

**UNIVERSITY OF CALIFORNIA, IRVINE**  
**Special Collections and Archives**

**Archival Processing Manual**

*Last update: September 24, 2014 Sara Seltzer*

<b>1</b>	<b>INTRODUCTION</b>	<b>5</b>
1.1	THE MAKING OF THIS DOCUMENT	5
<b>2</b>	<b>BASIC ARCHIVAL PRINCIPLES</b>	<b>5</b>
2.1	ARCHIVAL MATERIALS AND COLLECTIONS	5
2.2	PROVENANCE	5
2.3	ORIGINAL ORDER	6
2.4	LEVELS OF CONTROL	7
2.4.1	ARRANGEMENT	7
2.4.2	DESCRIPTION	8
<b>3</b>	<b>WORKFLOW</b>	<b>9</b>
<b>4</b>	<b>PLANNING</b>	<b>11</b>
4.1	BACKGROUND RESEARCH	11
4.2	SURVEYING THE COLLECTION	11
4.3	PROCESSING PLANS	13
4.4	HOW MUCH WORK TO PERFORM?	13
4.4.1	ACCESSIONING VS. MINIMAL PROCESSING	15
4.5	HOW LONG SHOULD PROCESSING TAKE?	16
4.5.1	TRACKING PROCESSING METRICS	17
<b>5</b>	<b>ARRANGEMENT</b>	<b>17</b>
5.1	ORGANIZATION	18
5.1.1	COLLECTION LEVEL	18
5.1.2	ACCESSION LEVEL	18
5.1.3	SERIES LEVEL	21
5.1.4	BELOW THE SERIES LEVEL	34
5.2	HOUSING & HANDLING	38
5.2.1	BOXES	38
5.2.2	FOLDERS	39
5.2.3	PAPER	40
5.2.4	BOUND VOLUMES	40

5.2.5	OVERSIZE ITEMS	41
5.2.6	BULKY ITEMS	41
5.2.7	PHOTOGRAPHS, NEGATIVES, AND SLIDES	41
5.2.8	SCRAPBOOKS AND ALBUMS	44
5.2.9	AUDIO, AUDIOVISUAL, AND DIGITAL MEDIA	44

## **6 DESCRIPTION** **47**

---

<b>6.1</b>	<b>TITLES</b>	<b>47</b>
6.1.1	BASIC RULES	47
6.1.2	NAME SEGMENTS IN TITLES	51
6.1.3	FORM SEGMENTS IN TITLES	55
6.1.4	TOPICAL SEGMENTS IN TITLES	58
<b>6.2</b>	<b>DATES</b>	<b>59</b>
<b>6.3</b>	<b>IDENTIFYING FOLDERS</b>	<b>60</b>
6.3.1	LABELS	60
6.3.2	TITLES	60
6.3.3	NUMBERING	61
<b>6.4</b>	<b>MEDIA MATERIALS</b>	<b>61</b>
6.4.1	DESCRIBING PHOTOGRAPHS	61
6.4.2	MOVING IMAGES	65
6.4.3	SOUND RECORDINGS	66
6.4.4	DIGITAL MEDIA	67

## **7 CREATING THE FINDING AID** **68**

---

<b>7.1</b>	<b>USING LEVELS OF DESCRIPTION EFFECTIVELY</b>	<b>68</b>
<b>7.2</b>	<b>USING THE ARCHIVIST'S TOOLKIT</b>	<b>68</b>
7.2.1	CHECK THE ACCESSION RECORDS	69
7.2.2	CREATE THE FINDING AID USING THE RESOURCE RECORD	70
<b>7.3</b>	<b>COLLECTION-LEVEL BASIC DESCRIPTION</b>	<b>71</b>
7.3.1	TITLE	72
7.3.2	DATES	72
7.3.3	EXTENT (AND MEASURING THE COLLECTION)	72
<b>7.4</b>	<b>NAMES AND SUBJECTS</b>	<b>73</b>
7.4.1	CREATOR	73
7.4.2	NAMES OF INDIVIDUALS AND CORPORATE BODIES USED AS SUBJECTS	75
7.4.3	TOPICAL AND GEOGRAPHICAL SUBJECTS	76
7.4.4	GENRES AND FORMS OF MATERIALS	77
7.4.5	OCCUPATIONS	78
7.4.6	CONTRIBUTORS	78
<b>7.5</b>	<b>COLLECTION LEVEL NOTES</b>	<b>78</b>
7.5.1	ORDER AND LABELING OF NOTES	78
7.5.2	USE AND WORDING OF COLLECTION-LEVEL NOTES	79
<b>7.6</b>	<b>COLLECTION LEVEL FINDING AID DATA</b>	<b>95</b>
<b>7.7</b>	<b>SERIES (OR SUBSERIES) BASIC DESCRIPTION AND NOTES</b>	<b>96</b>
7.7.1	SERIES NUMBERS	97

7.7.2	ORDER AND LABELING OF NOTES AT THE SERIES (OR SUBSERIES) LEVEL	97
7.7.3	LANGUAGE OF MATERIALS NOTE (LABEL: LANGUAGE(S) OF MATERIALS)	97
7.7.4	CONDITIONS GOVERNING ACCESS NOTE (LABEL: ACCESS)	98
7.7.5	CONDITIONS GOVERNING USE NOTE (LABEL: REPRODUCTION RESTRICTIONS)	98
7.7.6	EXISTENCE AND LOCATION OF ORIGINALS NOTE (LABEL: EXISTENCE AND LOCATION OF ORIGINALS)	98
7.7.7	EXISTENCE AND LOCATION OF COPIES NOTE (LABEL: ALTERNATIVE FORMS OF MATERIALS)	98
7.7.8	BIOGRAPHICAL / HISTORICAL NOTE (LABEL: HISTORICAL BACKGROUND OR BIOGRAPHY OR ORGANIZATIONAL HISTORY)	98
7.7.9	SCOPE AND CONTENTS NOTE (LABEL: SERIES/SUBSERIES SCOPE AND CONTENT SUMMARY)	98
7.7.10	ARRANGEMENT NOTE (LABEL: SERIES/SUBSERIES ARRANGEMENT)	100
7.7.11	PROCESSING INFORMATION NOTE (LABEL: PROCESSING NOTE)	101
<b>7.8</b>	<b>BELOW THE SERIES OR SUBSERIES</b>	<b>102</b>
7.8.1	FILE-LEVEL NOTES	103
7.8.2	GENERAL PHYSICAL DESCRIPTION NOTE (LABEL: PHYSICAL DESCRIPTION)	103
7.8.3	LANGUAGE OF MATERIALS NOTE (LABEL: LANGUAGE(S) OF MATERIALS)	103
7.8.4	CONDITIONS GOVERNING ACCESS NOTE (LABEL: ACCESS)	103
7.8.5	CONDITIONS GOVERNING USE NOTE (LABEL: REPRODUCTION RESTRICTIONS)	104
7.8.6	EXISTENCE AND LOCATION OF ORIGINALS NOTE (LABEL: EXISTENCE AND LOCATION OF ORIGINALS)	104
7.8.7	EXISTENCE AND LOCATION OF COPIES NOTE (LABEL: ALTERNATIVE FORMS OF MATERIALS)	104
7.8.8	BIOGRAPHICAL / HISTORICAL NOTE (LABEL: HISTORICAL NOTE OR BIOGRAPHICAL NOTE)	104
7.8.9	SCOPE AND CONTENTS NOTE (LABEL: SCOPE AND CONTENT NOTE)	105
7.8.10	PROCESSING INFORMATION NOTE (LABEL: PROCESSING NOTE)	105
<b>7.9</b>	<b>CONTAINERS</b>	<b>106</b>
7.9.1	ADDING INSTANCES	106
7.9.2	INTELLECTUAL VERSUS PHYSICAL ORDER	107
7.9.3	CONTAINERS FOR EACH LOWEST COMPONENT	107
7.9.4	COMPONENTS THAT SPAN MULTIPLE BOXES	107
<b>7.10</b>	<b>REVISING A FINDING AID NOT ORIGINALLY CREATED IN THE ARCHIVISTS' TOOLKIT</b>	<b>107</b>
7.10.1	MAKING THE REVISION DIRECTLY IN THE EAD FILE	107
7.10.2	MAKING THE REVISION IN THE RESOURCE RECORD	108
<b>8</b>	<b>RESTRICTED RECORDS</b>	<b>109</b>
<b>8.1</b>	<b>UCI AND PUBLIC RECORDS</b>	<b>109</b>
<b>8.2</b>	<b>DONOR'S RESTRICTIONS</b>	<b>109</b>
<b>8.3</b>	<b>PRIVACY AND SUNSHINE LEGISLATION</b>	<b>109</b>
<b>8.4</b>	<b>FRAGILE ITEMS OR ORIGINAL MEDIA</b>	<b>110</b>
<b>8.5</b>	<b>COMMON RESTRICTED RECORDS</b>	<b>110</b>
8.5.1	STUDENT RECORDS	110
8.5.2	PERSONNEL RECORDS	111
8.5.3	MEDICAL RECORDS AND HUMAN SUBJECT RECORDS	111
8.5.4	GRIEVANCE FILES	111
8.5.5	TRADE SECRETS OR PATENTS	111
8.5.6	DONOR FILES	112
8.5.7	THIRD-PARTY PRIVACY	112
<b>8.6</b>	<b>WHAT DO YOU DO IF YOU FIND RESTRICTED RECORDS?</b>	<b>112</b>
8.6.1	DESCRIPTION	112
8.6.2	HANDLING AND HOUSING RESTRICTED MATERIAL	112

<b>9</b>	<b>APPRAISAL AND SEPARATION</b>	<b>113</b>
<hr/>		
<b>9.1</b>	<b>SEPARATION AND DESTRUCTION</b>	<b>113</b>
9.1.1	COMMONLY DISCARDED RECORDS	114
9.1.2	RELOCATION OF PUBLICATIONS	114
<b>10</b>	<b>COMPLETING THE FINDING AID</b>	<b>115</b>
<hr/>		
<b>10.1</b>	<b>EAD FILE GENERATION AND FILE MANAGEMENT</b>	<b>115</b>
10.1.1	CONVERTING AT EAD OUTPUT TO VALID OAC FINDING AIDS	115
10.1.2	STEPS FOR UPLOADING THE FILE TO OAC	116
<b>11</b>	<b>COMPLETING PROCESSING</b>	<b>117</b>
<hr/>		
<b>11.1</b>	<b>SHELVING THE COLLECTION</b>	<b>117</b>
11.1.1	LABELING BOXES	117
11.1.2	UPDATING THE LOCATOR	119
<b>11.2</b>	<b>CHECKING THE PROCESSING CHECKLIST</b>	<b>121</b>
<b>12</b>	<b>APPENDICES</b>	<b>121</b>
<hr/>		
<b>12.1</b>	<b>APPENDIX A: SOURCES USED IN THIS MANUAL</b>	<b>121</b>
<b>12.2</b>	<b>APPENDIX B: MEASURING COLLECTIONS</b>	<b>122</b>
12.2.1	DOCUMENT AND RECORD STORAGE BOXES	122
12.2.2	FLAT BOXES AND OTHER NON-VERTICAL-FILE STORAGE BOXES	122
12.2.3	XOS AND OS FOLDERS	123
12.2.4	FORMULA FOR NON-ARCHIVAL BOXES:	123
12.2.5	LEGACY A/V BOXES	123
<b>12.3</b>	<b>APPENDIX C: PROCESSING UNIVERSITY ARCHIVES PUBLICATION SERIES</b>	<b>124</b>
12.3.1	INTRODUCTION	124
12.3.2	GATHERING PUBLICATIONS	124
12.3.3	ARRANGEMENT AND DESCRIPTION	125
12.3.4	GENRE THESAURUS	126
<b>12.4</b>	<b>APPENDIX D: CREATING FOLDER LABELS</b>	<b>129</b>
<b>12.5</b>	<b>APPENDIX E: INTENSIVE – HIGHLY INTENSIVE PROCESSING GUIDELINES</b>	<b>129</b>
12.5.1	PRESERVATION	130
12.5.2	ARRANGEMENT	133
<b>12.6</b>	<b>APPENDIX F: PROCESSING PLAN (TEMPLATE)</b>	<b>134</b>
<b>12.7</b>	<b>APPENDIX G: PROCESSING PLAN (SAMPLE)</b>	<b>137</b>
<b>12.8</b>	<b>APPENDIX H: ARCHIVAL COLLECTION PROCESSING CHECKLIST (TEMPLATE)</b>	<b>140</b>

# 1 Introduction

This manual is a guide to some specific adaptations of general archival theories and techniques used at UCI in processing collections. Processing a collection involves arranging materials in a logical way; housing materials appropriately for long-term storage and use; and describing materials' arrangement, content, and research potential in finding aids so that researchers and staff members can find specific material when it is needed. Processing makes significant research use and reference services easier.

When processing, it is important to determine how much work is necessary to make materials available in accordance with its potential for research. This manual outlines several tasks that may be employed when processing. In practice, you may not need to perform all of these tasks. Moreover, these tasks are undertaken simultaneously or in a sequence that differs from the manual's description.

When processing materials, you should observe a few ground rules. First, do not do anything that cannot be undone unless it has been approved or discussed first. Second, remember the purpose of your work. Never do more work on a collection than is necessary to make it usable. Extra work on one collection detracts from the work that can be done on others, and our aim is to make all our holdings accessible. Third, respect the confidentiality of records and the rights of patrons and donors.

## 1.1 The making of this document

The contributions of many archivists have gone into the making of processing policies and procedures at UCI. The masterpiece that is our processing manual is the work of Michelle Light (ca. 2006 – 2009), Dawn Schmitz (2009 – 2011), Audra Eagle Yun (2011 – 2012), and Sara Seltzer (2013 – 2014).

# 2 Basic Archival Principles

## 2.1 Archival materials and collections

Archival materials have traditionally been understood to consist of the documents created, accumulated, and/or used by a person or organization in the course of the conduct of affairs and preserved because of their continuing informational, administrative, or evidential value. They most often consist of aggregations of documents (largely unpublished) and are managed as such. In the course of their regular activities, individuals, archival repositories, and other institutions may also consciously acquire and assemble records that do not share a common origin but that reflect some common characteristic, such as a particular subject, theme, or form. These collections may be managed and described in a similar way as accumulations of archival material.

## 2.2 Provenance

Provenance refers to the origins of records and their chain of custody, that is to the organization or person that created, received, accumulated, and used records in the conduct of business or life. The principle of provenance dictates that materials from a given source are not mingled with materials from another source. Materials created, maintained, used, and received by/from a single

individual or organization must be treated as a single collection, and items within the collection should not be mixed physically with material of a different provenance. This principle is sometimes also referred to as respect des fonds or respect for the source or creator. For example, a processor should not divide and interfile the Robinson Papers with the Jones Papers, regardless of any relationship between the two families. A processor should not interfile the official records of the hospital board of directors with the personal papers of Dr. Joseph Hanson, even though he had been a member of the board. Different media, such as maps or photographs, may have their own storage requirements, but you ought to be able to identify all the items of the same provenance and bring them all back together whenever necessary.

## 2.3 Original Order

Collections with an order developed by its creator when the records were actively used usually should be kept in that order. Maintaining collections in their original order preserves the contextual information captured in the interrelationship between the records; that contextual information complements the information found in the content of the records. In other words, the way in which people and organizations kept their records often has significance. Although the processor or researchers may believe another organization might be easier to use, a different order would change the contextual relationships between materials, destroying existing meanings and creating new, artificial ones. Moreover, maintenance of original order makes for faster, more efficient processing.

If the original order has been disturbed, the processor may attempt to reconstruct the original order according to the way in which the organization or person originally kept the materials, or intended to keep the materials, when they were actively used. Items that were clearly misfiled may be re-filed in their proper location. Sometimes, original order may have been disrupted when the materials were packed and moved, or because the creator didn't keep up with the intended filing system. In other cases, records are removed from their original filing scheme for archiving (e.g., moved to a basement or transferred to Special Collections), once they were no longer actively used. In these cases, it may be easy and beneficial to users to reconstruct the original filing structure.

If a collection, or portion of a collection, shows no evidence of original order, the processor may impose an order on the materials. Original order may also be replaced when the existing order is incomprehensible or unlikely to be useable by researchers or staff. Whereas organizational records may have had filing clerks or records management programs that imposed order constantly on their records, personal papers often do not have obvious or elaborate filing schemes. Hence, rearrangement within personal papers will be much more common and necessary. Typically, you will need to impose an order on personal papers either according to a person's activities or by bringing similar material together (i.e., according to the type of record). Imposing an order on a collection should take into consideration the most efficient way to reorganize the papers, balanced by a concern for effective description and access. Keep in mind that reconstructing the activities in which a business or person engaged to create the records is preferable to rearranging according to the possible use of one kind of researcher, as research interests are subjective and changeable. It is also preferable to organize records according to their type (e.g., correspondence, writings, photographs, etc.) rather than according to a processor's subjective evaluation of topics.

## 2.4 Levels of Control

Archival collections are managed at various levels of control. Some collections require more finely detailed arrangement and description work than others. Even within a single collection, some parts will require more work than other parts. Because there are many levels of processing, the processor's job is to find the most efficient way to achieve sufficient intellectual mastery and adequate physical control over the material. Not every processing task is done on every collection, and not all collections are arranged and described at the same level. The time and costs associated with every processing task must always be weighed against the benefits of the work. When doing detailed work, always ask if you are truly adding value to a collection; if you are not significantly helping researchers or protecting materials in need, then your energies may be better spent working at a higher level of control. "Quality" processing does not necessarily mean extensive arrangement and description. You can process a collection well at various levels of control.

There are a number of factors that may determine the level of control (hence the amount of work) that we will invest in a collection. For example:

- its research value
- expected patterns of use
- its physical condition
- its existing organization
- its size
- the potential for theft from it
- the amount and organization of potentially restricted, confidential, or sensitive materials
- the amount and organization of media materials
- how much money we have available to process it
- how many other collections are queued for accessioning or processing

Since 2013, SCA has determined processing priorities (i.e. the level of effort/control for processing a particular collection) at the point of accession. The priority of a new collection or addition to an existing collection will be expressed by a value score on a scale of 4-20 points. You can find the value score in the Processing Priority field in the Acknowledgements, Restrictions & Processing Tasks tab of the accession record in AT.

For instructions on assigning value scores, see Section 13 of the *Accessioning Manual*.

### 2.4.1 Arrangement

Arrangement encompasses both the intellectual and physical processes of organizing and housing materials in accordance with the principles of provenance and original order. Organizing a collection may involve 1) the identification of logical groupings of materials as they were established by the creator, 2) the reconstruction of an organizational scheme when the original ordering has been lost, or 3) the establishment of a new organizational scheme when one never existed or is unusable. Housing a collection may involve rehousing materials in order to stabilize or protect them, as well as basic preservation tasks to ensure materials may be stored and used without damage.

Arrangement work starts with a consideration of the collection as a whole, proceeds to consider smaller and smaller components to the level of granularity that is feasible or desirable. By custom, archivists have assigned names to some, but not all, levels of arrangement. The most commonly identified levels are as follows:

Fonds, collection, or group (sometimes record group)  
Series  
Subseries  
File (or filing unit)  
Item

A large or complex body of material may have many more levels.

## 2.4.2 Description

When processing, you will be creating a finding aid, which is a document that describes the various levels of physical and intellectual control over a collection in a hierarchical manner.

The finding aid provides a general outline of a collection's content, context, organization, and relevant administrative issues (e.g., restrictions, locations, records of appraisal decisions, etc.). It is the primary tool for researchers to identify collections and the materials within that are relevant to their research. The finding aid should also help a researcher judge the significance of a collection and its documentation, understand the context of the collection's creation, identify key portions of a collection with potentially relevant content, and know about any special conditions or requirements to use the collection. The finding aid should also be a source of unique, relevant keywords and controlled vocabulary terms for facilitating retrieval when searching the Internet or other online databases.

Description of a collection in a finding aid largely follows the arrangement of a collection; that is, for each level of arrangement, you provide information relevant to that level of control. Hence, the finding aid proceeds from the general to the most specific. (Imagine how information is described in an outline, or in hierarchical directories such as in Windows Explorer or Yahoo's Directory.) As such, much of the description you will provide will concern aggregations of materials rather than individual items. The collection level description, which includes the high-level description, is required for all finding aids. Descriptions can then either proceed directly to the second, third, or lowest levels, depending on the complexity of the collection (e.g., collection level description to item level description), along with intermediary component levels if necessary (e.g., collection level description, series level description, and item level description).

The three basic rules of multi-level description are:

- **Go from the general to the specific.** Present all archival description in a hierarchical, whole-to-part relationship that proceeds from general description of the collection to more specific descriptions of parts of the collection.
- **Lower levels inherit characteristics from higher levels.** Each level inherits the descriptive information from the level immediately preceding it. Give information that is common to multiple parts of the collection at the highest appropriate level. Do not repeat information at a lower level of description that has already been given at a higher level. For example, if

access to the entire series "Financial Records" is restricted, there is no need to include an additional restriction note in the description of the file, "Accounts Receivable." The restriction applies to the whole series, since it was given at the series level.

- **Include only information that pertains to the level being described.** At each hierarchical level, give only information relevant to that particular level. For example, do not provide an administrative history for an entire department if the creator of the materials being described is a division or branch. If you are describing the contents of a series, put that information at the series level, not at the accession level above it or the file level below it.

The collection level description, which includes the high-level description, is required for all finding aids. Descriptions can then either proceed directly to the second, third, or lowest levels, depending on the complexity of the collection (e.g., collection level description to item level description), along with intermediary component levels if necessary (e.g., collection level description, series level description, and item level description).

### 3 Workflow

- Identify a collection to process in consultation with the Archivist and/or Head of Special Collections and Archives.
- Gather and review all documentation about the collection in the collection files. Become familiar with the individual, family, or organization that created or collected the materials. Become familiar with the main events or issues documented in the collection.
- Locate all component parts of the collection to be processed. Using the Stacks Locator, check out each box you will be using. Click on the "Available" button next to each box. In the Check Out form, select "Staff" and "Accessioning/Processing" as the reason for checkout. Select the "Where" location using the drop-down menu. Once you submit the request, print out the flags and place them in the space occupied by the boxes.
- Save a processing checklist (available in Appendix H of this manual, the SCA wiki, or V:\ms-as\_documentation\Archival Technical Services\_forms and labels\Forms\Processing) to the electronic collection file and begin filling it out.
- Enter preliminary collection information into the UCI Libraries Archival Processing Metrics Worksheet (available on the SCA wiki or V:\ms-as\_documentation\Archival Technical Services\_policies and procedures\Archival Metrics). Use current quarter's spreadsheet.
- **Important:** If a value score was never assigned to the associated accession(s), assign a retroactive value score for the collection. See Section 13 of the *Accessioning Manual* for instructions.
- Survey the collection, noting existing arrangement, prominent series, prominent correspondents, inclusive dates, bulk dates, topics covered in the papers, locations of histories or other useful information about the creator in the collection, preservation problems, and the like.

- Prepare a processing plan. A processing plan describes proposed arrangement schemes, the amounts and kinds of major preservation work, description strategies, tasks for students, treatment of confidential or sensitive material, and other specific aspects of processing the collection. This is discussed and approved by the Archivist. Use the Processing Plan (Template) document in Appendix F of this manual. Templates are also available on the SCA wiki and V:\ms-as\_documentation\Archival Technical Services\_forms and labels\Forms\Processing.
- Arrange, preserve, and house the collection. Begin entering description in the Archivists' Toolkit. Be sure to track metrics as you go.
  - Processors should identify major correspondents, subjects, and genres/formats as they work.
  - Processors may wish to compose historical notes, chronologies, scope and content notes, and container lists as they work.
  - Significant changes in processing strategy should be discussed before they are implemented. Print any revised versions of the processing plan and staple with the original.
- The Archivist approves the final arrangement scheme.
- Complete the finding aid in the Archivists' Toolkit.
- The Archivist reviews the finding aid in the Archivists' Toolkit and provides suggestions for editing.
- Make the edits in the Archivists' Toolkit.
- The Archivist approves the finished finding aid.
- Cataloger adds name and subject access points, or refines those added by processor.
- Assign a student workticket for the labeling of boxes and folders and, if needed, transcription of folder titles.
- Finalize processing metrics for collection.
- Export the finding aid in EAD, saving it in V:\ms-as\_collections\All OAC finding aids.
- The Archivist tests the EAD finding aid and uploads the final version to OAC.
- Export a PDF of the finding aid and save it in V:\ms-as\_collections\Finding Aid pdfs. If the finding aid is new or substantially revised, print it out and put it in the appropriate finding aid box in the Reading Room.
- Shelf the collection and update the stacks locator, making sure to remove paging flags

from old location. Check existing boxes back in.

- Export the finding aid in MARC, saving it in V:\Tech Services and Cataloging\AT READY FOR UPLOAD
- The Archivist notifies the cataloger for creation or revision of a catalog record.
- E-mail [libsca@uci.edu](mailto:libsca@uci.edu) and [libbibref@uci.edu](mailto:libbibref@uci.edu) once finding aid and catalog record are updated.

## 4 Planning

### 4.1 Background research

Before you perform any work on a collection, it is first necessary to understand the context of its creation. Prior to collection processing, the processor should consult sources for biographical or historical information about the creator of the collection, with an eye towards articulating the significance of the collection in the context of Special Collections and Archives. Collection files, both in the physical cabinet and on the departmental computer network, are the first places to consult for documentation about the collection, including biographical or historical information. Also consider consulting ANTPAC or CDL/MELVYL for print and online sources available in the UC Irvine Libraries. For example, for regional history collections, Thomas Talbert et al., *The historical volume and reference works: Orange County* (Whittier, 1963) or Samuel Armor, et al., *History of Orange County, California* (Los Angeles, 1911) provide detailed biographical information about significant Orange County individuals. Basic biographical sources, such as the online Biography Resource Center, various Who's Who publications, and the Social Security Death Index, may also be useful. This information may also be found in the collection itself, such as in a person's resume or an organization's mission, by-laws, or reports. At times, it may be necessary to conduct research on the subject matter of the collection or the history and methodology of specific disciplines that produced the records.

### 4.2 Surveying the collection

The second step in creating a plan is to survey the collection. Before beginning the survey, open the accession record(s) in AT associated with the collection to be processed. Go through each tab of the record and make note of any pertinent details recorded during accessioning. Information regarding contents, condition, special formats, legacy metadata or preliminary inventories, and restrictions may be documented here and reused or repurposed in the finding aid. Much, if not all, of this information should already be contained in the single-level minimum DACS resource record.

Most importantly, find the processing priority value score and associated processing plan notes. These will indicate the recommended level(s) of effort/control assigned by the accessionser for processing. Keep these in mind as you conduct the survey, noting that the *application* of these levels to the various components of the collection is up to you as the processor. Your analysis during the survey is paramount to formulating a cohesive processing plan. **Important:** *If a value score was not assigned at the point of accession, you will need to assign one before proceeding with the survey. See Section 13.3 of the Accessioning Manual for instructions.*

Begin the survey. Open all the boxes. If possible, spread the boxes out on a table and open them all at once. Scan the collection to get a feeling for the subject matter, scope, and types of materials. At this stage of your work, you should not read extensively in the collection. Resist the temptation to begin sorting the collection; instead, plan the work, but don't actually do it yet. You will summarize the findings of your survey in the processing plan.

Consider the following elements in light of the collection's recommended processing priority value score:

#### Significance

Based on what is known about the significance of the materials in the collection and the creator or collector in the context of Special Collections and Archives (i.e., collecting focuses, other collections, etc.), what portions of the collection are the most significant, unique, or important to document?

Does the bulk of the collection have a scope that can be defined and articulated within the collecting interests of Special Collections and Archives?

Are there portions of the collection that fall outside of this defined scope?

#### Arrangement

Is the collection, or are parts of the collection, arranged according to an existing, useable order?

Are related materials (i.e. related by proposed series, or by topic, date, or format) dispersed throughout the collection? Should they be stored together physically, or can they remain dispersed?

Do files or items require arrangement or can the existing arrangement be maintained?

Does the collection have existing series or subseries? Or can series or subseries be imposed on the collection?

#### Description

Does the housing (e.g. boxes, envelopes, sleeves) have headings and if so, are they accurate? Can they be retained?

Do the headings include dates? If so, are they accurate?

To what extent do the headings reflect the materials described?

#### Restrictions

Are there files in the collection that are likely to contain personnel or student records?

If material needing access restrictions are present in the collection, at what level(s) can they easily be identified (i.e. series, subseries, file, item)?

Can an entire group of materials, as opposed to individual files or items, be restricted?

#### Preservation

How are materials currently stored? Are materials stored in discrete containers or folders?

Are materials difficult to use in their current storage location (i.e. are they easily accessible, are there too many materials stored in single containers or folders)?

Are materials being damaged in their current storage location (i.e. too acidic, too small or large for their contents)?

What is known about the formats of material in this collection? Are there known preservation issues with any of the material in this collection?

If there are media materials (i.e. audio-visual media, photographic materials, etc.), will they need to be reformatted for preservation purposes?

Are there oversize materials that could be expanded (i.e., unrolled, placed in a flat box)?  
Are there brittle, fragile, or other kinds of materials that should not be handled directly and possibly sleeved in Mylar, polypro, etc. for preservation purposes?  
Are there brittle, fragile, or other kinds of materials that could be photocopied?  
Are there rusty or corrosive materials?

#### Appraisal

Should we keep all of the materials? Are there any kinds of materials that should not be retained within the collection? Should the materials be returned to the donor? Should the materials be separated for addition to the stacks of Special Collections or the Library? Should the materials be offered to another institution? Should any materials be destroyed or shredded?

### 4.3 Processing plans

As you complete the survey, draft a processing plan. A template for the processing plan is available in V:\ms-as\_documentation\Archival Technical Services\_forms and labels\Forms\Processing, Appendix F, and the SCA wiki. Save the processing plan in the electronic collection file using this format: collection#\_processingplan. Example: r124\_processingplan. Print a hard copy and file it in the paper collection file in LL 500.

Although every collection is different, creating a processing plan for a medium-size collection (10 to 12 record center cartons) should not take more than 10 hours. Surveys of larger collections will take longer; how long will depend on the complexity of the collection.

If you realize that modifications to the collection arrangement, description, or preservation need to be made after processing begins, make the changes to the plan and file the revised version with the original in the electronic and physical collection files for documentation purposes.

### 4.4 How much work to perform?

*Note: The following is adapted and excerpted from Section 3.A of the UC Guidelines*

Since 2013, SCA has based processing activities on the *Guidelines for Efficient Archival Processing in the University of California Libraries (UC Guidelines)* published in September 2012. Using the processing priority value score determined during accessioning (or prior to the start of processing), the processor will be able to identify the level(s) of effort/control to use for a particular collection.

The key to efficient processing is to find the most appropriate level of detail for appraising, preserving, arranging, and describing a collection, appropriate to its research value and condition. Processors must find the “golden minimum” of effort required to make a collection, or series within a collection, usable. In order to be usable, a collection or series must be discoverable, materials with significant research value must be findable, and typical use should not create undue risk of harm.

The following chart describes various processing levels that may be employed by SCA processors. Additions made by SCA are in italics.

Level of Effort	Level of Control	Description	Arrangement	Preservation	Appraisal
Minimal	Collection Level	Collection-level record in MARC or EAD (at least DACS single level minimum) possibly with a brief box listing	As is	Rebox if unserviceable in current housing.	Weeding not appropriate at this level. For collections with privacy concerns throughout, restrict entire collection from users and review for use on demand.
Low	Series or Subseries Level	Brief finding aid or detailed MARC notes (arrangement and scope & content) with series/subseries descriptions and/or box listings.	Put series and/or boxes into rough order.	Replace damaged boxes. House loose items. Replace folders, binders, or envelopes only if unserviceable.	Appraise series, subseries, or large, discernible chunks, but avoid finer levels of weeding. For series with privacy concerns throughout, restrict entire series from users and review for use on demand.
Moderate	File Level (expedited)	Succinct finding aid with abbreviated folder lists or simple inventories. Existing description repurposed.  <i>[Do not add folder-level notes.]</i>	Put folders in rough order. Preserve original order when usable. Perform rough sort of loose items.  <i>[For small collections of <math>\leq</math> ca. 2 linear feet, physical order can be arranged to match intellectual order.]</i>	Replace boxes. Retain existing folders and labels when in good shape.	Appraise at the folder level; avoid finer levels of weeding. Segregate folders with privacy concerns.

Intensive	Folder Level (traditional)	Finding aid includes detailed folder lists, scope and content notes, and/or historical notes. Folder titles are refined and standardized.  [Folder-level notes acceptable.]	Put folders in order. Impose new organizational scheme or make significant improvements. Sort loose items into folders.	Replace boxes and folders. Selectively perform preservation actions for fragile or valuable items.	Appraise at the folder level; avoid finer levels of weeding. Segregate folders with privacy concerns.
Highly Intensive	Item Level	Detailed finding aid includes item lists, or folder lists with explanatory notes.	Items are placed in order in boxes and folders.	Replace boxes and folders. Comprehensively address housing or preservation needs for fragile items. Reformat audio-visual material.	Item-level weeding appropriate. Segregate items with privacy concerns.

