



ALASKA STATE HISTORICAL RECORDS ADVISORY BOARD

Arrangement & Description Manual **for** **Processing Archival Collections**

February 2013

Foreword

This *Arrangement & Description Manual for Processing Archival Collections* is intended for use by staff serving small archival repositories in Alaska. This *Manual* will assist staff in the basic principles of archival arrangement and description of collections. A current bibliography of selected writings is referenced in Section IV.

This publication has been adapted from a manual produced by the University of Texas at Arlington Library Special Collections; and, amended by the Sealaska Heritage Institute, Juneau. Both institutions have granted permission to the Alaska State Historical Records Advisory Board to utilize their content.

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Alaska State Historical Records Advisory Board

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Section I: Basic Principles of Processing

In some ways, the processing of an archival collection is like putting together a jigsaw puzzle because the archivist is trying to fit all of the different pieces together to get a clear picture of the whole. Archivists over the years have formulated a few basic principles to help guide them in their work of arranging and describing collections. These principles are *provenance*, the sanctity of *original order*, and the concept of *levels of control*. There have been a number of attempts to arrange archives in other ways, but these attempts have ended in failure and disruption of collections.

A. Provenance

Simply defined, provenance means that the archives of a given records creator must not be intermingled with those of other records creators. Archivist Fredric Miller has said that *provenance is the fundamental principle of modern archival practice*. It is important to understand that provenance is identified primarily with the creator rather than the donor, if the two are different. For example, if Jane Smith donated the papers of her grandmother, Sarah Norton, the papers would be the Sarah Norton Papers because she created them.

B. Original Order

This principle states that records should be maintained in the order in which they were originally kept while in active use. It is not the order imposed on the material by someone who was not involved with the records while they were in active use. If the order has been destroyed over time or in the transfer/packing process, then it is the archivist's obligation to reconstitute it if possible. If the original order of a collection cannot be discerned or if the original order was capricious and incomprehensible, then the archivist must impose a reasonable and logical order on the collection.

C. Levels of Control

The concept of levels of control is not a theoretical principle, but rather a way of implementing provenance and original order in the management and processing of records. Perhaps best explained by Oliver Wendell Holmes, the concept recognizes that most modern archival work involves progressively grouping and describing sets of records along a continuum, going from the largest and most general to the smallest and most specific. Not all collections need to be arranged and described at the same level. The collection's size, research value, basic structure, and other factors will dictate the level to which it should be arranged and described. The various levels of control are:

1. *Collection Level*: Generally, small collections (collections consisting of two manuscript boxes or less), more than large ones, lend themselves to a single arrangement and only a collection-level description. Single items maintained as discrete collections, such as a diary, ledger book, scrapbook, etc., also should be described at only the collection level.

2. *Series Level:* A series consists of records which have been brought together in the course of their active life to form a discrete sequence. This sequence may be a discernable filing system (arranged alphabetically, chronologically, numerically, topically, or some combination of these) or it may be a grouping of records on the basis of similar function, content, or format. For collections with no apparent order or discernable former order, the archivist may create series based on the same considerations--chronology, topics, function, and record type. In any case, the series level is probably the most important one in arrangement because here the archivist expresses the character of the collection by the series into which it has been divided. For the most part, processing depends on establishing series for collections or uncovering the series that the records creator used. Moreover, the series cannot be isolated before the archivist has studied the entire collection. After the series have been established in a collection, the archivist then arranges the series by placing the most important one first, followed by the other series in descending order of importance. **A series may also be divided into sub-series based on form, record type, physical class of the records, or filing arrangement.** See diagram at the end of this chapter for examples of sub-series.
3. *File Unit Level:* A file unit is an aggregation of documents brought together, usually for convenience in filing, in such a way that the documents may be treated as a unit. File units are often placed in chronological sequence when they document a regular activity, such as minutes of meetings. The order may be alphabetical when the units document programs, topics, organizations, or people; for example, case files arranged by the name of the client or correspondence arranged by the name of the recipient of the letter. The arrangement of file units may also be by some internal classification system, usable only if the archivist can find a key or codebook to the system. Also remember that not only do the file units themselves have to be arranged according to some logical plan, but the individual documents within each unit should optimally be logically arranged.
4. *Item Level:* An item is a single document or manuscript within a collection. The smaller, or more important, or more disheveled the collection, the more likely is the archivist to work it item by item. Single items are placed together in file units. Generally, items in files have either a chronological or alphabetical arrangement. For example, if one has a series of correspondence, arranged alphabetically in file units by the name of the individual to whom the correspondence is addressed, then the letters in each file unit would probably be arranged in chronological order. While archivists sometimes have to handle and arrange every item in a collection, it is extremely rare that they describe a collection at the item level, unless the collection is very small or very important. Time constraints restrict the description of a collection at such a minute level.

