records disposal is part of standard archival practice. In business and government, records that are obsolete or superseded are disposed of to ensure that the archive is credible, reliable and effective, with permanent preservation of records of historic significance. In heritage collections, disposal decisions are based principally on historic value. Reasons for disposal may include the existence of duplicates or deterioration of the sample beyond use. Selecting samples and associated data to be disposed of is not done lightly, and methods should reflect museum as well as archival practice, e.g. returning redundant samples to the owner or client or to another collection before considering physical destruction. Disposal should be accompanied by a record of what has been disposed of and why. This information may be useful to researchers in the future, for example, in understanding the history of a collector or the collection.

6.3 Accession

Accession is the acquisition of a collection of samples and official transfer to an archive, which should be accompanied by all documentation of ownership, such as a donation agreement or commission describing the work for which the sample was taken.

5 – See for example https://www.nationalarchives.gov.uk/information-management/manage-information/selection-and-transfer/

7 – Managing a Sample Collection as an Archive

After permanent transfer to an archive, managing the collection involves surveying, arranging, describing and carrying out basic preservation activities on the samples, as well as preparing them for use. Although similar processes may have been used in the initial management of the samples collection, some of them, such as photography, arrangement, numbering and labelling, may need redoing to fit the archive's processes for managing the care of and access to the samples.

7.1 - Archival description and statement of significance

Description of the archive involves analyzing, organizing and recording data about who collected the samples, when, and why; what the samples consist of and where they are from; and the collection's history, nature, scope and ownership, both as a whole and in terms of its individual elements. This fundamental work informs statements of significance, which describe what is important about collections and for whom in consultation with those with a significant interest (→ *see Part II*). Understanding what you've got enables potential users to understand how the collection is relevant to them and custodians to improve the care of the samples to provide future use, including whether there are any limitations on use (→ *see 7.2 and Part III*).

7.2 - Access policy including an Intellectual Property Rights (IPR) management plan

The access policy describes the principles and procedures regulating the use of an archive's materials. An IPR management plan should be included that clearly identifies the IPR associated with specific materials, along with the necessary permissions to allow individuals to use those materials and the information they contain. (→ *see Part III*).

7.3 - Preservation plan (including risk assessment, risk mitigation and data management plan)

The preservation plan is an archives term for a document that has many similarities with collections management plans in museums and conservation management plans in the wider heritage sector, with which readers of this guidance may be familiar. The preservation plan outlines the process by which the general and specific needs of an archive are determined for present and future preservation, establishes priorities, and identifies the resources required for implementation. It includes a risk assessment and mitigation plan for the prevention of threats (similar to emergency and salvage plans in museums) and a data management plan for the management and protection of data, including analogue and digital information, to ensure the sample collection's authenticity, integrity, reliability and long-term accessibility (CCA, 2003; DCC, 2013; English Heritage, 2010; IRMT, 1999/2003 and 2009; Jones, 2011; Michalski and Pedersoli, 2016 and 2017; NEDCC, 1999; Ogden, 1998).

7.4 - Reappraisal (Deaccession)

The process of re-evaluating or reviewing the holdings of an archive, museum or library can lead to a better understanding of the collection and reveal how the collection promotes the host organization's purposes. Changes to the organization's collecting policy or conditions rendering samples unusable may lead to the permanent removal or deaccessioning of material. Deaccessioned material may, as with material not selected for transfer to an archive (→ *see* 6.2), be returned to its donor, offered to another institution, or, as a last resort, destroyed. Again, records of what has been disposed of should be kept.

8 – Organization and Resources

The following issues are as fundamental to the effective management, care and use of collections by archives and museums as by non-heritage institutions or individual owners or custodians (→ *see* IRMT, 2009, *Managing Resources*).

8.1 - Institutional recognition

Where samples collections are formed as part of an organization's work but are not part of a museum, library or archive, their existence should still be recognized as part of the organization's structure and purpose by a document such as a mission statement (NEDCC, 2015–22) that describes the purpose of the samples collection and how it supports the host organization's work.

8.2 - Responsibility

Designate who is responsible for managing the samples collection and overseeing all the procedures described above.

8.3 - Space allocation

A safe, secure and accessible space with appropriate storage equipment, materials and services is needed for the storage and study of a samples collection (→ *Appendix* 3).

8.4 - Finance

A budget is needed to cover the costs of caring for samples and enabling access to them. This includes sampling and storage equipment and materials, as well as energy costs for maintaining an appropriate environment. It also includes the costs of allocating staff time or hiring additional staff or contractors to manage and maintain the collection, create and update records, and publish related research and promotional materials.

Part II

Statement of Significance

9 – Introduction

The information acquired through archival management can be used to create a statement of significance. The better the work of archiving and describing the original collection (→ *see Part I*), the better the statement. Where this process is incomplete, a clear timetable for revision becomes even more important.

9.1 - What is a statement of significance?

A statement of significance is a short description ranging in length from a couple of paragraphs to two or three sides of A4. The description summarizes what is considered important about a heritage asset and why current or potential users may be interested in it (Brown, 2016). The methodology, which was originally developed for the conservation of monuments and built heritage (Australia ICOMOS, 1989/2013; English Heritage, 2008), has been adapted by the museum sector for use with objects and collections (e.g. The Collections Trust, 2018).

For an archive, the statement draws from the archival description (→ *see* 7.1), including information about the collection's composition (e.g. material types), size (e.g. number of samples), provenance (where the samples were collected from – e.g. object types, geographic location, historical period), collectors (those who collected the samples), the purpose for which samples were taken and the collections originally formed, why they were retained (e.g. transfer to an archive), the collection's history, condition (both physical state and completeness of documentation) and current and potential use. Analyzing the nature and strengths of the collection – such as their connections with particular people, sites, objects or types of material – demonstrates their relevance to potential uses, such as historical research, heritage science or conservation, and education. Those with major decision-making authority over the collection are also described, such as the custodian or the institution hosting/owning the collection and any associated governance (e.g. advisory board or trustees), owners of the cultural items from which samples are taken, and the original collector(s) and/or donor(s) or their representatives if they are still influential.

9.2 - How can a statement of significance help me?

The statement can help advertise key characteristics of a collection that may be otherwise unknown to potential users and encourage the reuse of samples as an alternative to, or as a first step before, taking new samples. Users can refine their research questions and sampling strategy on the basis of the statement, avoiding or reducing the removal of more material from irreplaceable heritage objects and enabling the more efficient use of scarce resources. Custodians can use the statement to assess whether requests to use samples are appropriate, particularly whether there are any constraints, such as spiritual values, that may be affected by handling.

Additionally, a statement of significance can draw attention to an under-recognized collection within its host organization and encourage greater engagement from managers.

9.3 - Creating a statement of significance

The statement arises from assessing the collection's significance against a number of predetermined criteria, called values, by those with interests in or influence over the collection.

10 – Values

Values are the qualities that make an asset important, desirable, beneficial or useful. Different interest groups may see different values in the collection, so it is important to consult widely to ensure that the assessment is comprehensive.

Examples of values are given below, drawn from those used typically in the field of cultural heritage (de la Torre, 2002; English Heritage, 2008; Azzopardi *et al.*, 2023). A key point of reference is the purpose and use of the collection and how its values contribute to serving this purpose now and in the future. A mismatch between the collection's values and purpose may require a re-evaluation of the purpose – for example, if a collection that includes samples from sacred objects that require the observation of particular practices to retain their spiritual integrity enters an archive that is committed to public access.