Cite the level(s) of effort/control you plan to use, as well as the corresponding value score, in the processing plan. **Remember:** There are always exceptions to the general rule and flexibility is critical when exercising archival judgment. If feasible, document any anticipated deviations from the prescribed activities for a particular level of effort/control in the “Notes” section.

#### 4.4.1 Accessioning vs. minimal processing

Minimal processing should be completed for accessions assigned a value score of 4 – 5. While SCA’s accessioning workflow results in the creation of a minimal *DACS*-compliant finding aid as described in the Minimal – Collection Level area in the chart above, minimal processing is **not** the same as accessioning. Refer to Section 8 of the *Accessioning Manual* for an overview of the elements included in a minimal finding aid. In order to distinguish between accessioning and minimal processing for metrics purposes, *minimal processing* will be defined as inclusion of all additional collection-level elements required for processing. These are:

- Acquisition Information
- Processing History
- Historical Background/Biography/Organizational History
- Collection Arrangement

Assignment of name and subject access points other than creator name (assigned during accessioning) will also occur during minimal processing. Collections that are minimally processed should be marked as “Minimally\_processed” in the Finding Aid Status field of the AT resource record’s Finding Aid Data tab. In the Processing History note, write “This collection was minimally processed by [name], [date]”.

Any box-level inventory created during accessioning should also be made available for minimally processed collections. This may be summarized in one or two paragraphs in the scope and content note. For larger collections with a more extensive inventory, create a container list and upload it as a supplemental PDF on OAC. Refer to Section 9.2 of the *Accessioning Manual* for instructions on creating supplemental PDFs.

Example (from Section 4.A.2 Description of the *UC Guidelines*):

Box 1: mostly contains materials relating to Johnson's failed presidential campaign in 1924; Box 2: materials about Johnson's political career in the California State Senate from 1922-1945, including copies of speeches by and about him, 1921-1969; Box 3: disbound binder about individuals in California who supported Johnson's reelection campaign in 1940; Volume: checkbook for the Hiram Johnson for Senator campaign, dated 1934, May 15-November 5.

## 4.5 How long should processing take?

*Note: The following is adapted and excerpted from Section 3.C of the UC Guidelines*

The chart of processing rates below is designed to help determine the time and resources needed for a processing project, depending on the level of processing desired.

**Average processing rate (hours per linear foot)  
given level of processing effort and condition of the materials**

<b>Level of Effort</b>	<b>Poor condition or many barriers to access<sup>16</sup></b>	<b>Average condition or moderate barriers to access</b>	<b>Excellent condition or few barriers to access</b>
Minimal effort - Collection level	1-3	1-2	1
Low effort - Series or Subseries level	4-8	3-6	2-4
Moderate effort - File level (expedited)	9-14	7-11	5-8
Intensive effort - Folder level	15-21	12-17	9-13
Highly intensive effort - Item level	22+	18+	14+

Cite the number of estimated processing hours in the processing plan.

## 4.5.1 Tracking processing metrics

*Note: The following is adapted and excerpted from Section 3.G of the UC Guidelines*

When making decisions about processing approaches and estimating time and resource allocations, it is useful to have data at hand that is tied to specific processing metrics. These metrics can provide valuable information about a variety of activities performed during processing work -- and ultimately, facilitate data-driven decision making in SCA.

Tracking processing is part of the processing workflow for all staff or interns performing processing tasks. The intent is not to measure the productivity of individual staff, or to evaluate performance, but to measure *processes* -- i.e., assessing time needed and resources required to process collections, and the impacts of taking particular processing approaches. Data points can be used as heuristics for estimating and projecting staffing and resource needs, to process collections based on particular levels -- and can inform and hone benchmarks. Data points can also be used as evidence to justify staffing and the financial resources needed, in the context of discussions with donors, when preparing grant applications, etc. Processing efforts can be demonstrated in real time with actual metrics, illustrating the value and justifying the significance of processing work.

Keep in mind that tracking is only being done for **processing** activities – **NOT** accessioning, surveying, or any other preliminary actions undertaken before the start of processing, including preparation of a processing plan.

### 4.5.1.1 Work performed at the collection-level

All collections regardless of assigned value score will require some work to be done at the collection-level. When completing all collection-level notes for the finding aid and assigning name and subject access points, track your time at the “Minimal” level. Refer to the UCI Libraries Archival Processing Metrics Worksheet.

### 4.5.1.2 Using the UCI Libraries Archival Processing Metrics Worksheet

Processing metrics will be collected and reported on a quarterly basis, incorporated into the department’s quarterly report to Library Administration. Tracking will be centralized in a single quarterly spreadsheet entitled *Archival\_Processing\_Metrics\_Worksheet\_Q#YYYY*, where “#” represents the quarter number and “YYYY” the calendar year. You can find the current spreadsheet in V:\ms-as\_documentation\Archival Technical Services\_policies and procedures\Archival Metrics.

The spreadsheet is a local adaptation of the UC Libraries Archival Processing Metrics Worksheet template provided in the *UC Guidelines*. Instructions for using the spreadsheet are provided in the tab labeled “Instructions,” which also includes explanations of each data field and references to relevant sections of this manual. **Important:** Do not begin tracking until the collection survey and preparation of a processing plan have been completed and approved.

Statistics compiled during processing will be compared with the processing rates outlined in the chart above to facilitate analyses of our workflow and procedures and address concerns as needed.

## 5 Arrangement

Arrangement relates to the manner in which the collections have been subdivided, intellectually and

physically, into smaller units. The most important factors in archival arrangement are provenance, original order, the proper storage of materials to preserve them for immediate and long-term purposes, and the ease of intellectual access to the information in the records.

This chapter is divided into two sections: *Organization* and *Housing*. *Organization* deals with the intellectual and physical aspects of putting a collection in order. *Housing* deals with the ways in which materials need to be stored and treated.

## 5.1 Organization

### 5.1.1 Collection level

Collections are the chief way in which we manage manuscript and university archives materials.<sup>1</sup> In general, collections are composed of all materials emerging from one creator, whether a person, corporate body, or a family. A creator may have created, used, maintained, or assembled the materials. In other words, collections are the way in which we preserve the provenance of materials. We create finding aids and online library catalog records to describe collections. Subsequent levels of arrangement and description within each collection are only meaningful when seen within this context.

Collections are assigned root numbers corresponding to the UCI collecting area, followed by a sequential assigned number, for example, MS-C001. (In the Archivists' Toolkit, the number is broken into its three components, resulting in the output with slightly different punctuation: MS.C.001.)

### 5.1.2 Accession level

An accession refers to a group of records from the same source taken into archival custody at the same time. When materials first come into Special Collections, we assign the materials an accession number and gather basic information about the acquisition. An accession number is composed of the year in which an accession arrived, followed by a sequentially assigned number, for example, 2007-023 (for Archives accessions, the accession number was followed by an A, but this is no longer practiced.) All accessions are also assigned a collection number; some accessions form new collections, other accessions are additions to existing collections. The accession level of control allows us to manage materials while they are unprocessed. After an accession is processed, we no longer manage the materials with the accession number.

#### 5.1.2.1 Working with multiple accessions

When processing, it is often preferable to merge all accessions that contain materials related in scope or time period, in order to present the user with a well-organized, coherent physical and intellectual ordering of the creator's materials. However, it is sometimes not feasible to merge all accessions or fully integrate

---

<sup>1</sup> A collection may be defined as "a group of materials with some unifying characteristic" (SAA Glossary) or as "a body of archival material formed by or around a person, family group, corporate body, or subject either from a common source as a natural product of activity or function, or gathered purposefully and artificially without regard to original provenance." (APPM 1.0A). However, archivists also sometimes distinguish a "collection" from a "record group" or "fond," with collections being artificially assembled while record groups or fonds being materials created and accumulated as the result of an organic process reflecting the functions of the creator. At UCI, we use the broader definition at this level of control.

additions to already processed collections (particularly for large University Archives collections), for collections for which we expect regular accruals, or for accessions that do not overlap in scope or time period. When working with multiple accruals or accessions, it is important to weigh the time it would take to present the user with a coherent, well organized collection with the research value of the collection. There are many possibilities for providing access. You can integrate accessions intellectually, rather than physically. You can also use series or another organizational scheme to reflect the distinct accruals of materials in a collection.

The following are guidelines for two common scenarios:

**5.1.2.1.1 Processing a collection with multiple accessions for the first time**

When all materials are unprocessed, processing is based on the premise of “a single value score for a single collection.” This value score will be referenced in the processing plan and the processing metrics worksheet.

When processing a collection comprised of multiple accessions with previously assigned value scores, assign the highest score as the collection value score. This will accommodate all levels of effort/control associated with the accessions and allow each to be applied as needed during processing. If the accessions were not assigned value scores, follow the instructions in Section 13.3 of the *Accessioning Manual* for assigning retroactive value scores.

The chart below provides suggestions for how the multiple accessions may be treated based on the levels of effort/control associated with the collection value score:

Level of Effort	Arrangement	Description
Minimal	Keep accessions distinct.	For a collection-level record, briefly describe contents of each accession to help users select which accession is most appropriate.
Low-Moderate	Keep accessions distinct.  Do not integrate or interfile one accession into another. Each accession might start over with “Box 1.”  Identify and arrange series/subseries within each accession. Process at file level if appropriate.	Describe each accession separately. Use series/subseries or file level control as appropriate.

Moderate-intensive	Integrate all accessions physically.	Describe at the file level.
--------------------	--------------------------------------	-----------------------------

(Excerpted from Section 4.B.1 of the *UC Guidelines*)

#### 5.1.2.1.2 Processing additional accessions to a previously processed collection

When processing a single new accession to a previously processed collection, use the value score assigned during accessioning or assign one prior to beginning processing.

When processing multiple new accessions to a previously processed collection and each accession was assigned a value score, select the highest score to serve as the value for the new additions **as a whole**. This will accommodate all levels of effort/control associated with the accessions and allow each to be applied as needed during processing. If the accessions were not assigned value scores, follow the instructions in Section 13.3 of the *Accessioning Manual* for assigning retroactive value scores.

The chart below provides suggestions for how the new addition(s) may be treated based on the levels of effort/control associated with the accession/addition value score:

Level of Effort	Arrangement	Description
Minimal	Keep accessions distinct.	For a collection-level record, briefly describe contents of each accession to help users select which accession is most appropriate.
Low-Moderate	Keep accessions distinct.  Do not integrate or interfile one accession into another. Each accession might start over with "Box 1."  Identify and arrange series/subseries within each accession. If appropriate, arrange each accession at file level.	Represent new accessions following the processed materials.  Describe each accession separately. Use series/subseries or file level control as appropriate.  Do not attempt to integrate description with the processed materials.

Moderate	<p>Arrange additional materials in boxes at the end of a processed collection. Work at the subseries or file unit level.</p> <p>Make efforts to arrange new materials similarly to previous efforts.</p> <p>Do not interfile new materials into previously processed materials.</p>	<p>Bring similar series or subseries together intellectually in the finding aid.</p> <p>Do not integrate description intellectually below the subseries level.</p>
Moderate-intensive	When adding additional materials, arrange new materials in boxes at the end of a processed collection.	Integrate the folder descriptions intellectually. Sequential folders in the finding aid will be in different boxes.
Intensive-very intensive	Physically integrate the new accession, effectively reprocessing the entire collection.	Folder-level description

(Excerpted from Section 4.B.2 of the *UC Guidelines*)

### 5.1.3 Series level

#### 5.1.3.1 General considerations

Series are the primary means of organizing collections. Series represent the major groupings of records within a collection as well as the first level of analysis of a collection's content. One of the most important tasks of processing is either 1) to uncover the series that the records creator used or 2) to establish logical series. The average collection will have between two and ten series; however, more or none at all are also possible.

A series consists of files arranged in accordance with a filing system or maintained as a unit because the records result from the same process of accumulation or filing, result from the same activity, have a particular form, have a similar topic, or have some other relationship arising out of their creation, receipt, or use. In other words, series are a group of files that share one or more of the following:

- a common characteristic (e.g., type of document),
- a common organizing principle (e.g., topic, geographic area, numerical code, etc. ),
- a common function or activity, or
- a common source or origin.

Each type of series will be described in further detail below; possible arrangement schemes within the series will also be mentioned. Within these types, you will find that series come in many shapes and sizes, depending on the type of collection and its existing organization. Some series may even seem to span multiple types; that's okay...the types are described here simply to help you make sense of the variety of series you may encounter during accessioning and processing.

In developing a name for a series, you must find the most appropriate title for an aggregation of files and/or the variety of records within. Sometimes this title will be supplied by the creator, sometimes it will be obvious from looking at the collection, and sometimes you will have to analyze diverse parts and find an abstract title that effectively encompasses the interrelationships between the files while also recognizing the diversity of the records. Creating titles for series, as well as for other components of a collection, are in the Description section of this manual.

### **5.1.3.2 Series based on a common characteristic**

Series may be based on the presence of significant amounts of a uniform type of document or other common characteristic. Examples include:

#### **Correspondence**

Correspondence is a form of written communication. Correspondence is distinguished from other documents by the fact that it is typically addressed to a specific individual or group, and is intended to be delivered by a third party. Examples include letters, memoranda, email, postcards, and telegrams. Correspondence series may also include attachments and enclosures to the letters and memoranda, including photographs, reports, clippings, articles, etc.

Depending on the volume, existing organization, or significance of a collection, correspondence series can be arranged in many ways at lower levels of control.

Typically, incoming and outgoing correspondence are interfiled; however, correspondence may also be distinguished according to type, for example, incoming correspondence, outgoing correspondence, personal correspondence, professional correspondence, interoffice correspondence, intraoffice correspondence, fan mail, third party correspondence, etc., are all possibilities for providing further levels of control.

Alphabetical organization according to the name of the correspondent is also a common form of arrangement. Research in most collections is name driven, particularly for people or organizations that worked with prominent individuals or organizations. As a result, most researchers are best served by an alphabetical arrangement of correspondence so that they can access content directly by name entry. Processors must determine appropriate lower levels of control: Will names of specific correspondents be distinguished in some way, or will letters of the alphabet be enough to represent the organization? Will letters from the same individual be organized chronologically, or is grouping all letters according to name enough?

When name access is less crucial and the sequence of historical events is important, you may wish to retain the existing chronological arrangement of correspondence. If correspondence is unorganized, this may also be an efficient way to organize it, for example, by year.

Sometimes, a creator may have organized correspondence according to subject, rather than by type or by the names of individuals or organizations.

#### **Grant proposals**

### Writings

A Writings series may encompass writings (in various drafts) and associated documentation and ephemera for published and unpublished textual works. Material generally originates from or is related to the individual around whom the collection has been created, but can also relate to third parties or topics. Depending on the circumstances, Writings of Others might be a more accurate series title.

### Speeches

### Photographs (or Visual Materials)

Photographs and other visual materials may be scattered throughout a collection or be kept physically separate, despite intellectual relationships. If visual materials and photographs make up a significant or valuable part of the collection, and if heavy interest or use is expected, you may wish to create a separate series for these materials and remove them when encountered from their original context. (You should document their original context with a photocopy and reference to the new location, particularly if the image is tied closely to the surrounding materials.)

The *UC Guidelines* provide a number of strategies for working with photographic collections. Refer to the “Arrangement” column in the chart below for an overview of appropriate arrangement tasks to perform at different processing levels.

### Processing activities for photographic collections

Level of Effort	Level of Control	Description	Arrangement	Preservation
Minimal	Collection Level	Collection level record in MARC or EAD (at least DACS single level minimum)	As is	Rebox if unserviceable in current housing. Identify locations of film-based media (negatives and slides) for separate storage and/or restriction.
Low	Series/ Subseries Level	Brief finding aid or more detailed MARC record with series/ subseries descriptions and/or box listings.	Put series and/or boxes into rough order.	Replace damaged boxes. House loose items. Replace folders, binders, or envelopes only if unserviceable. Remove film-based media (negatives and slides) for separate storage.

Moderate	File Level (expedited)	Succinct finding aid with abbreviated folder lists or simple inventories. Existing description repurposed. Brief reference to photographic process or format may be included.	Put folders in rough order. Preserve original order when usable. Perform rough sort of loose items. Note correspondence between negatives and prints in broad terms (container or folder level).	Replace boxes. Retain existing folders and labels when in good shape. House batches of physically similar material in sleeves or folders. Provide individual archival folders or enclosures only for a few exceptional items.
Intensive	Folder Level (traditional)	Finding aid includes detailed folder lists or item lists, scope and content notes, and/or historical notes at a folder or item level. Folder titles are refined and standardized. Physical descriptions such as photographic process and format are provided.	Put folders in order. Impose new organizational scheme or make significant improvements. Sort loose items into folders. Items may be given unique numbers. Record relationships between prints and negatives in as much detail as possible.	Replace boxes and folders. Provide archival folders or plastic enclosures for a significant percentage of items, individually or in small batches. Sleeve all negatives individually. Selectively perform preservation actions for fragile or valuable items.
Highly Intensive	Item Level (traditional)	Detailed finding aid includes item lists with image descriptions, physical descriptions of media, format, dates, and other explanatory notes.	Arrange items in order in boxes and folders. Assign items unique numbers, and match prints to negatives, giving them corresponding numbers, or cross-references.	Replace boxes and folders. Comprehensively address housing or preservation needs by providing archival folders or plastic enclosures for all items, individually. Reformat negatives to provide use copies (print or digital).

(Excerpted from Section 4.E of the *UC Guidelines*)

**Note:** Refer to additional arrangement strategies in the *UC Guidelines* as needed for the following:

- Photographic collections managed independently of other archival materials (4.E.1.a)
- Photographs in manuscript and archival collections (4.E.2.a)

### **Artifacts**

Many other series are possible. The above list is NOT prescriptive. For more information about possible document types, consult the Thesaurus for Graphic Materials II (<http://www.loc.gov/>) or the Art and Architecture Thesaurus, Objects Facet for Visual and Verbal Communication (<http://www.getty.edu/>).

#### **5.1.3.3 Series based on a common organizing principle**

Some series are based on existing, coherent filing schemes in which sets of records are arranged alphabetically, chronologically, geographically, topically, or by some other method. Sometimes, these series names were written on the outside of the file cabinet in which the files were stored. Sometimes, the title of a series may have been lost or never formally given, so a processor must invent a title for the purpose of making the existing relationships between sets of records more apparent to the researcher. In other words, a processor may use this type of series in order to categorize related files and make the arrangement, scope, and content of the records more obvious and comprehensible. Examples include:

##### **Case files**

Case files are a collection of documents relating to a particular investigation or in support of some administrative action. At the next level of control, case files are usually arranged by name.

##### **Chronological files**

Some individuals or offices organize all incoming material and/or outgoing material according to the date in which it was received or created. Although this system is not always useful to researchers, processors should usually leave this system of arrangement intact and simply record the sequence of dates. Rearrangement not only would take too much time, but the destruction of original order may also disrupt important contextual linkages.

##### **Subject files**

Subject files are often formed around a particular interest in a topic. Subject files can relate to any type of topic, such as an issue, action, event, person, place, project, or other abstraction. Sometimes, the files may truly be subject-oriented, but at other times the files may be kept according to names of individuals or organizations.

The content and format of documents within subject files is often varied. Materials may include correspondence, notes, reports, visual materials, printed materials, and many other kinds of materials documenting the creator's interests. Note that these files may not only contain information about individuals or organizations, or but they may also contain records actually created by and received from these individuals and organizations.

Subject files are often organized alphabetically, according to the ways in which the creator named the files. It is preferable to treat subject files at the same level of control at which

the creator treated them; however, for voluminous or significant subject files, it may be preferable to arrange and describe subject files first by topic then by format. It may also be appropriate to name the topic explicitly in the series title. For example:

Desegregation and education materials  
North Cascades Park subject files  
Historic preservation files  
Health issues  
Legislative issues  
Campaign files on saving ancient forests  
Subject files on labor disputes  
Subject files on gays and lesbians in Laguna Beach, California

Keep these systems of arrangement intact, unless you have a good reason for dismantling them. For ease of use, however, you can re-alphabetize the files, either to correct the existing order or to adjust the filing scheme according to the way in which you have had to rename the files for clarification. Plan to refine, clarify, or correct the headings as necessary to describe the contents accurately. In some cases when there is no discernable order to collected materials, you may need to create your own subject classification system.

#### **5.1.3.4 Series emerging from a common function or activity**

Other series may be the result of a particular function or activity that the creator performed. In other words, the records may have served a particular purpose.

##### **5.1.3.4.1 Functional series common to individuals**

Functional series are more common in organizational records; however, if an individual's collection primarily documents diverse external activities in a profession or community, functional series are often a useful organizational principle. For individuals, functional series often are invented by the archivist in order to create convenient and logical organizational schemes.

#### **Personal papers**

Personal papers are created outside of a person's professional sphere and document activities such as family life, hobbies, friendships, interests, travel, sketches, notes, etc. Papers may include biographical information, correspondence, diaries, travel journals, photographs, scrapbooks, datebooks, writings, etc. It is often desirable to arrange personal papers according to document type. Papers that provide documentation of an entire person's life (e.g., biographies, obituaries, vitae, resumes) may also go here.

#### **Professional papers**

Professional papers include records created in service to a person's profession or career. They document a person's professional activities and reflect the nature of a person's professional involvement and interest. Papers may include recognizable document or file types, such as correspondence, writings (published and unpublished), speeches, awards, research notes, reference files, patents, reports, clippings, etc. They may include those from associations and committees on which a person served. They may also reflect consulting work, teaching at the University, attendance or participation at conferences, or civic involvement. These kinds of records are generally organized according to the name of the association, committee, organization, or project on which the person served.

### **Personal and professional papers**

Sometimes, a person may have mixed personal and professional papers. Leave the organization as it is, and name the series appropriately.

### **Research files**

Research files may include all records generated in the process of conducting research on one or more topics. Research files may be named for the specific kind of research, for example “Research files on geological features” or “Research files on salmon species.” Records may include notes, charts, notebooks, grants, reports, publications, maps, visual materials, correspondence, writings, presentations, etc.

### **Teaching files**

Teaching files may include all records generated in the process of teaching or as a result of the function of being a teacher. Records often include syllabi, lecture notes, assignments, exams, student work, student recommendations, reading lists, etc. At lower levels of control, teaching files are often organized by course name. Depending on the volume, further arrangement by record type may be desired.

### **Civil rights [Civic] [Labor] [Environmental] [Gay and lesbian] [Political] [etc.] activism [involvement] [contribution] [campaign] [etc.] records**

Many of our collections are from individuals who were active in organizations, movements, governments, political parties, or causes. It may be useful to group together (and hence distinguish and highlight) all records relating to a person’s main focus of activity or passion. Construct the series title in terms of the kind and focus of the individual’s activity.

You may even name the series for one particular activity or involvement in one (or more) particular organization. (When you organize a series around a specific activity or affiliation, the resulting series may be similar to parentage series.) For example:

Republican Party files

League of Women Voters (Long Beach, California) materials  
City of Irvine, California Employees Redress Ordinance files  
University of California, Irvine materials

Affirmative action seminar materials

For lower levels of control, you may wish to arrange records according to the name of the organization, activity, or event from which the records emerged. Below that, you will most likely find a variety of record types, including subject files about specific topics of interest. You may wish to arrange these materials according to the various record types.

### **Legislative records**

Politicians and commissioners may have files documenting the bills, resolutions, and committee work of legislative sessions. Records may include drafts, research materials, notes, and correspondence. Often these files are organized by legislative session, then by type of bill or resolution, then by name of the bill or issue.

### **Consulting files**

In faculty papers, it may be common for an individual to offer advice and services to a

number of different organizations or individuals. These files may sometimes be organized separately from those concerning a person's service to the University or to professional associations. Often, this series is organized by the names of the clients.

### **Political campaign records**

Political campaign records include all records generated during political campaigns. Records may be further arranged and described by format (e.g., correspondence, speeches, mailings, posters, artifacts, photographs); by filing scheme (e.g., subject files, research files, etc.); or by parentage (e.g., Committee for Re-election records).

Many other functional series are possible; this list is NOT comprehensive or prescriptive. When in doubt, think about what function or activity generated the records, or for what purpose the individual kept the records. Why were the records produced or accumulated?

### **5.1.3.4.2 Functional series common to organizations, offices, departments, etc.**

In organizations, creators usually organize series of records according to the specific functions or activities they carry out. Sometimes these functions are carried out by specific divisions or committees within the organization. This is usually reflected within their filing systems. It is often useful to look at mission statements, organizational charts, and annual reports in order to help you to determine the main functions performed by an organization, and hence interpret the circumstances of the records' creation to name appropriate series. Below are examples of common functional series you may encounter.

**Administrative (or organizational) records** (a common, very general, catch-all series that may be appropriate when more specific series cannot be identified or separated without rearrangement)

Administrative records include records generated from activities related to the administration and management of the organization. Administrative records are a common series for organizations with minimally structured filing systems. In these cases, you will find program records and operational records (described below) mixed together. Sometimes, you may be able to arrange materials according to specific activities, including the organization's establishment or dissolution, planning processes, public relations, budgeting and accounting, fund raising and development, personnel, meetings, training, etc. Sometimes, you may wish to organize these materials according to the position or committee that generated them (e.g., Executive Director records, Secretary's records, Board of Directors records, or Operations Committee records). Sometimes, you simply have to arrange and describe materials according to their record type. Depending on the original order, all three ways to gain further levels of control may be in operation simultaneously. For example:

Administrative records  
Articles of incorporation and bylaws  
Budgets  
Committees  
    Development Committee minutes, reports, and charts  
    Executive Committee minutes and membership lists  
    Personnel Committee minutes, policies, and reports  
Fund-raising information  
Grant proposals  
Job descriptions  
Membership lists and information

Project Ngoc organizational files  
Awards  
Candlelight vigil  
Class  
Correspondence.  
Donations  
Financial reports  
Miscellaneous materials  
Newsletters  
Receipts  
Saturn essay competition  
Van nghe  
Walk-a-thon for boat people's rights

### **Program records**

Program records relate to the substantive activities an organization undertakes to accomplish its mission or mandate. Program records often refer to the specific programs that an organization initiates and implements. Program records may include organizational charts, correspondence, grants and contracts, budgets and financial records, minutes, the organization's committees' records, strategic plans, reports, etc. Depending on the volume and existing organization of program records, they could be further arranged and described by either the names of specific programs or by the specific types of documents. For example:

National Association for the Advancement of Colored People program files [series]  
Bankers Forum press releases and clippings  
Black Dollar Week plans, correspondence, and clippings  
Black History Month correspondence and other materials  
Black Jewish Coalition correspondence and newsletters  
Cabaret correspondence, financial records, and other materials  
Candidate's Forum correspondence, lists, and other planning materials

Program records may also include sets of files that are organized by the specific name of a program or initiative. For example:

Summer Enrichment Program records

Youth Services records

Save Lake Erie campaign records

World Trade Organization protest files

### **Operational records**

Operational records include files and documents that facilitate the operations of an organization or office, but which do not relate directly to programs that help the organization achieve its mission. (Those kinds of records are often called program records and are described above.) Examples include routine correspondence or interoffice communications; records relating to human resources, equipment and supplies; facilities; reference materials; activity reports; work assignments; appointment books; and telephone logs.

### **Project records**

Some organizations or individuals are involved in many projects. Project records may include all records that may be generated in the process of creating, designing, initiating, implementing, finishing, and evaluating a project. Project records are typically organized by project name; depending on volume and significance, they may be further arranged and described by record type. For example:

Refugee Demonstration Project  
Correspondence  
Planning and implementation materials  
Budget, goals, and objectives  
Reports

### **Grant files**

Some organizations are responsible for giving out grants and have extensive files on organizations that applied for grants, were given funding, or were rejected. Records may include grant proposals as well as correspondence, accompanying documentation, financial records, progress reports, etc. It is often most useful to arrange these files according to the name of the organization (E.g. Seattle Symphony). Further levels of control, if necessary, may be to arrange and describe by the names of the grant or project.

### **Curriculum and instruction records**

University schools, departments, and programs are often responsible for the development and implementation of curricula. Curriculum and instruction records may document the development and evaluation of courses of study, which courses are offered and required, the content of courses and styles of teaching; the evaluation of students, the accreditation of curricula, etc. Arrangement of this series may be according to the names of departments, courses, or faculty (e.g., Department of History or English 101); according to the activity that generated the records (e.g., accreditation); or according to record type (e.g., grading policies or syllabi).

### **Public relations records**

Occasionally, public relations or marketing may be a major function in an organization. In fact, there may be a whole department or person dedicated to this function. In these cases, it may be appropriate to create a separate series for materials resulting from this function. Public relations materials may include records produced used to disseminate information about an organization or actively market products, services, productions, etc. to others. Records may include correspondence, brochures and other promotional materials, visual materials, financial records, etc.

Many other functional series are possible; this list is NOT comprehensive or prescriptive. When in doubt, think about what function or activity generated the records, or what purpose the records served in the organization. Why were the records produced or accumulated?

#### **5.1.3.5 Series emerging from a common source or origin**

Parts of a collection may have originated from a person, family, or corporate body that is not the primary creator or collector for which the collection is named; this material often has been retained distinctly or separately from other records.

### **Single source**

In personal papers, a person may have acted as an agent or prominent member of an organization, for example, if a person was president of an organization and kept records of the organization for his or her tenure. A person may have also actively collected the records of a particular organization or other individual. A person may have come into possession of another person's papers, for example, if a husband kept his wife's papers after her death. Name the series for the original source of the papers or records. Make sure to describe the relationship between the creator of the collection and the name of the organization or individual for whom the series is named in a note. (Either a scope and content note or a biographical/historical note may be appropriate, either at the collection level or the series level).

Spring Mountain Conservation Society records  
Biographical Note: John Smith was secretary of the society in 1956-1967 and president in 1976-1978.

Jasper Jones papers

Society of Modern Art records

University of Michigan Graduate School records

In family papers, a series may be used to distinguish the particular family member or family branch that produced certain records.

Joseph H. Marsh papers

Marsh family papers

In organizational papers, a series may be used to distinguish among individuals, divisions, or other bodies within the organization that produce records or maintain their own filing systems. For example, the records from a dean of a college might be distinguished as a separate series from the more operational records within his or her office. Records of boards of trustees or major committees may also be used to distinguish records emerging from their activities.

Associate Dean's files  
Executive Director's files

Board of Trustees records

Southeast Asian Resource Action Center organizational files

Committee on Professional Development records

### **Multiple sources**

When a collection has records originating from many other individuals or corporate bodies, you may wish to group these records under a series that describes their common purpose or their relationship to the primary creator of the collection. Examples include:

#### **For organizational records:**

National Organization for Women (N.O.W.) files [series]  
Orange County N.O.W. files

- Activities
- Affiliated groups
  - Local N.O.W. chapters
  - Women's Coalition
  - Women's Political Caucus
  - Agenda and minutes
  - Etc...
- California N.O.W. files
- Western Region N.O.W. files
- National N.O.W. files
  - General
  - Proposed by-laws
  - Publications
- Academic Senate committees [series]
  - Research Ethics Board minutes and correspondence
  - Tenure Review Committee records
  - Undergraduate Curriculum Review Committee
  - Correspondence
  - Minutes
  - Notes
  - Proposals
- University of California, Irvine departments and divisions [series]
  - Department of English correspondence, annual reports, and other material
  - Department of History correspondence and minutes
  - Department of Sociology reports and proposals

**For individuals' papers:**

Include records for organizations in which a person was active, records showing evidence of a person's involvement with an organization, records received from professional organizations, or records received or generated as a result of attending or participating in a conference, etc. The exact nature of the relationship may be delineated in a biographical note or scope and content note at an appropriate level of description.

- Professional affiliations [series]
  - American Society of Engineers correspondence and mailings
  - Society of Western Electrical Engineers
    - Historical Note: Jones was secretary 1976-1987.
  - Correspondence
  - Minutes and Agendas
  - Notes
  - Plans
- Clubs and organizations [series]
  - Bathhouse Theatre mailings and programs
  - Danish Dramatic Club bylaws, minutes, and other materials
  - Delphian Society ephemera
- Non-California state and national organizations [series]
  - American committee refugee conference
  - Bureau for Refugee Programs resource manual
  - Cellar book shop
  - Census of 1990
  - Center for Applied Linguistics materials

Center for Applied Linguistics curriculum  
Citizenship materials

Civic involvement files [series]  
Chamber of Commerce (Orange, California) correspondence,  
directories, and other materials  
City of Orange, Urban Planning Division records  
Clean Up Laguna Canyon flyers and newsletters

University of Vermont materials [series]  
Department of History newsletters  
Faculty Senate reports  
Graduate Council minutes

### 5.1.3.6 Sequence of series

As a general rule, series are arranged in descending order of importance of documentation.

For organizational records, it is common to place first series that reflect the overall organization and administration of the creator, followed by series documenting specific activities or functions. However, an arrangement that reflects the organization's structure is often appropriate. Chronological arrangement of series may also be appropriate if records reflect a long organizational history with distinct phases.