Levels of control address the arranging, ordering, and describing of a collection. According to TR Schellenberg, archival processing *is largely a process of grouping individual documents into meaningful units and of grouping such units in a meaningful relation to one another.* For a graphic look at a collection's organizational arrangement, see the following example adapted from work done by Dr. David Gracy, professor of archival enterprise at the University of Texas at Austin.

GROUP

Sheffield Papers

SERIES

Correspondence Financial Documents October 18 Parade

SUBSERIES

Sent Recd Ledger Bills Receipts Music Personnel

FILE UNIT

A-L M-Z Juneau 1985 1986 Ledger Bills Receipts Marches Rights Personnel

DOCUMENT

Adams Rudd Loch Mitchell Zweig 5/1 6/2 1/1 1/2 3/5 10/8 12/5 Ledger Alpha by Charge Dixie Post Decca MGM Herman Riper

Section II: Arrangement

Arrangement is the process of organizing archival and manuscript material in accordance with accepted archival principles. The two basic principles are provenance and original order. Provenance means that records from one creator or one donor cannot be intermingled with records from another creator or donor even if the subject matter is the same. The principle of original order requires that materials in a collection be kept in their original order whenever possible. The order of the records reveals information about the creator of the collection and how the documents were used and about the relationships between the files themselves.

Arrangement of a collection consists of the following steps: research on the collection, survey of records pertaining to the collection, formulation of a processing plan, physical arrangement, processing and re-housing of materials, and labeling of file folders and boxes.

A. Research

Before work can begin on processing a collection, it is helpful to know as much as possible about the subject of that collection. If the collection consists of personal papers, try to obtain a biography of that person, find out the dates of important events in that person's life, or determine noteworthy activities the person was engaged in. If the collection consists of the records of an organization, obtaining information may be more challenging. Check the holdings of the library for a history of the organization or for oral history interviews with members of the corporate body. If the sources mentioned above are not available either for an individual or for an organization--which is frequently the case--information will have to be obtained from the collection itself. The types of documents that are particularly useful for this purpose are resumes, obituaries, newspaper clippings, diaries, correspondence, annual reports, minutes, and charters.

B. Survey

It is very important to examine all records pertaining to a collection before processing begins. The processor should first check the transfer of title to see whether any restrictions apply to the use of the collection. Correspondence in the holding file should be read to learn whether there are special instructions from the donor with regard to disposal of material in the collection (such as duplicates) or other matters. The *Special Collections Guide*, the *Accession Log Book*, and the *Donor File* should also be consulted to find out whether other processed or unprocessed material has been received from the same donor or creator. Accession records will also provide information on the exact size of a collection so that no boxes will be overlooked when the collection is moved from the storage area to the processing area.

After this basic information has been obtained, the collection should be assigned the title, which is a combination of the creator's name plus one of the following terms: papers, records, or collection. Ordinarily collections are named for the person or organization that

created the records, not for the donor. The title of a collection is determined usually by the creator. For example, if the material was created by a person, the collection is titled *papers*. If the material was created by an organization, the collection title is *records*. If the material was artificially formed around a particular subject, person, or by a collector, the collection is titled *collection*. If the entire collection is made up of only one document type, it can be titled more specifically, for example, *photographs*, *minutes*, and so forth. Following are a few examples of names and titles taken from collections in Alaska: Alaska Purchase Centennial Commission Records, Charles W. Smythe Recordings Collection, Connie H. Paddock Papers, Curry-Weissbrodt Records, Alaska Native Brotherhood Camp 2 Records, Juneau Indian studies Program Recordings, Ulysses G. Parks Manuscript, Scrapbook of Andrew P. Kashevaroff, , Kuskokwim Diary, George L. Webb Family Letters, Elephant Creek Alaska Journal, Transition Team Records, Capitol Site Planning Commission, Pioneers of Alaska, Igloo No. 15 Records Vincent E. Hagen Photograph Album.

C. Processing Plan

With the preliminary work completed, the archivist is ready to devise a processing plan. The first task is to obtain an overview of the collection. This is best done by setting the boxes on a table (or tables), opening each box, and quickly examining the contents of each box. If a careful box-by-box contents list was prepared at the time the collection was accessioned, an intellectual grasp of the contents can be obtained by a perusal of the written list. Scanning the actual contents of a collection, however, accomplishes several purposes. It helps the archivist to become more familiar with the collection and to note either mentally or on paper the logical sequence of the records and eventually to work out a plan for arranging the material. It also provides the archivist with many clues as to the task that lies ahead: Does an original order exist? Are file folders neatly arranged or are there no file folders? Do the folders have labels? Do folder titles actually reflect content? Are they folded? Are they stapled or binder clipped together? Are there few or many newspaper clippings, reels of film, photographs or fragile documents or artifacts that will require special attention? Is there any evidence of mold, mildew, fire, acid, insect, or rodent damage? Are there oversize documents, government documents/publications, books, or other materials in the collection that may have to be handled separately or transferred to other areas of the library? Although these problems will be addressed later by the processor (and are discussed more fully in the sections on description), they are nonetheless considerations that must be factored into the final decision on how the collection is to be arranged.