The following values are often used in the description of heritage materials:

- Scientific and research value
- Educational value
- Documentary/evidential value

Other values that are important for heritage include:

- Historic
- Artistic/aesthetic
- Spiritual
- Social/communal
- Economic
- Preservation

Table 2

A selection of values used in assessing a sample collection/archive's significance

Value	Example
SCIENTIFIC AND RESEARCH VALUE	**The archive contributes to scientific research and other scholarly pursuits, yielding new information and knowledge.**
Questions to ask: • What is the archive's interest or value for science and research? • Who is actively interested in studying the sample archive today, and who might want to study it in the future?	
EDUCATIONAL VALUE	**The archive serves as a didactic resource, contributing to education and academic studies.**
Questions to ask: • How does the archive support learning and the development of educational programmes? • Who are the beneficiaries of these educational activities? • What types of educational activities does the archive support?	
DOCUMENTARY/EVIDENTIAL VALUE	**The archive contains information that records original materials and their contexts, use and conservation histories.**
Questions to ask: • Does the archive record information about objects that is otherwise not available (for example, objects that have been lost, stolen, altered or destroyed)? • Does the archive contain information that evidences past historical contexts, cultural practices, technologies or important individuals, institutions and their activities? • Does the archive provide information about previous conservation treatments and/or preservation strategies? • Are the sample materials governed by legislation, e.g. concerning endangered species or genetic material?	
HISTORIC VALUE	**The archive and its contents are associated with people or events of historic significance.**
Questions to ask: • Are the biographies of the people who created the archives, the objects from which samples were collected, or the circumstances of the archive's creation historically significant?	
ARTISTIC/AESTHETIC VALUE	**The archive contains samples relating to objects considered to be of artistic and/or aesthetic value.**
Questions to ask: • Are the objects from which samples were originally collected considered to be of aesthetic or artistic significance? • Are the samples themselves of intrinsic beauty?	
SPIRITUAL VALUE	**The archive contains materials associated with religious or ritual practices.**
Questions to ask: • Does the archive contain materials from objects considered to be of ritual or religious significance? • Are specific customs and observances required when handling such objects that transfer to their samples? • Who needs to be consulted to understand the appropriate measures for storage and handling?	
SOCIAL OR COMMUNAL VALUE	**Materials held by the archive embody social practices such as customs or behaviours and/or define social groups.**
Questions to ask: • Who are the source communities of the materials in the archives? • How were the materials originally used? • What makes them different from similar materials used by other groups? • Who needs to be consulted to define these practices and attribute them correctly?	

ECONOMIC VALUE	**Samples may be of intrinsic worth because of their rarity; association with, for example, historic or culturally significant figures or events; or intrinsic worth, e.g. if made out of precious materials.**
Questions to ask: • Are the materials of which the samples are made or the objects from which they come valuable? • Could they generate income, e.g. by charging for access, licensing products, exploiting copyright (e.g. materials coming from artists' estates still within copyright) or used to create other media, such as films or video games?	
PRESERVATION VALUE	**The samples provide benefits through their long-term preservation.**
Questions to ask: • What are the long-term benefits of keeping these samples? For example, are they rare or the only means for future generations to know what and how objects were originally made? • Is their state of preservation unique, e.g. uncontaminated by treatments such as restoration?	

11 – Influencing Factors

Various factors affect how far a material represents a particular value and, thus, its relative importance. These factors include:

- Provenance
- Representativeness
- Interpretive capacity
- Rarity
- Physical condition of the samples
- State of archival processing
- Relevance or level of significance (local, regional, national or international)
- Accessibility
- Visibility

Table 3

Examples of factors that may influence the relative importance of a particular value

Influencing factor	Generic definition
KNOWN PROVENANCE	**Are the samples' origins known and documented (e.g. the geographic location and/or objects or source materials from which they were taken)? Provenance may also refer to a collector or collecting organization.**
Questions to consider: • Is the provenance of the samples well-documented and reliable? • Is the ownership of and right to use the samples clear? • Were the samples collected in an ethical and responsible manner?	
REPRESENTATIVENESS	**The degree to which the archive reflects the various characteristics of its source (e.g. a cultural context, heritage typology, geographic distribution or historical period).**
Questions to consider: • How well does the sample archive reflect the diverse characteristics of its originating domain?	

INTERPRETATIVE CAPACITY	**How far the archive can be used to develop knowledge and understanding among its users and interested parties.**

Questions to consider:
- How well can the archive be used to interpret aspects of the samples' source?
- Can the archive be used to provide educational, scientific or research resources?
- Can the archive enhance the interpretation of the objects or sites from which the samples came?
- Does the archive add to teaching, as a resource for education, or research in the sciences and/or humanities?

RARITY	**The archive (or elements of the archive) is unique or rare in subject, representativeness, quality, condition, collector or other association.**

Questions to consider:
- Are the samples the only ones of their type, or do similar collections exist?
- Are the materials or objects from which the samples were taken rare or unique? Are they of a type or style, or do they contain information or exemplify other culturally relevant features that are not retained elsewhere?

PHYSICAL CONDITION	**The extent to which the samples are in a good and stable condition, free from active deterioration or contamination.**

Questions to consider:
- Are the samples sufficiently intact or robust to be handled and subjected to analysis?
- Do the samples contain hazardous materials that might prevent or constrain their use without risk assessments and health and safety precautions?

STATE OF ARCHIVAL PROCESSING	**How far the archive has been organized and described using archival principles and methods.**

Questions to consider:
- Is the material well-organized and catalogued so that samples can be retrieved together with their metadata?
- How complete are the samples' metadata?
- Does the archive suffer from dissociation (i.e. lost, misplaced or absent information)?
- Is the data digitized, and does it meet FAIR principles (Findability, Accessibility, Interoperability and Reusability; Wilkinson *et al.*, 2016)?
- Is metadata archived to industry standards and available for future generations?

RELEVANCE	**The amount of material of local, national and/or international interest in the archive.**

Questions to consider:
- Does the archive hold information from one or various geographic or political regions?
- Are the materials held relevant to research at local, national and/or international levels?

ACCESSIBILITY	**The ease of using the archive and retrieving and using samples.**

Questions to consider:
- How easy is it to contact the archive and make requests?
- Is the archive physically accessible? Can samples be readily and safely retrieved?
- Do study areas provide sufficient space and equipment for the intended use of archive materials, e.g. quality of lighting, availability of power, work surfaces, equipment, and any necessary health and safety measures?

VISIBILITY	**Are potential users aware of the archive and its purpose and contents?**

Questions to consider:
- How is the archive represented online and through other media? Is more promotion needed, e.g. among professional communities or research networks through publications or conference papers?

12 – The Assessment Process

Having an assessment meeting to consult with key interest holders has proved helpful in agreeing on values and influencing factors and assessing them against the collection's current and potential uses and purposes. The process should generate a short statement. Resources required include not only people, and time but also the preparation of information, and funds for costs such as renting a room and refreshments or hiring an external facilitator or specialist advisers.

Figure 2

Significance assessment process

12.1 - Establish a project team

Invite people who are representative of those who own, manage and use the collection, including the custodian and/or curator; learning, outreach, administrative and marketing staff; existing and potential users – not only professionals such as conservators, scientists and researchers but also specialist interest groups; and other people with strong influence over the collection, such as decision makers.