In personal papers, series that reflect the overall life of a person usually come first, followed by records documenting specific activities. Less crucial documentation, such as clippings or reference files, are often put at the end of a collection.

In family papers, chronological or alphabetical arrangement by family member are both acceptable.

### 5.1.3.7 No series?

Some collections are small enough to not have series at all, and may be arranged topically, alphabetically, chronologically, etc. For example:

Laguna Beach Historic Survey Board records [collection]  
Brochures describing the organization  
Description and guidelines for establishing historic criteria  
Map of Laguna Beach  
Meeting materials  
Newspaper article

Brigitte Marshall files on Southeast Asian refugees [collection]  
Ban Vinai refugee camp  
Correspondence, reports, publications  
Highland Lao Refugees report  
Information Project  
Cambodians, clippings and correspondence  
Chiang Kham refugee camp correspondence, reports, publications  
Hmong  
A Bibliography of the Hmong  
Health care in the United States, pamphlets, conference  
proceedings, videotape summary

```

    History and culture articles
    ...
Lao
    Bombie Removal Project
    History and culture articles and publications
    Language class materials, flash cards and lessons
    Profiles of the Highland Lao Communities in the United States
    report
    ...
    Last Freedom Project materials
    Maps of Southeast Asia
    Phanat Nikhom refugee camp

```

## 5.1.4 Below the series level

### 5.1.4.1 General considerations

If you have identified series, you will need to determine how the materials should be arranged within each series. If the collection was received in relatively good order, you should not significantly change its arrangement without extremely strong reasons for believing that intellectual access will be enhanced by your doing so. After the basic principles governing provenance and original order have been considered, the primary objective of the processor should be to arrange the material in the most user-friendly manner possible. Material should be arranged logically so that the researcher can quickly find needed information. For example, it is often useful to arrange files within the same level of control in alphabetical order by title to help a user guess where to look for known information.

Processors should also keep in mind that with searchable, online finding aids, description may adequately replace extensive rearrangement or sorting. It is often more efficient to describe closely the structure and contents of a collection rather than engage in a large-scale rearrangement project. Before doing detailed arrangement work, always consider whether researchers' needs will be adequately served by simply describing the existing series and files in their original order.

Similar to series, materials below the series level may be arranged according to whether they share

- a common characteristic,
- a common organizing principle,
- a common function or activity, or
- a common source or origin.

For example:

```

Administrative files [series]
  Committees
    Committee to Develop the Irvine Senate, minutes
    Executive Committee minutes and agendas
    Irvine Campus Academic Advisory Committee
      Agenda and minutes
      Policy
    Library Committee minutes and supplementary materials
    Special Committee on the Nixon Library
      Administration documents
      Associated Graduate Students Council meeting

```

minutes regarding Nixon Library  
Correspondence of the Academic Senate predating the  
establishment of the Irvine Division  
Elections  
Faculty meeting minutes prior to establishment of Academic  
Senate, Irvine Division  
Manual of the Irvine Division of the Academic Senate

Program records [series]

General information  
Aradia Clinic  
    Correspondence  
    Mission statements  
    Reports  
Lesbian Resource Center  
    Budgets and financial information  
    Daily logs  
    Grant proposals  
    Project directors' files  
    Correspondence  
    Notes  
    Reports  
Women for Liberation Conference  
    1974 annual meeting planning materials  
    1976 annual meeting brochures and notes  
    1982 workshops curriculum materials  
Mechanica Skilled Trades minutes and grant proposals  
Youth Role Models Program newsletters and brochures

Research files [series]

Topical files  
Primary texts, pre-twentieth century  
Medieval literature  
    Chaucer, Geoffrey  
    The court of sapience  
    Douglas, Gavin  
    *Fovre learned and godly treatises* (1638), photocopy  
Henryson, Robert  
    General  
    Notecards  
Kingis Quair  
    Notecards

Legislation [series]

S. 3063 -- Tax Exempt Organizations  
S. 3092 -- Emergency Employment Act Amendments  
S. 3097 -- Saline Water Conversion  
S. 3115 -- Soviet Jewish Refugee Relief Act  
S. 3117 -- Guam to Participate in Federal Property and  
Administrative Services  
S. 3121 -- Civil Rights Act  
S. 3125 -- Columbia-Snake-Palouse Soil Erosion Program

Theater arts organizations files [series]

- Allied Arts of Seattle
  - Historical information
  - Organizational information
  - Allied Arts Foundation correspondence and proposals
  - Annual meeting minutes
- Festival for the Arts planning and publicity materials
  - Correspondence
  - Play programs
- Programs for the Arts project files
  - American Education Theater Association
  - Advisory Council minutes
  - Children's Theater Conference newsletters and mailings
  - Conferences
  - Congress of the Arts brochures, schedules, and notes
  - Governor's Conference on Decisions for Progress
    - Brochures
    - Correspondence
    - Planning meeting minutes
  - Membership lists
- Washington Arts Commission
  - Correspondence
  - Reports

When arranging below the series, it is possible to refine the organization of the materials into multiple hierarchical levels. However, using too many levels in your hierarchy may only serve to confuse the researcher. It is preferable to use as simple an organizational scheme as possible. Balance the need to group related materials together and not to repeat the same descriptive information over and over again. Only the largest, most complex collections require many levels of control beneath the series level. Try not use more than six levels, in order to make the organizational scheme easier to understand.

#### **5.1.4.2 Subseries**

A subseries is a body of documents within a series readily distinguished from the whole by filing arrangement, type, form, or content. Within large or complex series, it may help the researcher to understand the organization of a series if you break up the series into 2-6 formally distinguished, component parts, or subseries.

#### **5.1.4.3 Filing unit**

Typically, processors should make sure that the arrangement of the files or file units within a series is adequate, then stop. A file, or a filing unit, is group of related documents treated as a single unit for purposes of classification, storage, and retrieval. A filing unit is not necessarily the same as a physical folder. While a single folder containing all related documents may be considered a filing unit, a large file spanning several folders is also considered a single filing unit. The size and scope of filing units vary according to collection.

When a file unit spans multiple folders, you may wish to sort record types (e.g., correspondence, maps, clippings, reports, brochures, etc.) into individual folders within the file unit, or sort items in rough chronological order among multiple folders. Decisions about whether to refine large filing units should be made based on the research value of the filing unit. Consider the degree to which further refinement is truly useful for enhancing access, both in terms of the potential results a researcher may retrieve when using keyword searching in a finding aid to discover materials, as well as the experience of a researcher

physically looking through folders of materials.

For example, weigh the benefits of enhanced access with the cost of work to refine the arrangement and description within the filing units below:

**A view into how individual folders are labeled within a box**

<p><b>Moderate effort arrangement:</b></p> <p>Folder 1 Correspondence, 1982-1996</p> <p>Folder 2 Correspondence, 1982-1996</p> <p>Folder 3 Correspondence, 1982-1996</p> <p>Folder 4 Correspondence, 1982-1996</p> <p><i>In the finding aid, this is represented as: F. 1-4 Correspondence, 1982-1996</i></p>	<p><b>Intensive effort arrangement:</b></p> <p>Folder 1 Correspondence, 1982-1984</p> <p>Folder 2 Correspondence, 1985-1988</p> <p>Folder 3 Correspondence, 1989-1992</p> <p>Folder 4 Correspondence, 1993-1996</p>
<p><b>Moderate effort arrangement:</b></p> <p>Folder 1 Smithsonian Institution, Regents Board records</p> <p>Folder 2 Smithsonian Institution, Regents Board records</p> <p>Folder 3 Smithsonian Institution, Regents Board records</p> <p>Folder 4 Smithsonian Institution, Regents Board records</p> <p><i>In the finding aid, this is represented as: F. 1-4 Smithsonian Institution, Regents Board records</i></p>	<p><b>Intensive effort arrangement:</b></p> <p>Folder 1 Smithsonian Institution, Regents Board correspondence</p> <p>Folder 2 Smithsonian Institution, Regents Board budgets</p> <p>Folder 3 Smithsonian Institution, Regents Board reports</p> <p>Folder 4 Smithsonian Institution, Regents Board minutes</p>

(Excerpted from Section 4.A.1. of the *UC Guidelines*)

Also consider that *the more information you add, the more a researcher has to scroll* in an online finding aid. Hence, you should only add lower levels of hierarchical description, if the lower levels truly add important information for the researcher. If the lower levels do not help a researcher understand the nature of the content, avoid adding unnecessary description and make the finding aid easier to read.

**5.1.4.4 Items**

Very few materials in a typical archival collection warrant item-level treatment. In making decisions about which portions of the collection merit item-level arrangement and which portions need filing-unit-level arrangement, always consider the degree to which you are helping the user find what they need. Do not

waste time performing more work than is necessary for the nature of the collection and the type of research it will get. Other considerations that may impact arrangement decisions include the level of control necessary to preserve fragile materials or to reduce the possibilities for theft of high-value items. Special circumstances for working at the item-level include:

- Especially fragile materials that may be damaged if handled without protection or that may cause damage to surrounding materials
- 19th century or older materials
- Materials that are in danger of theft or mutilation, for example, items with signatures of famous or cult figures. In these cases, ask about whether these items should receive property stamps.
- Media materials, including photographs, slides, electronic files or disks, audio materials, or moving image materials. All photographs and negatives should be sleeved, and all video and film should be stored properly. Proper storage methods will be explained in the next sub-chapter.
- Potentially restricted materials, e.g. records that may threaten personal privacy as governed by law.

In other situations, items generally should not be arranged within the folder, especially if they are not also described at the item-level. Match the level of work you perform on arrangement with the level of work you plan to perform on description. For example it may be sufficient for purposes of access, for example, to have a folder labeled “Correspondence, 1962” and not put every item within the folder in chronological order. If a researcher is looking for a letter dated August 3, 1962, it is an acceptable burden to place on the researcher to go through the entire folder to identify the needed item.

## **5.2 Housing & Handling**

The following are general guidelines and best practices for preservation in SCA that cover both baseline and more specialized procedures. The application of specific preservation strategies must be considered in light of the recommended levels of effort/control for a particular collection.

### **5.2.1 Boxes**

Records should be housed in acid-free boxes, usually record cartons (1 linear foot) or document cases (.4 linear foot). If most of the materials are fragile or older than 1950, use document cases. If you expect that the collection will be used frequently or if the collection has high research value, also use document cases. For voluminous organizational records or for records that will probably not be in high demand, use record cartons. Remember that you don’t have to use all of the same size boxes for a collection: you can put part of a collection in document cases, and another part in record cartons, depending on the fragility, potential for use, and value of each portion. For example, you may wish to put correspondence or photographs in document cases, but grant proposals in record cartons.

There are also many other sizes of boxes available to house different sizes of materials. Find a box that will house materials with enough space to prevent bending, creasing, or folding of the materials, but with not too much space so that the materials slide around in the box. If no box is available, a custom-made box may be ordered, if the material is significant enough.

Upright storage (the most common form of storage for paper files) is preferable when documents and folders are well supported to prevent slumping and edge damage. For upright storage, fill the box full enough so that only one palm's width of room is left in the front or rear of the box. In other words, stick your hand in the box, parallel to the folders. If your hand meets resistance, then the box is too full. Researchers will damage the materials as they try to remove and replace folders. If the folders do not touch the entire width of your hand, then the box is packed too loosely. Over time, the folders and papers will slump and curl. If there is extra space in the box, find a box that is more appropriately sized. If none is available, use an archival box spacer so that the folders will stand up straight.

Oversize or fragile materials may be stored flat. Flat storage in drawers or boxes will give documents overall support and will prevent crumbling edges, slumping, and other mechanical damage to which upright storage might subject them.

Only objects of the same size and category should be stored together. Differences in bulk and weight create a potential for physical damage. Generally speaking, heavy objects should be stored in separate boxes from lighter ones, as should bulky objects.

## 5.2.2 Folders

*Note: The first paragraph is adapted and excerpted from Section 4.A.3 Preservation of the UC Guidelines*

Limit the amount of re-folding.

- Do not replace folders that are in good, serviceable condition. Only replace folders in poor condition, or when necessary to support expected levels of use. Folders should adequately hold and protect materials as they are taken in and out of a box.
- If replacing folders, delegate this task to lower-cost staff, such as student assistants or volunteers.
- If necessary, staple original adhesive file labels to folders to prevent loss of information.
- If original folders or envelopes have annotations, but must be replaced, retain the original enclosure, or photocopy the exterior. Do not transcribe detailed information by hand.

If you are re-folding:

- All folders inside a box should be the same size and should conform to the size of the box.
- To accommodate the most common sizes of paper, store documents in legal-sized folders. If every item in a collection is letter size, letter-sized folders may be used.
- Place items in the folder so that the top is oriented towards the left side.
- Square the bottom of the folder along the built-in crease lines so that the edge will stand flat in the box, neither bending nor bulging. Folders with only a few sheets (i.e., fewer than ten) generally don't need squaring.
- Depending on the type of material, include no more material in a folder than can be safely handled by a researcher (generally, 1/2 inch or less). If a lengthy item or grouping must be broken between two or more folders, divide it into logical sections.
- Fragile materials should be more finely foldered than those in relatively good condition.
- Never fill a folder so full that the sides bulge out.
- For oversized materials folders that will go in flat boxes or map case drawers, *do not include more than 5 pieces of original art per folder.*

- For materials such as posters, include no more than 10 items per folder.

### 5.2.3 Paper

*Note: The following is adapted and excerpted from Section 4.A.3 Preservation of the UC Guidelines*

Pay most attention to active, major threats.

- Examine folder contents very briefly, with an eye out for major threats (active agents of damage) such as insects, mold, or nitrate or acetate film based media. (Even minimal processing must remove or isolate active threats.)
- Assess less active threats broadly. Can material be handled by users without *likely* damage that results in loss of information? If so, do not intervene.

Deal efficiently with fasteners and wrappers.

- Do not routinely remove metal fasteners (e.g., staples, paper clips, or binder clips) from materials. Leave them in place. Only remove fasteners (including rusty ones) that can be dealt with quickly.
- Bundles originally housed in rubber bands or other un-usable wrappers should be rehoused in the most time-efficient way possible. Use an archival envelope or a folded 11 x 17 sheet of paper to maintain arrangement within the folder without further analysis or documentation.

Avoid unfolding, flattening, or unrolling items, unless the value of the collection warrants item-level treatment.

Postpone item-level preservation actions until a user requests access.

- If material would be damaged through use, and intensive preservation actions are necessary, defer the preservation actions until the user demand is clear.
- Specify in a collection-level access restriction note in the finding aid that a preservation action is necessary before use. When users request the material, perform the appropriate action, or ask that the user pay for the preservation action.

**Refer to Appendix E: Intensive – Highly Intensive Processing Guidelines for more specialized preservation procedures.**

### 5.2.4 Bound volumes

Smaller bound volumes, such as diaries, journals, albums, scrapbooks, etc., which are less than 1.5 inches thick, can be stored in an acid-free folder or envelope and placed *spine side down* in document cases. Larger bound volumes may be stored in flat boxes, surrounded by a large folder for protection. If folders do not provide adequate protection, consider using a phase wrapper or a Mylar wrapping. For large volumes, see below.

If bound volumes are falling apart (as is the case with many scrapbooks), they may be unbound and finely foldered in order to protect loose items and preserve original order. Before disassembling any volumes, make sure to discuss the process with the Archivist in order to ensure that adequate documentation of the original condition of the volume is maintained and that an appropriate level of work is done.

### **5.2.5 Oversize items**

If you encounter an oversize item that does not fit into a legal-size box, or is difficult to remove from a box without potentially damaging it or the materials around it, store it flat in a large, flat, acid-free box or an oversize drawer. If possible, use an acid-free folder cut to fit the box or oversize drawer to keep the contents from slipping out. Each folder should be no less than 1 inch large all around the sheets inside. Works of art with delicate surfaces, fragile sheets, or very large objects should have individual folders. Other materials may share a folder. Interleaving with buffered paper or tissue is recommended, especially if the objects are subject to abrasion. As a general rule, do not overcrowd the folders. Each object must be stored so that it can be retrieved without risk of damage. If an oversized object is especially brittle, an enclosure made from a heavier, more rigid material, such as 4-ply archival board, provides better support than one made from folder stock. Make sure to crease folders as needed to accommodate bulk.

Encapsulation in Mylar is an attractive solution for oversized materials, especially if they are brittle or frequently handled, such as posters and maps. The object is sandwiched between two sheets of polyester film slightly larger than the object. The edges of the plastic are sealed either via sewing or with double-sided tape. Encapsulation, however, is not suitable for untreated objects or those with friable media. Because polyester contains a static charge, insecurely bound media such as pastel, charcoal, soft pencil, or gouache can be easily dislodged by this plastic.

### **5.2.6 Bulky items**

Oversize bound volumes or other oversize bulky, heavy items should not be stored in a box with other documents or photographs; if they are heavy enough to shift, they will cause damage to the other items. Where possible, materials of similar size should be stored together. Mixing sizes can cause abrasion or breakage. Look for a box that is appropriately sized for the item or items. You may also wish to construct phase boxes around volumes or scrapbooks to protect them within the box, if damage may be likely. If a volume or other object may shift in a box when moved, crumple acid free tissue paper along the sides of the box to prevent movement and provide cushion.

### **5.2.7 Photographs, negatives, and slides**

The *UC Guidelines* provide a number of strategies for working with photographic collections. Refer to the "Preservation" column in the chart below for an overview of appropriate preservation tasks to perform at different processing levels. Additions made by SCA are in italics.

**Processing activities for photographic collections**

Level of Effort	Level of Control	Description	Arrangement	Preservation
Minimal	Collection Level	Collection level record in MARC or EAD (at least DACS single level minimum)	As is	Rebox if unserviceable in current housing. Identify locations of film-based media (negatives and slides) for separate storage and/or restriction. <i>[If feasible, group batches of negatives/slides for housing in S stacks. Note when boxes contain photographic materials.]</i>
Low	Series/ Subseries Level	Brief finding aid or more detailed MARC record with series/ subseries descriptions and/or box listings.	Put series and/or boxes into rough order.	Replace damaged boxes. House loose items. Replace folders, binders, or envelopes only if unserviceable. Remove film-based media (negatives and slides) for separate storage. <i>[If feasible, group batches of negatives/slides for housing in S stacks. Note when boxes contain photographic materials.]</i>
Moderate	File Level (expedited)	Succinct finding aid with abbreviated folder lists or simple inventories. Existing description repurposed. Brief reference to photographic process or format may be included.	Put folders in rough order. Preserve original order when usable. Perform rough sort of loose items. Note correspondence between negatives and prints in broad terms (container or folder level).	Replace boxes. Retain existing folders and labels when in good shape. House batches of physically similar material in sleeves or folders. Provide individual archival folders or enclosures only for a few exceptional items.

Intensive	Folder Level (traditional)	Finding aid includes detailed folder lists or item lists, scope and content notes, and/or historical notes at a folder or item level. Folder titles are refined and standardized. Physical descriptions such as photographic process and format are provided.	Put folders in order. Impose new organizational scheme or make significant improvements. Sort loose items into folders. Items may be given unique numbers. Record relationships between prints and negatives in as much detail as possible.	Replace boxes and folders. Provide archival folders or plastic enclosures for a significant percentage of items, individually or in small batches. Sleeve all negatives individually. Selectively perform preservation actions for fragile or valuable items.
Highly Intensive	Item Level (traditional)	Detailed finding aid includes item lists with image descriptions, physical descriptions of media, format, dates, and other explanatory notes.	Arrange items in order in boxes and folders. Assign items unique numbers, and match prints to negatives, giving them corresponding numbers, or cross-references.	Replace boxes and folders. Comprehensively address housing or preservation needs by providing archival folders or plastic enclosures for all items, individually. Reformat negatives to provide use copies (print or digital).

(Excerpted from Section 4.E of the *UC Guidelines*)

**Note:** Refer to additional preservation strategies in the *UC Guidelines* as needed for the following:

- Photographic collections managed independently of other archival materials (4.E.1.c)
- Photographs in manuscript and archival collections (4.E.2.c)

Always have clean hands when handling photographs, and wear clean white cotton gloves. Avoid touching the surface of a print or film with your fingers, as skin oils and salts will cause permanent damage.

If there is dust on the outside of a photograph, negative, or slide, you may gently dust them with a soft brush or use an air bulb to blow off dust, before you house them. However, only perform this if the item is in good condition and can withstand the treatment without damage.

Photographs, negatives, and slides should be encapsulated in archival enclosures if the level of effort/control warrants this attention, or current housing is unserviceable. (Rehousing is often a good job

for a student.) Properly housing visual materials reduces damage by providing physical protection, support, and isolation from damaging components.

Where possible, only materials of similar size should be stored together. Mixing sizes can cause abrasion or breakage. Visual materials of any sort should not be bound together with staples, paperclips, or rubber bands. Remove these items, and use folders and envelopes to keep related materials together. **Refer to Appendix E: Intensive – Highly Intensive Processing Guidelines for specialized procedures when dealing with specific types of photographic materials.**

**Important:** All photographic materials should be stored in SCA's S stacks on the 5<sup>th</sup> floor of Langson Library in order to provide the most stable environmental control.

### 5.2.8 Scrapbooks and albums

Scrapbooks and photograph albums often have value as whole, original objects. As a general rule, do not dismantle photograph albums or scrapbooks. We may make exceptions if it is absolutely necessary to save photographs from eventual destruction, if the album is falling apart, or if the album or method of collecting does not have any artifactual value. When dealing with scrapbooks or albums, try to preserve the integrity of the object as it was originally constructed, while also trying to prepare the object for use without damage.

When an album is kept intact, the album should be stored horizontally in an appropriately sized box so that it will not move around.

If there are photographs in an album, it is often best to interleave the pages with buffered paper or tissue between the pages to help neutralize the harmful effects of the original pages and keep the item intact. If the album cannot accommodate the bulk added by protective sheets, disbinding may be required, if the binding does not have significant artifactual value. Loose sheets can then be foldered and boxed in their original order. In order to protect photographs, also consider placing each page of the album in Mylar or poly-propylene.

If an album with some sort of artifactual value must be dismantled for preservation reasons, photocopy or photograph the album first to document its original construction. If an album simply is a storage mechanism, and does not carry any artifactual value, rehouse the photographs and objects, but maintain the original order. Describe your actions briefly in a processing note in the finding aid.

### 5.2.9 Audio, audiovisual, and digital media

If funds are available, identify film, video, or audio that should have use copies made. Original audio, video, and digital media should not be used by researchers.

#### Audiovisual and Digital Media Boxes

Prior to 2012, if there was not one box full of audio or audiovisual materials in a collection, processors would use specially designated storage boxes for audio and video cassettes. These boxes are identified in the Stacks Locator with the Collection Title "AUDIOVISUAL BOXES" and the Collection Number "Audiovisual boxes (AV-)." The audiovisual boxes were different sizes to accommodate different types of material. There were also special storage boxes designated for digital media to accommodate files and recordings stored on CD-ROMs and DVDs. These boxes are

identified in the Stacks Locator with the Collection Title "DIGITAL MEDIA BOXES" and the Collection Number "Digital media boxes (DM-)." This special format housing system was the same as the flat box (FB) and oversize folder (OS/XOS) system.

*This procedure for handling audiovisual and digital media has been superseded.*

### **Housing Audiovisual and Digital Media**

House any materials lacking protective boxes or cases in archival cases. Material already in protective cases should be reviewed. Replace the housing if it is seriously damaged or deteriorated. If you discard a deteriorated case, first photocopy information on the case to capture 1) any captions or labeling that may be a clue to the content or the provenance of the item, and 2) product information on original packaging that can be helpful in assessing material for conversion. Do not photocopy the case with the film or tape inside: remove the media, and then copy. Store the copies separately from the archival original copies.

Audio and video cassette tapes should be stored on their short edge. Break the record tab off of the top of the cassettes to prevent the content from being recorded over.

Audio and video reel-to-reel tapes should be stored vertically<sup>2</sup>. It is often easiest to put these in an appropriately sized box. Handle only the edges to avoid leaving finger prints on the tape. They should be stored with their tails out to minimize print-through, which is essentially a magnetic transfer from an area of high energy on the tape to an area of low energy. "Tails out" means that the tape is stored on a reel after it has been played to the end as opposed to being stored on the reel after being rewound. If a tape needs to be wound or cleaned, this should be outsourced to a vendor, if possible.

Film should always be held by its edges to avoid leaving finger prints on picture and sound areas. Check to see that the film is wound evenly, not too tightly, with the emulsion side out. If the film needs to be cleaned or wound properly, we may need to seek external assistance. Film may be stored in metal or plastic film storage cans; replace metal cans that have become rusty. The cans should be stored flat with other cans of uniform size, and never stacked more than twelve inches high. The cans do not need to be stored in boxes, but they should be labeled prominently on the outside of the case. Never put paper or any other loose material in the film storage can or box. Decomposing nitrate films and acetate films suffering from the vinegar syndrome must always be stored separately from one another and apart from other films. If sieves are available for absorbing these gases, place one in each case.

Digital media, including floppy disks, optical media discs (CDs and DVDs), compact storage devices (USBs, thumb drives) can be stored upright (vertically) in media boxes or in folders within document boxes, depending on the size of the collection<sup>3</sup>. Migration and preservation of digital objects stored on digital media (especially information stored on obsolete media, on hard drives, or information created using unrecognizable file types) should be performed in consultation with the Digital Project Specialist.

---

<sup>2</sup> See Bogart, John. "Magnetic Tape Storage and Handling" at <http://www.clir.org/pubs/reports/pub54/index.html> and the "Texas Commission on the Arts: Video Conservation Guide" at <http://www.arts.state.tx.us/video/> for more information.

<sup>3</sup> See Byers, Fred R. Care and Handling of CDs and DVDs. NIST Special Publication 500-252. October 2003 <http://www.itl.nist.gov/iad/894.05/docs/CDandDVDCareandHandlingGuide.pdf> for more information.

**Important:** Audiovisual and digital media should be stored in SCA’s S stacks on the 5<sup>th</sup> floor of Langson Library in order to provide the most stable environmental control.

### Distinguishing Audiovisual and Digital Media Generations

The original version of any audiovisual or digital media is called the **archival original**. When the archival original is reformatted into a user-friendly format, sometimes a **duplicating master** is created. A duplicating master is the master copy of the original that is used to create all derivative use copies. A **use copy** is the viewing, listening, or reading copy of an archival original that is open for research. When possible, house archival originals separately from user copies so that they are not accidentally given to researchers. It is important to preserve the archival original so that it can be used for future reformatting or preservation efforts. Remember: archival originals of audio, video, and digital media should not be used by researchers – and this should be noted in the Conditions Governing Access note.

### Labeling Audiovisual and Digital Media

Film, video, audio, and digital media should be given unique ID numbers, comprised of the collection number, a sequentially assigned base number, and a code for the generation of the item.

The sequentially assigned base number should refer to the *intellectual content*, not the generation or format. For example, for a recording of a single lecture, the archival original, the duplicating master, and the viewing copy all will have the same base number. The generation code may differ. Generations may include archival originals, duplicating masters, and use copies.

For film, video, and audio archival originals, add “**A**” after the unique number. If the copy is a duplication master, use “**M**” after the unique number. If the copy is a viewing copy, add a “**U**” after the unique number. For example:

Archival original:	MS-C001-001-A
Duplicating master:	MS-C001-001-M
Use copy:	MS-C001-001-U

If audiovisual materials require item-level description in the finding aid, write the entire unique ID number in the instance label. For example, an archival original audio cassette labeled “MS-C001-007-A” housed in Box 1 will have the following Archivists’ Toolkit instance label: Box 1 / Item MS-C001-007-A.

For collections with digital items in Merritt that require item-level description in the finding aid, write “Merritt” followed by the file name as it appears in Merritt in the container instance label. You can copy-and-paste directly into AT. Be sure to mark the instance as internal-only. For example:

Merritt AS033-AV00034-M

For non-audiovisual, *digital media* originals housed on physical media carriers (e.g. USB drives, hard drives, optical disks, etc.), use DIG as identifiers. Files within each media source should have their own unique identifiers, typically based on the original file name from the creator. Work with the Digital Projects Specialist to finalize file names taken from digital media. For example:

Archival original media:	MS-C001-DIG001
--------------------------	----------------

## 6 Description

This section provides rules and guidelines for how to describe materials and provides instruction on how to label folders. You will use the Archivists' Toolkit to enter detailed descriptive data into Resource records, from which finding aids can be generated and exported in various formats. Consult the Archivists' Toolkit user manual and the section in this manual on using the Archivists' Toolkit to learn how to create a finding aid by entering the titles, dates, and the notes that are discussed in this section.

### 6.1 Titles

#### 6.1.1 Basic rules

No matter what level of control you are using when arranging or describing a unit of material, you need to call that unit something. In other words, you need to give it a title. Sometimes this unit may be a collection, sometimes a series, sometimes a file, sometimes an item. Most often when processing, you will need to think about titles of files at the point when you are labeling folders. Consider what information elements should go into the titles on your folders and what order these elements should be in. This may impact your arrangement scheme.

Sometimes you may choose to use a given title, at other times you may need to elaborate on that given title. Mostly, however, you will be devising a title for a unit of material. Remember that respecting original order—when you have decided there is an original order to respect—does not also mean that you have to copy down verbatim the titles on the original folders (or other containers). The file titles in your collection must be useful, must make sense to the end user, and must convey information about what an end user should expect to find within each file. These file titles will end up in the part of the finding aid commonly known as the "container list," so your file titles should support browsing, searching, and reasonably accurate identification of the file's contents.

There are basic rules for constructing titles no matter their level of control – collection, series, subseries, file, or item. Titles consist of three parts:

- the name of the creator (or entity having primary responsibility for the content) of the unit (i.e., the collection, series, filing unit, or item) being described – required, but may be assumed
- the nature or type of the unit being described – required, but may be assumed
- a brief term or phrase that concisely characterizes the nature or content of the unit being described – optional

For any situation not covered completely below, consult *Describing Archives: A Content Standard* for guidance.

##### 6.1.1.1 Specificity

Titles pertain to a specific level of control. In other words, when providing a title for an archival collection, the title should encompass all parts of the collection. The name component of the collection title should reflect the person or organization having primary responsibility for the creation or assemblage of content of the entire collection. The description of the nature of the unit should also be as specific as possible while

also encompassing all types within the collection. Most commonly, you will use “papers” or “records.”

The same principle applies for all descending levels of control. At the filing-unit level, the name component should reflect the person or organization that was primarily responsible for the content of the filing unit. In many cases, the name component of a filing unit may be different from the name component used to describe the series or collection level. The format component at the file-unit level will most likely be increasingly specific, for example, identifying correspondence, newsletters, or brochures.

*Note: The following is adapted and excerpted from Section 4.A.2 Description of the UC Guidelines*

Vary descriptive detail according to material present.

- Uniform material might be described at the box or series/subseries level with little impact on users.
- The level of description may vary within a collection. Portions of a particular series in a collection may have more value and warrant more detailed description, while other areas may need very little description.
- Resist temptation to describe the subject content of correspondence, unless of the foremost value and importance.
- Descriptive detail must truly help lead a user to a relevant box. For moderate processing, rather than describing folders with related content individually, look for ways to describe multiple folders of related content together. For example:

<p><b>Moderate-effort description:</b></p> <p>F. 2-7 Research files on "Utopian Experiments in American History", circa 1974-1985</p>	<p><b>Intensive-effort (traditional) description:</b></p> <p>Research files on "Utopian Experiments in American History"</p> <p>F. 2 California's Utopian colonies: lecture notes, articles, and other materials 1979-1983</p> <p>F. 3 European Utopian socialists: lecture notes and articles 1974-1985</p> <p>F. 4 Fourierism in America: lecture notes undated</p> <p>F. 5 Introductory material: syllabi, course notes, and other materials 1981-1982</p> <p>F. 6 The Mormons: lecture notes, articles, and other materials 1974-1985</p> <p>F.7 The Oneida Community: lecture notes and articles 1980-1981</p>
---	---

### 6.1.1.2 Inheritance and clarification

Sometimes, parts of titles may be assumed, and hence skipped, due to inheritance of description at higher levels of control or clarification at lower levels of control. For example:

**John Osseward papers** (Collection title)

**Personal papers** (Series title - The name element is skipped, because "John Osseward" is assumed from the collection level title. Hence, we may assume that all of the speeches in this series were created or collected by John Osseward.)

**Clippings** (Intermediate level of control - Higher levels of control indicate that John Osseward was the collector.)

**Pollution** (Filing unit title - This level of control only includes a brief description of the content of the folder. The previous level of control describes the format. Higher levels of control indicate that John Osseward was the collector.)

**Speeches** (Intermediate level of control - The name element is skipped, because "John Osseward" is assumed from the collection level title. Hence, we may assume that all of the speeches in this filing unit were created or collected by John Osseward.)

**North Cascades Conservation Council records**

**Board of Directors minutes** (The filing unit title inherits the name of the creator of the series. We may assume that these are the North Cascades Conservation Council Board of Director minutes. The fact that John Osseward kept and maintained these records is reflected at higher levels of control.)

**University of California, Irvine, Academic Senate records** (Collection title)

**Administrative files** (Series title - The name element is skipped because it is assumed that the files originate from the Academic Senate).