D. Physical Arrangement

A primary task of the processor is to discover if the donor's/creator's files are in an original order, and if so, to insure that this order is preserved.. It bears repeating that a basic rule of archival management is that ideally the original order of the materials in a collection should not be altered or should be altered as little as possible. It should be noted that often the true historical value of records is directly related to original order and reflected by how well the records have been arranged by their creator. In many situations records administrators will be cognizant that their records possess potential archival value and will treat them accordingly. If original order still exists, the processor should move

forward with retention of original order, and ideally implement the More Product, Less Processing method (discussed below) which drastically cuts down processing time.

All too frequently, however, collections do not arrive in good order or sometimes have no order whatsoever. In these instances, the archivist has to impose order on the materials so that they will be easily accessible to the researcher. There are four general methods of arranging archival and manuscript collections: a) in series by function of the creator; b) alphabetically by subject; c) in series by document type; or d) chronologically.. The arrangement of a collection will be determined largely by the size and content of the collection. For example, the file folders in a small collection (two or three manuscript boxes) might be arranged alphabetically by subject. If a collection contains only one or two types of material, it might be preferable to arrange the collection into document types, such as correspondence, minutes, and financial records and there under chronologically. Very large collections also can be made more manageable if the records are arranged in series, which in turn are arranged chronologically, alphabetically, by case number, or by order of importance. Arrangement of records by function of the creator groups together documents that relate to a specific activity of the creator.

Collections that are moderate to large in size (five or more manuscript boxes) are usually made more manageable by dividing the materials into series. For example, the papers of an individual might require a separate series for personal records, business records, and political records. The records of an organization might be divided into the different components of that organization, such as Office of Equal Employment Opportunity, Department of Education & Early Development, Public Relations Officer. If a particular document type dominates the collection, the series could be formed around those record types, such as correspondence, agency history files, board meeting minutes, photographs, legal cases (prominent), etc.

It is virtually impossible to generalize regarding how a collection should be arranged because each collection is unique, and each one has to be evaluated on its own characteristics. After the basic principles governing provenance and original order have been taken into consideration, the primary objective of the archivist should be to arrange the material in the most researcher-friendly manner possible. Material should be arranged logically so that the seeker can quickly find needed information.

Another factor to consider is staff availability, available storage space, backlog of unprocessed collections, and the expectation of collection use by the researching public. In recent times repositories have had to come to grips with the extensive time involved in processing collections and the fact that many repositories have extensive holdings of unprocessed collections. A number of recent theories have emerged that offer proposed solutions to address some of these problems, perhaps most notably the More Product, Less Processing (MPLP) method. Simply put, this method generally employs box level processing only and avoids the rehousing of folders, removal of paperclips, etc. It processes collections quickly. This method has revolutionized processing and reduced repository backlog significantly, opening previously inaccessible collections to the public. Some grant proposals require archives to apply the MPLP processing method and the method has value. However, while MPLP solves many issues, it also can (and has) led to a number of problems, including preservation concerns, lack of quality metadata

description, overlooking of sensitive materials in collections, and other. MPLP is an important methodology for any archive, but archivists employing it should study it and ensure it's appropriate for the repository and collection at hand.

E. Processing, Re-housing, & Labeling

When the plan for arranging a collection has been determined, the task of processing can begin. At this stage if the processor is not pursuing the MPLP method the processor works with one file folder at a time.

Careful attention should be given to the physical condition of the documents.

For example:

1. Remove paper clips and rubber bands.
2. Replace rusted staples with archival plastic paperclips.
3. If necessary, remove metal spirals from notebooks or remove pages and discard notebook cover and spirals. Photocopy cover onto acid-free paper if it contains important information.
4. Flatten folded documents. If a document is too large for a legal-size folder and too valuable to remain folded, transfer to an oversize box.
5. Place photographs and negatives in polyester or polypropylene sleeves or in acid-free envelopes.
6. Place a sheet of bond paper on each side of documents on colored paper (such as labor union handbills or yellow carbon copies) to prevent staining of adjacent documents.
7. Encapsulate fragile documents or place in polyester sleeves.
8. Trim newspaper clippings and photocopy them onto acid-free paper if the clippings are properly/adequately identified. Discard the original clipping.
9. Ensure recordings are identified and stored appropriately within environmentally controlled and monitored areas.