Allocate roles to individual members, including a project leader (who may be the archive's owner, custodian or another designated person with appropriate management skills), a recorder (to document the work) and an administrator (to book any necessary resources, such as meeting rooms, equipment, travel or refreshment).

The project team should scope the assessment and set a timetable, identifying participants and methods of consultation and arranging a meeting where key individuals or representatives discuss the statement of significance.

Table 4

Examples of information needed to inform assessments of significance

Useful information	Questions for consideration
PURPOSE(S) & USE(S) both previous and current	**Why was the archive established, and what purpose does it provide today?**
Sources include: • Documentation such as lab records, correspondence, reports and published research studies. • Recollections of interested parties who have contributed to and/or used the archive in the past who may also provide valuable thoughts on the archive's future purpose and use.	
COMPOSITION	**What samples does the collection/archive contain, what materials do they represent, how many are there, what is their age, and where do they come from? Are there other types of information?**
Sources include: • The archive catalogue (if there is one) or other documents recording what was collected, when and how. • If these records do not exist, it may be necessary to inventory or catalogue the collection from scratch according to professional standards. • Description can be both qualitative (i.e. descriptive) and quantitative (i.e. statistical – how much there is of particular types of material and what percentages they form of the whole collection).	
PROVENANCE, HISTORY	**How, why, and when did the archive come into being? Who collected the samples, and who first used them? How and with what results? How is it currently used, by whom, and why?**
Sources include: • The archive catalogue (if there is one) or other documentary sources. • Documents, photographs, etc. that give information about the origin of the samples. • Appointments books. • Copies of information derived from the samples (analytical reports, publications, etc.). • Recollections of key stakeholders or rights holders who have contributed to and/or used the archive in the past.	
CURRENT CONTEXT AND CONDITION	**Where is the archive currently located, and how is it looked after?**
Sources include: • Information about the archive's purpose and the host organization's mission, which governs the archive's potential use and resources. • Who owns and/or cares for the collection/archive, and how is it currently maintained? • Does an inventory or catalogue exist? Is it up-to-date, and is it digitized? • Condition assessments of the collection (e.g. assessing preventive conservation risks) and/or of individual objects (e.g. condition of each sample). Results can indicate whether or which samples are robust enough to be handled and analyzed or if they have been damaged or contaminated, for example, by off-gassing, acidic storage materials or other pollutants, and what preventive (e.g. rehousing) and remedial (e.g. cleaning) actions would improve their condition, with the time and finance needed.	
ARRANGEMENT (PHYSICAL & INTELLECTUAL)	**How are samples stored and their location recorded?**
Sources include: • Information from examination, inventory or catalogue on how the archive is arranged (e.g. by country, site, date or material). • Description of where the collection or archive is kept. • Description of retrieval of samples for internal and external use (e.g. an access policy, see section 5) such as for further examination and analysis. The better organized the samples and the more up-to-date the locations list, the easier retrieval will be. • The availability and equipping of study rooms (e.g. light, working surfaces, privacy and comfort). • How the study location is reached, including measures for less able users and security (e.g. steps, lifts, trip hazards).	
FUTURE USE	**What might the collection/archive's potential future function(s) and use(s) be?**
Sources include scoping reports and/or participants' thoughts on: • How the collection/archive might be used in the future. • Who future users might be. • Implications for resources for care and maintenance, including people, time, equipment, space and money. • Whether any new standards, legislation or research questions apply. • Benefits that may arise from future use.	

12.2 - Decide who to involve

The project team should identify other groups and individuals with an interest in the collection materials and the archive. These should include not only current but also past owners and decision makers. They may be representatives of source communities, or the original creators, or owners of the materials from which the samples derive, or of custodians of the archive or sample collection ('rights holders'). Those with knowledge about the history and nature of the archive should also be represented, as well as those who are legally, ethically, professionally, or spiritually responsible for the sites, monuments or objects from which samples may have been collected. Particular sensitivities may arise if samples come from contested heritage, endangered species, or contain human tissue, or where samples originally formed part of features governed by statutory designations. Potential funders and other partners may also join the project team.

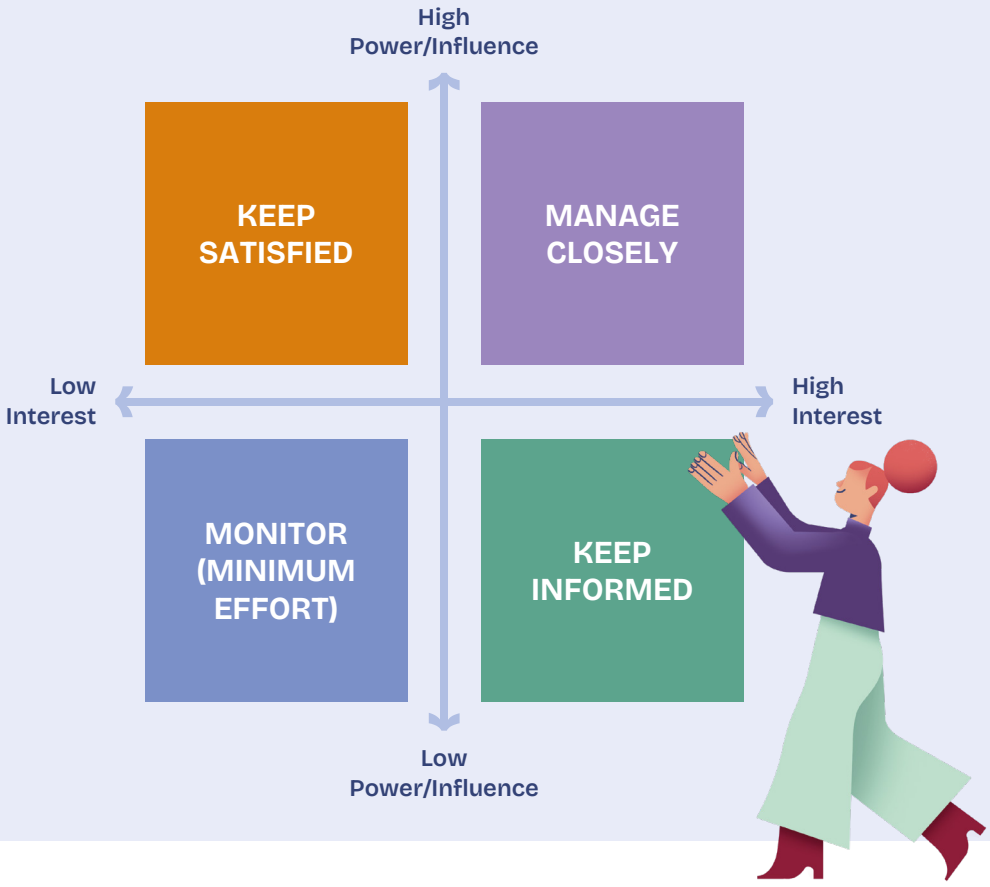
12.3 - Characterize participants' levels of interest and influence

Analyzing the levels of interest and influence of those involved helps inform the best means of participation and engagement (→ *see Figure 3*). For example, highly influential people may have a statutory role in granting permissions relating to copyright (whether by ownership or through intellectual rights) or arising from official designations or governance by law (e.g. CITES, Human Rights Act, and Nagoya protocol) requiring formal consultation. Or they may have specialist knowledge or experience relevant to the archive that could enhance the identification of values and influencing factors. Those with the greatest influence and interest may be invited to join the project team or be involved in two-way consultation by being asked for permission or contributing to assessment workshops. Others with less influence and/or lower levels of interest may be kept informed by a one-way flow of information such as reports and newsletters or updated via a website. They may also be given the opportunity to comment via the circulation of draft statements and invitation for feedback.