**Irvine Campus Academic Advisory Committee agenda and minutes** (Filing unit title - The name element indicates the primary creator of the agenda and minutes. It is assumed from higher levels of control that the materials were received and/or maintained by the Academic Senate.)

**Library Committee minutes and supplementary materials** (Filing unit title - The name element indicates the primary creator of the material. It is assumed from higher levels of control that the materials were received and/or maintained by the Academic Senate.)

**Membership lists** (Filing unit title - The name element is skipped because it is assumed the list was created by the Academic Senate).

### 6.1.1.3 Style issues for notes and titles

Remember that the audience for your finding aid could be anywhere in the world and not familiar with UCI, Orange County, or California. Use language and terms that can be understood by remote researchers. It is a good idea to clarify the context of names or places whenever possible by using accurate and complete names and geographic terms.

If it is important to convey that you are using a given title, use "quotation marks" to demarcate given language from the original captions, creator-generated labels, articles, and unpublished materials such as speeches. Use italics for published monographs, plays, serials, ships, paintings, and movies. Consult the *Chicago Manual of Style* for specific guidance about whether to use italics or quotation marks and for all grammar issues within narrative notes. If you refer to the year of publication of a title, but the date does not reflect the year of the materials within the folder, include the year of the publication in parentheses within the title field. Do not include additional publication information, such as publisher or place of publication.

In titles, capitalize only the first word and any proper nouns or formal names. Capitalize proper names and titles when appropriate. All other words should be lower case. For example:

News clippings on Orange County history

NOT

News Clippings on Orange County History

Titles do not have ending punctuation. Use commas, periods, and parentheses as necessary to clarify complex titles. For example:

Bartley, George. Transcripts of interviews by Edna Phelps

Davidson, Eleanor Gulick. "Short diary of a journey from Plainview, Illinois to Santa Ana, California, 1887-1888," transcript by Edna Phelps

Ebell Club Garden Fete, souvenir program

Grabe, Helen. "Tustin family"

Huntley, Helen Gulick. "Columbus Tustin and his city"

Huntley, William. "California desert journey" (1898), transcript of interview by Edna Philips Knights of Columbus Arrangement Committee, program

Land sales in Tustin, California and vicinity

Lockett, Lucy Hill. "My early recollections of Newport Beach, about 1886-1903"

News clippings on Orange County history

Orange County deeds and tax assessments

Scotland Academy, South Dakota, commencement invitation

Spurgeon, Charles. Report cards, Diamond Public School

Stafford, E. P. "Pioneer days in Santa Ana"

If there is a date associated with a title, follow the title with a comma.

Administrative records,  
Photographs,

Date extent statements do not end with a period.

Do not use any abbreviations, unless an organization is commonly known by that abbreviation. Check the Library of Congress Name Authority File (<http://authorities.loc.gov/>) if unsure whether or not to use an abbreviation to stand for the name of an organization. If you believe users are equally as likely to search for an abbreviation of an organization as its full name, include both.

Similarly, use acronyms rarely. Acronyms are difficult to use in an online environment because you often land in the middle of a finding aid after a search, and then have to scroll up to what an acronym may mean. Acronyms may be appropriate for long names that are used repeatedly throughout a finding aid. Make sure to spell out the acronyms at their first instance of use, with the exception of acronyms that stand on their own and are rarely spelled out, such as the AFL-CIO.

All narrative notes should end with a period.

Consult the *UCI Style Guide* at <http://communications.uci.edu/campus-resources/styleguide/> for capitalization and abbreviation of UCI names, departments, and offices as well as for capitalization, punctuation, and hyphenation of academic degrees and terminology.

## 6.1.2 Name segments in titles

The name segment of a title records the person, family, or corporate body<sup>4</sup> responsible for creating or collecting the collection.

### 6.1.2.1 Predominant responsibility

Record the name of the person, family, or corporate body predominantly responsible for the creation, assembly, accumulation, or maintenance of the materials (*DACS* 2.3.4.)

Graciany Miranda Archilla papers  
Bank of Cape Fear (Wilmington, N.C.) Hillsboro Branch records  
  
Wisconsin Environmental Policy Act files  
  
Bacot family papers

---

<sup>4</sup> Corporate body names may be names of government agencies, businesses, firms, institutions, organizations, divisions, offices, associations, projects, conferences, meetings, performing groups, programs, conventions, exhibitions, expeditions, festivals, monasteries, churches, religious denominations, political parties, and studies. Basically, a corporate body name refers to some entity responsible for collective activity.

#### 6.1.2.1.1 Individual or corporate body?

A recurring question is whether to attribute responsibility to an individual or to a corporate body with which an individual may have been affiliated. For officers, secretaries, or other staff who created records while working on behalf of a corporate body or fulfilling the functions of a corporate body, use the name of the corporate body to describe the materials they created. This includes all materials that individuals created in an official capacity. Exceptions should be made for those individuals who are well known, for example, significant political figures.

When a user is equally likely to search for the name of an individual as for the corporate body in which he or she participated (such as is likely for elected officials), you have two options, both may be appropriate. You can use the individual's name and include a biographical note explaining the role of the individual in the corporate body as it pertains to the records at hand. You can also include a cross reference ("See" or "See also", as appropriate) from the personal name to the corporate entry, or vice versa. For example:

National Association for the Advancement of Colored People,  
Seattle Branch, correspondence

University of Washington, College of Engineering Dean  
correspondence

Watson C. Squire correspondence  
*Biographical note:* Governor of Washington Territory, 1884-1887

Bertha K. Landes correspondence  
*Biographical note:* Mayor of Seattle, Washington, 1926-1928  
*General note:* See also Seattle, Washington Mayor correspondence

Jimmy Carter letter

Purely personal letters, even if written on corporate letterhead, should be filed under the personal name, not the corporate name. Talk with the Archivist if you are uncertain about how to file correspondence.

#### 6.1.2.1.2 More than one person or family responsible?

The name of more than one person or family can appear in the title; however, if responsibility for the creation of the materials is dispersed among more than three persons, record the name of the individual whose material predominates. If this does not apply, choose the name considered most appropriate. (DACS 2.3.8)

Eugenia Rawls and Donald Seawell theater collection

Short, Harrison, and Symmes families papers

#### 6.1.2.1.3 More than one corporate body responsible?

The name of only one corporate body can appear in the title. If more than one corporate body is primarily responsible for the content or accumulation of the records, only record the name of the corporate body that had the majority of responsibility for the content at that specific level of control.

In order to capture responsibility of other creators, you can either use their names as applicable to materials at lower levels of control, or create a scope and content note that explains the context of the materials' creation further. (DACS 2.3.16)

British American Tobacco Company records  
*Scope and content note:* Includes records of Cameron and Cameron, D.B. Tennant and Company, David Dunlop, Export Leaf Tobacco Company, and T.C. Williams Company, all of which were tobacco exporting companies acquired by British American Tobacco Company.

### 6.1.2.2 Form of the person, corporate, and family names

Record the name in the form by which the entity is generally known.

Bessye B. Bearden papers <sup>5</sup>

AFL-CIO records

(The AFL-CIO is generally known by the abbreviation, rather than the American Federation of Labor and Congress of Industrial Organizations.)

If you encounter variants forms of the same name, select the form of the name that appears in ANTPAC or the Library of Congress Authority File (<http://authorities.loc.gov/>). Note that family names have not commonly been controlled in either. Also note that the authorized form of personal names include birth or death dates; it is only necessary to record the name in the title, rather than including the full authorized heading.

If an authorized heading has not been constructed yet, for corporate bodies use the name as it appears in the following categories of material and in this order of preference: 1) in published items issued by the corporate body; 2) in reference sources; 3) in records legally establishing the corporate body (e.g., acts of incorporation); 4) in records of administrative regulations (e.g., executive orders, constitutions, by-laws); or 5) in other records of policy (e.g., minutes, manuals). If none of these are available, use the form of the name that most frequently appears in the materials at hand. For individuals, use the name as it appears in the following categories of material and in this order of preference: 1) the name that appears most frequently in the person's published works, 2) the name that appears most frequently in the archival materials being described, 3) the name that appears in reference sources, or 4) the latest name.

Many corporate bodies exist in subordination to other corporate bodies. If a subordinate body can be uniquely identified by the name by which it is commonly known, use that name alone. If the name of subordinate body may be confused with other subordinate bodies, preface the subordinate name with the name of its superior body. In other words, include the name of the superior body if it clarifies the nature of the subordinate body or is necessary for identifying the subordinate body uniquely. <sup>6</sup>

---

<sup>5</sup> For collection-level titles and series-level titles, record personal names in direct order; do not invert the name. However, for file units, you may invert the name (e.g., Bearden, Bessye correspondence), particularly if files are arranged alphabetically. This will help the researcher quickly scan the page.

<sup>6</sup> There is a local exception for providing a collection-level title for University of California, Irvine collections. For

University of California, Irvine, Air Pollution Health Effects Laboratory

Orange County (California) Board of Supervisors

Vietnamese Chamber of Commerce in Orange County (California)

Laguna Beach (California) City Manager

Sierra Club, Los Angeles Chapter

California College of Medicine

Sometimes it may be necessary to clarify the nature of a corporate body. For example:

Anaheim Angels (baseball team) banners and stickers

KUCI (radio station: Irvine, California) publicity files

When the role of an individual is not obvious, but may be essential for understanding the context of the records or be key in helping a user identify relevant or needed materials, include a biographical note, rather than trying to capture that contextual information in the title. For example:

Harold B. Versa resume and publications

*Biographical note:* Versa was a University of Washington professor of forestry.

For instructions on recording forms of names, see Chapter 8.5 of *Resource Description and Access (RDA)*.

### 6.1.2.3 Corporate body name changes

When the name of the corporate body has changed, use the latest name of the corporate body that is represented in the materials being described. (*DACS 2.3.17*)

University of California, Irvine, Office of Research and Graduate Studies records (These records include those from this same body under two previous names, Graduate Division (1964-1981) and Division of Graduate Studies and Research (1981-1987).)

Allied Theatres of Michigan records (These materials include records of this same body under its earlier name, Motion Picture Theatre Owners of Michigan (name changed in 1931).)

### 6.1.2.4 Unknown creators or repository-created collections

If the name of the creator, assembler, or collector is not known, or if the repository has assembled the materials, do not record a name. (*DACS 2.3.6*) For example:

Collection on Ruth St. Denis, circa 1908-1937

---

more information, see page 57.

NOT

Ruth St. Denis collection, circa 1908-1937

### 6.1.3 Form segments in titles

#### 6.1.3.1 Three or more forms?

Where the materials being described consist of three or more forms of documents created, assembled, accumulated, and/or maintained and used by a government agency or private organization such as a business or club, supply the word “records” for the nature of the archival unit. Where the materials being described consist of three or more forms of documents created, assembled, accumulated, and/or maintained and used by a person or family, supply the word “papers” for the nature of the archival unit. For materials that are formed artificially or intentionally around a person, subject, or event and that lack the integrity and unity of provenance, use the term “collection.” “Papers,” “records,” and “collection” include materials in all media. (DACS 2.3.19)

Coalition to Stop Trident records

St. Paul African Methodist Episcopal Zion Church records

Mortimer Jerome Adler papers

Allyn Kellogg Ford collection of historical manuscripts

Semans family papers

#### 6.1.3.2 One or two forms?

Where the materials being described consist solely of one or two specific forms, supply those form(s) for the nature of the archival unit. Express the forms in their order of predominance. Form means the physical (e.g., watercolor, drawing) or intellectual (e.g., diary, journal, daybook, minute book) characteristics of a document. (DACS 2.3.20)

English Stage Company at the Royal Court Theatre correspondence

John E. Brennan outdoor advertising survey reports

William Gedney photographs and writings

Troy Kinney etchings and engravings

Sarah Dyer zine collection

Andrew Jackson letter

#### 6.1.3.3 One or two predominant forms?

If one or two specific forms predominate but there are also other material types present, record the one or two most predominant forms followed by the phrase “and other material” in the supplied title. You can also indicate the specific forms of material in a scope and content note. (DACS 2.3.21)

James M. Woodbury diary, letters, and other material

Sociedad Amigos de Arteaga, Inc. correspondence, flyers, and other material

#### 6.1.3.4 Common forms based on material type

Agendas	May also include everyday items that are meant to be saved, at least for a while.
Albums	Examples of ephemera include
Articles	advertisements, coupons, invitations,
Articles of incorporation	announcements, keepsakes, souvenirs, signs,
Artifacts	stamps, lists, packaging, scraps, tickets, fliers,
Artwork	schedules, programs, and receipts.)
Audio-visual materials	Examinations
Awards	Field recordings
Ballots	Films
Biographical information	Financial records
Blueprints	Fliers
Brochures	Forms
Budgets	Grant proposals
Bulletins	Guidebooks
Bylaws	Handouts
Calendars	Invitations
Catalogs	Journals
Certificates	Leaflets
Clippings	Ledgers
Contracts	(Documents containing a record of debits,
Correspondence	credits, and other financial transactions,
General correspondence	typically organized into separate accounts)
Family correspondence	Lists
Personal correspondence	Manuals
Business correspondence	Employees manuals
Professional correspondence	Technical manuals
Third-Party correspondence	Training manuals
Constituent mail	Maps
Fan mail	Memoirs
Curricula vitae	Memorandum
Datebooks	Microfiche
Diaries	Microfilm
Digital image	Minutes
Diplomas	Music scores
Dramatic works	Negatives
Drafts	Newsletters
Drawings	Notes
Ephemera	Oral histories
(Materials, usually printed documents,	Photographs
created for a specific, limited purpose, and	Plans
generally designed to be discarded after use.	

Petitions  
Policies  
Polls  
Portraits  
Posters  
Procedures  
Programs  
Proposals  
Publications  
Questionnaires  
Reports  
Reviews  
Schedules

Scorebooks  
Scrapbooks  
Scripts  
Sketchbooks  
Slides  
Sound recordings  
Speeches  
Testimonies  
Transcripts  
Typescripts  
Video recordings  
Web pages  
Writings

### 6.1.3.5 Common forms based on function or purpose

Note: These lists are not prescriptive. It is important that you describe what you have in front of you. If you need more inspiration for what to call a certain unit of material, consult:

Art and Architecture Thesaurus ([http://www.getty.edu/research/conducting\\_research/vocabularies/aat/](http://www.getty.edu/research/conducting_research/vocabularies/aat/)).

Browse within the following facets:

Objects > Visual and Verbal Communication > Information Forms

Objects > Visual and Verbal Communication > Visual Works > Photographs

The Thesaurus for Graphic Materials: Genre and Physical Characteristics

([http://www.loc.gov/lexico/servlet/lexico?usr=pub-145:0&op=frames&db=TGM\\_II](http://www.loc.gov/lexico/servlet/lexico?usr=pub-145:0&op=frames&db=TGM_II))

This is also useful for any sort of graphic material.

Architectural records  
Administrative records  
Advertising records  
Campaign records  
Case files  
Chronological files  
Committee records  
Conference and convention records  
Court records  
Departmental files  
Development records  
Director's records  
Disciplinary files  
Documentary photographs  
Family papers  
Financial records  
Fund raising records  
Instructional materials  
Issue files  
Legal records

Lobbying records  
Maintenance records  
Meeting records  
Membership records  
News photographs  
Operational records  
Organizational records  
Outreach files  
Personal papers  
Personnel records  
Planning records  
Professional papers  
Project files  
Program records  
Promotional materials  
Publicity files  
Reference files  
Research files  
Search records  
Student records

Subject files  
Teaching files

Tenure records

#### 6.1.4 Topical segments in titles

Optionally, devise a brief term or phrase that most precisely and concisely characterizes the unit being described. The term or phrase should incorporate the form(s) of material that typifies the unit and reflects the function, activity, transaction, subject, individuals, or organizations that were the basis of its creation or use. (DACS 2.3.22)

Clarence McGehee collection on Ruth St. Denis

Catherine Clarke civil rights collection

Collection of California vacation albums

*Devised title for a collection of purchased vacation albums assembled by Special Collections and Archives, University of California, Irvine*

Russian referendum collection

*Devised title for a collection of materials on the 1993 Russian referendum in support of the policies of Boris Yeltsin that was assembled by Manuscripts and Archives, Yale University*

Land agreements between the University of California and the Irvine Company

Helen Lotos files on Orange County women's organizations

Mary Desti collection on Isadora Duncan

Edith Wharton correspondence with Morton Fullerton

Oneida Nation petition to Jasper Parrish

Frank and Frances Robinson files on Upper Newport Bay

Correspondence regarding graduate assistantships

James Joyce letter to Maurice Saillet

Richard Nixon letter to H.R. Haldemann regarding the Watergate break-in

Sometimes, it may make more sense to put the topical segment before the form segment, particularly if the creator segment is assumed and or if the content is more important than the form. Often, creators organize subject files or project files according to topics, rather than names. Preserve this emphasis and construct titles with the topical segment first; a colon may be useful for clarity.

Subject files

Desegregation correspondence and leaflets

District-wide accountability model: report

Educational Consultants Inc. brochures on drop-out students

Magnet schools maps and reports

Project Bridge records

## 6.2 Dates

Always include the dates of materials at the collection, accession, series, folder, and item levels. As a general rule, record approximate (“circa”) dates for collections, series, subseries, or folders. Do not examine items to determine exact dates. If items are not dated, try to provide an approximate one based on direct internal evidence. Devise dates only when you are certain, or when devising a likely date or range of dates is necessary to provide a reasonable degree of access to the materials. If you are not confident in your date estimate, err on the side of not devising one. Use the phrase “undated” when the dates of a portion of the folder are unknown. The word “undated” follows dated materials.

Examples of devised dating:

1987 March 7

probably 1867

circa 1925

before 1867

after 1867 January 5

1892 or 1893

circa 1980-1989

circa August 1975

undated

1938-1941 and undated

When working at a lower level of granularity, or if describing an archival unit of negligible size, you may want to record a more refined date range.

If you have materials dating from only two years and they are not sequential, separate those dates with a comma. If material is more than 10 years apart, separate the years with a comma. When no item is dated more than 10 years apart from its companion items, lump all of the dates into an inclusive date, separating the earliest and latest dates with a dash.

Examples of known dating:

Folder has item dated 1925 and several dated between 1945 and 1952. Date it: 1925, 1945-1952.

Folder has one item dated 1890, one item dated 1910, and several dated between 1926 and 1933. Date it 1890, 1910, 1926-

1933.

Folder has items dated 1948, 1952, and 1959. Date it 1948-1959.

Folder has several undated items and items dated 1961 and 1963. Date it 1961, 1963, undated.

Do not abbreviate the year or months. When months and days are present, use the following format:

1960 January

1947 December 12

## 6.3 Identifying folders

Folder identification entails a number of physical and intellectual tasks, the implementation of which will depend on the processing level of effort/control employed. The following include baseline procedures for all collections as well as tasks reserved for lower levels of granularity.

### 6.3.1 Labels

All processed collections (including those that are minimally processed) require folder labels, which help ensure basic collection security. Labels should include the collection number and title, and the series number and title (and if applicable, the subseries number and title). Follow the instructions in Appendix D: Creating folder labels. The labels will be printed on foil-backed labels and applied to the far left of each folder. **Students and interns only should complete this work, unless the collection is of negligible size.**

If using original folders that do not have room in the upper left-hand corner, affix the label in the same position on the front flap of the folder. Similarly, if reusing a folder bearing an erroneous description, turn the folder inside out and affix the label in the left-hand corner of the tab or front flap.

### 6.3.2 Titles

These are the descriptive titles assigned to a unit of archival materials.

For collections processed at the Minimal and Low levels, descriptive titles will not be handwritten on individual folders because description stops at the collection or series/subseries level. Rather, folders will only contain labels identifying the collection and series or subseries. If retaining original folders with usable existing description, leave it as is.

For collections processed at the Moderate through Highly Intensive levels, descriptive titles should be handwritten on the individual folders. However, in the interest of making processing more efficient, staff processors will no longer handwrite titles as they work through a collection. Description should instead be inputted directly into the Archivists' Toolkit as it is crafted or (if retaining existing



**Processing activities for photographic collections**

<b>Level of Effort</b>	<b>Level of Control</b>	<b>Description</b>	<b>Arrangement</b>	<b>Preservation</b>
Minimal	Collection Level	Collection level record in MARC or EAD (at least DACS single level minimum)	As is	Rebox if unserviceable in current housing. Identify locations of film-based media (negatives and slides) for separate storage and/or restriction.
Low	Series/ Subseries Level	Brief finding aid or more detailed MARC record with series/ subseries descriptions and/or box listings.	Put series and/or boxes into rough order.	Replace damaged boxes. House loose items. Replace folders, binders, or envelopes only if unserviceable. Remove film-based media (negatives and slides) for separate storage.
Moderate	File Level (expedited)	Succinct finding aid with abbreviated folder lists or simple inventories. Existing description repurposed. Brief reference to photographic process or format may be included.	Put folders in rough order. Preserve original order when usable. Perform rough sort of loose items. Note correspondence between negatives and prints in broad terms (container or folder level).	Replace boxes. Retain existing folders and labels when in good shape. House batches of physically similar material in sleeves or folders. Provide individual archival folders or enclosures only for a few exceptional items.

Intensive	Folder Level (traditional)	Finding aid includes detailed folder lists or item lists, scope and content notes, and/or historical notes at a folder or item level. Folder titles are refined and standardized. Physical descriptions such as photographic process and format are provided.	Put folders in order. Impose new organizational scheme or make significant improvements. Sort loose items into folders. Items may be given unique numbers. Record relationships between prints and negatives in as much detail as possible.	Replace boxes and folders. Provide archival folders or plastic enclosures for a significant percentage of items, individually or in small batches. Sleeve all negatives individually. Selectively perform preservation actions for fragile or valuable items.
Highly Intensive	Item Level (traditional)	Detailed finding aid includes item lists with image descriptions, physical descriptions of media, format, dates, and other explanatory notes.	Arrange items in order in boxes and folders. Assign items unique numbers, and match prints to negatives, giving them corresponding numbers, or cross-references.	Replace boxes and folders. Comprehensively address housing or preservation needs by providing archival folders or plastic enclosures for all items, individually. Reformat negatives to provide use copies (print or digital).

(Excerpted from Section 4.E of the *UC Guidelines*)

**Note:** Refer to additional description strategies in the *UC Guidelines* as needed for the following:

- Photographic collections managed independently of other archival materials (4.E.1.b)
- Photographs in manuscript and archival collections (4.E.2.b)

Not all images need to be described at the same level. Some warrant item-level description; others may be described in groups. Consider the following: How historically significant is the subject matter of the images? Is the subject matter widely depicted, or are there novel aspects which are rarely found in pictorial collections? Do the images provide unique primary evidence of a particular time and place? Are the subjects shown prominently or clearly in the images? How repetitive is the content in a sequence of images? How do the photographs relate to the rest of the collection or to other collections in the repository? Does description of other parts of the collection relate to the subject matter of the images?

The following are examples for different processing scenarios:

Photographs are included in the same file as associated records. The contents of the entire file are described in the title. The photographs are highlighted in a scope and content note.

Correspondence

Jones, Tory, 1965-1978

Scope and Content Note: Includes 3x5 color photographic print of Joseph and Emily Beck.

Project files

Salmon radiation experiments: research reports, 1987

Scope and Content Note: Includes 25 8x10 inch black and white photographic prints of salmon cells.

Photographs are described as a unit. The title describes the content of the photographs. A physical description statement provides information about how many photographs there are and the specific kind of photograph. A scope and content note may elaborate upon the content if not apparent from the title.

Angel Island (San Francisco Bay, California), 1978

Scope and Content Note: 32 photographic prints and 24 color slides

Bonner, Mitchell photographs, 1978-1986

Physical Description: 71 photographic prints

Scope and Content Note: Prints are of Bonner with Asian Americans at their homes and at social gatherings.

Smith family portraits, 1908, 1912, 1928

Physical Description: 3 hand-colored daguerreotypes

Photographs of Arthur and Sadie Humiston, circa 1897, undated

Physical description: 17 photographic prints

Scope and Content Note: Includes home of Arthur and Sadie Humiston (ca. 1897) and portrait of Arthur Humiston.

A photograph is described at the item level. Additional description not appropriate for the title may be included in a scope and content note.

Photograph of Stratford Inn (Corona Del Mar, California):  
vegetable garden gate, undated

Physical Description [general physical description note]: 1  
photographic print

A photograph album is described in the title, and the contents of the album are described in a scope and content note. A physical description statement describes how many pages are in the album.

Ballet Theatre scrapbook

1939-1941

Physical description: Approximately 35 pages.

Scope and Content Note: Includes cards, handbills, fan letters, telegrams, programs, photographic prints (including Loring in William Saroyan's *The Beautiful People on Broadway*) and clippings of reviews and publicity. Dances include *Billy the*

## 6.4.2 Moving images

Moving images have special preservation needs, and the equipment required to access this media is in constant danger of obsolescence. Hence, it is important to identify media specifically, so that staff and researchers can quickly identify special requirements for access and preservation. Item-level description is often necessary to control AV materials. Provide as much information as is easily available. If there are multiple generations of a single moving image (e.g., a film was copied onto DVD for users), there are different ways to encode the intellectual and physical components of the work.

When describing a single iteration of a work, describe the intellectual aspects of the work and then create a lower level component for the physical aspects of the archival original. For example:

Film of archaeological site on Lopez Island, circa 1967-1968  
Child component title: Archival original  
Physical Description [general physical description note]: 1  
film reel (14 minutes, 100 feet) : silent, color ; 16 mm  
Instance: Moving Images, Box 9 : Item 001-A

When describing a work with multiple iterations:

1. Describe the intellectual aspect of the work as the higher level component
2. Describe each physical iteration (or generation) of the work as lower level components. For example:

Professor Solomon Katz lecture for Social Science 101: "The Expansion of Civilizations", 1965 October 1

Child component title: Archival original  
Physical Description [general physical description note]:  
silent, black and white; 16 mm film reel  
Access: [conditions governing access note] Access to archival original is restricted; researchers must use viewing copy.  
Instance: Moving Images, Box 3 : Item 002-A

Child component title: Use copy  
Physical Description [general physical description note]:  
sound, black and white; videodisc (DVD)  
Note [general note]: Use copy created in 2006.  
Instance: Moving Images, Box 1: Item 002-U

Below is a template for how to describe the known physical characteristics of the moving images:

[NUMBER OF UNITS] [MATERIAL DESIGNATION] ([RUNNING LENGTH] ,  
[FOOTAGE LENGTH]) : [PROJECTION CHARACTERISTICS] , [SOUND  
CHARACTERISTICS] , [COLOR CHARACTERISTICS] , [FILM PROJECTION  
SPEED] , [VIDEO PLAYING SPEED] ; [GAUGE, WIDTH, OR DIAMETER]

For the material designation, use one of the following terms:

film reel: "A film usually wound on a hub, core, or other

storage device. This term is used for film is not permanently encased."

film roll - "A length of film, usually wound on a core. Most often this term applies to unedited film."

videoreel

videocassette

videocassette

videocassette (Beta)

videocassette (Betacam)

videocassette (Betacam SP)

videocassette (Betacam SX)

videocassette (Digital Betacam)

videocassette (U-MATIC)

videocassette (VHS)

videocartridge

videodisc

videodisc (DVD)

videodisc (optical)

Other terms are available in *Archival Moving Image Materials: A Cataloging Manual (AMIM)*.

For sound characteristics, use one of the following terms, or consult AMIM, as necessary:

sound

silent

or

#-track

optical sound

magnetic sound

magnetic optical sound

mono

stereo

digital

Dolby

### 6.4.3 Sound recordings

Sound recordings are described according to the same principles as moving images, as outlined above. However, certain aspects of the physical description will differ, as described below. For more information, consult the *Anglo American Cataloging Rules (2nd Revised Edition)*.

[NUMBER OF UNITS] [MATERIAL DESIGNATION] ([PLAYING TIME]) :  
[TYPE OF RECORDING], [PLAYING SPEED], [NUMBER OF TRACKS],  
[NUMBER OF SOUND CHANNELS] ; [GAUGE, WIDTH, OR DIAMETER]

For the material designation, use the following:

sound cartridge

sound cassette

sound disc

sound tape reel

sound track film

If none of these terms is appropriate, give the specific name of the item as concisely as possible, or use a term in common usage to record the specific format of the physical carrier, for example:

1 sound disc (CD-ROM)  
1 DVD-audio

For example:

Music School sound recordings of student recitals, 1964-1975

Child component title: Archival originals, 1974-1975

Physical Description [general physical description note]: 2 sound reels (43 minutes) : analog, 7 ½ inches per second, 2 track, mono.

Access [conditions governing access note]: Access to archival original is restricted; researchers must use listening copy.

Instance: Audio: Box 7 : Items 001-A to 002-A

Child component title: Archival originals

Physical Description [general physical description note]: 10 sound discs (approximately 50 minutes each) : analog, 33 1/3 revolutions per minute

Access [conditions governing access note]: Access to archival original is restricted; researchers must use listening copy.

Instance: Audio: Box 7 : Items 003-A to 013-A

Child component title: Listening copies

Physical Description [general physical description note]: 12 sound discs (CD-ROM) : digital, stereo

Note [general note:] Use copies made in 2005.

Instance: Audio: Box 2 : Items 001-U to 013-U

#### 6.4.4 Digital Media

It is especially important to note what operating systems and programs were used to produce electronic files, since it is usually impossible to determine the appropriate playback environment by simply looking at these items. Ideally, the description should also include the disc size, and, to facilitate access, the full names of the files it contains. Processing of files stored on digital media should be performed in consultation with the Digital Project Specialist.

Digital media can be described using the same principles as audiovisual material, as outlined above. Certain aspects of physical description will differ, as described below. For more information, consult *Describing electronic, digital, and other media using AACR2 and RDA : a how-to-do-it manual and CD-ROM for librarians*.

The descriptive standards for digital media are currently under development as part of the shift from AACR2 to RDA. Some aspects you may want to use for describing digital media include:

[NUMBER OF UNITS] [MATERIAL TYPE] [FILE FORMAT(S)] [FILE SIZE] [DURATION]

For the material designation, use the following:

- CD-ROM
- DVD
- Laserdisc
- 3 ½ inch floppy disk
- 5 ¼ inch floppy disk
- portable storage device (external hard drive)
- portable storage device (USB)

Generally speaking, technical information about digital media will be automatically created as part of the Legacy Archival Media Migration Platform (LAMMP) system that has been developed by the Digital Project Specialist.

In a finding aid, magnetic or optical digital media should be described at a minimal level. Description should be focused on contextualization and explanation of the content stored on the media carriers, with less energy focused on describing the media itself. The finding aid should direct users to a digital surrogate available through UCIspace @ the Libraries or another digital repository.

## 7 Creating the Finding Aid

### 7.1 Using levels of description effectively

Do not unnecessarily repeat descriptive or contextual information in multiple places in the narrative portions of the finding aid. Include information at the most relevant level. For example, John Doe was a faculty member at UC Irvine and also passionately involved in dance during his lifetime. If the collection organization reflects these involvements with a series on UCI and a series on Dance, you should include the most detailed contextual information about Doe's UCI involvement in the UCI series and his dance involvement in the Dance series. In the broader narrative portions of the finding aid you will certainly want to mention these involvements as appropriate, but you will not go into great detail because your organization of the collection provides a more relevant level (the series) for that detail.

### 7.2 Using the Archivist's Toolkit

The instructions that follow assume a basic familiarity with the Archivists' Toolkit (AT), including how to locate and open the Accession and Resource records for your collection. If you are unfamiliar with the Archivists' Toolkit, read the following chapters of *The Archivists' Toolkit User Manual* before continuing this section:

- Chapter 3: Archivists' Toolkit Basics
- Chapter 9: Describing Archival Materials
- Chapter 11: Managing Access Terms
- Chapter 12: Linking Name and Subject Records.

*Important note about copying and pasting in the Archivists' Toolkit:* **Do not copy and paste into the AT** any text from a word processing program that has curly quotes (") or other special characters prohibited in xml. The AT does not convert these to straight quotes and will accept these characters

and export them in the EAD, which will then fail when attempting to upload to the OAC.

### 7.2.1 Check the accession records

For every collection processed, there must be (an) accession record(s) that, in sum, record the total extent of the collection before it was processed. This is because quarterly processing statistics are generated from these accession records.

Before beginning processing, do the following:

1. **Locate the accession record(s) for the collection you are processing:**

***Policy since 2013:*** If there is no accession record for the collection you're processing, create a retroactive accession record. If you can't find the **accession number** (from the collection file or some other source), treat the accession as if it were new, assigning a number using the current year and next sequentially available number. For **Date Accessioned**, use the date on which you create the record. For **Date Received**, however, give your best estimation of when the materials were acquired by SCA. You may need to consult your colleagues to make an educated guess. Other fields to fill in are **Title**, **Extent**, and **Processing Status**. Make sure that when the collection is processed, this processing status is set to "processed" or "minimally processed" and the date processing was finished is filled in correctly. In the **General Accession Note** field, indicate "Retroactive accession." Be sure to assign a **value score** to the accession following the instructions in Section 13 of the *Accessioning Manual*. Because you are accessioning the collection right then, do not identify the value score as assigned retroactively.