This is also the time to discard duplicates and/or to decide whether records with questionable or no archival value should be retained. Some boxes or materials from within individual boxes may warrant non-retention. By ensuring that materials with questionable or no archival value are not retained it maximizes repository physical storage/shelving space. Other documents that should be removed from the collection at this time are periodicals or publications, which could be transferred to book collections elsewhere in the library or archive.

When all of these concerns have been taken care of and if not applying the MPLP, arrange the contents of each folder in numerical, alphabetical or chronological order as appropriate. If material is placed in chronological order, undated material should be placed after dated material. Then transfer the contents of the folders to new, acid-free folders and label each folder. Temporary labels can be clipped on each folder, including the following information: the newly assigned collection number, followed by the collection's series, box, and folder numbers and folder title and dates (see example at end of this section). Note that if there is more than one series in a box the folder numbers do

not start over with the new series, but continue in numerical order. Also folder numbers start over with number 1 in each new box, even if the series continues from the previous box. . Ideally, no more than 50 sheets or 10 photographs should be put in a file folder. If necessary, divide the contents and place the material in additional folders, using the same heading for each folder. The folders can now be transferred from record center storage boxes to acid-free, lignin-free manuscript boxes. They should be arranged in their prescribed order and placed snugly in the manuscript box with about one inch of empty space for efficient file removal and replacement. Folders should not be stuffed into the box so that they are difficult to remove, nor should they be so loosely packed that in time the material will slump or bend and become damaged. At this time the archivist may begin writing the container list (explained in Section 3: Description).

Temporary labels can be clipped to each manuscript box after it is filled, but later when the processing has been completed and the finding aid written, permanent labels should be written and/or typed and affixed to each box and folder. These labels should include the collection number, collection name, box number, and folder number. If the collection, or a portion of it, is housed in an oversize box, the box label should indicate the oversize box number, the collection name, and the collection number. It is important to place acid-free glue on the back of each label prior to affixing to ensure that the label remains on the boxes over years of fluctuating humidity cycles.

By the time the finding aid is completed, the archivist will have worked with the material in each folder in the collection several times. It is best practice to take notes on the collection during the course of these processing procedures. The notes will be useful to the archivist later when preparing the description of the collection. They should include information on the earliest and latest dates of the records in the collection, on each series within the collection, dates of and facts about important events, the purpose and history of an organization, biographical information, a record and chronology of name changes (of an organization), and any other information about the collection that would be helpful to the researcher and to the cataloger.

Section III: Description

The finding aid is compiled specifically to describe the arrangement and contents of a collection and to comment on its research potential. It serves the researcher seeking information about a person, family, or corporate body; serves the staff in locating desired materials; and, serves the donor as a record of material deposited. The finding aid should be written in clear, concise language, in a tone free of value judgments, personal bias, or professional jargon.

Use Microsoft Word, 12 point Times New Roman font to create the finding aid and all related documents. The preferred page setup is one inch margins all around. If the finding aid is compiled in two separate files, place the Title Page through Note to The Researcher in one file and the Container List in another file. Headers are then easier to insert and revise in the Container List. *Do not change the Word filename extensions from the default.* The standard finding aid includes the following parts:

- Title Page
- Table of Contents
- Biographical/Historical Sketch
- Scope & Content Note
- Provenance Note
- Series Description (optional)
- Restrictions (optional)
- Literary Rights Statement
- Note to the Researcher (optional)
- Container List
- Materials Removed List (optional)
- Appendices (optional)
- Index (optional)

Each part will be discussed separately accompanied by brief examples. Sample finding aids are included in the appendices.

A. Title Page

The Title Page should include the following: Name/dates of the collection, amount of material in linear ft. (see conversion chart), restrictions if any, collection Number, name of processor, date of preparation of finding aid, citation libraries identification, and accession number.

Example: Title Page

**Walter A. Soboleff Papers
Introduction**

Call number: Mss 7

Accession Number(s): 2007.025 & 2009.017.

Date Range: 1920-2009

Size: 39 boxes

Processed by: Jane Doe, Archivist

Processed on: March 15, 2010

Finding Aid by: Jane Doe, Archivist

Restrictions: None

Cite this collection as:

Mss 7, Series #, Box #, Fd #
Walter A. Soboleff Papers
Sealaska Heritage Institute Archives
Juneau, AK

B. Biographical or Historical Sketch

The purpose of the sketch or history is to give the researcher a brief, general introduction to the person or organization that created the collection. Prepare a sketch or history in narrative form that highlights major events in the past of the person or organization primarily during the period represented by the collection. The description may include limited background data. If more than one person or organization is very important to the collection, prepare a short biography or history for them also. Write your text in clear, concise language including accurate data. Your text may range anywhere from two paragraphs to two pages at most.

Books or useful articles by or about the person or organization, which would be useful to the researcher, should be listed in bibliographic format and follow the narrative. Consult *The Chicago Manual of Style* or Kate Turabian's *A Manual for Writers of Term Papers, Theses, and Dissertations* for the standard style of entry. If more than a few items are listed, they may be placed on a separate page.