6 – International legislation includes CITES 1973
7 – Varies according to the collection's location, e.g. in the EU, the Nagoya protocol EU 2014 (see https://researchsupport.admin.ox.ac.uk/policy/nagoya#collapse393481 for recommendations on implementation); in the UK, regulated by the 2004 Human Tissue Act

Figure 3

Mapping interested parties according to level of interest versus level of influence



12.4 - Design agenda for the assessment meeting

Existing information about the archive is collated by the project team, which also carries out research to fill any gaps (→ *see Table* 4) and shares the information gathered in advance of the meeting with the agenda (→ *see Table* 5). The meeting can be conducted with the help of a facilitator if desired. The meeting's scope and methodology should be agreed upon (including any rules of behaviour, such as confidentiality and respect for differing points of view). The information circulated about the collection, its values and their influencing factors (→ *see* 10. *and* 11. *above*) should be reviewed. If it is not possible to bring everyone together at the same time, the process should be made as inclusive as possible by interviewing important stakeholders or rights holders who cannot be present in advance of the meeting and sharing the outcomes. Those responsible for different aspects of the archive's development, care and use can be invited to prepare a short presentation. The project leader and recorder summarize the evaluation, identifying key significances and for whom they are significant, bringing together all the outcomes and identifying and prioritizing issues that may require further research and consultation. A nominated individual is commissioned to draft the statement of significance after the meeting.

Table 5

Statement of significance assessment meeting

Actions	Explanation
1. AGREE ON THE SCOPE OF THE MEETING	i.e. the establishment of a statement of significance and the collection/archive's purpose by considering together: • Who the statement is written for, and why; and • Who the archive is significant for, and at what level (local, regional, national or international).
2. AGREE ON METHODOLOGY	e.g. assessment of samples collection according to accepted thresholds of levels of significance (e.g. Collections Trust 2018) and agreed values. Draft these points as a short ***methodology*** reference document to be used throughout the meeting and beyond to check whether the desired outcomes have been achieved.
3. REVIEW NATURE OF THE COLLECTION/ ARCHIVE	• Review circulated description *(→ see Table 4)*. • Consider presentations from key stakeholders and rights holders. • Assemble outcomes of discussion in a short ***description***.
4. AGREE ON THE PURPOSE OF THE COLLECTION/ ARCHIVE	• Review – past, present and potential future uses; and – how these uses align with the mission of its custodial organization. • Draft a ***statement of purpose***, i.e. a few short sentences that align with and support this mission to serve as a guiding reference for the values assessment.
5. BRAINSTORM THE VALUES	Consider: • What values make the archive important *(e.g. → see Table 2)*? • How well do these values align with the ***statement of purpose***? If the values and the purpose do not align, review the purpose or reconsider the identified value. • Relate the values to specific components (attributes) of the collection. • Check if any values are missing. • Define each identified value and how it relates to the archive in the form of a short statement on which everyone can agree.
6. BRAINSTORM AND LIST INFLUENCING FACTORS	Consider: • What factors *(e.g. → see Table 3)* affect the identified values with reference to specific elements of the collection? • Are any factors missing? • Define each influencing factor and how it relates to the archive in the form of a short statement on which everyone can agree.
SUMMARIZE THE FINDINGS	• Use a table *(see example below)* to compile the outcomes. • Consider whether the samples and collected information are relevant to the archive's/host institution's purpose and whether modification is needed in order to achieve alignment.

Archive Purpose *Insert the **statement of purpose***		
Archive Description *Insert the **description** of the archive*		
Main Interested Parties *List the main types of people who have an interest in or influence over the archive*		
Archive Values *Insert a row for each value identified*		
Name the value	*Give a short description*	*Identify the parts of the archive to which this value is relevant*
Modifying Factors *Insert a row for each factor identified*		
Name the factor	*Give a short description*	*Identify which values are affected by this factor*

12.5 - Writing a statement of significance

The statement of significance should express concisely the findings of the assessment meeting(s) in describing the collection's current and potential significance for its custodians and users (→ *see Table 6*). The draft is sent out for consultation according to the analysis of participants' level of interest and influence, and any final revisions are made according to the agreed timetable (Collections Trust, 2018; Historic England, 2019). There is no standard format, but the following template contains a number of elements that have been found useful in describing significance and can be adapted to local needs.

Table 6

Example of a statement of significance template used by HSAI project participants

INTRODUCTION
A short note outlining the objective in preparing the statement and for whom it is written.

DESCRIPTION
Describe the sample archive in terms of its
- Purpose
- Composition
- Provenance, history, current context
- Stakeholders and rights holders
- Arrangement (physical & intellectual)

THE VALUES AND THEIR SIGNIFICANCE
Outline the values associated with the asset in order of priority, also indicating the extent to which their importance is affected by the modifying factors.

ACKNOWLEDGEMENTS
Mention all those who contributed to the development of the statement of significance.

CONTROL
It is useful to include a unique identifier, such as a name and suffix that is updated each time a new version of the statement of significance is agreed, so that future modifications are tracked.

12.6 - Review statement of significance

Regular review of the statement of significance is needed to reflect the acquisition of new materials and information about the collection and how values, including how different people understand them, change over time. This ensures the statement remains relevant to the collection and its uses. For example, the growth of decolonization and changing attitudes to repatriation may reveal new research topics or change the significance of individual samples. This review is particularly important at times of significant change, for example, if a new collection is added or the custodial organization changes. Changes should be managed through version control (→ *see* 19.).

13 – Case Studies

The following examples are drawn from posters presented at the Poster Session of the International Workshop on "Connecting Collections: Unlocking Value in Heritage Samples Archives" held in Portugal in 2022 within the framework of the Heritage Samples Archives Initiative (→ *https://www.iccrom.org/projects/value-and-significance-heritage-samples-archives-poster-gallery-2022*).

Figure 4 - 5

4 – Example of a statement of significance by María Mata Caravaca and Alison Heritage, ICCROM, for the Mora Sample Collection

5 – Example of a statement of significance by Ana Albar Ramírez and Ana Belén Soldevilla Navarro, Spanish Cultural Heritage Institute (IPCE), for the IPCE heritage sample archive and database

Figure 6 - 7

6

Heritage Samples Archives INITIATIVE

LIBRARY OF CONGRESS

Connecting Collections – Unlocking Value in Heritage Samples Archives
13-15 June 2022 , University of Évora, Portugal

Centre for Heritage Analytical Reference Materials (CHARM)

Fenella G. France, Andrew Forsberg
Preservation Research and Testing Division (PRTD), Library of Congress, USA

A **unique** collection of **heritage samples** and data for characterizing, experimenting, predictive testing and training.
The **active data platform** enables reuse, knowledge exploration and sharing.