***Policy before 2013 (superseded):*** If you can't find the **accession number** (from the collection file or some other source), use the number 1111-xxx (where the xxx represents the next available retroactive accession number. Use 1111-xxxA for University Archives). Use the accession date 1981/01/01 unless you know the actual accession date (again, from the collection file or some other source).

2. **Check the extent(s):**

***Policy since 2013:*** Make sure the extents add up to the extent of the collection at the start of processing. If there is a discrepancy in the extent (e.g. there should be more or less linear footage per the accession record(s) than there actually is), look into the cause of the discrepancy. The best place to look is the paper collection file in LL500, which often contains legacy documents from earlier processing efforts as well as information pertaining to the associated accession(s). Also be sure to check the electronic collection file, in case documents were never printed.

Document your findings in the **General Accession Note** field in the Basic Information tab of the accession record(s) that are the source of the discrepancy. Include the date of the findings and your initials. Example:

The accession was originally 79 boxes; extent was

multiplied by 1.25 to achieve 98.75 linear feet. It was reduced to 61.3 linear feet (63 boxes) during processing in 2003. An additional 10 linear feet was interfiled into the 63 boxes. 2013/07/24 SS

**Policy before 2013 (superseded):** If the actual collection extent is more than all of the accession extents added up (because one or more accessions were not recorded), create a dummy retroactive accession record so all of the extents add up to the total extent.

## **7.2.2 Create the finding aid using the Resource record**

Virtually all of the information recorded in the Resource record will be exported in the form of a finding aid in PDF form (for the SCA Reading Room) and in EAD form (for the OAC). By entering the information correctly, your finding aid will be valid, *DACS*-compliant, and readable.

## 7.3 Collection-Level Basic Description

Enter basic collection-level information into the Resource record using the *Basic Description* tab.

The screenshot shows the 'Basic Description' tab of a resource record. The 'Collection Level' is highlighted in the left sidebar. The main form contains several sections: 'Date fields' with 'Inclusive Dates' (1942-2003) and 'Bulk Dates' (1968-1988); 'Language' set to 'English (eng)'; 'Extent' with 'Extent Number' 3.3 and 'Linear feet' selected; and 'Instances' with 'Add Instance' and 'Remove Instance' buttons. A table of 'Accessions linked to this Resource ID' shows two entries. The bottom of the screen has navigation and action buttons like 'Add Child', 'Add Sibling', 'Delete Content', 'Transfer', 'Manage Locations', 'Export EAD', and 'Export MARC'.

**You're working at the collection level when this highest level is highlighted.**

**Use wrap in tag if necessary (for example, if there's a title within the collection title).**

**Should already be set to "collection" at collection level**

**DACS-compliant collection title. See section 7.3.1.**

**Do all accession records taken together record the entire pre-processed extent? If not, do a retroactive accession. See section 7.2.1.**

**There should already be a resource ID assigned upon accessioning**

**Date fields:**  
Always enter whole begin/end dates. Add bulk dates if appropriate. Additionally, if necessary use *date expression* for complex date statements, such as circa dates. See section 6.2.

**Post-processed Extent Number in Linear feet goes here, along with the Container Summary. See section 7.3.3.**

**Contents of this field do not export to finding aid. Use for any internal information about the processing of the collection. Can use at any level.**

**When you're at the collection-level, you can create a series level (or a folder level if you don't have series) by clicking on "add child"**

**Use for predominant language of the collection. If more languages are evident, also use a **Language of Materials** note.**



Number field and describe the unprocessed holdings in the Container Summary. To derive the unprocessed holdings, add up the extent of unprocessed accessions. Example:

Extent Number: 62.4 linear feet  
Container Summary: (157 boxes and 4 oversize folders) and  
33 unprocessed linear feet

**Note:** When creating a finding aid for a collection that still has unprocessed material, the Finding Aid Status in the Finding Aid Data tab should be set to “Semiprocessed.”

## 7.4 Names and Subjects

See the Archivists’ Toolkit user manual (Chapters 9, 11, and 12) for instructions on creating name and subject records. When creating new records in the AT, look up all names in the Library of Congress Name Authority File (<http://lcnaf.loc.gov>) for the established form of the heading. If not found there, check ANTPAC. If not there, see Chapter 8.5 of *RDA* for guidance.

For more information about the use of indexing terms in Special Collections, see guidelines available at: V:\Tech Services and Cataloging.

The person responsible for cataloging in Special Collections and Archives will be the ultimate authority for the construction and inclusion of indexing terms. However, as processor, you may provide suggestions. The Index Terms section should be reviewed and edited by the Cataloger before the first draft of the finding aid is circulated.

The OAC requires at least three controlled access headings. However, it is possible to have too many. By identifying access points, you are drawing special attention to how prominently a person, family, corporate body, place, topic, genre, or title figures in the collection. If a person, corporate body, place, topic, genre, or title is important enough to index, it should also be referenced in some way in the collection-level scope and content note or the series-level scope and content note. In order to determine whether a controlled access point is necessary, consider the “rule of disappointment.” If a researcher saw the access point, and decided to make a special trip to UCI to see what we had as a result of the access point, would he or she be excited or disappointed? If disappointed, don’t include the name as an access point.

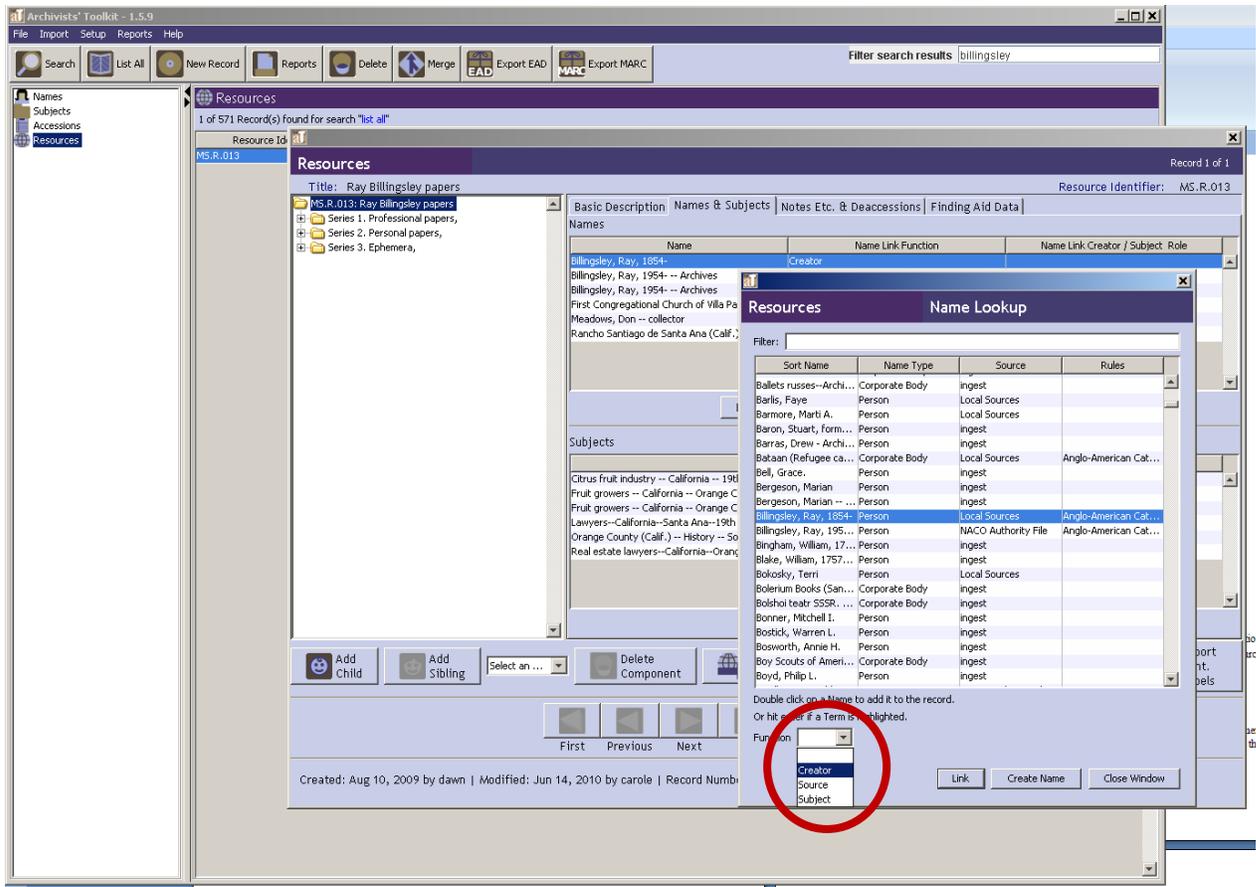
### 7.4.1 Creator

Add the name of the creator to the Resource record:

In the *Names and Subjects* tab, click on the *Add Name Link* button.

Include the name of the creator as Creator

Choose “Creator” from the *Function* drop-down box: (Leave “role” blank).



Find and choose the name of the creator and link it to the record.

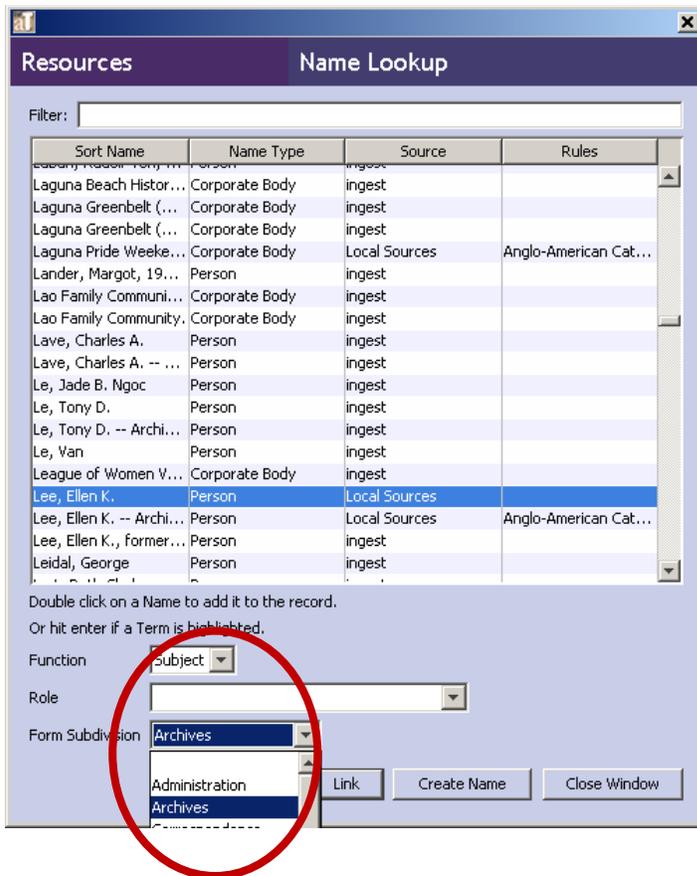
Note: **If the creator's name is not listed**, see the AT user manual, Chapters 9, 11, and 12; DACS Chapter 10; and instructions in V:\Tech Services and Cataloging for instructions on how to create names and enter them into the AT.

Also include the name of the creator as Subject.

If the collection is personal papers, records, or another type of collection that serves as a research source for learning about the creator, you will *also* include the name of the creator as Subject by adding the name again and this time choosing "Subject" from the Function drop-down box. (Exception: If the creator is a collector and therefore the collection does not provide any information about the creator, add the creator only as Creator, not Subject.)

In the *Names and Subjects* tab, click on the *Add Name Link* button.

Choose "Subject" from the *Function* drop-down box: For the name subject entry, choose "Archives" from the *Form Subdivision* drop-down box.



Note: Do *not* create a "source" entry for resource records. (If the source of the collection is carried over from accession records in the form of a Source entry, delete the Source entry in the Resource record).

## 7.4.2 Names of individuals and corporate bodies used as subjects

As you process the collection, identify the individuals or corporate bodies that are documented significantly in the collection. "Significant" may be in terms of the amount of material or the quality of the content. When using a name as a subject, the collection should provide significant information about the individual or corporate body.

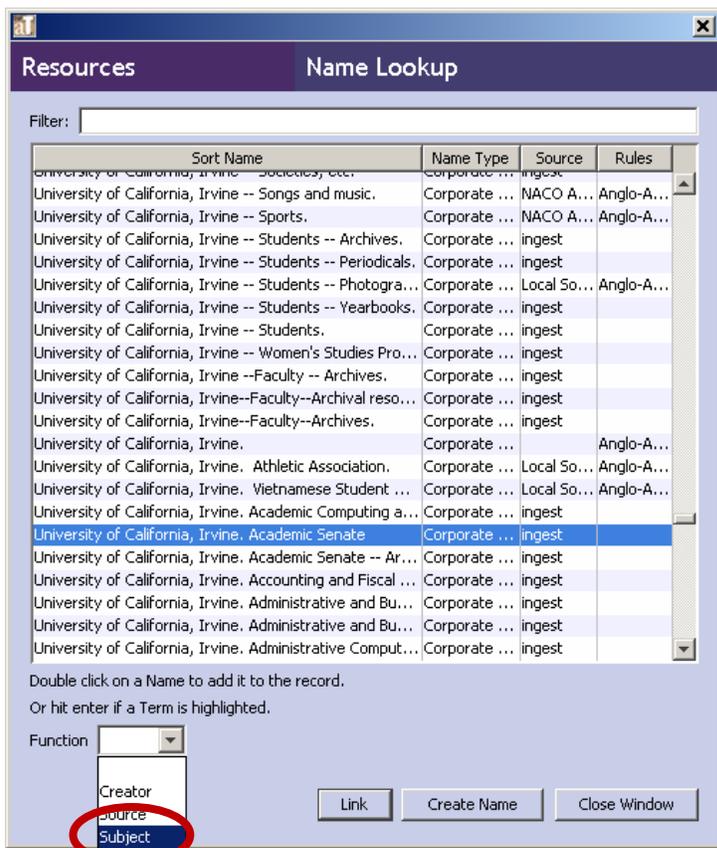
Note: If an individual or corporate body simply created documentation in the collection, but the collection could not be used to understand the nature of the individual or corporate body, the name should be included as "contributor." See section 7.4.1.6.

Note: If the name is not listed, see the AT user manual, Chapters 9, 11, and 12; *DACS* Chapter 10; and instructions in V:\Tech Services and Cataloging for instructions on how to create names and enter them into the AT.

Add the names of individuals or corporate bodies as subjects

In the *Names and Subjects* tab, click on the Add Name Link button.

Choose "Subject" from the Function drop-down box.

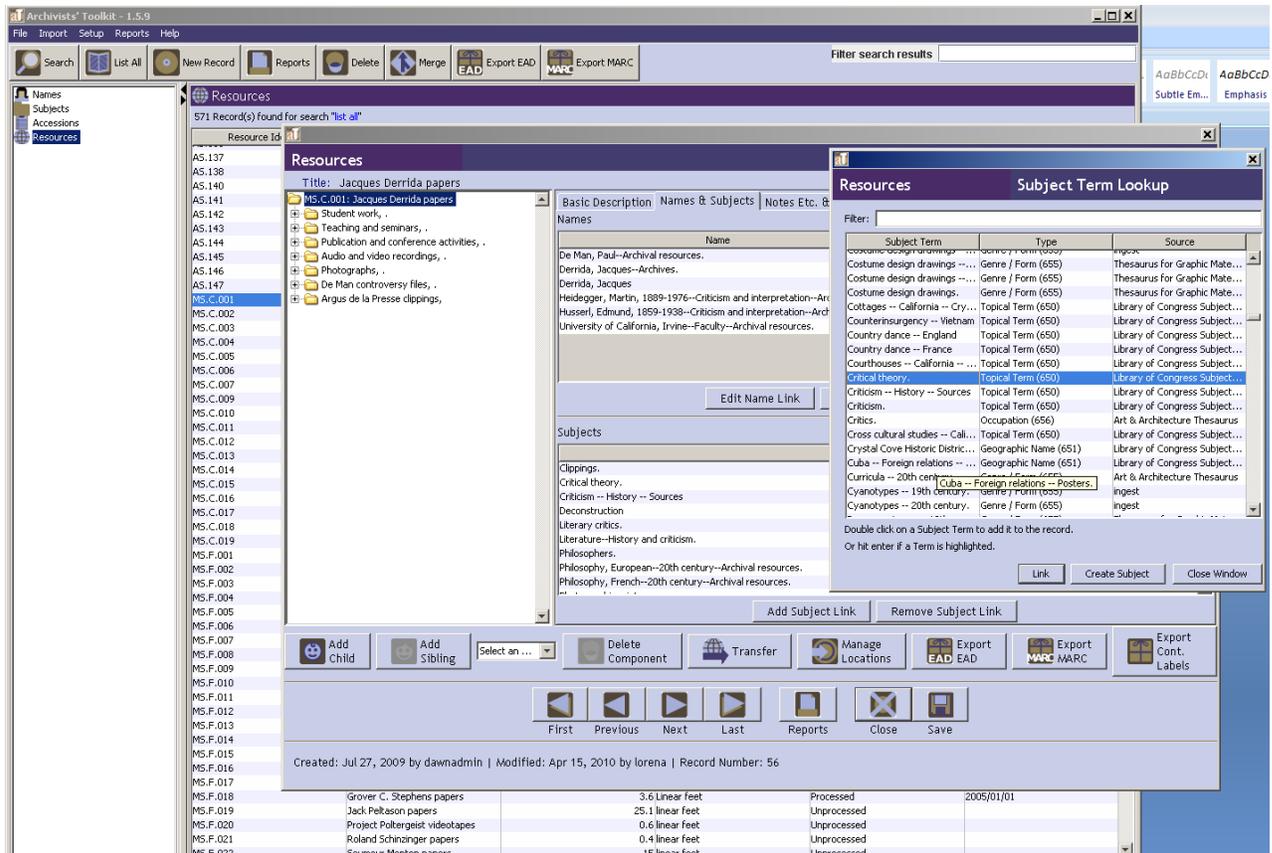


### 7.4.3 Topical and Geographical Subjects

You may suggest topical and geographical subject headings to the SCA cataloger. Be as specific as you can while still comprehensively describing a topic. If three or more of your subject headings are tightly interrelated, consider whether a broader heading would be more appropriate to describe the subject succinctly and accurately. Assign headings in order of the importance of the subject in the work.

In the *Names and Subjects* tab, click on the Add Subject Link button.

Find and choose the appropriate subject and link it to the record. Repeat this action for all subjects to be added.



In addition to terms reflecting the content of the collection, apply standardized term denoting the SCA collecting area. See instructions in V:\Tech Services and Cataloging for instructions on how to apply these terms.

**Note: If appropriate subjects are not listed**, see the AT users manual, Chapters 9, 11, and 12; and instructions in V:\Tech Services and Cataloging for instructions on how to create subjects and enter them into the AT. Check ANTPAC for examples of topical and geographical terms used in other archival collections. Melvyl and OCLC, as well as the red LCSH volumes and the free-floating subdivisions document available in Cataloger's Desktop (<http://desktop.loc.gov/>), may also provide examples of terms. If necessary, create new subject records in the AT. To the best of your ability, construct terms in Library of Congress Subject Heading (LCSH) format.

#### 7.4.4 Genres and forms of materials

Using the AT Subjects module, identify (or create records for) the genres or formats of material that predominate in the collection or that may have significant interest for a researcher. Do not make an exhaustive list of every type of material in the collection; index what is dominant or important. When assigning genre terms, preference term sources in this order: Rare Books and Manuscripts Section (RBMS) of ALA, Library of Congress Thesaurus for Graphic Materials II, and the Getty Art and Architecture Thesaurus (AAT). Do not use Library of Congress Thesaurus for Graphic Materials I for genre terms.

In the AT, genres and forms are added in the same way as are topical and geographical subjects. See section 7.4.1.3.

## 7.4.5 Occupations

For personal or family papers, enter the occupation of the creator of the papers. Use LCSH or AAT.

In the AT, occupations are added in the same way as are topical and geographical subjects. See section 7.4.1.3.

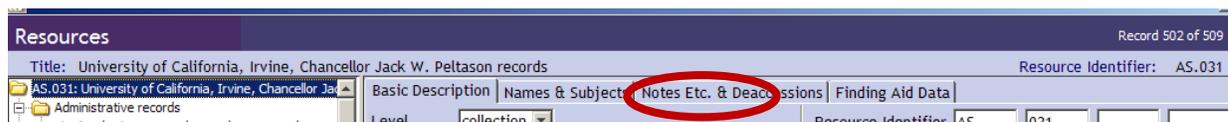
## 7.4.6 Contributors

As you process the collection, identify the individuals or corporate bodies that created significant material in the collection. “Significant” may be in terms of the amount of material or the quality of the content. For example, an individual may have written many letters to the creator of the collection, or the creator of the collection may have collected several works authored by a corporate body.

To include the name as contributor, follow the instructions for adding the name as Creator, then choose “contributor” from the “role” drop-down box.

## 7.5 Collection level notes

Access notes fields by clicking on the *Notes, Etc. & Deaccessions* tab at the collection level, or the *Notes, Etc.* tab at any other level



### 7.5.1 Order and labeling of notes

Notes should be added in the following order. Similar charts outlining the order and labeling of notes for series/subseries levels and file levels are in Sections 7.7.2 and 7.8.1 of this manual.

(Note: the AT allows notes to be dragged and dropped to change order)

Archivists' Toolkit note title	Collection-level note label	Mandatory at Collection Level?
Language of Materials Note	Language(s) of Collection Materials	no

Archivists' Toolkit note title	Collection-level note label	Mandatory at Collection Level?
Location Note	Physical Location	no
Abstract	Abstract	yes
Conditions Governing Access Note	Access	yes
Conditions Governing Use Note	Publication Rights	yes
Conditions Governing Use Note	Reproduction Restrictions	no
Preferred Citation Note	Preferred Citation	yes
Immediate Source of Acquisition Note	Acquisition Information	yes
Existence and Location of Originals Note	Existence and Location of Originals	no
Existence and Location of Copies Note	Alternative Forms of Material	no
Accruals Note	Accruals	no
Custodial History Note	Custodial History	no
Processing Information Note	Processing History	yes
Biographical/Historical Note	Historical Background (or) Biography (or) Organizational History	yes
Biographical/Historical Note	Chronology	no
Bibliography	Bibliography	no
Scope and Contents Note	Collection Scope and Content Summary	yes
Arrangement Note	Collection Arrangement	yes
Separated Materials Note	Separation Note	no
Appraisal Note	Appraisal Note	no
Processing Information Note	Processing Note	no
Related Archival Materials Note	Related Collections	no

## 7.5.2 Use and wording of collection-level notes

The names of the notes as listed here are the AT note titles. Each note should also be supplied with the custom label provided in parentheses. See previous section for an overview of the order of notes.

### 7.5.2.1 Language of Materials Note (label: Language(s) of Collection Materials)

Optional. Use when there is more than one language in the collection, or if the entire collection is in a foreign language. Example:

The collection is in Vietnamese and English.

### **7.5.2.2 Location Note (label: Physical Location)**

Optional. Use if the collection is stored at SLRF. Wording:

The collection is stored offsite at SRLF. Advanced notice is required for access.

### **7.5.2.3 Abstract (label: Abstract)**

Mandatory. Create a brief abstract (2-3 sentences) that provides a general overview of the collection and the significance of the creator. You may take sentences directly from the biographical/historical note and/or the scope and content note. Do not use at any lower level. Example:

This collection comprises the papers of Shirley Grindle, an environmental and political activist, self-proclaimed "watch-dog" for Orange County campaign ethics, and former Orange County (California) Planning Commissioner (1973-1977). The papers include records of the Orange County Planning Commission from her time as a commissioner, index cards she used to track campaign donations and monitor compliance with the Time Is Now, Clean Up Politics (TIN CUP) ordinance, and subject files reflecting her involvement in the preservation of open spaces in Orange County.

### **7.5.2.4 Conditions Governing Access Note (label: Access)**

Mandatory. Describe the terms under which a researcher may access the materials. Specify any conditions that apply (e.g., people can write to the donor to request access) and also, if restrictions apply to materials only in specific series, the series in which material is restricted.

For processed collections with no restrictions, write:

The collection is open for research.

For unprocessed collections or additions with no restrictions, write:

[The collection/This addition to the collection] has not been processed but is open for research. Please contact the Department of Special Collections and Archives in advance to request access.

For unprocessed collections with unknown restrictions, write:

The collection has not been processed. It may contain restricted materials. Please contact the Department of Special Collections and Archives in advance to request access.

For semi-processed collections containing unprocessed additions, write:

Processed components of the collection are open for research. Unprocessed additions may contain restricted materials. Please

contact the Department of Special Collections and Archives in advance to request access.

For materials restricted by federal and state laws (such as student, medical, or personnel records), documents listing Social Security numbers, or sensitive materials restricted by Special Collections and Archives, include in the note a generic descriptor of the material being restricted (e.g., notebooks, medical records, student papers, etc.), the authority of the restriction (donor, statute, or repository), and the length of restriction (e.g., until 2010, five years after donor's death, etc.).

Example:

Collection is open for research. Access to files covered by California personnel records legislation is restricted for 50 years from the latest date of the materials in those files. Access to student records is restricted for 75 years from the latest date of the materials in those files. Access to medical records is restricted for 100 years from the latest date of the materials in those files. Special Collections and Archives policy places access restrictions on material with privacy issues for a specific time period from its date of creation. Restrictions are noted at the file level.

For unprocessed collections containing materials restricted by federal and state laws throughout, write:

This collection is restricted until processed due to the presence of [student, personnel, medical, etc.] records throughout.

If access to fragile originals is restricted when preservation photocopies have been created, make note of this in the access statement. Examples:

Access to fragile originals is restricted when preservation photocopies are available.

Researchers must use preservation photocopies of restricted fragile items in Box 3.

If all or parts of the collection have digital items in Merritt and/or UCIspace, include the following in the access statement:

[Select items/Contents] have been reformatted and have digital preservation copies. Access to original [audio tapes, video recordings, etc.] is restricted; researchers may request [listening/viewing] copies.

Use the terminology used in the finding aid when referencing media items (e.g. sound recordings, audio recordings, audio tapes, etc.). You may need to look through series or file-level titles or scope and content notes. For unprocessed or minimally processed collections that do not identify specific media in the collection title, or for collections with multiple media formats, use "media materials" and "use copies." **Important:** Include an additional access note at each lower level containing the digital media (i.e. series, subseries, etc.). Only repeat information relevant to that level.

If the collection contains original archival media, include the following in the access statement:

Access to original [audio tapes, video recordings, etc.] is restricted; researchers may request [listening/viewing] copies.

Follow the instructions outlined above regarding terminology.

If there are restrictions on the duplication and distribution of use copies put in place by the donor or office of origination, add the following to the access statement:

The copies may only be used in the UC Irvine Libraries Special Collections and Archives Reading Room and may not be duplicated.

#### **7.5.2.5 Conditions Governing Use Note (label: Publication Rights)**

Mandatory. Use elements of this wording as appropriate: “Property rights [and copyright] reside with the University of California. [Copyrights are retained by the creators of the records and their heirs.] [These materials are in the public domain.] For permission to reproduce or to publish, please contact the [Head of Special Collections and Archives.] [University Archivist.]”

The wording of the statement will depend on the type of collection and types of materials in the collection. For MS collections, use “Head of Special Collections and Archives” as the contact; for AS collections, use “University Archivist.”

Examples:

Property rights reside with the University of California. Copyrights are retained by the creators of the records and their heirs. For permission to reproduce or to publish, please contact the Head of Special Collections and Archives.

Property rights reside with the University of California. For permission to reproduce or to publish, please contact the University Archivist.

For collections with born-digital or digitized content available through UCIspace, add this wording (which also appears in UCIspace metadata; refer to the metadata template for the particular collection in UCIspace for the correct text. Note that “This material” is changed to “Digital material” for the finding aid. Also remove any reference to “this item”). Examples:

[Digital] material is provided for private study, scholarship, or research. Transmission or reproduction of any material protected by copyright beyond that allowed by fair use requires the written permission of the copyright owners. The authors or their heirs retain their copyrights to the material. Contact the University of California, Irvine Libraries, Special Collections and Archives for more information (spcoll@uci.edu).

[Digital] material is provided for private study, scholarship, or research. Property rights and copyright reside with the Regents of the University of California. For permission to reproduce or publish [~~this item~~], or to correct this copyright

information, please contact the University Archivist at the UC Irvine Libraries (spcoll@uci.edu).

#### **7.5.2.6 Conditions Governing Use Note (label: Reproduction Restrictions)**

Optional. Use to alert researchers to restrictions on the reproduction of collection items imposed by the donor or repository. Indicate the stipulations of the restrictions in the note (e.g. written permission needed from a designated individual, restricted until a specified date, etc.).

Example:

All reproductions require permission from Margaret Gates until January 1, 2014.

***Important:*** Include an additional note at the lower levels where the restrictions occur. Only repeat information relevant to that level.

#### **7.5.2.7 Preferred Citation Note (label: Preferred Citation)**

Mandatory. Use this wording: “[Collection title proper (no dates)]. [Collection #]. Special Collections and Archives, The UC Irvine Libraries, Irvine, California. Date accessed.

For the benefit of current and future researchers, please cite any additional information about sources consulted in this collection, including permanent URLs, item or folder descriptions, and box/folder locations.”

Example:

Warren L. Bostick papers. AS-018. Special Collections and Archives, The UC Irvine Libraries, Irvine, California. Date accessed.

For the benefit of current and future researchers, please cite any additional information about sources consulted in this collection, including permanent URLs, item or folder descriptions, and box/folder locations.

#### **7.5.2.8 Immediate Source of Acquisition Note (label: Acquisition Information)**

Mandatory. Use this wording: “Gift of [name], [year].” (or) “Acquired, [year].” (for purchased collections) (or) “Transferred from [department or individual name], [year].” (for University Archives). Alternatively, if Special Collections created or assembled the collection, explain that in the acquisition note.

Examples:

Acquired, 1987-1998.

Gift of Donald McKayle, 1997-1998.

Source unknown, ca. 1968.

Source and dates unknown.

Transferred from Office of the Ombudsman, 1976.

The UCI Library created the Dance Photograph Collection by combining purchased items with photographs donated by Olga Maynard.

This artificial collection was created by Special Collections and Archives staff from offprints of works by critical theorists and scholars in other related disciplines that were removed from the personal papers of those theorists included in the Critical Theory Archive at the UC Irvine Libraries.

#### **7.5.2.9 Existence and Location of Originals Note (label: Existence and Location of Originals)**

Optional. Use if a significant portion of the collection (e.g. an entire series) is comprised of copies and the location of the originals are known. If this only applies to a smattering of files, reserve the note for the appropriate series/subseries level, or file-level note if description is more granular, and omit from the collection front matter.

***Important:*** Include an additional note at the lower level(s) describing the copies.

#### **7.5.2.10 Existence and Location of Copies Note (label: Alternative Forms of Material)**

Optional. Use if any material has been digitized, regardless of its online availability. Similar information is duplicated in the scope and content and access notes to support user discovery throughout the finding aid. Use language appropriate to the level of description. Examples:

A selection of images from this collection has been digitized and is available in Calisphere.

Select items are available for research at <extref  
actuate="onRequest"  
href="http://ucispace.lib.uci.edu/handle/10575/5256"  
show="new">UCIspace @ the Libraries</extref>.

Select items have been reformatted and have digital preservation copies.

***Important:*** Include an additional note at the lower level(s) describing contents with digital copies.

#### **7.5.2.11 Accruals Note (label: Accruals)**

Optional. Note frequency and, if known, approximate extent of expected accruals, or at minimum simply the fact that accruals are expected.

#### **7.5.2.12 Custodial History Note (label: Custodial History)**

Optional. Write in narrative sentence format.

#### 7.5.2.13 Processing Information Note (label: Processing History)

Mandatory. Include the names of those who contributed to processing the collection. Wording: "Processed by [name], 2001 [(or) year range]."

#### 7.5.2.14 Biographical / Historical Note (labels: Historical Background or Biography or Organizational History)

Mandatory. Use *DACS* Chapter 2.7 for content guidance. Note: ***always cite biographical information sourced from the collection itself.***

As a general rule, biographical and historical notes should be as brief as possible, providing just enough information to help users determine that a collection is appropriate to their research needs. The length of the note and amount of research that goes into writing the note should take into consideration the level of processing given to the collection, the existence of published information about the creators of the collection, and the extent of the collection. The note should not include information about the records in the collection; that is the function of the scope and content note. When published information about the creators of the collection is extensive, a bibliography of sources may suffice.

When published information about the creators of the collection is extensive, do not write an extensive note but rather provide the minimum amount of context a researcher may need to work within the collection and refer the researcher to the published sources in a bibliography.

Historical background should be a fairly succinct summation of the person or organization, focusing on major events and highlighting information that is difficult to convey in the date/event pairings in the chronology (see next field).