Example: Historical Note

Walter A. Soboleff Papers Historical Note

Walter A. Soboleff (1908-2011) was born in the Tlingit village of Killisnoo, Alaska the son of Alexander 'Sasha' Soboleff. As a member of the Tlingit Nation, Yéil (Raven) Moiety, and L'eeneidí (Dog Salmon) Clan, Walter Soboleff grew up at Tenekee, Alaska speaking both Tlingit and English. He went on to become an Associate Pastor of the Northern Lights Presbyterian Church in Juneau, Tlingit scholar, recognized elder, and translator specializing in traditional oratory and storytelling. Soboleff holds two honorary doctorate degrees; Doctor of Divinity from Dubuque University in 1952, and Doctor of Humanities from the University of Alaska-Fairbanks in 1968. Over Soboleff's life he served as President of Kootznoowoo, Inc., director of the Sealaska Corporation, as a ranking member of Alaskan Native Brotherhood (ANB), on the Historic Sites Commission for the State of Alaska, on the Sealaska Heritage Institute Board of Trustees, as well as other state and federal policy making boards regarding Alaskan Native people. He passed away in 2011.

C. Scope & Content Note

The scope and content note is an expanded version of the series description and briefly describes the content of the collection but with sufficient detail to provide the researcher with a good understanding of the collection's general characteristics, strengths, and weaknesses or gaps. It also may include a statement regarding the original condition of the collection, a summary of the archivist's processing and preservation decisions, and the amount and types of materials that were removed from the collection.

Describe in essay form and at a minimum note the document types and/or subjects represented with inclusive dates, the extent of the materials, primary correspondents, and significant or unusual items. Describe these major elements in the order in which the materials are physically arranged. Information regarding significant aspects of a person's or organization's past should be related to the description of the papers or records. The scope and content note is the archivist's opportunity to relate the collection and its relevance to the creator and, if possible, to the events at the time of its creation.

Summarize the research value of the collection and point out important gaps. One or two pages are usually sufficient.

Example: Scope & Content Note:

Walter A. Soboleff Papers Scope & Content Note

This thirty-nine collection consists of the official records documenting the Alaska Native Brotherhood (ANB) and Sisterhood (ANS) for nearly a century of its operation as retained by Walter A. Soboleff. This collection's papers, the bulk those of the organization's Grand Camp, its top administrative branch, begin in 1915 and consist of extensive correspondence, meeting minutes, and working files documenting a wide array of Alaska Native issues. Various ANB and ANS Camps (chapters) are also represented by correspondence and meeting minutes. While the bulk of the collection concerns the three tribes of Southeast Alaska, the Tlingit, Haida, and Tsimshian, many Alaska Native groups are represented with ANB Camps (chapters) forming across Alaska during the 1930s and 1940s. Some of the issues, though not all, documented in the collection concern ANB and ANS addressing U.S. Federal Indian policy, boarding schools, fisheries legislation, aboriginal title/land tenure, subsistence, social issues, and civil rights. The collection also contains legal papers or those addressing Federal Indian policy, including the papers of William L. Paul Sr., such as concerning his work to have the Indian Reorganization Act of 1934 amended to allow Alaska Natives to create IRA governments and papers concerning Paul's work toward various cases, including Supreme Court case Tee-Hit-Ton v. United States.

The collection has been organized into three series; Series 1: Correspondence (13 boxes); Series 2: Meeting Minutes, Resolutions, and Programs (20 boxes); and, Series 3: Working Files (6 boxes). Some files have been organized chronologically and topically, such as in Series 2, while in some portions of the collection the original order kept by ANB was retained, such as with Series 1, Boxes 7-10. It should also be noted that the materials in Series 1, Boxes 11-13 are primarily papers of a legal nature, being the correspondence and papers of ANB's lawyers.

D. Provenance Statement

The provenance statement describes how, from whom, and when the collection or materials were acquired. This information may be found in the manuscripts holding file documented in correspondence and recorded on the Accession Form. Include the original accession number or numbers.

Example: Provenance Statement

Walter A. Soboleff Papers Provenance Note

The materials in the collection were donated to Sealaska Heritage Institute in various batches between the period of 2000 and 2009 by life-long member and ranking ANB official Walter A. Soboleff. Soboleff signed an official deed of gift for these materials on Dec. 12, 2007. An additional donation of ANB papers was made on Sept. 3, 2009 by Soboleff. Accession numbers 2007.025 and 2009.017.

Restrictions

If the donor or the library has restricted access to all or part of a collection, the specific terms of the agreement should be described clearly here. Check both the holding file and the Transfer of Title for the statement of restrictions if any.