Statement of Significance

CHARM replicates the materials of holdings in the Library of Congress (LC). It includes: the 1000 book 'Barrow Collection' (ca. 1500-1900); 100+ unique paper types and historical manufacturers' sample books; handmade papers; tree fibers (TAPPI); papyrus; parchment types; photographic samples; 550+ colorants (pre-1800 to modern); ~1200 historic recipe paint-outs; Forbes pigments; textile and plant fibers; artist materials used and donated by modern artists; Quality Assurance and conservation repair materials; and, sound recordings including discs, wax cylinders, CDs, DVDS, and other audio and video materials.
The archive is used by heritage scientists and conservators to inform decisions about collection holdings without destructive testing on those items. External researchers can access the collection by contacting the Preservation Research and Testing Division. At a minimum, each sample has associated baseline and multiple instrument characterization data for quick reference, although CHARM accumulates all further research data for these materials as it is conducted. CHARM is used for understanding how diverse materials change over time, predictive testing, assessing treatments, and developing new analytical techniques. CHARM-D is the digital platform – an interactive application with datasets from over 20 instrumental techniques. CHARM's role is to provide unique datasets for characterizing heritage materials, tracking and understanding changes, and enabling a proactive approach to preservation challenges.

The process

The online resources we found (guides, discussions, and templates) for Statements of Significance (SoS) were primarily concerned with collections and archives of heritage object samples, rather than reference samples. By far the most commonly referred to source we came across was the Australian Government's Office for the Arts' 'Significance 2.0' (https://tinyurl.com/2p96esy5).

Amanda Satorius (PRTD), who catalogues and maintains CHARM, conducted a survey of SoS in the wild. Drs. France and Forsberg conferred on how these and how we might adapt these for a reference collection. The HSAI working groups' discussions informed this process to a great degree as well.

We felt that we were not alone in finding it easier to describe what the CHARM is, and even its role within the division, than it was to identify how it was significant in its own right. And so perhaps the most significant part of the SoS for us was to focus on who would be using it and for what. i.e., the value can be found in the needs and wants of (potential) users and the tasks they want to achieve. This relates closely to our goals for the data repository and querying services in CHARM-D.

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7

Heritage Samples Archives INITIATIVE

Hochschule für Bildende Künste Dresden University of Fine Arts

Connecting Collections – Unlocking Value in Heritage Samples Archives
13-15 June 2022 , University of Évora, Portugal

The Virunum Collection

Rebecca Tehrani, Markus Santner
Dresden University of Fine Arts, Germany

A wall painting fragment collection of **high artistic quality and historical value** provides evidence of the **only known provincial stage theatre** in ancient Noricum and is used as a **scholarly resource**

A glimpse into provincial Roman Art in Austria

The Virunum Collection comprises 516 wall painting and stucco fragments, from the only known stage theatre (2nd century CE) in the Roman city of Claudium Virunum in the province of Noricum (now Carinthia, Austria). The fragments were collected from 1837-1856 during excavations by the Carinthian Art Society.

Today, the fragments are the only physical trace of the stage theatre's once opulent wall decorations. Their high artistic and technical quality, comparable to wall paintings at Pompeii, and their good state of preservation, make the collection an important testimony of provincial Roman Art in Austria.

Since excavation, the collection was maintained and exhibited by the Carinthian Art Society at the now Landesmuseum für Kärnten (LMK). The museum also holds records adding to the art historical and archaeological value of the collection, including C19th watercolours and photographs documenting the fragments' condition, revealing the research interests of the time. The fragments also evidence C19th and C20th museal practices and aesthetic perceptions. Since 2019 the collection is held at Dresden University of Fine Arts, where it is the focus of a research project. Through the project, funded by the LMK, the collection serves to educate conservation students and gain knowledge about provincial Roman painting techniques. These exchanges are informing the conservation and concept for re-exhibiting the collection at the LMK in September 2022, adding to the collection's didactic value.

PREPARE
- **Interest groups and knowledge holders**
  → identify and involve different interest groups and knowledge holders, identify current and future purpose and function of the collection
- **Inventory of the fragments**
  → assess extent of collection and identify related documents
- **Archival and literature research**
  → investigate the history and purpose of the finds and collection, conservation practices in 19th and 20th century and the reception of fragments (lifecycle of fragments)
- **Archaeological assessment**
  → specify provenance and dating through comparison, reconstruct wall painting design

ASSESS
- **Conservation research and investigation**
  → differentiate between added and altered materials, assess condition and historic painting techniques, identify sister samples, select representative fragments for further investigation analysis
- **Analytical investigation**
  → identify and differentiate materials to refine the description of historic painting technique
- **Involvement of diploma research**
  → gain in-depth insights into selected fragments

EVALUATE
- **Exchange between disciplines**
  → summarize findings and contextualize information from different disciplines, specify associated values

REVIEW + REPEAT
- **Every new finding demands reassessment and re-evaluation of each individual fragment within the context of the collection in an iterative process.**

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6 – Example of a statement of significance by Fenella G. France and Andrew Forsberg, Preservation Research and Testing Division (PRTD), Library of Congress, USA, for the Centre for Heritage Analytical Research Materials (CHARM) sample collection

7 – Example of a statement of significance by Rebecca Tehrani and Markus Santner, Dresden University of Fine Arts, Germany, for the Virunum Collection

Part III

Access Policy Development Guidance

14 – Introduction

One of the benefits of a samples collection is its use by people for whom access needs to be provided. Archives develop access policies to set out approaches to managing use, which can be applied to samples collections (ICA, 2012).

14.1 - What is an access policy?

The policy sets out the principles governing access to the samples archive for managers and potential users and how these should be applied. It summarizes the procedures (sets of rules or guidelines) developed by the organization for the archive managers and users to follow, which form the bulk of the policy and refers to any other relevant policy frameworks that affect the operation of this policy. An example is the Access Policy for the Mora Sample Collection of wall paintings and associated materials held at ICCROM.[8]

An access policy safeguards the interests of not only the custodian organizations but also those whose samples or data are included and the interests of the users by clearly setting out what is permitted, thus avoiding conflict.

14.2 - Why have an access policy?

An access policy sets out how physical and intellectual access can be provided to samples and their associated data by:

- establishing policies and procedures for managing access so the collection is used in a sustainable manner by internal and external users;
- ensuring that access is managed consistently and transparently through clear procedures that guarantee access requests are treated fairly;
- increasing the visibility of the collection to encourage its use; and
- facilitating efficient management by clarifying responsibilities and decision-making.

The approval of the policy by any prevailing governance system places the collection or archive centrally within the institution's mission and purpose, which helps promote the knowledge value added by the samples and can help secure the resources needed to care for and enable access to the collection. These resources include people to manage requests for access and retrieve the samples as well as look after the collection and space and equipment with which to store and examine the samples and information about them. Access policies typically cover the following subjects (→ *see Section 15*), which can be added to or adjusted according to local circumstances.

15 – Information About the Collection Archive

15.1 - Description of the collection or archive

Description of the collection or archive, including its history and purpose, enables existing and potential users to know why they may be interested in the archive. This description can either be or be drawn from the statement of significance (→ *see 7.1 and Section 9*).

8 – See https://moracollection.iccrom.org/stories/access-policy.

15.2 - Sources of other information and tools that can aid use

Sources of other information and tools that can aid use, such as search tools (e.g. online catalogues), sample metadata, contact details for key staff, methodological and ethical documentation, and any donor agreement that sets out conditions for use

15.3 - Description of the users

Description of the users for whom access to the samples or their data is normally permitted while encouraging applications from others whose proposals can be accommodated by local conditions of use. The review of interested parties by the significance assessment process helps here. While scholarly use is often presumed to be the main purpose, other uses can add new value to the samples, such as by source communities building their sense of identity or forming part of exhibitions and other public-facing activities.