The historical background should begin with the full name of the individual or organization. For individuals, this should be followed by a statement of the person's occupation(s), significance, and/or significant contributions. For organizations, this should be followed by a statement of what the organization is (i.e., kind, type), if this is not apparent from the name. The first few sentences of the note should explain why the person or organization is significant or important. The researcher should be able to read the first paragraph and judge whether or not the records of a person or an organization may be potentially relevant to his or her research. This paragraph should also stand on its own use in the MARC catalog record.

After this introduction, the note should set the context for understanding the records. Emphasize the biographical or historical aspects that are best documented in the records. Most biographies or organizational histories are chronologically organized narratives of the most significant aspects of the person's life or organization's history. Any biographical or historical information that provides some context for the records location in Special Collections and Archives should also be emphasized, such as UCI or Orange County affiliations.

Sample Historical Background:

The Orange County Historical LGBT Historical Timeline Project was started in 1995 by Barbara Muirhead to provide background information

to participants of the Orange County Federation of Lesbian, Gay, and HIV/AIDS support organizations. That same year, UC Irvine opened the first Gay, Lesbian, Bisexual Resource Center in the University of California System which hosted the first online version of the Timeline. Since the project's inception, researcher Dick Hitt has also contributed information and materials to the collection.

A biographical note should include information about the person's occupation and include dates of birth, death, and important events in a person's life, if known. It should describe developments in a person's career, list the names of important associates and collaborators, and relate relevant family information. If you are working with a collection of family papers, or if other family members play an important part in understanding the collection, you may want to include a genealogy. Summaries of honors, achievements, and the like are also appropriate for the extended biographical note in the finding aid. It is not necessary to rewrite biographies for prominent individuals, especially if biographies have already been published about the individual. Provide a brief summary to provide enough context to understand the records, then cite published biographies in a bibliography at the end of the note.

#### Sample Biography:

*The following is adapted and excerpted from an obituary written by Bork's UCI colleagues Sandy Irani, Chair of the Computer Science Department, and Debra Richardson, Dean of The Donald Bren School of Information and Computer Science, circa 2007:*

"Alfred Bork was born September 18, 1926 in Jacksonville, Florida and died on December 18, 2007.

Bork earned his graduate degrees in physics at Brown University. Prior to his tenure at UC Irvine, he was a scholar at the Dublin Institute for Advanced Studies, and faculty at the University of Alaska, Fairbanks, Reed College and Harvard University.

Bork's career with UCI began on October 1, 1968 with joint appointments in ICS and physics. Passionate about the use of computers in education, Bork contributed to the early development of educational programs in both academic disciplines before transferring his appointment to ICS in 1983. Bork was a pioneer in the field of educational computing in which computational technology is harnessed to improve education. He specialized in highly interactive techniques for learning and the application of graphics and multi-media to learning. He created systems for interactive instruction of concepts that incorporate appropriate pedagogical, social and motivational components. He was also influential in educational policy in which he maintained that technological approaches to teaching and learning would become inevitably more cost-effective than traditional practices. At the same time, he also stood courageously against naïve technologists who provide short-term computer-based solutions that fall short of long-term educational goals.

Bork had numerous international collaborations and served as an ambassador for computer education around the globe. He was a consultant to the United Kingdom National Development Programme in Computer Aided Learning, a member of the National Institute of

Education's delegation to the People's Republic of China, co-director and keynote speaker at the NATO Advanced Study Institutes on Computers in Science Education, at the Catholic University of Louvain in Belgium and at the San Miniato Conference Center in Italy. Bork also served as visiting professor at the University of Geneva in Switzerland and ran workshops in many places including China, Japan, Taiwan and for the Colombo Staff College in India and the Philippines. He served four years as chair of the Special Interest Group on Computer Uses in Education of the Association for Computing Machinery.

Bork was founder and director of the Educational Technology Center on the UC Irvine campus and continued to be active in the center even after his retirement in July 1994 through his development of technology-based learning materials. The Educational Technology Center has many visitors each year and hundreds of requests for information about interactive adaptive tutorial technology. Bork was actively involved in over 60 of the student-computer dialogs developed by the Center."

An organizational history should describe the nature of the organization and the circumstances of its founding and development. This includes the reason the organization was founded, its goals and responsibilities, its public or private mandate, any changes of name or status of the organization or its subunits, and any changes that have occurred in its purpose, functions, or activities. It is important that the reporting hierarchy of the organization be described, clarifying which offices /officers report to which and noting any changes in lines of authority over time. Important events affecting the organization and important persons associated with it should also be brought out. Dates should be provided in describing any major transitions. If such changes are complex, you may consider providing an outline or "corporate genealogy."

#### Sample Organizational History:

The Santa Margarita Water District (SMWD), Orange County's second largest water district, is located in southern Orange County, California. It was formed in 1964, prior to the construction of the first residential neighborhood in the area, when the region was dominated by the 52,000-acre Rancho Mission Viejo. As of 2007, it serves the communities of Mission Viejo, Rancho Santa Margarita, Coto de Caza, Las Flores, Ladera Ranch, Talega, and the remaining 23,000-acres of Rancho Mission Viejo. The SMWD is governed by a five-member board of directors that is elected by residents within the district's boundaries.

#### **7.5.2.15 Biographical / Historical Note (label: Chronology)**

*Note:* See the AT user manual, Chapter 9, for instructions on creating chronologies as multi-part notes.

Optional. Use a chronology if it would help the researcher (i.e. if there are more than 5 dates to keep track of). The chronology is a listing of dates paired with events and should be the starting point for assembling information about the creator of a collection (whether a person or an organization). It is intended as an easy reference tool to which a user of the collection can refer to ground the papers or

records in the chronology of the creator's lifetime. The narrative historical background section and the chronology should work together and not needlessly repeat information.

When constructing a chronology use verbs in the present tense and past participles when there is no verb.

Example:

1925 Ihab Habib Hassan born in Cairo, Egypt on October 17th.  
1946 Immigrates to the United States to study engineering at the University of Pennsylvania.  
1948 Receives M.S. degree from University of Pennsylvania.  
1950 Receives M.A. degree from University of Pennsylvania.  
1952 Holds position as instructor in English at Rensselaer Polytechnic Institute.  
1953 Receives Ph. D. degree in English literature from University of Pennsylvania.  
1954 Begins as an instructor in English at Wesleyan University and becomes professor of English in 1962.  
1956 Becomes a United States citizen.  
1961 *Radical Innocence: The Contemporary American Novel* (Princeton University Press)  
1963 *Aspects du Hero Americain Contemporain* (Lettres Modernes)  
1966 Fulbright lecturer in Grenoble, France.  
1968 *The Literature of Silence: Henry Miller and Samuel Beckett* (Knopf)  
1970 Joins the faculty at the University of Wisconsin at Milwaukee as the Vilas Research Professor of English and Comparative Literature.

#### 7.5.2.16 Bibliography (label: Bibliography)

Optional. References to publications about or based on the materials. Examples:

For further biographical information, see *Vision, Courage, Accomplishment: the Life of Edward A. Steinhaus* (Irvine: UCI Center for Pathobiology, 1970). A biographical article on Steinhaus is also available online through "University of California: In Memoriam."

For further information about the School, see Marvin E. Gettleman, "The New York Workers School, 1923-1944: Communist Education in American Society," in *New Studies in the Politics and Culture of U.S. Communism*, Michael E. Brown et. al, eds. (New York: Monthly Review Press, 1993), 261-280.

#### 7.5.2.17 Scope and Contents Note (label: Collection Scope and Content Summary)

Mandatory. Use *DACS 3.1* for content guidance.

As a general rule, biographical and historical notes should be as brief as possible, providing just enough information to help users determine that a collection is appropriate to their research needs. If more than one paragraph, make sure first paragraph is a succinct summary that can serve as the entire note in the MARC catalog record.

The collection scope and content summary note summarizes the topical coverage, document types and formats, and organization of the entire collection. The first paragraph should serve as a general overview of the collection. Other paragraphs should amplify and provide additional information. The note should include any of the following types of information as appropriate to the material being described:

- The function(s), activity(ies), and process(es) that generated the material being described;
- The documentary form(s) or intellectual characteristics of the records being described (e.g., minutes, diaries, reports, watercolors, documentaries, etc.);
- The content dates, that is, the time period(s) covered by the intellectual content or subject of the unit being described;
- Geographic area(s) and places to which the records pertain;
- Subject matter to which the records pertain, such as events, people, and organizations; and
- Any other information that assists the user in evaluating the relevance of the material, such as completeness; changes in location, ownership and custody while still in the possession of the creator, etc.

### **Order of Information**

The first sentence of the Collection Scope and Content Summary should state what the archival unit is that is being described, beginning with either "This collection comprises/consists of/contains...", or "These records contain/comprise/consist of ...." The sentence should summarize succinctly who the creator is and what the focus of the collection is. For collections intentionally assembled by UCI Special Collections and Archives and lacking other significant provenance (*aka* artificial collections), the first sentence should indicate this, for example "This collection, assembled by the repository, comprises...."

Include an enumeration of the kinds of materials in the collection, if they can be *succinctly* enumerated; otherwise, only the most general description of the kinds of materials are in the collection, such as "personal papers" or "records" should be used. Following the succinct enumeration of materials, briefly name the individual or organization responsible for creating or collecting the collection and state his, her, or its significance. If the organization will be frequently referred to in this note, create an acronym in parentheses and use the acronym after this sentence. For the UC and other universities and colleges, use the full form of the name in the first reference (i.e., "University of California, Irvine"). Examples:

This collection documents Frederick Reines' career in nuclear physics and astrophysics as both a scientist and an academic. This collection, assembled by the repository, comprises pencil and ink design drawings, many of them colored using watercolors or other media, of mostly contemporary costumes for men and women from the Mexican cinema, 1925-ca. 1949.

This collection comprises the administrative and legislative files of the office of California State Senator Dennis E. Carpenter.

These records capture a large proportion of the most important, top-level incoming correspondence and other materials relating to the first three decades of UCI's history.

This first sentence is continued by a narrative summarizing significant topics documented by the collection. Include other information that will help the user evaluate the relevance of the materials. For example, you may wish to highlight prominent correspondents, subjects, events, people, organizations, or topics. You may also wish to comment about the completeness of the documentation. Also consider what functions, activities, geographic areas, time periods, or events the material cover.

If a collection is further organized into series, include only a single, brief summary statement about the subjects or topics covered by the materials in the collection, and reserve a more detailed discussion of topics for following paragraphs. Do not distinguish between series at this point.

If the collection has no series, summarize the subjects or topics that are covered by the materials in the collection and, if appropriate, provide information on research topics for which the collection might provide excellent research sources if these are not evident from the folder headings within the series. This is not intended to be an exhaustive treatment of topical coverage in the series, but should highlight voluminous subject coverage, small amounts of material that are particularly noteworthy for the quality of their topical coverage, or materials that might otherwise be hidden in the collection.

This first paragraph should also include, generally at the end, a detailed enumeration of the forms of materials found in the collection, if more is required beyond that included in the introductory sentence. This is not intended to be an exhaustive list, but rather should highlight formats and genres that are voluminous, that are small but especially noteworthy for their content or as examples, or that might otherwise be hidden within the collection (e.g., because their existence is not specifically highlighted in folder headings). Forms of material and occupational terms should be indexed in the form/genre fields.

Scope and content notes are repeatable at various levels of description. For example, each accession and/or series will also have a scope and content note. Other components, depending on the level of processing, may also have a scope and content note to add narrative explanations of content that is not obvious from headings or folder titles. Hence, in the overall scope and content note, it is important to provide a general overview of the collection and not recapitulate the other scope and content notes at lower levels, or the folder list. Example:

MS-C001, Jacques Derrida papers  
This collection comprises manuscripts, typescripts, recordings, photographs, and an extensive clippings file documenting the professional career of Jacques Derrida and providing comprehensive documentation of his activities as a student, teacher, scholar, and public figure. In addition, Derrida's files on the 1988 controversy regarding Paul de Man's World War II-era writings are also included. Best known for the development of "deconstruction," Derrida was trained as a philosopher, but his work engages and transverses numerous

other discourses such as literature, politics, law, religion, psychoanalysis, and ethnography. Ranging from his early work as a student to his recent seminars, the material in the archive spans from circa 1946 to 2000. The collection contains numerous pages of notes and written reports that reflect Derrida's academic training under the tutelage of figures such as Louis Althusser and Michel Foucault. His commitment to teaching is documented by a full collection of teaching notes for the multitude of seminars that he has taught over the course of his career. The more public side of Derrida is also well represented by notes, working drafts, final drafts, and other materials related to his vast published output. With the exception of the photographs, the collection contains no material that might be described as "personal," such as private correspondence. The vast majority of the materials are in French.

If digital items are available in UCIspace, provide a link to the collection's main page at the end of the scope and content note. Links should be included at both the collection-level and the series or sub-series level(s) describing the digital resources. Examples:

MS-C018, Mark Poster papers [collection-level note]  
This collection includes the print and electronic teaching and research papers of Mark Poster, Professor of History and Film & Media Studies at the University of California, Irvine. The collection comprises personal papers and electronic records documenting Poster's career, including teaching materials; research notes; drafts of writings; correspondence, including emails relating to his association with the Critical Theory Institute at UCI; and audio and video tapes of interviews given.

The born digital files are available for research at <extref actuate="onRequest" href="http://ucispace.lib.uci.edu/handle/10575/1336">UCIspace @ the Libraries</extref>.

MS-C018, Mark Poster papers, Born digital files [series-level note]  
This series includes research files, notes, and email correspondence related to Poster's books and other publications, lectures, as well as his work with the Critical Theory Institute.

Mark Poster selected and transferred these files from his hard drive for the Critical Theory Archive at the UC Irvine Libraries. UC Irvine Libraries staff migrated most files to PDF/A format for long-term access. Routine records, such as receipts, and damaged files were not retained.

The digital files are available for research at <extref actuate="onLoad" href="http://ucispace.lib.uci.edu/handle/10575/1336">UCIspace @ the Libraries</extref>.

**Note:** Links to born-digital records are only provided in the scope and content summary; links to digitized resources should also be included in an Alternative Forms of Material note.

#### **7.5.2.18 Arrangement Note (label: Collection Arrangement)**

Mandatory. If there are series, the first part of the arrangement note should include series numbers and titles. While it is not necessary to identify subseries at the collection level, the processor may do so if the collection arrangement is unusually complex and/or long, and a fuller overview would benefit the researcher. If there are no series, the first part should indicate whether the arrangement overall is chronological, alphabetical by subject, etc.

If the arrangement scheme is at all complicated, be sure to provide enough detail to assist future users in the use of the materials.

Examples:

```
This collection is organized in 2 series:  
  Series 1. Administrative files, 1970-1978. 0.6 linear  
  feet  
  Series 2. Legislative files, 1971-1978. 9.8 linear feet
```

```
The collection is arranged alphabetically by topic.
```

```
The collection is arranged chronologically.
```

#### **7.5.2.19 Separated Materials Note (label: Separation Note)**

Optional. Use to provide information about materials related by provenance that have been physically separated or removed. See *DACS* Chapter 6.3. Example:

```
The following publications were removed from this collection  
and cataloged separately in Special Collections and Archives.
```

#### **7.5.2.20 Appraisal Note (label: Appraisal Note)**

Optional. This note provides information about appraisal decisions, that is, about the decisions we make about the archival value of records and their disposition. Routine appraisal decisions do not have to be recorded in this note, for example, if we throw away duplicates or routine financial records. However, if we make significant appraisal decisions and decide not to keep parts of a collection, and this information may impact how a researcher understands the collection, we should tell the researcher what materials we decided not to keep and explain our reasons. For example, because we focus our collecting efforts on Orange County, we may choose not to retain widely published material not pertaining to Orange County.

Example:

```
During processing the collection was reduced from fifteen cubic  
feet to four by discarding duplicate materials, financial  
records, and publications not authored by MODE participants.  
Six inches of raw data was discarded, consisting of bulletins
```

and report referring to float positions, moorings, isotherms, geostrophic velocity calculations, ships' summaries, and work proposed and work carried out during the MODE-I experiment. As this raw data was recapitulated in weekly <title render="underline">MODE Hot Line Bulletins</title>, only a sampling was retained in the collection. Also discarded were ten charts for which there were no descriptions of indicated data points, nor were dates or test site locations provided.

#### **7.5.2.21 Processing Information Note (label: Processing Note)**

Optional. Provide any information about the processing of the collection that may impact or be of particular significance to the researcher, including information about other aspects of the arrangement of the materials, such as maintenance of original order, arrangement by the archivist, etc. For minimally processed collections in particular, include information that would help the researcher navigate the collection. This is also a good place to note any grants or donor funding that made it possible to process the collection.

#### **Examples:**

In order to facilitate access, the collection was minimally processed. Most dates are approximate. Most of the materials are in their original folders or were taken out of binders and placed in new folders. Since materials have not been re-folded, many folders contain their original labels and are therefore not labeled with titles identical to those found in the contents listing in this guide..

The papers originally came as two accessions. The first accession contained the bulk of the material, and the subsequent accession consisted of correspondence and some subject files which Costigan's wife used for her research. These two accessions were merged and arranged together in 1996. Most of the boxes contained chronologically arranged folders, labeled in two-month intervals (i.e. January/February 1933, March/April 1933, etc.). There was a variety of material in these folders, including correspondence, writings by Costigan and others, ephemera, minutes, publications, notes and clippings. The original order of this collection was not retained; processors resorted the materials based on an analysis of activity and material type.

The original order of the collection has been retained. The creator arranged materials according to a unique classification system. A key to the classification codes is available in box 1, folder 1.

Unless otherwise noted in the series and subseries descriptions, the arrangement scheme for the collection was imposed during processing in the absence of a usable original order.

#### **7.5.2.22 Related Archival Materials Note (label: Related Collections)**

Optional. This note provides references to related materials that a researcher should know about in

order to have a full understanding of an individual's papers or an organization's records. For the most part, this note should be used to alert researchers to connected collections housed in **other repositories** (*i.e.*, an individual's papers are split among two repositories) or to collections within UCI Special Collections with a particularly strong tie, such as those related by provenance or subject matter. The note may also be used to connect collections within Special Collections if that tie would not be obvious by means of simple searches in OAC or ANTPAC. Because we will not update this field every time a new collection comes in or is processed, this field is not meant to be a definitive bibliography of all related collections. Allow subject headings, name headings, and keywords to create those linkages on-the-fly.

Example:

Related materials are found in the following collections:

Charles F. Lummis Manuscript Papers Collection. Autry National Center, Southwest Museum.  
<http://www.autrynationalcenter.org/mwebcgi/mweb.exe?request=record&id=CGAV06-A0&type=201>

Charles Fletcher Lummis Papers (Collection 763). Department of Special Collections, Charles E. Young Research Library, University of California, Los Angeles.  
<http://www.oac.cdlib.org/findaid/ark:/13030/tf6n39p0x7>

## 7.6 Collection level finding aid data

This tab is for entering additional data that will appear in the finding aid.

The screenshot displays the 'Finding Aid Data' tab within a software interface. The 'EAD Unique Identifier' field is highlighted with a red circle and contains the text 'as031.xml'. The 'Finding Aid Title' field contains 'Guide to the University of California, Irvine, Chancellor Jack W. Peltason Records'. The 'Finding Aid Date' field contains '© 2009'. The 'Finding Aid Status' dropdown menu is set to 'Minimally\_processed'. The 'Revision Date' field contains '2009/09/26' and the 'Revision Description' field contains 'Finding aid uploaded to OAC.'.

Callout boxes provide the following instructions:

- Guide to the [Title of Collection Capitalized as a Formal Title]**: Points to the 'Finding Aid Title' field.
- Enter the name of the EAD file as you will export it. Use the format r011.xml or as024.xml.**: Points to the 'EAD Unique Identifier' field.
- See OAC Best Practices Guide to EAD (p. 10) <http://www.cdlib.org/services/dsc/contrib/ute/docs/oacbpgead/v2-0.pdf>**: Points to the 'Finding Aid Title' field.
- Include here the ARK URL for the finding aid if the finding aid is already published in the OAC (i.e. if there is already a single-level minimum record in the OAC).**: Points to the 'Finding Aid Note' field.
- Enter the date preceded by "copyright" or a copyright symbol.**: Points to the 'Finding Aid Date' field.
- Enter the name of the person who wrote the finding aid.**: Points to the 'Author' field.
- Choose DACS**: Points to the 'Description Rules' dropdown menu.
- When processing is finished, choose the appropriate status from "processed," "semiprocessed" and "Minimally Processed". Ask the Archivist if you are not sure of the status.**: Points to the 'Finding Aid Status' dropdown menu.
- In Revision Date field, enter the date the finding aid was uploaded to the OAC. Below this field, in Revision Description, enter the phrase as written here.**: Points to the 'Revision Date' and 'Revision Description' fields.

## 7.7 Series (or subseries) basic description and notes

This basic information shown here is required at the series level. In archival description, it is generally NOT required to repeat information from a higher level. So, for example, you do not need to repeat the language code if the predominant language in the series is the same as that recorded at the collection level.

You may also choose to use subseries. Follow the model for series.

The screenshot shows the 'Basic Description' tab of an archival description software. The 'Level' dropdown menu is set to 'series' and is circled in red. The 'Component Unique Identifier' field contains 'Series 1.'. The 'Title' field contains 'Administrative records'. The 'Date' section has 'Date Begin' set to 1969 and 'Bulk Date Begin' set to 1985. The 'Language Code' dropdown is currently empty. The 'Extent' section has 'Extent Number' set to 3.1 and 'Linear feet' selected. The 'Instances' section is empty. The bottom toolbar includes buttons for 'Add Child', 'Add Sibling', 'Delete Component', 'Manage Locations', 'Export EAD', and 'Export MARC'.

**To work on a series at the series level, click on it here**

**Choose "series" Level**

**Include the series number in the Component Unique Identifier field. Use the format: "Series 1." or "Subseries 1.2"**

**Date fields: Begin/end dates are required at the series level. (Consult DACS 2.4 for guidance). If an estimate is necessary, use the date expression field for complex statements or for "undated". Use bulk dates if appropriate. Leave date begin and date end fields blank only if date expression is "undated" or if the folder title consists only of a date or date range. In the latter case, make sure the inclusive dates are entered in these fields at the next higher level.**

**To add a lower level (such as a subseries or file), click on "add child"**

**If you will add many files at the lower level, you should use the Rapid Data Entry (RDE) functionality by choosing "an RDE (or "default") from this menu. See AT User's manual for instructions, p. 102-105.**

**Enter the title of the series. For example "Administrative records"**

**Use Language Code drop-down box **only** at **collection level**. For lower levels, use "Language of Materials" note.**

**Enter the extent of the series**

### 7.7.1 Series numbers

Series are numbered sequentially with Arabic numerals.

Example:

Series 1.

For subseries include the series number, followed by a period, and the subseries number.

Example:

Subseries 1.1  
Subseries 1.2  
Subseries 1.3

### 7.7.2 Order and labeling of notes at the series (or subseries) level

Notes should be added in the following order:

Archivists Toolkit note title	Series/Subseries-level note label	Mandatory at Series/Subseries Level?
Language of Materials Note	Language(s) of Materials	no
Conditions Governing Access Note	Access	no
Conditions Governing Use Note	Reproduction Restrictions	no
Existence and Location of Originals Note	Existence and Location of Originals	no
Existence and Location of Copies Note	Alternative Forms of Materials	no
Biographical/Historical Note	Historical Background (or) Biography (or) Organizational History	no
Scope and Contents Note	Series/Subseries Scope and Content Summary	yes
Arrangement Note	Series/Subseries Arrangement	no
Processing Information Note	Processing Note	no

### 7.7.3 Language of Materials Note (label: Language(s) of Materials)

Optional. Only use if the series/subseries is predominantly comprised of foreign language or multilingual materials. Specify formats of materials.

#### **7.7.4 Conditions Governing Access Note (label: Access)**

Optional. Required if an entire series is restricted, or if a series contains original archival media or born digital files. Include information as to the nature of the restriction as well as when or how researchers may gain access. For example:

The digital files are open for research. Researchers must apply to access some files in the collection and agree to follow the Rules of Use for the Virtual Reading Room. Access may be granted in less than 5 business days.

#### **7.7.5 Conditions Governing Use Note (label: Reproduction Restrictions)**

Optional. Use to alert researchers to restrictions on the reproduction of items in a particular series/subseries imposed by the donor or repository. Indicate the stipulations of the restrictions in the note (e.g. written permission needed from a designated individual, restricted until a specified date, etc.).

#### **7.7.6 Existence and Location of Originals Note (label: Existence and Location of Originals)**

Optional. Use if material being described in the series/subseries are copies and the location of the originals is known. This note is best used at this level when all or a significant portion of materials in the series/subseries are copies. If this only applies to select files and description is at the file-level, reserve the note for that level.

#### **7.7.7 Existence and Location of Copies Note (label: Alternative Forms of Materials)**

Optional. Use if any material described in the series/subseries has been digitized, regardless of its online availability. If warranted, identify the contents containing digital copies. Provide links to materials available via UCIspace or Calisphere.

#### **7.7.8 Biographical / Historical Note (label: Historical Background or Biography or Organizational History)**

Optional. Use if you need to provide an historical background, biography, or organizational history for a person/entity that was **NOT** covered at the collection level. This will most likely apply to complex university archives collections that have series or subseries documenting specific programs, units, or departments within a larger organizational entity.

#### **7.7.9 Scope and Contents Note (label: Series/Subseries Scope and Content Summary)**

Mandatory. Use scope and content notes strategically.

- A good scope and content note for a series, subseries, or large chunk of files may make arrangement and description at the folder level unnecessary. It is often less time consuming to summarize contents in a note, rather than organizing or listing out individual folder titles. Use keywords to improve identification of material in online searches. *(From Section 4.A.2 Description of the UC Guidelines)*

Scope and content summaries can be multiple sentences in a single paragraph or multiple paragraphs, depending on the amount or complexity of materials in the series being described. Start the first sentence by stating the level of description, e.g., "This series consists of ...," or alternatively restate the name of the series, e.g., "The School of Theory and Criticism series contains ...."

This should be followed by a summary of formats and genres found within this particular series. If the series is further organized into subseries, include a single, brief summary statement about the formats and genres to be found in the series. Do not distinguish between the subseries at this point. If the series has no subseries, summarize formats or genres of materials found in the series. This is not intended to be an exhaustive list, but rather should highlight formats and genres that are voluminous, that are small but especially noteworthy for their content or as examples, or that might otherwise be hidden within the collection (e.g., because their existence is not specifically highlighted in folder headings).

Follow the statement of formats and genres with a statement of the topical coverage of the series. If a series is further organized into subseries, include a single, brief summary statement about the subjects or topics covered by the materials in the series. Do not distinguish between subseries at this point. If the series has no subseries, summarize the subjects or topics that are covered by the materials in the series and, if appropriate, provide information on research topics for which the series might provide excellent research sources if these are not evident from the folder headings within the series. Again, this is not intended to be an exhaustive treatment of topical coverage in the series, but should highlight voluminous subject coverage, small amounts of material that are particularly noteworthy for the quality of their topical coverage, or materials that might otherwise be hidden in the collection. Examples:

Japanese American relocation files, 1942-1998  
This series contains newspaper clippings, correspondence, and memorabilia concerning the Japanese American experience in internment camps from 1941 to 1945. The series documents internment and its aftermath and includes some camp memorabilia, several retrospective accounts of the camps, and records relating to the long political and legal struggle referred to as the "redress movement."

Inter League Organization files, 1957-2001  
This series contains news clippings, correspondence, newsletters, meeting minutes, convention packets, financial records, notes, photographs, audio and video recordings, publications, and information resource materials documenting activities and projects of the League of Women Voters of Orange County's (LWVOC) Inter League Organization (ILO). Video and audio recordings document information and programs related to the activities of LWVOC, and include League-produced public

access shows, and public forums. The majority of material consists of meeting minutes and official correspondence of the LWVOC Inter League Organization. These records document association membership, association delegates and officers, meetings, and finances. Topical files contain material related to activities and issues the LWVOC was involved in.

National Organization for Women (N.O.W.) files, 1968-1976  
This series contains clippings, newsletters, minutes, notes, photographs, and information resource materials documenting activities and projects of the National Organization for Women at various organizational levels. Materials in this series address a variety of issues including women's representation on the Orange County (Calif.) Manpower Commission, prenatal care for poor women, public relations and media issues, and the coordination of efforts with other local women's groups. Issues of Action N.O.W., the Orange County chapter newsletter, have been cataloged separately. Files in the series are arranged topically within larger groupings reflecting local Orange County N.O.W. activities, other N.O.W. activities, and N.O.W. information resources.

If you do have subseries, follow the same pattern for series descriptions when composing the subseries scope and content summaries. Example:

L'Ecole normale supérieure, 1952-1956  
This subseries represents Derrida's work while he was a student at the Ecole normale supérieure. The content of the materials reflects his training as a philosopher, but also includes studies in psychology and literature. The subseries includes papers written for professors Louis Althusser, Jacques Brunschvicg, and Maurice de Gandillac. Many of the materials include marginal comments by the professor for whom they were written.

Laguna Greenbelt, Inc. (LGI) activities, 1967-1987  
The third subseries of subject files pertains to specific LGI activities, events and organization. Material chronicles production of LGI's brochure, group endorsements, petitions, Greenbelt tour, land sales, art auction, and annual meetings. Other items document organizational structure, LGI resolutions, and LGI goals. Victory Statements (1971-1980) illustrate perceived accomplishments of organizational goals.

### **7.7.10 Arrangement Note (label: Series/Subseries Arrangement)**

Optional. If applicable, a series arrangement statement can indicate how a series has been divided into subseries. Series or subseries arrangement statements can be used to express the filing sequence of the described materials, such as the principle characteristics of the internal structure, or the physical or logical ordering of materials, including alphabetical, chronological, topical, or geographical. For example:

Subject files, 1967-1987

Subject files are arranged first alphabetically and then chronologically.

Orange County topical files, 1824-1994

Files are primarily arranged by locality. Materials documenting Orange County in general, as opposed to specific localities within Orange County, are filed under the broad heading "General." Whenever possible, files are secondarily arranged into 18 topical groupings, such as education, government and politics, people, and recreation and entertainment. Under each topical grouping, material is arranged by subtopic, forms of material, title (in the case of publications), or name of individual or institution. Materials documenting aspects of a locality in general, as opposed to a specific topic, are filed within that particular locality under the heading "General."

League Chapters record, 1968-1999

This series is arranged into 3 subseries:

Capistrano Bay Chapter records, 1969-1999.

North Orange County records, 1959-1997

Central Orange County Area records, 1957-1997

### **7.7.11 Processing Information Note (label: Processing Note)**

Optional. Provide any information about the processing of the series/subseries that may impact or be of particular significance to the researcher. For example:

Working files, 1959-2001

Many files in this series were not labeled clearly and titles were supplied during processing to clarify file contents. If folder labels were available, those titles were preserved with minimal revisions to clarify contents.

## 7.8 Below the series or subseries

File-level basic description:

Resources

Title: Ray E. Williams files on Newport Bay environmental issues

Resource Identifier: MS.F

Level: file Persistent ID: ref92

Component Unique Identifier

Extent

Extent Number

Container Summary

Instances

Instance Type	Instance Label
Mixed materials	Box 3 / Folder 9

Add Instance Remove Instance

Only Restrictions Apply

Add Child Add Sibling Select an RDE Delete Component Transfer Manage Location Export EAD Export MARC Export Collection Label

First Previous Next Last Reports

Created: Aug 10, 2009 by d Modified: Nov 12, 2010 by

**Date fields:** Try to always use whole begin/end dates. Use bulk dates if appropriate. (Consult DACS 2.4 for guidance). Use the date expression for more specific or complicated statements, such as for dates with undated or circa.

Use "Add Sibling" to add another folder at this level. Use "Add Child" to add a lower level

Once you have described a folder conceptually by title and date, click on "Add Instance" to record data about the physicality of the materials that you have represented. **If you have many folders at the same level, you should add all of this information using the Rapid Data Entry (RDE) functionality to save time. See the AT Users' Manual p. 102-105.** For the vast majority of archival collections, the instance type to use throughout is "mixed materials."

### 7.8.1 File-level notes

File-level notes should only be applied when working at the intensive (file level – traditional) or highly intensive (item-level) levels of effort/control, and even then should be used sparingly.

Notes should be in the following order:

Archivists Toolkit note title	File-level note label	Mandatory at File Level?
General Physical Description Note	Physical Description	no
Language of Materials Note	Language(s) of Materials	no
Conditions Governing Access Note	Access	no
Conditions Governing Use Note	Reproduction Restrictions	no
Existence and Location of Originals Note	Existence and Location of Originals	no
Existence and Location of Copies Note	Alternative Forms of Materials	no
Biographical/Historical Note	Historical Note (or) Biographical Note	no
Scope and Contents Note	Scope and Content Note	no
Processing Information Note	Processing Note	no

### 7.8.2 General Physical Description Note (label: Physical Description)

Optional. In this note you can record information about the appearance or construction of the described materials, such as their dimension; a count of their quantity or statement about the space they occupy; or terms describing their genre, form, or function, as well as any other aspects of their appearance, such as color, substance, style, and technique or method of creation. You will most often use these statements for visual or media materials. See section of this manual on Media materials for more information. For example:

*Broken English Productions, Big words ... small worlds, undated*  
*Physical Description: videocassette (VHS PALS) (64 minutes)*

### 7.8.3 Language of Materials Note (label: Language(s) of Materials)

Optional. Only use if the file is predominantly comprised of foreign language or multilingual materials and file-level description is warranted.