Material may be withheld from use for a variety of reasons. In addition to the donor's restrictions, the archivist, during processing, may find material that would be damaging to the creator or to others mentioned in the collection. Be especially alert for sensitive information about persons other than the donor, for correspondence or reports that are marked confidential or seem to have been written with the understanding they would be kept confidential, especially if written by someone other than the donor.

Procedures for protecting restricted materials:

1. Organize the restricted material along with the other material.
2. If a single item or folder is being restricted, put it in an envelope, seal it, and add a label with the terms and justification of the restriction on it. If the entire folder is being restricted, write the folder title, dates, box number and folder number on the envelope as well. Put a red dot on the envelope and on the box that the folder is in.
3. If an entire box is being restricted, seal it shut with a label that describes the terms and justification of the restriction. Put a red dot on the box.

E. Literary Rights Statement

Include a statement indicating where a researcher should obtain permission to publish materials from the collection. If the donor did not sign the literary rights over to the university, then he/she should be contacted for permission. The usual statement follows.

Example: Literary Rights Statement

Permission to publish, copy, reprint, digitize, orally record for transmission over public or private airways, or use material from the John Doe Family Papers in any and all other current or future developed methods or procedures, must be obtained in writing from the Special Collections Division of the University of Texas at Arlington Libraries. All rights are reserved and retained regardless of current or future development or laws that may apply to fair use standards.

F. Note to the Researcher

Add a note with any other pertinent information such as cross references to other collections, special handling or preservation problems, or any special instructions to alert the researcher that something about this collection is unusual.

Example: Note to the Researcher

Researcher Note: Researchers interested in the Alaska Native Brotherhood should see other collections held by Sealaska Heritage Institute, including the Curry-Weissbrodt Papers (Mss 26) and the Hope/Hayes Papers (Mss 27). Researchers should also note that the William L. Paul Sr. Papers are archived at University of Washington, Seattle.

Documents are on thin, fragile paper. Please do not remove them from mylar folders. The chronological order of the materials must be maintained, especially because the handwriting is difficult to transcribe and the order is difficult to reconstruct.

G. Materials Removed List

Compile a list of books, periodicals, graphics, broadsides, pamphlets, maps, and art objects, etc., (in bibliographic format) that were removed from the collection to be cataloged for a different location within the Special Collections Division. Do not include items removed to oversize locations, but do include items, which because of their format, will be accessed easier if they are cataloged individually. Place the list at the end of the finding aid. A description of materials removed from the collection and returned to the donor, transferred to the Central Library, or de-accessioned should be prepared and filed in the holding file.

H. Appendices

Include any information (if readily available) that would be useful to researchers such as family trees, organization charts, lists of awards, chronologies, a map showing routes traveled, a photograph (photocopy), etc.

I. Index

If the container list is large and particular information would be difficult to find, create an alphabetical index listing names, subjects, titles, and formats.

Review & Final Steps

After the finding aid is completed by the processor, a copy of the finding aid must be circulated to the archivist for review. The purpose of the review process is to maintain conformity to standards, catch typing errors, factual errors, and omissions. After the archivist has edited the finding aid, which can be one or more submissions to the archivist, a hard copy of the inventory should be printed and placed with the other hard copy collection inventories in a binder. Then the processor will create an Encoded Archival Description (EAD) and post the collection finding aid online.

Archival students should also save a copy of the finding aid to SHI's assigned server drive, in a specific folder listing their name. A digital copy should also be given and retained by the archivist.

Section IV: Suggestions for Further Study

Books:

James O'Toole & Richard Cox, *Understanding Archives & Manuscripts* (Chicago: Society of American Archivists, 2006.)

Frank Boles, *Selecting & Appraising Archives & Manuscripts* (Chicago: Society of American Archivists, 2005.)

Mary Lynn Ritzenthaler, *Preserving Archives & Manuscripts* (Chicago: Society of American Archivists, 2010.)

Mary Lynn Ritzenthaler, *Photographs: Archival Care & Management* (Chicago: Society of American Archivists, 2006.)

Kathleen Roe, *Arranging & Describing Archives & Manuscripts* (Chicago: Society of American Archivists, 2008.)

Robert Bamberger & Samuel Brylawski, *The State of Recorded Sound Preservation in the United States* (Washington DC: Council on Library & Information Resources, 2010.)

Millar, Dr. Laura Agnes, *Archives: Principles & Practices* (New York: Neal-Schuman Publishers, 2010.)

Maygene F. Daniels & Timothy Walch, *A Modern Archives Reader: Basic Readings on Archival Theory & Practice* (Washington DC: National Archives Trust Fund Board, 1984.)

Pearce-Moses, Richard. *A Glossary of Archival and Records Terminology*. Chicago: Society of American Archivists, 2005. <http://www.archivists.org/glossary/>

Essays:

Mark Greene and Dennis Meissner, "More Product, Less Process: Revamping Traditional Archival Processing," *American Archivist* 68, no. 2 (Fall/Winter 2005), 208-263.