15.4 - Types of use for which access is provided

Types of use for which access is provided, such as the type of study for whose purpose the samples may have been collected and any limitations on access – for example, related to original agreements on collection, the samples' spiritual or ritual integrity, or the host's resources, such as space or staff available to welcome users – may require some prioritization of or special arrangements for access.

15.5 - Description of the resources that can be accessed

Description of the resources that can be accessed, including sample materials and associated data (e.g. records, reports, publications), as well as those where access may be restricted or unavailable, and why.

16 – Enabling Access

In the interest of encouraging users, instructions for access should be clear, concise and welcoming in their tone. Useful topics to cover in the access policy include:

16.1 - Process of requesting access

It is important to provide a clear explanation of the procedure for requesting access, and how the archive handles these requests. This should include information on how to submit a proposal, what information it should contain regarding which samples and data are requested, and for what purposes (→ *see Appendix 4 Access Proposal Form*), to whom the proposal should be sent, and when. If a signed agreement between the user and custodian/host institution is required before accessing to the archive, such as a User Access Agreement (→ UAA – *see 18. and Appendix 5*), this should also be clearly indicated.

16.2 - Location

Location details, including the address and any other directions needed to find the collection or archive within a building or site, hours of access, any necessity for invigilation, the number of users permitted at any one time, and where other comforts are located (restrooms, cloakrooms, refreshments, etc.). Any obstacles to disabled access should be indicated with information on how they may be overcome. The policy should be checked for compliance with any legal requirements for enabling barrier-free access (e.g. Disability Discrimination Act [DDA] 1992 Australia, 1995 UK; Equality Act [EA] 2010 UK; Human Rights Conventions).[9]

16.3 - Facilities

Available facilities, including the types of analysis and reproduction for which the archive is equipped (e.g. photography, recording) and whether users have access to the custodian's equipment or should provide their own. Any fees charged for access should be listed, whether to physical or digital resources, e.g. for copying or reproduction, noting any associated copyright issues and referring to further guidance (→ *see Section 17*).

16.4 - Safeguarding measures

Safeguarding measures in place for the benefit of both users and samples include procedures for handling the samples and retrieving and returning them to storage. This may involve risk assessments and health and safety policies, such as the use of gloves or masks to protect users from any hazardous materials in samples or the prohibition of food or drink to avoid contaminating samples. Examination in working areas, such as laboratories, may require particular precautions to protect visitors and staff from any risks posed by the operation of equipment and associated materials. Security and insurance requirements and evacuation procedures should also be provided.

16.5 - Requirements for the practice of research integrity

Requirements for the practice of research integrity and compliance with the ethical standards of any relevant governing institution and/or professional body should be described (e.g. AAM, 2021; ICA, 1996; Icon, 2019) (→ *see also 2. Ethical Practice*).

16.6 - Constraints

The constraints on use should be clearly outlined. These include any restrictions from consent agreements established when the samples or data were originally collected. Additionally, any limitations necessary to respect culturally sensitive materials, protect related information, and uphold the rights of associated communities should also be specified.

17 – Data Sharing

Guidance on how data produced by the researcher and data held by the collection/archive and host institution may be shared is recommended. If it is likely that a large amount of data is concerned, consider drawing up a data management plan (→ *Section 7.3*) to address the following topics, with any requirements included in the User Access Agreement (→ *Section 18*).

9 – For a summary of human rights legislation, see https://www.un.org/en/global-issues/human-rights.

17.1 - Data produced by the researcher

Data produced by the researcher from consultation of the archive that needs to be submitted to the custodian and why, along with the mechanisms for submission and any requirement to make this information public.

17.2 - Licence agreement

A licence agreement is required to protect the rights of custodians and users, such as intellectual property rights (IPR), describing how data and materials held by the collection or archive can be used by the researcher.

A Non-Exclusive Reuse Licence,10 such as a Creative Commons Licence, gives the custodian the right to use, reuse and share the intellectual property arising from data or materials produced by the user in the course of the work while attributing the author, who remains free to use their intellectual property and allow it to be used by anyone they license to do so.

17.3 - Requirements for publication and acknowledgements

Requirements for publication and acknowledgements including the correct acknowledgement of the person (or leader of the team) who collected the data and/or samples, custodial organizations and other participants. Effort should be acknowledged equitably, especially when there are co-contributors. The number and nature of copies of publication to be supplied to the custodian should be described.

18 – User Access Agreement (UAA)

After being drawn up by the user and the custodian or host organization, the agreement is signed by both parties, who agree to meet the required conditions for access to data or samples. Many of the items in the User Access Agreement (UAA) will be covered by the Access Policy, but the UAA is normally a shorter document, setting out only those conditions that are especially relevant to the provision of data or samples. The user may be required to agree to comply with all relevant requirements imposed by the Access policy (which should be available online or attached to the UAA). A template example of the UAA may be included as an annex to the Access Policy (→ *see Appendix 5*).

19 – Version Control

"Version control" maintains a record of any changes made to critical documents, such as the statement of significance and access policy, through a "version history" box giving details of the dates, revisions and persons making and approving the revisions. Regular review is needed to ensure that these documents remain fit for purpose, thus the time frame for reviewing the policy should also be indicated.

10 – Licences used to facilitate the sharing of documents and images online, which are described at https://creativecommons.org/share-your-work/cclicenses/.

Conclusion

20 – Next Steps – The future of samples collections as archives

This guidance is a call to arms to improve the care of samples collections by adopting archival practices. Archival management enables the value of samples collections to be established and communicated to current and potential users and their use to be enabled through access that meets the needs of current and future generations of users. These measures need to adapt to meet the evolving needs of society, for example, through developing people-centred practices, mirroring the heritage sector's drive to become more inclusive and embrace diversity among its users.

The literature on heritage science practice in managing samples is limited, so this document has drawn on sources from other fields to stimulate developments in the management of samples. Establishing better practice is also a means of securing support through the value created by better care arising from treating heritage sample collections as archives.

Intended to be a living document, the guidance deals with what are considered to be the most important archival procedures in this initial effort to promote and enhance the use and research potential of samples collections and archives. Other subjects require further development and could be addressed in later iterations. They may include the ethical management of highly sensitive samples, such as human remains or those deriving from First Nation and Indigenous Peoples;[11] decolonizing institutional practice by finding ways of saying yes and enabling marginalized groups to use sample materials in addition to traditional users; data sharing through common platforms currently constrained by technological challenges that may improve in the future; and further technical guidance on topics, such as storage, to support long-term preservation and access.

Promoting sample collections and their reuse helps the development of heritage science by demonstrating the value added by samples as a resource for research and stimulating the development of theoretical and technical methodologies to enable responsible research in one of the field's core procedures. Applying archival practice is envisaged as securing a more sustainable future for samples collections through seeing samples as a collective resource and improving practice.

11 – See https://www.amnesty.org/en/what-we-do/indigenous-peoples/ and https://brand.ubc.ca/indigenous-peoples-language-guide-now-available/.