### 7.8.4 Conditions Governing Access Note (label: Access)

Optional. If materials are restricted to the public, add a note describing the restriction. Include information as to the nature of the restriction as well as when or how researchers may gain access.

For example:

Audio and video recordings, 1994-1999

*Access:* Access to original audio and video cassettes is restricted; copies are made for researcher use.

Ethel M. Warner personal diaries, 1915-1954

*Access:* Access restricted until 2053 due to presence of medical records.

County Counsel, 1942-1962

*Scope and Content Note:* Includes material concerning Joel Ogle.

*Access:* Access restricted until 2009 due to presence of personnel records.

General materials, 1944-1963

*Access:* Access restricted until 2037 due to presence of student records.

***Important:*** In addition to noting restrictions, you may also check the “Internal Only” box below the instance area for all archival originals and duplicate masters if there are use copies available. When exporting the EAD for the finding aid, you can choose not to include “Internal Only” components, making the finding aid shorter for better readability.

### **7.8.5 Conditions Governing Use Note (label: Reproduction Restrictions)**

Optional. Use to alert researchers to restrictions on the reproduction of collection items imposed by the donor or repository. Indicate the stipulations of the restrictions in the note (e.g. written permission needed from a designated individual, restricted until a specified date, etc.).

### **7.8.6 Existence and Location of Originals Note (label: Existence and Location of Originals)**

Optional. Use if contents of a file are copies and the location of the originals is known. This note will most likely be used at the file-level. For example:

Originals are in the collections of the Houghton Library,  
Harvard University.

### **7.8.7 Existence and Location of Copies Note (label: Alternative Forms of Materials)**

Optional. Use if any material described at the file-level has been digitized, regardless of its online availability.

### **7.8.8 Biographical / Historical Note (label: Historical Note or Biographical Note)**

Optional. If you use a personal name or organizational name to describe material and if the

significance of that name may not be readily apparent to a researcher, you may wish to add a Biographical/Historical note to provide necessary contextual information that will help a researcher evaluate the relevance or interpret the materials. For example:

Khoa, Le Xuan: testimonies and papers, 1982-1995  
*Biographical Note:* Khoa was the founding executive director of SEARAC.

Amelia Burruel with children Rosita, Ernest and Paul, circa 1905  
*Biographical Note:* The Burruel family came to the Santa Ana area in the early 19th century. The area of settlement became known as Burruel Point (later Olive) where also the Burruel Point Milling Co. was located.

### **7.8.9 Scope and Contents Note (label: Scope and Content Note)**

Optional. When the title of a component does not fully convey the richness or significance of the content in which a researcher may be interested, add a note to further elucidate the scope and content of the materials being described if working at the file-level (traditional) or item-levels. A typical scope and content note may summarize the range and topical coverage of the materials, describe the form and arrangement of the materials, or name significant organizations, individuals, events, places, and subjects represented. Use the note to help a researcher gauge the potential relevance of the materials to their research and to add additional relevant keywords that a researcher may discover when searching a finding aid. For example:

Scrapbook, 1939-1940  
*Scope and Content Note:* Includes cards, handbills, fan letters, telegrams, programs, photographs (including Loring in William Saroyan's *The Beautiful People* on Broadway) and clippings of reviews and publicity. Dances include *Billy the Kid* and *The Great American Goof*.

Sampler for School of Visual Arts, video recorded material, circa 1975-1995  
1 videocassette (U-matic)  
*Scope and Content Note:* Includes works by Bob Snyder, Bob Roesler, John Manning, Janice Tanaka, Ric Horner, and Barbara Latham.

### **7.8.10 Processing Information Note (label: Processing Note)**

Optional. If you perform (or do not perform) an action on materials that researchers should know about, particularly because it may affect their interpretation of the materials, describe your impact on the materials. For example:

Chronological organizational materials, 1975-1977  
*Processing Note:* The original order of the binder has been retained.

## 7.9 Containers

### 7.9.1 Adding instances

An instance represents a physical instantiation of the conceptual information added in the Basic Description tab. It is used to indicate in which box/folder (or other container) the materials are housed.

When you click on "Add Instance" you will first be asked what type of instance. Choose "mixed materials" (unless describing audiovisual materials).

Your next screen will be an "Analog Instance" data-entry box. It should be filled out similar to the one below for any basic folder-level instance. Indicate the box the folder is located in, and the folder number, as indicated.

The screenshot shows a software window titled "at" with a close button. The window has two tabs: "Resources" and "Analog Instance". The "Analog Instance" tab is active. The form contains the following fields:

- Container 1 Type: Box (dropdown menu)
- Container 1 Indicator: 1 (text field)
- Container Barcode: (empty text field)
- Container 2 Type: Folder (dropdown menu)
- Container 2 Indicator: 12 (text field)
- Container 3 Type: (empty dropdown menu)
- Container 3 Indicator: (empty text field)
- Location: No location assigned

At the bottom of the window, there are navigation buttons: First, Previous, Next, Last, Cancel, OK, and + 1.

You can also enter a folder range. This is the preferred way to describe several consecutive folders that share the same description.

This close-up shows the following fields:

- Container 2 Type: Folder (dropdown menu)
- Container 2 Indicator: 7-9 (text field)

## 7.9.2 Intellectual versus physical order

The inventory should read according to the intellectual order of the collection, not the physical order. If, for example, you have intellectually related materials that are housed in letter size boxes and in over-sized containers, you should list them in the intellectual sequence you have established but note that they are housed in different locations. Use the same method to list material that is housed out of sequence because of format.

## 7.9.3 Containers for each lowest component

Every physical object that is explicitly described (e.g., folders of material, videocassettes, etc.) in the finding aid is considered an “instance” and should be accompanied by a box number, box/folder number, XOS folder number, or other designation to facilitate retrieval. Headings that do not correspond to a physical object are not considered instances and do not need container numbers.

## 7.9.4 Components that span multiple boxes

If material spans more than one box, use one instance to describe the contents of the box, repeating information as necessary. This will help us retrieve only the necessary boxes. In the following examples, the information on each line that includes box/folder numbers represents a single instance.

```
Correspondence, 1975-1990
  A-J   Box 1, Folder 1-48
  K-R   Box 2, Folder 1-56
  S-Z   Box 3, Folder 1-35

Grant proposals, 1975-2001
  1975-1986   Box 4, Folder 8-12
  1987-1998   Box 5, Folder 1-8
  1999-2001   Box 6, Folder 1-2
```

## 7.10 Revising a finding aid not originally created in the Archivists' Toolkit

There are two ways to revise any finding aid that has already been uploaded to the OAC: 1.) Making the revision directly in the EAD file, or 2.) making the revision in the Archivists' Toolkit Resource record and exporting the EAD. Following are the instructions for each of these methods.

### 7.10.1 Making the revision directly in the EAD file

If there are only a few edits to be made, it may be easiest to edit the version of the EAD file that has been uploaded to OAC and then upload that revised file. If you choose this method, ***you must manually make exactly the same changes in the corresponding AT Resource record***. Failure to do this will cause an inaccurate finding aid to be updated in the future. (Another alternative to making each correction is deleting the Resource record and re-uploading revised EAD into AT, thereby re-creating the Resource record. However, if you choose this option, you must first record which

accession records are linked to the Resource record so you can re-link them to the new Resource record, and then you must make all necessary changes to the Resource record in the Finding Aid Date fields).

### 7.10.2 Making the revision in the Resource record

If the finding aid was originally created in AT, this is a fairly straightforward process. Make the changes, then export the EAD, edit it, and upload it to the OAC. Also, export a new PDF finding aid for storage on the V: drive; only print substantially revised finding aids for the reading room. If the revision was the result of adding new materials to the collection, fill out the processing checklist so you won't forget any crucial steps such as updating the Stacks Locator and alerting the cataloger to update the MARC record.

When revising a finding aid that was not originally created using the Archivists' Toolkit, the entire resource record must be checked and edited before export. (The AT was implemented at UCI in mid-2009. If you are not sure if an EAD finding aid was originally created using the AT, look in the EAD file in the "All OAC finding aids" folder for an indication in the `<profiledesc>` tag that states, "This finding aid was produced using the Archivists' Toolkit...".)

Resource records for finding aids that were done previous to our implementation of the AT were created by importing the EAD finding aid into the AT, and the way a finding aid imported does not always conform to our standards as outlined in this instruction manual. It will not export according to our standards and must be edited. Following are aspects of the finding aid to check:

Some things to check at the collection level:

- Basic Description Tab
- Dates: Use Date Begin/Date End fields (optionally, use Bulk Begin/End dates)
- Notes Tab
- Add new processing information to Processing Information Note ("Processing History")
- Re-read and check all notes, and use drag-and-drop feature to put the notes in the correct order
- Finding Aid Data Tab
- Finding Aid Title and Finding Aid Filing Title: check
- Finding aid date: change to the current year
- Author: If you have made significant content changes to the finding aid, include your name along with the original author's name
- Description Rules: Describing Archives, a Content Standard
- Language of Finding Aid: Description is in `<language>English.</language>`
- Revision Date: Change to date last uploaded to OAC
- Revision Description: Uploaded to OAC.
- Finding Aid Status: Pick appropriate status

Some things to check at the series level:

- Add a Component unique identifier

Some things to check at the component level:

- Dates: Generally, use Date Begin/Date End fields. The only exceptions to this are:
  - In components where the Date Expression is “undated”
  - In components where there is no title other than dates. In this case it is acceptable for the dates to be in the title field instead of the Date Begin/Date End fields.
- Title: Encode titles within titles (use “wrap-in-tag” to facilitate)
- Instance labels -- check for consistency. Use separate box and folder labels. If the box-folder label was originally used, enlist a student to modify all the existing labels in the finding aid. This allows for greater readability on OAC and helps mitigate confusion in the reading room.
- Extents -- check for consistency. For example, if the finding aid uses extents to indicate multiple folders, either delete these extents or do the same thing when entering new components.

## 8 Restricted records

Access to the collections is controlled not only by the University’s access policy and donor agreements, but also by certain legislation affecting privacy. Furthermore, we may also choose to restrict fragile or media materials, and provide alternate use copies. Plan to house restricted material separately from non-restricted materials to facilitate access.

### 8.1 UCI and public records

UCI records are public records, but there are exceptions as spelled out in the California Public Code No. 6254. The following kinds of records you are likely to encounter are exempt from public disclosure: personnel records, grievance records, medical records, and student records. Remember, the policy applies to UCI records wherever they are found. A private donor cannot lengthen or shorten the restrictions.

### 8.2 Donor’s restrictions

Any restrictions the donor wishes to impose on private papers or records are spelled out in the gift agreement or other correspondence acting as a gift agreement. These can be found in the collections file. Also check other departmental policies regarding restrictions for more information.

### 8.3 Privacy and sunshine legislation

As a processor, you have the difficult task of considering both the right of the individual to privacy and the right of the scholar to know, even though these concepts are sometimes in conflict. An enormous amount has been written about privacy and disclosure laws, and there are both federal and state laws governing these areas. Among the most relevant laws are [California public and open records laws](#), [Family Education Rights and Privacy Act](#), and the [Health Insurance Portability and Accountability Act of 1996 \(HIPAA\)](#). There are other laws governing national security, patent information, case records, social security records, credit and other financial information, medical records, and personnel records. Even when you are not dealing with records governed by specific

legislation, you must be sensitive to the concerns of privacy and the opposing right to know. Remember, however, that with one exception privacy ends with death; privacy does not extend to heirs. HIPAA covers medical records retroactively and indefinitely—that is, privacy does not end with death, and applies to records generated before the law was enacted.

## 8.4 Fragile items or original media

When use of an item may cause irreparable harm to that item, you may choose to restrict that item, even if there are no confidentiality issues or donor-imposed restrictions.

Original media materials in collections should ALWAYS be restricted. This includes, but is not limited to, cassette tapes, reel-to-reel tapes, videotapes, films, CD-ROMs and DVDs.

If paper-based items are so fragile that use would hurt them, even with Mylar encapsulation, restrict the original materials and provide legible photocopies.

## 8.5 Common restricted records

There are a number of categories of records that should be restricted or flagged for review; these are listed below.

### 8.5.1 Student records

The Family Educational Records Privacy Act of 1974 (FERPA) governs access to student records to protect the privacy of students and their parents. FERPA defines a student record as any personally identifiable document that is maintained by the institution or educational agency or by a party acting for the institution or educational agency. Though FERPA does not specify the length of the restriction, access to student records is typically restricted for 75 years from the date of creation. Student records that might be found in unprocessed collections include narrative evaluations, recommendations, exams, papers, grades, student numbers, financial aid applications, class lists (original grade sheets), and graduation lists. Information of the sort printed in student directories is usually not restricted.

If the student has not restricted access to directory (or public) information **you may release the following:**

- Name
- Address
- Telephone number
- E-mail address
- Enrollment status
- Degrees & awards received
- Most recent previous school attended

**Do not release without written authorization:**

- Student number
- Grades/Exam Scores
- Grade Point Average
- Social Security Number
- Parent Address/Phone
- Detail of Registration Information (i.e., courses, times)
- Race, Ethnicity, or Nationality
- Gender
- Date of Birth
- Total Credits
- Number of Credits Enrolled in a Quarter
- Emergency Contact

### **8.5.2 Personnel records**

Personnel records may concern current or past employees of the University or an organization. They may include recommendations and reviews, tenure files, search records, records of disciplinary actions, grievances and proceedings, and job applications. Personnel records generally should be flagged for appraisal.

Appointment and termination dates, position titles, curriculum vitae, resumes, biographical statements, salary information, and routine correspondence with supervisors are not generally considered part of personnel record. These may be retained if essential.

Similar to personnel files are applicant files. All components of a formal application for employment at the UCI are exempt from restriction, including cover letters, CVs, resumes, references, etc. Most of these will be discarded or returned, including all those of candidates who did not offered a position; however applicant records may be retained for deans and higher level appointments.

### **8.5.3 Medical records and human subject records**

Includes any records that contain personally identifiable patient or research subject information. This material is restricted indefinitely. Flag it for review or separation.

### **8.5.4 Grievance files**

Grievance files may be found in university or manuscript collections. In university records, these should be restricted and flagged for possible return.

### **8.5.5 Trade secrets or patents**

Trade secrets or patents in university records should be restricted and probably returned to the donor.

## 8.5.6 Donor files

Donor files that concern endowments or gifts from individuals to the University of California, Irvine should be flagged for restriction and probably returned to the donor.

## 8.5.7 Third-party privacy

There are also other documents that may or may not be private and deserve careful scrutiny. These might include divorce papers, “crank” files, and items that may violate the privacy of a third person. Flag the material and discuss it with the Archivist so that you can arrive at a thoughtful and balanced access decision that weighs both the right to privacy and the right to know.

## 8.6 What do you do if you find restricted records?

### 8.6.1 Description

Note the restriction period (below) in the Conditions Governing Access Note (“Access”) in the finding aid. Provide the reason for the restriction and the date on which the material may be opened. Round up to the next year.

Student records = 75 years from the date of the creation  
Personnel records = 75 years from the date of the creation  
Medical records = 100 years from the date of the creation  
Fragile materials = Always restricted  
All others (imposed by donor or repository) = 25 years from the date of the creation

### 8.6.2 Handling and housing restricted material

Restricted materials should NEVER be housed in the same box as open materials. It is up to you to house the collection in a way that facilitates proper use at the reference desk.

When dealing with restricted material, determine the level at which you will apply the restriction. This should be consistent with the level at which you are processing a collection or series. For example, if you are arranging materials at the file-unit level, apply the restriction to an entire folder.

If you are working with materials at the folder or item level, remove the folder or item and add an internal-only Separation Note documenting the location of the restricted materials. If you restrict a folder or item because it is fragile, make a preservation photocopy to replace the fragile material. When you create the finding aid, note the restricted folder in its intellectual place, but note its different container number. Also add an access restriction note.

If there is enough restricted material to fill up a box or more, create a separate box. Write “RESTRICTED” in red on the label of the box. Also write “RESTRICTED” next to the box number in the Stacks Locator.

If there is not enough restricted material to fill up a box (e.g., there are only 1 or 2 folders), the

restricted material should be housed in a filing cabinet in LL 568. Filing cabinet drawers are numbered 568-H-1 through 568-H-4. Create a hanging file folder for the collection from which the materials have been separated. Label the hanging file with the collection number and arrange hanging files in order by collection number. Individual folders within each hanging file should be labeled with the collection number and the complete information found on the original folder from which it was removed. If there is an applicable accession number, note that as well. In the Stacks Locator, note the location of the restricted files in the cabinet as follows:

Student Affairs, Office of the Vice Chancellor	AS-045	accn2007-003A 011	BB10
Student Affairs, Office of the Vice Chancellor	AS-045	accn2007-003A Restricted Files	568-H-1

## 9 Appraisal and separation

Material may be removed from a collection for three reasons. First, published materials that would be better served in separate collections or locations within Special Collections should be relocated. Second, any records that are not deemed permanently valuable to either the collection or Special Collections should be discarded. Third, material may be more accessible and more appropriately cared for in Libraries or another repository.

### 9.1 Separation and destruction

As you process a collection, you may encounter records that should be separated or destroyed because they do not add value to the collection, are commonly available, or do not pertain to our collecting areas. Assuming that the collection is processed to the level that permits identification of material that should be removed, consider the following:

1. What are we trying to document? Do the records support that goal?
2. Does the material provide necessary context for understanding the activities of the creator?
3. Do the records have research potential, i.e. informational, administrative, or historical value? For what sorts of projects are they likely to be used?
4. Would the material be better placed in another collection? At another institution? Is another other institution responsible for preserving the material?
5. Are the records legible?
6. Does the research value of the collection merit the time required to make decisions on whether to retain material within the collection?
7. Do summary records (e.g. annual reports) provide adequate documentation, or are more detailed records (e.g. weekly reports) necessary?
8. Is the volume of the collection commensurate with its research potential? Or does this collection take up more space than it is worth?
9. Is there material that presents preservation problems either to itself or to surrounding material? Have problems (e.g. mold) irreparably damaged the material?
10. Is information in the collection readily available elsewhere? If yes, does the difficulty of

locating it in published form or another repository mean that it would still be preferable to retain it in the collection at hand?

Remember to practice appraisal at a level commensurate with the level of processing. You may make appraisal decisions on your own for commonly discarded records, as described below; however, if there are other materials that you think should be separated, based on the questions above, flag them and discuss them with the Archivist.

### **9.1.1 Commonly discarded records**

Duplicates,<sup>7</sup> invoices, bank statements, check stubs, receipts, payroll records, weekly/daily financial records,<sup>8</sup> widely available publications (or portions thereof), telephone messages, routing slips and transmittal sheets, tickler files, catalogs and publications received from organizations or locales we are not attempting to document, equipment and supplies records, irrelevant clippings, certain reference/informational files.

Disposition of material must be carried out in accordance with gift agreements or University policy. Never throw away non-routine material without approval. Document any separations in the Disposition Note of the associated accession record(s). If the separated material is available elsewhere, include a Separation Note in the finding aid at the collection-level. If material must be returned, keep it as orderly as possible, and draft a memo explaining the separations. Place the memo in the electronic and physical collection files.

### **9.1.2 Relocation of publications**

Often individuals and organizations collect printed materials that do not have a tight contextual relationship to the archival materials they have created. For example, a labor activist may have collected a number of pamphlets and periodicals about feminism in the United States. Such material may get more use if separated from the archival collection and cataloged individually for Special Collections.

Most books should be removed from collections and given to the SCA Head. Look them up in ANTPAC and/or OCLC and print out corresponding bibliographic records. Books that include notes or ephemera related to the source of the collection should be incorporated into the collection instead of being removed.

If you encounter pamphlets that are only loosely related to materials in the archival collection, and if you can remove them from the collection without the collection suffering greatly from the lack of contextual information that the pamphlets may provide, remove them and give them to the SCA Head for consideration for SC's printed collections. Look up the items in ANTPAC and/or OCLC and print out the bibliographic records.

If you encounter serials in a collection, also consider the contextual value they add to the collection or if they would more likely be used if separated out and cataloged individually. If the serials are

---

<sup>7</sup> For brochures, fliers, and other items meant for distribution, it is acceptable to keep 2-3 copies.

<sup>8</sup> If no other financial summaries are available, you should keep this documentation.

available at UCI or are widely available in the area, they can be discarded or returned to the donor. If the collection only contains scattered issues of a serial, consider leaving the serial in the collection.

Any publications separated from a collection should be noted in a Separation Note in the finding aid and in the Disposition Note of the associated accession record(s). Any significant publication or substantial run of a serial that remain in an archival collection should be highlighted in the index terms for uniform titles.

## 10 Completing the Finding Aid

### 10.1 EAD file generation and file management

In the Finding Aid Data tab of the resource record, add the following information:

1. Revision Date: today's date
2. Revision Description: "Uploaded to OAC" if uploaded for the first time. For subsequent revisions, write "Revised and uploaded to OAC." Include your initials.
3. Finding Aid Date: make sure © date is current year.

To generate an XML EAD file, click on the Export EAD button at the bottom of the resource record in AT. Save the EAD files to ms-as collections\All OAC finding aids, and **check "number component levels."** Note: this folder is for the most current version of any OAC finding aid and also includes finding aids created before we started using AT. File naming should include zero filing and follow the format x000, such as f007 for MS-F007.

#### 10.1.1 Converting AT EAD output to valid OAC finding aids

Note: In order to create finding aids that are valid and will validate in the OAC, you should familiarize yourself with the [OAC Best Practice Guidelines for EAD \(OAC BPG EAD\)](#).

Before uploading the EAD file to the OAC, open the EAD file in an XML editor such as jEdit and do the following:

- *Make sure you have checked "number component levels"* when exporting the EAD from Archivists' Toolkit. If you are not sure whether you have done so, re-export the EAD file.
- Capitalize "Creator" in <origination label> like this:  

```
<origination label="Creator">
```
- If doing a single-level finding aid with no list of contents, remove the <dsc/> tag. (For standard finding aids with lists of contents, the VoroEAD stylesheet will encode as <dsc type="combined">. This is correct for the vast majority of our finding aids that include lists of contents).
- If linking to digital objects available through UCIspace, you will need to add the following

custom encoding to the exported EAD file in jEdit. Insert the text between the “Abstract” and “Creator” elements. The # placeholders refer to the permanent URL link for the collection in UCIspace. Include appropriate introductory text in the <p> tag. Because of the diverse nature of digital materials in collections, wording of the text is left to the discretion of the processor; examples are in square brackets below:

```
<dao ns2:role="http://oac.cdlib.org/arcrole/link/search"
      ns2:href="http://ucispace.lib.uci.edu/handle/#####/#####"
      ns2:title="Online items available">
  <daodesc>
    <p>[e.g., The born digital files are available online; Digital
contents are available online; Select items are available online].</p>
  </daodesc>
</dao>
```

## 10.1.2 Steps for Uploading the file to OAC

Always test and preview the finding aid before uploading the final version. If there are warnings or recommendations that you are unsure about, notify the Archivist.<sup>9</sup>

### 10.1.2.1 Upload test files

1. Establish a WebDAV connection using NetDrive.
  - Open NetDrive from the Specialized Apps folder on your computer, located at: C:\Users\Public\Desktop\UCI Libraries\Specialized Apps
  - Enter your voroEAD username and password for authentication.
  - Open the appropriate TEST connection under the Test Sites directory.
2. Open V:\ms-as\_collections\All OAC finding aids
3. Drag file from directory and drop into the WebDAV TEST connection folder.

### 10.1.2.2 View test files

- Go to <https://dsc.cdlib.org/admin/> and log in with your voroEAD username and password.
- Select the voroEAD testing directory for the collection you’ve processed.
- Select finding aid and submit query.
- The next page will show any failures (or errors), warnings, or recommendations for changes to be made to the finding aid. Only failures and errors will cause a finding aid to be rejected from OAC. Errors or failures usually mean that the EAD file is not valid.
- At the bottom of this page, select “preview” to preview the OAC view.

### 10.1.2.3 Upload the final file to OAC

1. Establish a WebDAV connection using NetDrive.
  - Open NetDrive from the Specialized Apps folder on your computer, located at: C:\Users\Public\Desktop\UCI Libraries\Specialized Apps

---

<sup>9</sup> More information about the OAC testing and production environment is available at <http://www.cdlib.org/inside/projects/oac/ingest/>.

- Enter your voroEAD username and password for authentication.
  - Open the appropriate FINAL connection under the Production Sites directory.
2. Open V:\ms-as\_collections\All OAC finding aids
  3. Drag file from directory and drop into the WebDAV FINAL connection folder.

#### 10.1.2.4 Submit production files

- Go to <https://dsc.cdlib.org/admin/> and login with your voroEAD username and password.
- Select the voroEAD production directory for the collection you've processed.
- Select finding aid and submit query.
- You will receive an email to let you know if the finding aid was accepted or rejected. The email will also give you a link to a page describing any failures, warnings or recommendations.
- Generally, finding aids are posted to the OAC the following day.

#### 10.1.2.5 Finalizing MARC, PDF, and printed finding aid

1. After checking finding aids posted to the OAC, copy and paste the permanent URL (next to the infinity symbol, ∞, on the OAC finding aid) into the EAD FA Location field in the Finding Aid Data tab of the resource record.
2. Contact the Cataloger, who will create or update the collection-level MARC record in ANTPAC. The Cataloger will also update the cataloging status in the accession record.
3. Use the "Report" button in Archivists' Toolkit to export a PDF version of the finding aid. Save to V:\ms-as\_collections\Finding Aid Pdfs. You may also choose to download the PDF generated by OAC, which is often easier to read. Print new or substantially revised finding aids and file them in the reading room.
4. When the Cataloger confirms that the MARC is complete, email Special Collections and Archives ([libsca@uci.edu](mailto:libsca@uci.edu)) and copy the Library Bibliographers/Reference Staff list ([libbibref@uci.edu](mailto:libbibref@uci.edu)) with a link to the OAC finding aid and ANTPAC record.

## 11 Completing processing

### 11.1 Shelving the collection

#### 11.1.1 Labeling boxes

Processed collection boxes should have the following information:

- Repository name ("The UC Irvine Libraries, Special Collections and Archives")
- Collection title ("Jacques Derrida Papers")
- Collection number ("MS-C001")
- Box number ("Box 1")
- Restriction note, if all contents in box are restricted ("RESTRICTED")
- If a collection will be going to SRLF, the label should also say "CIRC STATUS=N."

There are box label and folder label templates on V:\ms-as\_documentation\Archival Technical Services\_forms and labels\Labels.

Shelve boxes in next available shelving space in MS stacks ranges where other collection boxes are stored. Add box location labels to all boxes. Box location labels are generally 1 x 4.25" labels, cut down from box labels. Write box location code on box location label. Format the location code in the following manner: [Shelving range, alpha-numeric]-[Column, alphabetical]-[Shelf, numeric].

Example:

S14-B-4

#### 11.1.1.1 Oversize folders in miscellaneous flat boxes or map cases

Sometimes, you may have just one or two oversize folders that don't need a box of their own. You can add these folders to miscellaneous boxes that house items from multiple collections or to the map cases. You can use an already existing box or a drawer with materials already in it, or you can start a new one. Make sure to identify the folders completely so the contents do not get mixed in with other collections.

##### 11.1.1.1.1 Map Cases

XOS folders from processed collections should have the following information:

- Collection title ("Jacques Derrida Papers")
- Collection number ("MS-C001")
- XOS folder number ("XOS 1")
- Restriction note, if all contents in folder are restricted ("Restricted")

Shelve XOS materials in XOS folder number order.

Identify a map case drawer that will hold the materials.

In the locator, you will note the oversized folder number as the "Box number" and the map case and drawer numbers in the "Location." For example:

Collection Title	Collection Num	Box Num	location
Central Records Unit records	AS-004	XOS 01	MC4-01

In the finding aid, the container type will be "folder" and the container identifier will be "XOS #" (example: Folder XOS 1). Don't use the map case number.

##### 11.1.1.1.2 Flat boxes

- Using the locator, search for "Flat Boxes" in the collection title.

- Identify the last box, and check to see if there is more room in the box. If so, you can add the folder to this box. If not, you will need to create a new flat box.
- Label the folder with the following:
  - Collection title ("Jacques Derrida Papers")
  - Collection number ("MS-C001")
  - The flat box number and folder number. Number the folders in the flat box sequentially. ("FB 13: 7")
  - If applicable, the restriction ("RESTRICTED")
- Update the collection information in the Locator. For example:

Collection Title	Collection Num	Box Num	location
Don Meadows papers	MS-R001	FB-009 : 1-6	See Flat boxes (FB-)
Dennis E. Carpenter papers	MS-R004	FB-026 : 1-2	See Flat boxes (FB-)

If you are creating a new flat box, do the following:

- Create a label with the following information, using the box label template for document and record storage boxes (in V:\ms-as\_documentation\Archival Technical Services\_forms and labels\Labels). Use a foil-backed acid-free label for flat boxes.
- Repository name ("The UC Irvine Libraries, Special Collections and Archives")
- Box heading "Flat box"
- Box number "FB-##". Check the Locator to assign the next sequential number.
- Restriction note, if all contents in box are restricted ("Restricted")
- Write the box location code on a box location label, and apply it to the box. Format the location code in the following manner: [Shelving range, alpha-numeric]-[Column, alphabetical]-[Shelf, numeric]. Example:  
S21-B-4
- Add the new flat box to the Locator. See Section Updating the Locator for instructions. For example:

Collection Title	Collection Num	Box Num	location
FLAT BOXES	Flat boxes (FB-)	FB-001	S13-A-1

### 11.1.2 Updating the Locator

Complete instructions are available here: V:\ms-as\_documentation\Archival Technical Services\_policies and procedures\Stacks Database - Modify Collections.

Log on to the Special Collections and Archives Stacks Locator at

<http://staff.lib.uci.edu/apps/locator/index.php>.

- To add a new collection or an addition to a pre-existing collection, select “Edit Stacks.”
- For a new collection, select “Add New Collection.” Enter information into the required fields: Collection Title, Collection Number, Box Number.
- If this is a new accession, enter box numbers as accnYYYYXXX 001, etc.
- Select the location of the box from the drop-down list. If the location must be added, see number 5.
- To add another box to a collection, select “Add to a Collection.”
  - Enter the collection number and submit
  - Enter the box number
  - Choose location and select “Add.”
- To change box numbers, locations, rename a collection, or delete materials, select “Modify Collection.”
  - Enter the collection number and submit.
  - Select box to modify from the drop-down list or select the “Here” link to modify the entire collection.
  - Enter changes and select “Make the Change.”
  - If entering processed collection boxes, format the number in three digits (with interfiling zeros, if necessary). Examples:

001 (used for a box numbered "Box 1")

XOS 1 (used for a XOS folder numbered "XOS 1")

Restricted 001 (used for a restricted box numbered "Box 1")

Restricted XOS 1 (used for a restricted XOS folder numbered "XOS 1")

accn2002-002 XOS 1 (used for materials stored in a XOS folder numbered "XOS 1" of Accession 2002-002)

- To add a location to the database, select “Add New Location.”
  - Insert location name into box and select “Add the Location.”
  - Format the box location in the following manner:  
[Shelving range or Map Case, alpha-numeric]-[Column, alphabetical]-[Shelf, numeric]  
Example:

S14-B-4 (used for a box located on Shelving range S14 on the second column on the fourth shelf of that column)

MC1-4 (used for a XOS folder stored in Map Case 1, in the fourth drawer)

Summary of examples:

	Collection Title	Collection Num	Box Num	location
Box in processed collection	Jacques Derrida papers	MS-C001	150	S03-C-4
Box in an accession	Jacques Derrida papers	MS-C001	accn2002-018001	S07-D-1
Oversized folder in map case	Central Records Unit records	AS-004	XOS 01	MC4-01
One folder shelved in the MS-S box	Sarah Sandford commonplace book of poetry	MS-S025	1 folder	See MS-S boxes
Audio cassettes in the AV boxes	Murray Krieger papers	MS-C002	AV-002	See audiovisual boxes (AV-)
3 folders shelves in a flat box	Jacques Derrida papers	MS-C001	FB-001 : 3-5	See Flat boxes (FB-)

## 11.2 Checking the Processing Checklist

Use the processing checklist to make sure you have not forgotten any step in the processing workflow. Save copies in the electronic and paper collection files. See Appendix H.