Christine Weideman, "Accessioning as Processing," *American Archivist* 69, no. 2 (Fall/Winter 2006): 274-83.

Leonard Rapport, "No Grandfather Clause: Reappraising Accessioned Records," *American Archivist* 44, no. 2 (Spring 1981): 143-150.

Section V: Glossary of Selected Terms

ACCESSION. 1. The act and procedures involved in taking records or papers into physical and legal custody by an archival agency or manuscript repository. The purpose is to extend basic control over a collection as quickly as possible to prevent its being confused or mixed with other material in custody. 2. The materials involved in such a transfer of custody.

ACID. A substance capable of forming hydrogen ions when dissolved in water. Acids can weaken cellulose in paper, board, and cloth, leading to embrittlement. Acids may be introduced in the manufacture of library or archival material. Acids may also be introduced by migration from other materials or from atmospheric pollution.

ACID-FREE. Materials that have a pH of 7.0 or higher. Such materials may be produced from virtually any cellulose fiber source, if measures are taken during manufacture to eliminate the active acid from the pulp. However free of acid a paper or board may be immediately after manufacture, over time the presence of residual chlorine from bleaching, aluminum sulfate from sizing, or pollutants in the atmosphere may lead to the formation of acid unless the paper or board has been buffered with an alkaline substance.

ALKALINE BUFFER. Alkaline substances, which have a pH of over 7.0, may be added to materials to neutralize acids or as an alkaline reserve or buffer for the purpose of counteracting acids that may form in the future. A buffer may be added during manufacture or during the process of deacidification. A number of chemicals may be used as buffers, but the most common are magnesium carbonate and calcium carbonate.

APPRAISAL. The process of determining the value and thus the disposition of records based upon their current administrative, legal, and fiscal use; their evidential and informational or research value; their arrangement; and their relationship to other records.

ARCHIVES. The noncurrent records of an organization or institution preserved because of their enduring value; also referred to, in this sense, as archival materials or archival holdings. Or to use David B. Gracy's definition: Archives are the records, organically related, of an entity systematically maintained because they contain information of continuing value.

ARRANGEMENT. The process and results of organizing archives, records, and manuscripts in accordance with accepted archival principles, particularly provenance and original order, at as many as necessary of the following levels: repository; record group, collection, or comparable control unit; subgroup(s); series; file unit; and document. The process usually includes rehousing, labeling, and shelving of archives, records, and manuscripts and is intended to achieve physical or intellectual control and basic identification of the holdings. If there is no order, then the archivist imposes an order, which presents the records objectively and facilitates their use.

CALENDAR. A chronological arrangement or list with description for each document in a collection.

COLLECTION. 1. A body of manuscripts, papers, or records, including associated or printed or other materials having a common source. If formed by or around an individual or family, such materials are more properly termed *personal papers*. If the accumulation is that of a corporate entity, it is more properly termed *records*. 2. An artificial accumulation of manuscripts or documents devoted to a single theme, person, event, or type of record. 3. In a singular or plural form, the total holdings--accessions and deposits--of a repository.

CONSERVATION. The treatment of library or archival materials, works of art, or museum objects to stabilize them chemically or strengthen them physically, sustaining their survival as long as possible in their original form. Conservation implies the restoration of an item to a state close to the original by means of physical treatment. See also *preservation*.

CORRESPONDENCE. Letters, postcards, memoranda, notes, email, and any other form of addressed, written communications sent and received.

CUBIC FOOT. An archival term used to describe the quantity of a collection. A 15"x12"x10" banker's box or records center carton holds one cubic foot of records.

DEACCESSION. The process of removing material from the care and custody of an archives because: the material has been reappraised and found to be unsuitable for the archives; the legal owner has requested its return; or, it has been agreed to transfer it to another repository. Deaccessioning is a serious matter which requires careful consideration and documentation because of legal ramifications and possible donor reaction.

DEED OF GIFT. A legal agreement transferring title to property without an exchange of monetary compensation. Deeds should contain some option for future reappraisal and deaccessioning.

DESCRIPTION. The process of establishing intellectual control over holdings through the preparation of finding aids.

DISPOSAL. Removal of an item or items in a collection subsequent to the appraisal process.

DONATION. A voluntary deposit of records involving the transfer of legal ownership and custody to the archives.

EAD. Encoded archival description. EAD is a nonproprietary encoding standard for machine-readable finding aids.

ENCAPSULATION; POLYESTER ENCAPSULATION. A protective enclosure for papers and other flat materials that involves placing the item between two sheets of transparent polyester film that are then sealed around all edges. The object is physically supported and protected from the atmosphere, although it may continue to deteriorate within the capsule. It can be removed easily from the capsule by cutting one or more of the polyester edges. Ideally an item should be deacidified before it is encapsulated.