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[Date of access for website links: 28 February 2025]

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- LNEC – National Laboratory for Civil Engineering, Portugal
- LOC – Library of Congress, United States of America
- OPD – Opificio delle Pietre Dure, Italy
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23 – List of Illustrations, Tables and Figures

Appendix 1
Glossary of Terms

This list of terms is unique to the Heritage Samples Archives Initiative (HSAI). Definitions are applicable to the context of heritage samples archives and are based on the bibliography.

Access
The right or permission to retrieve and use samples and related resources, as well as the information they contain. Thus, access may be physical (e.g. to material samples and analogue resources) or virtual (e.g. to digital resources).

Archives
Assemblages of primary source material produced and/or accumulated over time by a person, group of persons, or organization. This material is a byproduct of the producer(s)' activities and is preserved because of its continuing value, which is realized through use. "Material" is a generic term for the variety of items that an archive might collect, regardless of medium, format or type. This document uses "samples archive" to describe collections of samples considered of sufficient significance to require management according to archival principles and practices.

Assemblages
Used by archivists to describe a group of things that has been gathered over time or purposefully collected that forms a documentary by-product of human activity retained for their long-term value.

Attributes
The elements of a piece of heritage that convey its values and enable them to be understood. Attributes can be physical, such as the material from which something is made, and also intangible, including the social arrangements, cultural practices and other associations or relationships that the heritage artefact embodies.[12]

Catalogue
A description that adds information to the inventory list. This information may be the result of further research into the samples, whether historical or analytical, describing their original date, provenance, commissioning, manufacturer (whether craftsperson or artist), method of creation and subsequent history, and original and added materials and technique. Prefatory essays in a catalogue may describe these results for groups of related samples.

Collections
Assemblages of material selectively acquired or designated retrospectively for a particular purpose or intent in accordance with specific criteria (type of material, format, time period, geographic location, association with a particular person or event, etc.).

Collector
A person or organization responsible for acquiring materials.

12 – Adapted from UNESCO et al. 2022; Historic England advice on assessing significance (available at https://historicengland.org.uk/advice/caring-for-heritage/places-of-worship/making-changes/principles/assessing-significance/) [*accessed 28 February 2025*]; and the Collections Trust description of statement of purpose (available at https://collectionstrust.org.uk/accreditation/organisational-health/governance-and-management/statement-of-purpose/) [*accessed 28 February 2025*].

Creator or Producer
The physical person or legal entity who makes, receives or accumulates samples and related data by reason of their mandate/mission, functions or activities.

Custodian
The person or organization who holds formal responsibility for the care of the samples collection, as well as for providing access under specific procedures. The custodian may or may not be the same person as the creator and may or may not own title to the materials they hold.

Heritage object
A portable object, fixed feature (such as a building or monument), collection or site, including materials associated with its care and interpretation, that is considered to hold cultural heritage value.

Influencing factors
Things that influence how far a heritage object or feature demonstrates a particular value, whether positively or negatively (threats), allowing its relative importance to be established.

Inventory
A basic list of samples comprising information considered essential to their identification. Often consists of a sequential number according to the date on which the sample was inventoried, which may be derived from the software (word processor, spreadsheet or database) in which the list is generated; the name of the source object or site and the collector; the date of collection; a basic description, such as dimensions and the material or colour represented; and the location within the site or object from where the sample was taken. Other identifiers, such as letters or subnumbers, may derive from the sample collection's structure, such as type of object or originating site and location within it. This list enables samples to be identified, retrieved and returned to storage and is the basis of more detailed cataloguing.

Material
Material is a generic term to describe the broad variety of records that may exist in an archive, regardless of medium, format or type.

Provenance
In sample collections, provenance refers to the material's place of origin (e.g. the object or source from which the sample[s] were taken) with the addition of the archives dimension of reference to the organization or individual(s) that generated, accumulated, maintained and/or used the samples.

Reuse
Action or practice of using samples and related resources again, whether for the original purpose (conventional reuse) or to fulfil a different function (creative reuse or repurposing).

Sample
A small amount of material that is collected to investigate or be representative of the whole or a specific aspect of the whole, whether a heritage object or of materials used in their

recreation, conservation or display. A sample may be extracted from an object, a selection of materials designed to be representative of a collection of objects or an example of a type of material associated with the care or interpretation of a heritage object.

Sample archive(s)
An assemblage or set of samples of materials or parts generated or accumulated through the activities of the creator, whether individuals or institutions (in most cases through research and education), reflecting the creator's identity, mission and functions. May be a subcomponent of the creator's wider archive. Organization may be by activity/project together with other records produced by the activity or by typology of material or other identifying criteria (chronological, geographical, etc.), which may be linked to other groups of records (series) of the wider archive.

Sample collection
An assemblage of samples selectively gathered or acquired at the discretion of the collector for a specific intention or objective. It may be organized by unifying characteristics (e.g. type of material, chronological, geographical), but it is not necessarily linked to other groups of records (series) in a wider archive.

Significance
The sum of a heritage object's different values, often categorized according to importance at an international, national, regional or local scale.

Significance assessment
The process of identifying the values and attributes that make up the significance of a piece of heritage.

Stakeholders and rights holders
Individuals or groups who hold direct or indirect influence over the object of interest.

Statement of significance
Describes the piece of heritage both as a whole and in its various parts, setting out its history and changes over time, what values and attributes are considered most important, and why, in order to understand what elements should be conserved and, if appropriate, enhanced.

Statement of purpose
Defines why a collection exists and what it is for, focusing on the outcomes and beneficiaries, with examples of good practice.

Use
Activity that puts samples and related resources into service in order to achieve a specific purpose (e.g. research, training).

Values
The qualities for which a heritage object is considered important, which are protected for present and future generations. Values are determined by a range of social and cultural factors and may change over time and according to the interests of users.

Appendix 2

Information required for collecting samples of historic materials

Pro formas can be useful to ensure all necessary information is collected and may be a useful starting-point for designing a documentation system. However, they can become repetitive, e.g. where several samples have been collected from a single site, room or object, so different layouts are entirely legitimate depending on the context. As a guide, the following types of data have proved to be useful and can be adapted to users' particular needs.

- **Site identification:**
  - Site (country, county, town, building)
  - Site or object's history
  - Conservation and analytical history
  - Referencing reports
- **Sample identification:**
  - Sample number (assigned by collector)
  - Any additional reference number (e.g. inventory or location numbers associated with the feature to be sampled, which may be provided by client or owner)
  - Date taken
  - Name of collector
  - Location of feature within building
  - Subject matter of feature
  - Artist/designer/creator of feature (if known)
  - Date of feature
  - Area from which sample taken
  - Conservation history of feature
  - Photographic documentation of sample location (e.g. frame number, light source [e.g. incident, UV, IR, raking light])
  - Condition of feature
- **Description of sample**
  - Appearance when taken
  - Support layers (e.g. structure – could be plaster, canvas, with or without a stretcher or backing, metal, with or without an armature, wood, paper, etc.)
  - Preparation layers (e.g. ground)
  - Surface finish layers (e.g. paint, gilding, patination – describing colour, texture, glazes, etc.)
  - Surface coatings (e.g. varnish)
  - Accretions (e.g. paint splashes, graffiti dirt, mould growth)
  - Condition (e.g. flaking, blooming, powder, blistering, tenting, sound)
- **Analysis**
  - Checklist of materials of which analysis requested and any particular methods required

Appendix 3
Storage Equipment and Materials

Once your storage location has been identified through your preservation, collections management or conservation plan and protected from major or catastrophic risks and agents of deterioration, such as building collapse, fire, flood or theft, consider improving storage and housing to manage any cumulative risks that are present, such as mould, insect pests, chemical pollutants, dust, poor temperature or relative humidity, and custodial neglect (i.e. lack of proper documentation, care and maintenance). For a structured approach to managing such risks, see Michalski and Pedersoli, 2016.