## 12 Appendices

### 12.1 Appendix A: Sources used in this manual

*Describing Archives: A Content Standard (DACs)* (2<sup>nd</sup> Edition, Society of American Archivists, 2013)

*Guidelines for Efficient Archival Processing in the University of California Libraries* (2012)

*Anglo-American Cataloging Rules* (2<sup>nd</sup> Revised Edition)

*Archival Moving Image Materials: A Cataloging Manual* (2<sup>nd</sup> Edition)

*Graphic Materials* (1982)

UCI Special Collections and Archives documentation

University of Washington Libraries, *EAD Encoding Manual*

University of Washington Libraries, *Manual for Accessioning, Arrangement and Description of Manuscripts and Archives* (2<sup>nd</sup> Edition, 1982)

[Northwest Digital Archives Best Practice Guidelines](#)

Processing Manual for the Northeastern University Archives and Special Collections  
[Processing Manual for the Beinecke Rare Book and Manuscript Library, Yale University](#)  
 Processing Manual for the Institute of Archives and Social Collections, M.I.T. Libraries  
[Processing Manual for the University of Texas at Arlington Special Collections, 2001](#)  
 Archives Association of British Columbia, [A Manual for Small Archives](#), 1999  
 Online Archive of California, [Best Practice Guidelines for Encoded Archival Description](#), 2005  
 Richard Pearce-Moses, [A Glossary of Archival and Records Terminology](#) (Society of American Archivists, 2005)  
 Kathleen Roe, *Arranging & Describing Archives & Manuscripts* (Society of American Archivists, 2005)  
 Mark A. Greene and Dennis Meissner, "More Product, Less Process: Revamping Traditional Archival Processing" 68:2 (Fall/Winter 2005) *American Archivist*  
 Frederic Miller, *Arranging and Describing Archives and Manuscripts* (Society of American Archivists, 1990).  
 Bruce Stark, *A Guide for Processing Manuscript Collections* (Connecticut State Library, 2001)  
*Keeping Archives*. Ed. by Judith Ellis (Australian Society of Archivists, 1993)  
 Michael J. Fox and Peter L. Wilkerson, *Introduction to Archival Organization and Description: Access to Cultural Heritage* (Getty Research Institute, 1998)  
 Northeast Document Conservation Center, [Care of Photographs, Technical Leaflet](#), 1999  
 Northeast Document Conservation Center, [Storage Methods and Handling Practices, Technical Leaflet](#), 1999  
 Association of Moving Image Archivists, [Guidelines, Manuals, and Fact Sheets](#)

## 12.2 Appendix B: Measuring collections

Extent statements are based on the following assumptions:

- Document and record storage boxes will not be stacked on top of each other
- Flat boxes and other kinds of boxes that can be stacked two high and accommodated on a shelf will be stacked two boxes high

### 12.2.1 Document and record storage boxes

There are five boxes that we use that fall into the document and record storage box category. Use the following standardized linear feet calculations for these:

Standard record storage box	1.0 linear feet
Letter-size document box	0.4 linear feet
Half-width letter-size document box	0.2 linear feet
Legal-size document box	0.4 linear feet
Half-width legal-size document box	0.2 linear feet

### 12.2.2 Flat boxes and other non-vertical-file storage boxes

Use these figures for flat boxes and other boxes. Again, shelve these boxes on top of each other. If both sides of a box are less than or equal to 15" (the depth of our shelving), shelve the box with the

shortest side face out and use this side to calculate linear footage. If one or both sides of a box are longer than 15", shelve the box with the longest side face out and use this side to calculate linear footage.

0" – 5"	0.2 linear feet
6" – 10"	0.4 linear feet
11" – 15"	0.6 linear feet
16" – 20"	0.8 linear feet
21" – 25"	1.0 linear feet
26" – 29"	1.2 linear feet

Anything over 29" long probably shouldn't be in a box!

### 12.2.3 XOS and OS folders

Use these figures for XOS and OS folders in flat boxes. The XOS figure is based on the following rationale:

- Special Collections and Archives map case drawers are 51" wide (which corresponds to the shelf front space that linear feet is measuring)
- A map case drawer can hold approximately 15 XOS folders filled with material
- A 51" run of space corresponds to 4.2 linear feet
- That linear footage divided by 15 (XOS folders) corresponds to 0.3 linear feet (actually 0.28)

All XOS folders should be calculated using the following figure, regardless of their actual width, since they take up one of the 15 available "slots" in each map case drawer. The OS folder figure is derived from 24 folders within two flat boxes measuring 5" face out, stacked on top of each other:

XOS folder	0.3 linear feet
FB folder	0.1 linear feet

### 12.2.4 Formula for non-archival boxes:

[number of inches] x 0.083

Round result to the nearest tenth:

Example: 4.21 to 4.24 rounds to 4.2

If boxes are stacked, divide result of above by number of boxes in stack

Example: new accession comes in oddly sized boxes that take up 30 inches of shelf frontage; they are stacked 4 high 30 inches X 0.083 = 2.49 rounds to 2.5

2.5 divide by 4 = 0.625 rounds to 0.6

Each of the oddly sized boxes is calculated to have a linear footage of 0.6

### 12.2.5 Legacy A/V boxes

The use of designated A/V boxes for audiovisual materials has been superseded. The measurements below are intended to serve as a reference. Many collections in SCA have audiovisual materials stored in these boxes, and thus have extents dependent on these measurements.

### **12.2.5.1 Audio cassettes in A/V audio box**

< or = 9 Don't add to total linear feet count for collection  
10 – 19 = 0.1  
20 – 29 = 0.2  
30 – 39 = 0.3  
40 + = Don't use generic A/V box; add entire box to collection instead

### **12.2.5.2 Video cassettes in A/V video box**

< or = 2 Don't add to total linear feet count for collection  
3 – 5 = 0.1  
6 – 8 = 0.2  
9 – 11 = 0.3  
12 + = Don't use generic A/V box; add entire box to collection instead

## **12.3 Appendix C: Processing University Archives Publication Series**

### **12.3.1 Introduction**

A University Archives Publications Series (PS) consolidate many publications created by a university unit. Some publications from university units will be cataloged in ANTPAC and shelved individually, while other publications will remain in Archival Series because they are best understood within the context of other records. However, many publications from university units may stand on their own, largely because we have received them independently from the unit's administrative records.

Define a PS at an appropriate level of granularity. In general, define PS for those university units that create publications and have an independent identity within the scope of activities of the university. At the highest level, consider whether the Record Group (RG) is the best level at which to designate a PS, or if the RG needs to be refined further in order to provide logical and efficient access to an unit's publications. Note that a PS for a university unit may contain publications for its subunits. If the subunits don't produce many publications or if the subunits don't have an independent identity within the scope of activities at UCI, then it is most appropriate to keep the publications of the subunits as part of the PS of their parent. However, if a university unit, such as that defined by an RG, comprises diverse, independent subunits with distinct identities, a number of PS should be created for each. Also consider the volume when determining whether to create a PS at a higher or lower administrative level; if a unit has created more than .4 linear feet of material, it may warrant a separate Publications Series. For example, for the School of Arts (RG ARTS), PS were created for the School of Arts as a whole as well as for the Dance Department and the Drama Department, largely because each of these subunits create so many publications for performances. For the Paul Merage School of Business (RG GSM), there is one PS for the entire school, including its departments.

### **12.3.2 Gathering publications**

Locate all the publications created by the university unit and its subunits. Determine which ones will become part of the PS. Conduct research into the organizational structure of the unit. Also research any other names the unit or its subunits have used. Title the PS and any series with the name used by the unit or subunit at the time of the most recent material in the collection.

Remove publications from these sources in order to create the PS:

- Topical vertical files
- ROX
- Serial and miscellaneous serial vertical files

Consider whether to remove publications from the AS, if the publications are not an integral part of the collection or are not necessary to provide context to other materials in the AS.

Identify materials that are separately cataloged in ANTPAC. Incorporate them intellectually into the finding aid. In the container column, write the call number of the publication. (Do not link to individual records in ANTPAC.) In the "Arrangement" note of the finding aid, write, "Some titles are shelved separately in Special Collections and Archives and described individually in UCI's online catalog ANTPAC." Link the word "ANTPAC" to ANTPAC's home page and encode it to open in a new window.

### 12.3.3 Arrangement and description

Always use the name used by the unit or subunit at the time of its most recent material in the collection. Explain the use or existence of other names in a historical note.

Record the beginning and ending dates of all publications.

There are two ways in which to organize a PS. If the PS only includes records from the university unit, and not from any subunit, then the publications will be organized by genre, according to the thesaurus below. For any serials with consistent titles, also include the titles of the serials. If the PS includes records from a subunit, create a series for "General Publications" and also for each of the subunits. Most publications will fall into this General Publications series. Only put publications in a series for a subunit if the publications are truly only relevant to the subunit. Within each of these series, the publications should be organized by genre. For example:

Many PS will only consist of general publications and do not require series:

PS-XXX, Department of Cardboard Publications

General publications

Brochures	1964-1993
Invitations	1982-1985
Newsletters	
The Cardboard Billboard	1973-1980
Cardboard Weekly	1980-1999

Some PS will be arranged in series. General publications are sub-divided by genre, and further divided by title if appropriate.

PS-XXX, Department of Cardboard Publications

Series 1. General publications

Brochures	1964-1993
Invitations	1982-1985
Newsletters	
The Cardboard Billboard	1973-1980
Cardboard Weekly	1980-ongoing

Series 2. Center for Cardboard Analysis

*Historical Note:* Formerly the Cardboard Institute.

Brochures	1985-1990
Programs	1986-1991

### 12.3.4 Genre thesaurus

Publications can fairly reliably be categorized into a small number of genres. These genres should be easily understood by a researcher without access to the thesaurus, so definitions will not be overly specific.

**Advertisements:** See brochures.

**Announcements:** Printed or published statements or notices that inform the reader of an event or other news.

BT: ephemera

UF: press releases

**Annual reports:** Documentation summarizing the activities of an organization over the course of a year.

BT: reports

**Broadsides:** See posters.

**Brochures:** Small printed works describing the features or amenities of a place, an organization, or other concern, generally intended as advertisement. Usually only a few leaves with a stitched or stapled binding.

BT: ephemera

UF: advertisements

UF: pamphlets

**Bulletins:** See newsletters.

**Calendars:** See schedules.

**Catalogs:** 1. A collection of systematically arranged descriptions of materials. – 2. A listing of items

with descriptions. – 3. A publication produced in conjunction with an exhibit that lists the materials exhibited and that may have text that relates to the subject of the exhibit.

**Course announcements:** Lists and descriptions of courses offered.

**Directories:** A list of personal or corporate names with information on how to contact them, such as an address, phone number, or email address.

RT: yearbooks

**Ephemera:** Materials, usually printed documents, created for a specific, limited purpose, and generally designed to be discarded after use. Examples of ephemera include advertisements, tickets, brochures, and receipts.

NT: announcements

NT: brochures

NT: fliers

NT: invitations

NT: posters

NT: programs

**Fliers:** Printed pieces announcing an event intended for distribution by hand or by mail. For those intended for posting, use posters.

BT: ephemera

UF: handbills

RT: posters

**Handbills:** See fliers.

**Handbooks:** See manuals.

**Invitations:** Engraved, printed, or written expressions soliciting or requesting a person's company at a certain time and place.

BT: ephemera

**Magazines:** Periodicals containing articles, essays, poems, or other writings by different authors, usually on a variety of topics and intended for a general reading public or treating a particular area of interest for a popular audience.

**Manuals:** Books, usually of compact size, containing concise information, often rules or instructions needed to perform tasks or processes.

UF: handbooks

**Maps:** Representations of the Earth's surface or a part of it, including physical features and/or political boundaries, where each point corresponds to a geographical or celestial position.

**Newsletters:** Periodic reports on the activities of a business or organization intended for an internal or external audience. Newsletters typically are formatted as a series of articles or short announcements.

UF: bulletins

**Newspapers:** Papers that are printed and distributed daily, weekly, or at some other regular and usually short intervals and which contain news, editorials and opinions, features, advertising, and other matter considered of general interest.

**Organizational charts:** Diagrams of the administrative and functional structure of an organization.

**Pamphlets:** See brochures.

**Posters:** A single sheet with information printed on one side that is intended to be posted, publicly distributed, or sold.

BT: ephemera

UF: broadside

**Press releases:** See announcements.

**Programs:** A brochure or leaflet describing a musical, theatrical, or other performance. Often includes lists of the features composing a dramatic or other performance, with the names of participants.

BT: ephemera

RT: brochures

**Proposals:** plans or schemes put forward for consideration, discussion, or adoption.

RT: reports

**Reports:** Documents containing presentations of facts or the record of some proceeding, investigation, or event.

NT: annual reports

RT: proposals

**Schedules:** Plans of procedure, showing the sequence of items or operations and the time allotted for each. For a list of courses with dates, times and descriptions, use course announcements.

UF: calendars

RT: course announcements

**Technical reports:** Reports giving details and results of a specific investigation of a scientific or technical problem

UF: working papers

**Working papers:** See technical reports.

**Yearbooks:** Books published annually as a report of the school year, generally including photographs of students and events. Use directories for picture books of students published at the beginning of the year to help students identify their classmates.

RT: directories

## 12.4 Appendix D: Creating folder labels

Every folder in a processed collection needs to have the collection number and the collection title on the folder in the far left corner. If there are series and/or subseries, these also should be on the folder below the collection number and collection title. Computer-generated labels are used to capture this information.

After the labels are affixed, your folders should look like this:

MS-C001 Jacques Derrida papers Series 2. Teaching and seminars	"La Philosophie de l'histoire," 1959-1960	4 : 11
---	---	--------

MS-SEA032 Anne Frank Photographs of Southeast Asian American Communities	Little Saigon community in Garden Grove and Westminster, California, 1998-2004	1 : 1
--	---	-------

The labels are expensive, so make sure the series titles have been approved before you print and apply the labels. Try not to print more labels than necessary.

To create the labels, open the file: V:\ms-as\_documentation\Archival Technical Services\_forms and labels\Labels\FolderLabelTemplate.docx.

- Save the labels as a new document following this pattern: XS-X###Series#FolderLabels.doc. They should be saved in the collection's electronic file.
- Fill in the collection title and number and any series titles and numbers. Repeat for each series, or modify by copying and pasting.
- Use the foil-backed label sheets containing 30 labels.
- When you are ready to print, open the Printer Properties. Select "Manual Feed in Tray 1" from the drop-down menu under the heading "Source is:" and "Labels" under the heading "Type is:". Open the tray on the printer and place the labels on it face up.
- Print and apply the labels to the upper left corner of folders.

## 12.5 Appendix E: Intensive – Highly Intensive Processing Guidelines

The following are legacy instructions that were originally standard procedures for all SCA processing projects. With the 2013-2014 implementation of efficient processing techniques as outlined in the *UC Guidelines*, these procedures are now considered appropriate for work performed at the intensive or highly intensive level. These should be applied judiciously to collections or additions with value scores in the 16 – 18 or 19 – 20 ranges.

## 12.5.1 Preservation

### 12.5.1.1 Photographic Materials

#### Prints

Most photographs may be stored in a clear plastic (uncoated polyester, polypropylene, or polyethylene) sleeve, unless glued tightly into a photo album. Note that many plastic sleeves are not archival; they may contain coatings to prevent the plastic from sticking together that can then transfer to the photograph or attract dust. When in doubt, replace the existing housing for photographs with archivally safe plastics.

If the emulsion of the photograph is lifting off or is flaking, use a four-flap paper enclosure; the static electricity from plastic enclosures may only exacerbate the problem.

In most cases, if photographs or prints are framed, remove and discard the frames before housing the item. Only keep items in their original frame if the frame has special significance or the item would be damaged during the process of removing it from the frame.

In storing photographs, aim to minimize curling. Store photographs in folders, and do not put more than 10 sleeves in one folder. You may store photographs vertically or horizontally.

Prints 11 by 14 inches can generally be stored upright, resting on their longest edge, in document cases. However, if a photograph is damaged or oversized, horizontal storage, either in a flat box or case, is best.

Daguerreotypes or ambrotypes often come in a case. These should be placed in a small box (such as a microfilm box), with buffered tissue in the box to provide cushion.

#### Negatives

If there are negatives without corresponding prints, a contact sheet or prints should be made, if the resources are available.

Prints and negatives should not be in contact with each other in the same enclosure.

Post-1950 negatives may be stored in either a clear plastic (uncoated polyester, polypropylene, or polyethylene) sleeve or a buffered paper envelope. If the envelope incorporates a glue seam, the gelatin emulsion on the negative should be placed away from the seam. Pre-1950 negatives should be stored in buffered paper envelopes, in case the negatives are nitrate or an early form of acetate.

Negatives generally should be stored separately from prints. If there are a great number of negatives in a collection, create a separate box for the negatives. If there are only a few negatives, the negatives may be added to the departmental collection negative boxes, FRAGILE BOX 2 and FRAGILE BOX 3. The FRAGILE BOXES may be found in the Stacks Locator. Identify the collection number on the sleeve and file the sleeves in order by collection number. Add a processing note in the part of the finding aid associated with the original prints to record in which box the negatives have been stored.

If the visual materials have an extremely high research value, it may be desirable to match up the print with the negative intellectually with identification codes. The numbering of collection negatives will differ depending on the circumstances surrounding each collection. Negative numbering schemes must be logical, should be based on numbering elements that exist within the intellectual arrangement of the collection if possible, and must in all cases insure that each negative has a unique identifying number. The identifying number should always begin with the manuscript collection number assigned to the collection. For example,

negative numbers for negatives in the Edward W. Cochems Photographs will all begin with MS-R16, the collection number for Cochems. In this collection, each image is assigned a collective number, which will be used to complete the negative number, e.g., MS-R16-215, MS-R16-749. Use a Light Impressions film/print marking pen (no. 2631) to write the number on the collection negatives, and write the collection negative number on the back of the photographic print or photocopy (in pencil) with which it is associated. Make sure the photograph is fully supported on a clean, flat surface, so that you don't indent the image. Negatives are not generally restricted from researcher use as a matter of course. Restrictions should only be placed on fragile items.

### **Glass plates and tintypes**

If there are only a few tintypes or glass plates in a collection, they can be stored in the departmental FRAGILE BOX 3 or 4. Sleeve the materials in polypropylene sleeve that has a space for a metal hanging rod on top. Clearly mark on the sleeve from what collection the items come. Hang the sleeve in one of the fragile boxes and note the box number in the finding aid (e.g., FRAG-4). The FRAGILE boxes can be found in the Stacks Locator under the Collection Title "FRAGILE BOXES" and the Collection Number "Fragile boxes (FRAG-)."

If there is a significant number of glass plates in a collection, they can remain with the collection. They should be individually sleeved in paper enclosures (four-flap enclosures are best), stored vertically on their long edges, and stored by themselves in a well-padded box that is clearly labeled "FRAGILE." Use smaller boxes to reduce weight. Pack the negatives so that they don't bang against each other and potentially break.

If the glass plates come in a specially designed baked enamel metal box, use the existing housing and mark the box "fragile" or "glass."

Glass plate negatives are restricted; researchers may request viewing copies on-demand.

### **Slides**

Slides can be stored in bulk in the polypropylene boxes returned by Kodak (until 1986) after processing; baked enamel storage boxes and cabinets; and polystyrene carousel trays and cubes.

Slides can also be sleeved individually and stored flat in polyethylene or polypropylene pages.

#### **12.5.1.2 Paper-Based Materials**

**Mold!** If you suspect the item has mold, it should be immediately isolated, treated, or discarded to prevent the mold from spreading to other items. In most cases, you should make a photocopy on acid-free paper and discard the original (in a receptacle away from other collection material). If the item has significant artifactual value, we may consult Preservation for treatment options.

**Opening letters / Unfolding and flattening documents.** Unfold papers and smooth out wrinkles and creases. Take letters out of envelopes. For personal papers, use a plastiklip to attach the envelope behind the letter. (The average envelope in an organizational collection may be discarded; however, if the envelope seems significant or is older than 1930, save it too. ) When documents or photographs are so firmly rolled or folded that they cannot readily be laid flat, placing them under weighted boards for a day or two will sometimes flatten them. If the document begins to crack when you unfold it, or if the folds are very stubborn, flag the item for preservation attention.

**Removing fasteners.** Tape, metal, and rubber may damage paper. Remove all rubber bands. Staples, paperclips, and other metal fasteners should only be removed if they are rusty or if they are causing damage to the paper. To remove staples, use a microspatula. With the microspatula, bend up the prongs of the staple on the verso of the paper, then lift off the top of the staple at the front of the document with the microspatula.

**Replacing fasteners.** Occasionally, you may have to replace fasteners with rust-proof ones, such as plastikclips, to keep items together. Avoid using plastikclips with especially fragile items or on too many items in a folder, however, as they may warp paper or add unnecessary bulk. Consider using a folded sheet of acid-free paper to keep items together. If there are many multi-page documents, and fasteners prove unwieldy, simply use more folders to separate the material.

**Removing hardware.** If the hardware is not valuable or has other significance in terms of context or content, remove materials from notebooks, frames, and other bulky encasings or containers. If necessary, remove spirals.

**Cleaning.** Soft Japanese brushes will remove surface dirt from very dusty papers. Be careful; overzealous cleaning may simply result in rubbing the dirt into the paper. We should ask Preservation for advice for extremely dirty items or if cleaning will damage the item.

**Sleeving.** In addition, torn, crumbling, or extremely fragile paper documents can also be sleeved, if they are valuable enough for the cost of the supply and extra effort.

**Photocopying.** Newspaper clippings, mimeograph masters, thermofax copies, coated paper copies, carbon copies or drafts on highly acidic paper, and other documents are often in immediate danger of crumbling or fading. In addition, these items will damage materials that touch them, since with time the acid in the paper will migrate. If significant in value, make preservation photocopies using acid-free paper. After photocopying, decide if the original should be kept or discarded. If the original is kept and will be restricted from use, house the originals separately in a restricted box.

**Interleaving.** For scrapbooks with photographs or other graphic matter, you may interleave each page with buffered paper or tissue. You may also place a sheet of acid-free paper on each side of colored or acidic paper to prevent damage to adjacent documents.

**Segregation.** If preservation photocopying or microfilm are not options for treating acidic materials, segregate acidic items from other items. For a small quantity of acidic materials, enclose the problem items in an inner folder (fold a 17 x 11 inch sheet of acid-free paper in half) to protect the materials on either side. For large quantities of acidic material, such as quantities of newspaper clippings that are of secondary importance within a collection, separate the clippings from other paper documents into their own folders.

**Removal of post-it notes.** Remove post-it notes from items. Aging tests indicate that the note's color tends to transfer to the sheets on which the notes are affixed. Furthermore, the adhesive can damage the document and attract dirt. If the post-it note contains important or significant information, attach it to an acid-free sheet of paper and leave it on top of the original item.

## 12.5.2 Arrangement

### 12.5.2.1 Filing rules when ordering folders

Even though you construct the title of the personal name in direct order, file according to the last name. For example, the title of the folder might be James C. Cotterill correspondence. Don't file by "James C. Cotterill." File by "Cotterill, James C."

Purely personal letters, even if written on corporate letterhead, should be filed under the personal name, not the corporate name.

If an individual is writing in an official capacity, file the letters under the corporate name. Use a cross reference from the personal name to the corporate entry if the author is prominent in his/her own right.

If the collection contains letters signed by a correspondent's secretary or other assistant, the letter should be filed under the principal's name or under the parent corporate name.

Except for personal names, alphabetize folder titles word by word. e.g.:

West and Wheeler  
West Coast Lumber Company  
West River Salmon Company  
Western Pulp and Paper Company

## 12.6 Appendix F: Processing Plan (Template)

UNIVERSITY OF CALIFORNIA, IRVINE  
THE UCI LIBRARIES



SPECIAL COLLECTIONS & ARCHIVES  
Office memorandum

To: Collection file  
From: [your name here]  
Date: [today's date here]  
RE: **Processing Plan for [collection title] [addition]**

*For instructions on completing this form, see **Section 4.3** of the Processing Manual.*

Basic Information	
Collection Number	
Accession Number(s)	
Acquisition Information	
Extent before processing	Linear feet: Boxes:
Collection Processing Status	
Processing History (if any)	

Value Score = (total)		
Category	Total	Recommended processing levels
User Interest		
Research Value		
Institutional Value		
Object Value		

Estimated processing hours (refer to chart in Section 4.5 of the processing manual). Comment on condition (i.e. barriers to access).



**What archival supplies do you anticipate needing for the collection? Include both standard supplies and special needs.**

**Based on the accession record(s) and your survey, what are the specific appraisal or potential restriction issues for this collection? Provide any additional information not included in the chart above.**

**Processing Supervisor sign and date:**

## 12.7 Appendix G: Processing Plan (Sample)

UNIVERSITY OF CALIFORNIA, IRVINE  
THE UCI LIBRARIES



SPECIAL COLLECTIONS & ARCHIVES  
Office memorandum

To: Collection file  
From: Processor  
Date: September 24, 2013  
RE: **Processing Plan for Peter T. Anteater papers**

*For instructions on completing this form, see **Section 4.3** of the Processing Manual.*

Basic Information	
Collection Number	AS-200
Accession Number(s)	2012.058; 2013.050
Acquisition Information	Donated by Peter T. Anteater, 2012 and 2013.
Extent before processing	Linear feet: 25.4 Boxes: 28
Collection Processing Status	Unprocessed
Processing History (if any)	None

Value Score = (15)		
Category	Total	Recommended processing levels
User Interest	4 (High)	Minimal effort   Collection level
Research Value	4 (Important, extensive)	Low effort   Series or subseries level Moderate effort   File level (expedited)
Institutional Value	5 (Very High)	
Object Value	2 (Limited)	

**Estimated processing hours (refer to chart in Section 4.5 of the processing manual). Comment on condition (i.e. barriers to access).**

178-280 (average condition – moderate barriers to access). Most of the materials were rehoused during accessioning, but some folders are highly acidic and brittle. The photos, which were added later, are completely loose and need to be sleeved and foldered.

**How will you organize the collection? Is there any existing meaningful order?  
What series will you use?**

The bulk of the papers are in a usable original order with the exception of photographs. Anteater labeled the majority of his files and arranged them topically. The finding aid will be organized in the following series and subseries:

Series 1. Professional correspondence

- Subseries 1.1 Incoming letters
- Subseries 1.2 Outgoing letters

Series 2. UCI Ephemera

Series 3. Research files

Series 4. Photographs

**Use this chart to document specific physical and intellectual tasks you plan to perform at designated processing levels. Refer to the activities listed in Section 4.4 of the *Processing Manual* for guidance.**

- Each component level listed in your arrangement plan should be represented. For components with subcomponents (i.e. subseries) *use the lowest levels of arrangement*. This will help you document processing metrics.
- If working at Moderate, Intensive, or Highly Intensive levels, use the parent series or subseries title and indicate “series” or “subseries” in parentheses.
- Estimate the total number of linear feet for each component; the total should equal the linear footage of the collection.
- Use the “Notes” field to document any deviations from the prescribed processing levels.
- Add or subtract rows as needed.
- Adjust column widths for greater readability as needed.

Processing Level	Component Level	Title	Description	Arrangement	Preservation	Appraisal	Linear Feet
Moderate	File level – expedited	Incoming letters (subseries)	Folder list. Existing description repurposed.	Preserve original order.	Retain existing folders and labels.	Folder level. None anticipated.	10
Moderate	File level – expedited	Outgoing letters (subseries)	Folder list. Existing description repurposed.	Preserve original order.	Retain existing folders and labels.	Folder level. None anticipated.	6
Low	Series	UCI ephemera	Scope/content and arrangement notes. Box listing in instance label only.	Boxes in order.	House loose items. Replace unserviceable housing.	Weed excessive duplication from large chunks.	2.4

<b>Moderate</b>	File level – expedited	Research files (series)	Folder list. Existing description repurposed. Brief titles devised for unorganized files.	Preserve existing original order. Roughly sort unorganized files.	Retain existing folders and labels.	Segregate folders with privacy concerns. Mostly student record concerns.	6.8
<b>Intensive</b>	Folder level – traditional	Photographs (series)	Detailed folder lists, scope and content notes, and historical notes.	Impose new organizational scheme using photo labels. Sort by topic.	Sleeve photographs and put in folders.	Folder level. None anticipated.	0.2

**Notes: Using Intensive processing level for Photographs series because of their documentation of early UCI history. More granular description and arrangement warranted due to frequent use and likely digitization project.**

**Indicate any student work needed (at a minimum, this should include box and folder labeling).**

Re-folding of highly acidic folders and foldering of loose papers. Sorting and sleeving of photographs. Printing and affixing of box and folder labels. Transcription of devised folder titles from AT.

**What archival supplies do you anticipate needing for the collection? Include both standard supplies and special needs.**

Letter size acid-free folders; Mylar sleeves of varying size.

**Based on the accession record(s) and your survey, what are the specific appraisal or potential restriction issues for this collection? Provide any additional information not included in the chart above.**

The accession record for accn 2012.058 notes that student records are interspersed in the research files. These will be restricted at the folder level. The record also notes excessive duplication of ephemera; select items may be separated for cataloging.

**Processing Supervisor sign and date:**

## 12.8 Appendix H: Archival Collection Processing Checklist (Template)

Collection Title:	
-------------------	--

Collection Number:	
--------------------	--

Addition to existing collection?	Yes No
----------------------------------	--------

Accession Number(s) processed:	accn	accn	accn
	accn	accn	accn

Processed by:	Start Date:	End Date:
---------------	-------------	-----------

Tasks	Date Completed	
<b>PRE-PROCESSING</b>		
Collection checked out via Stacks Locator; flags placed on shelves	YYYY/MM/DD	
Retroactive value score assigned (if needed)	YYYY/MM/DD	
Processing Status changed in accession record(s) to "Processing in Progress"	YYYY/MM/DD	
Processing plan	Created	YYYY/MM/DD
	Approved by archivist	YYYY/MM/DD
	Revisions created/approved and attached to original plan	YYYY/MM/DD
Metrics worksheet created for current quarter (if needed)	YYYY/MM/DD	
Enter collection information in metrics worksheet (use all applicable processing level tabs)	Repository	YYYY/MM/DD
	Collection	
	Value Score	
	Condition	
	Processor(s)	
	Processing start date	
	Pre-processing extent in linear feet	
Funding source		
<b>PROCESSING</b>		
Preservation		
Collection/addition rehoused	YYYY/MM/DD	
Specialized procedures completed (if needed; document in notes)	YYYY/MM/DD	
Arrangement		
Collection/addition physically arranged	YYYY/MM/DD	
Collection/addition intellectually arranged in Archivists' Toolkit	YYYY/MM/DD	
Final arrangement approved by archivist	YYYY/MM/DD	
Description		

Description entered in Archivists' Toolkit	YYYY/MM/DD	
Description reviewed by archivist	YYYY/MM/DD	
Edits made in Archivists' Toolkit	YYYY/MM/DD	
Final description approved by archivist	YYYY/MM/DD	
Assign student workticket for box/folder labeling; folder title transcription (if needed)	YYYY/MM/DD	
Labeling and transcribing completed by student	YYYY/MM/DD	
<b>Appraisal</b>		
Materials removed for separation or destruction (if needed)	YYYY/MM/DD	
Restricted materials labeled and/or removed (if needed)	YYYY/MM/DD	
<b>Cataloging</b>		
Names and subjects added to finding aid (note: not usually necessary for additions)	YYYY/MM/DD	
<b>POST-PROCESSING</b>		
Complete remaining processing metrics fields in metrics worksheet	Processing end date	YYYY/MM/DD
	Total processing hours	
	Average processing rate (automatically calculated)	
	Notes (if needed)	
Finding Aid Status changed in resource record to "Processed"	YYYY/MM/DD	
Revision Date AND Revision Description updated in resource record	YYYY/MM/DD	
Processing Status changed to "Processed" on all associated accession records	YYYY/MM/DD	
Checkbox for "Processed" ticked on all attached accession records	YYYY/MM/DD	
Processed Date updated on all attached accession records	YYYY/MM/DD	
EAD finding aid exported and saved to V:\ms-as_collections\All OAC finding aids	YYYY/MM/DD	
EAD file tested and successfully submitted to OAC production environment by archivist	YYYY/MM/DD	
Supplemental PDF uploaded to OAC (if needed)	YYYY/MM/DD	
PDF of finding aid exported and saved to V:\ms-as_collections\Finding Aid pdfs	YYYY/MM/DD	
PDF of finding aid printed and filed in Reading Room (for new or substantially revised finding aids only)	YYYY/MM/DD	
Collection/addition shelved and checked in to Stacks Locator	YYYY/MM/DD	
Stacks Locator updated with new box information	YYYY/MM/DD	
Export MARC and save in V:\Tech Services and Cataloging\AT READY FOR UPLOAD	YYYY/MM/DD	
Email notification sent to cataloger	YYYY/MM/DD	
MARC record for ANTPAC created or updated	YYYY/MM/DD	
Checkbox for "Cataloged" ticked on all attached accession records	YYYY/MM/DD	
Cataloged Date updated on all attached accession records	YYYY/MM/DD	
Email notification sent to <a href="mailto:libsca@uci.edu">libsca@uci.edu</a> and <a href="mailto:libbibref@uci.edu">libbibref@uci.edu</a> with ARK and ANTPAC permanent link (when finding aid is posted and ANTPAC record created/updated)	YYYY/MM/DD	
Processing checklist printed and filed in paper collection file	YYYY/MM/DD	

<b>Notes:</b>	
---------------	--