FINDING AIDS. The descriptive media, published and unpublished, created by establishing physical, administrative, and intellectual control over records, papers, and collections.

GUIDE. A descriptive list of a repository's holdings.

LIGNIN. A complex polymer that makes cell walls in plants strong and rigid. Lignin left in papers made from wood pulp leads to chemical degradation. Most lignin can be removed from pulps during manufacturing. No standards exist for the term *lignin free* and additional research is needed to determine the precise role of lignin in the durability and permanence of paper.

LINEAR FOOT. 1. A measure of shelf space necessary to store documents. 2. A measure of motion picture stock; film footage. A linear foot measures twelve inches for documents stored on edge, or twelve inches high for documents stored horizontally.

MANUSCRIPT. A handwritten, typed, or electronically reproduced document or communication.

MARC FORMATS. The Library of Congress developed the MARC formats in the late 1960's for communication of bibliographic information in machine-readable form. These MARC formats identify bibliographic data for computer recognition and manipulation. In the mid-1970s as variations were developed, the formats used by the Library of Congress became known as *LC-MARC formats*. Since the early 1980s, however, LC-MARC formats have come to be referred to as *USMARC formats* because they are standards for MARC records in the United States.

NEUTRAL. Having a pH of 7; neither acid nor alkaline.

OCLC (Online Computer Library Center), Inc. OCLC is a not-for-profit computer library service and research organization, which provides centralized and local turnkey systems to libraries. The OCLC Online Union Catalog is a database of bibliographic information. Each record in the Online Union Catalog contains location information. Records are included for the following types of materials: books, serials, audiovisual media, special instructional materials/kits, archives/manuscripts, maps, music scores, sound recordings, and machine-readable data files. Each institution participating in the OCLC Cataloging Subsystem may contribute to bibliographic records for items not already cataloged in the Online Union Catalog.

ORAL HISTORY DEED OF GIFT. A legal document transferring ownership of a taped interview from the donor to the archives. The *Deed* must be signed/dated by both the donor (interviewee) and the interviewer and by the archivist. Restrictions may be placed by the donor on the use of the interview.

ORIGINAL ORDER. The order in which records and archives were kept when in active use. The principle of original order requires that this order be preserved or reconstructed, unless it is clear that there was no order or that the records had been accumulated haphazardly.

PAPERS. 1. A natural accumulation of personal and family materials, as distinct from records. 2. A general term used to designate more than one type of manuscript material.

PERMANENT/DURABLE PAPER. A term generally applied to pH neutral papers.

PERSONAL PAPERS. Documents accumulated by an individual or a family.

POLYESTER. A common name for the plastic polyethylene terephthalate. Its characteristics include transparency, colorlessness, and high tensile strength. Polyester is useful in preservation because it is chemically stable. Commonly used in sheet or roll form to make folders, encapsulations, and book jackets, its thickness is measured in *mils*. Common trade names are Mylar (DuPont) and Mellinex (ICI).

PRESERVATION. Activities associated with maintaining library, archival, or museum materials for use, either in their original physical form or in some other format. Preservation is considered a broader term than conservation. See also *conservation*.

PROCESSING. The operations performed on materials to make a collection available for use.

PROVENANCE. 1. The history of the ownership and custody of a particular manuscript or collection. 2. In general archival and manuscript usage, the *office of origin* of records, i.e., the entity that created or received and accumulated the records in the conduct of its business. Also the person, family, firm, or other source of personal papers and manuscript collections. 3. In archival theory, the principle that archives of a given records creator must not be intermingled with those of other records creators.

RECORDS. All recorded information, regardless of media or characteristics, made or received and maintained by an organization or institution in pursuance of its legal obligations or in the transaction of its business.

SERIES. File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use. Also known as *record series*.

SORTING. The process by which manuscripts are physically divided into appropriate alphabetical, chronological, numerical, subject, or other groups. Less frequently used with archives, except when restoring them to their original or intended order.

SUBSERIES. An aggregate of file units within a record series readily separable in terms of physical class, type, form, subject, or filing arrangement.

TEXTUAL RECORDS. The term usually applied to manuscript or typescript, as distinct from cartographic, audiovisual, and machine-readable records and archives.

TRANSFER OF TITLE. A legal document transferring ownership of a body of papers from one entity to another. The transfer of title must be signed and dated by the donor and archivist.

UV FILTER. A material used to filter the ultraviolet (UV) rays out of visible light. UV radiation is potentially damaging to library, archival, and museum objects. More UV radiation is present in sunlight and fluorescent light than in incandescent light. Removing UV radiation from storage, use, and exhibition spaces reduces the rate of deterioration of materials stored there.