There is little point investing in acid-free storage materials or fitting UV filters on lights and windows if your storage area is leaking, the electrics are faulty, or the floors are too weak to withstand the weight of your cabinets or use by people – and your samples are kept mostly in the dark. Tackle the greatest risks first, even if they are more difficult (Michalski and Pedersoli, 2016).

You may find it useful to draw from the following list of equipment and materials found helpful in other archives.

- Powder-coated metal drawer cabinets with dividers to ensure samples don't move around when the drawers are opened
- If wooden cabinets have to be used, line the drawers with buffer materials to avoid chemicals from off-gassing and damaging samples in terms of condition and research potential.
- Acid-free paper for the collection of samples and storage of paint flakes
- Polyethylene bags that can be labelled with archival pens for the storage of small samples or glass vials – not little glycerine capsules
- Stewart or similar stable polyethylene boxes (Thunberg *et al.*, 2021) for the storage of larger samples, secured in place by polyethylene foam cutouts
- Tyvek™ (woven polyester fabric) or acid free tissue paper labels attached by cotton tape or string to enclosures for samples that are too small to be marked directly
- Pigment ink-based pens for permanent marking
- Pencils for day-to-day use
- Silica and other desiccant gel and indicators for controlling the relative humidity in enclosures for moisture-sensitive samples such as iron
- Environmental monitoring and control tools, such as an appropriately sized condensing dehumidifier and daily spot readings with a thermohygrometer or digital sensors with a display that communicates with a computer
- Handling and examination aids to ensure the safety of people and preserve sample integrity by avoiding damage, including contamination, and assisting in inspection. These may include a clean and stable surface; nitrile or vinyl gloves if health and safety considerations preclude clean, dry, washed hands; handling the container rather than the sample directly, supplemented by clean metal or plastic trays and/or

polyethylene or glass receptacles, depending on the size and condition of the sample; tweezers (or forceps), spatulas and other implements for precision handling of small samples; magnifiers (from magnifying glasses to digital or optical microscopes); and non-UV-containing lighting. Archives typically discourage the use of ink for note-taking in favour of pencil.

For further advice and guidance on archival storage, see BS EN 16893:2018; CCA 2003 (Chapter 6); ISO 1994 and 2007; and NARA 2015 and 2023. Additional resources include ICCROM's RE-ORG project for reorganizing museum storage, which is applicable to sample collections or archives (Lambert, 2011; https://www.iccrom.org/publication/re-org-method-reorganize-museum-storage); and advice published by museums, libraries and archives, such as https://www.museumsgalleriesscotland.org.uk/advice-article/introduction-to-storage-and-display-materials/ and https://www.nationalarchives.gov.uk/archives-sector/advice-and-guidance/managing-your-collection/caring-for-archives/ [*accessed 28 February 2025*].

Appendix 4
Access Proposal Form

STUDY PROPOSAL

Submitted by:
Date of submission:

TITLE
GOALS
OBJECTIVES
METHODS
DELIVERABLES AND DISSEMINATION PLAN
SAMPLES REQUESTED FOR STUDY
OTHER RESOURCES REQUIRED
DURATION
APPLICANTS WISHING TO UNDERTAKE THE STUDY (Please list all persons for whom access is requested, providing their name, nationality, institutional affiliation and contact details.)

Data processing for this form: Your personal data is being solicited for monitoring the archive's use and will not be used for other purposes. Data will be stored in accordance with [Insert the name of your Organization]'s records retention schedule. For information about our Privacy Policy, please consult our website at: *[Insert URL of your Organization]*. The Data Controller may be reached at the following email: *[Insert email of the Data Controller of your Organization]*.

Appendix 5
User Access Agreement Form (UAA)[13]

USER ACCESS AGREEMENT

1. DATE AND PARTIES

This Agreement is entered into on the *[insert day]* of *[insert month and year]*:

BETWEEN:

(1) *[Insert name of Custodian]* of [*insert address of Custodian]* ("the Custodian"),

And

(2) *[Insert name of User Institution or Individual]* of *[insert address of User Institution or Individual]* ("the Authorized User")

2. SUPPLY OF MATERIALS

[Insert name of Custodian] agrees to supply the following samples and data upon the terms and conditions of this Agreement.

For samples: *[number of samples, sample types, sample identifiers]*

_____

_____

For data: *[description of records, format of records, number of records, time period covered by data]*

_____

_____

3. AGREED USAGE

The Authorized User agrees that the Materials may only be used:

3. 1 For the permitted purpose(s) agreed with *[Insert name of Custodian]* ("the Study"):

_____

_____

3.2 By the Authorized User or its staff or agents who have a need to access and use the Materials for the purposes of the Study.

3.3 The Authorized User(s) shall be aware of and will comply with all relevant duties, obligations and restrictions imposed by the *[Insert name of sample archive]* Access Regulations ("the **Access Regulations**"), available at: *[Insert URL from the Custodian website]*. Any act or omission of any such Authorized User(s) will be deemed to be a breach of this Agreement by the Authorized User.

3.4 The terms of the Study, including the permitted purpose(s) for which the Materials may be used by the Authorized User, must not be varied without the prior written consent of the *[Insert name of Custodian]*.

13 – Adapted from NCRI 2009.

Indemnity
The Authorized User will indemnify *[Insert name of Custodian]* and hold *[Insert name of Custodian]* harmless in respect of any loss, claims, damage or liability of whatsoever kind or nature, which may arise out of or in connection with the use, handling, storage or loss of the Materials by the Authorized User.

Limitation of Liability
In no event shall *[Insert name of Custodian]* be liable to the Authorized User or any third party for any damages including, without limitation, loss of profits or revenue, loss of savings, work stoppage or data loss arising out of or in any manner connected with this Agreement.

Neither party will be liable to the other for any failure or delay in performance under this Agreement due to circumstances beyond their reasonable control, including, without limitation, labour disruption, terrorist threat, etc., provided that if either party is unable to perform its obligations under this Agreement for one of these reasons, it shall give prompt written notice thereof to the other party and the time for performance, if any, shall be deemed extended for a period equal to the duration of the conditions preventing performance.

Term and Termination
This Agreement shall commence on the date set out above and shall continue until *[Insert date]*.

Either *[Insert name of Custodian]* or the Authorized User may terminate this Agreement, upon written notice to the other, if the other party materially breaches any term or provision of this Agreement and fails to cure that breach within 1 month after receiving written notice thereof from the non-breaching party.

The terms of this Agreement that by their nature should survive the termination of this Agreement shall so survive, including without limitation provisions dealing with indemnity, limitation of liability, etc. Similarly, references to the Access Regulations in this Agreement shall be to those regulations as amended, extended or re-enacted from time to time.

General
This Agreement (and Appendix: the Access Regulations) sets out all the terms that have been agreed between the parties in relation to the subjects covered.

Nothing in this Agreement shall create a partnership or joint venture between the parties or give the rights of a partner to either party.

Signed by: *[Insert name of Custodian]*

Date _____

Signed by: *[Insert name of Authorized User]*

Date _____

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