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Archival Processing Reference Guide (University of California, Irvine, Special Collections & Archives)

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**Special Collections and Archives**

**Archival Processing Reference Guide**

*Created: 2017, Kelly Spring*

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## Introduction

This Processing Reference Guide was adapted from the Archival Processing Manual. It is intended as a guide to assist you in processing collections. The Archival Processing Manual outlines almost every task that may be employed when processing. In practice, you may not need to perform all tasks. Therefore, this Processing Reference Guide has been distilled to assist you with the most frequently performed tasks. Reference points to the Archival Processing Manual are made should you need more information.

When processing materials, you should observe a few ground rules.

1. Do not do anything that cannot be undone unless it has been approved or discussed.
2. Remember the purpose of your work. Never do more work on a collection than is necessary to make it usable.
3. Respect the confidentiality of records and the rights of patrons and donors.

## Workflow

Simply speaking, here are the 5 basic steps for processing **[insert steps]**: these tasks may be undertaken simultaneously or in a sequence that differs from the description below. As you process a collection, you will arrange materials in a logical way; house materials appropriately for long-term storage and use; and describe the arrangement and content in a finding aid so that researchers and staff members can find specific material when it is needed. Sometimes these tasks are undertaken simultaneously or in a sequence that differs from this guide's description.

### Familiarize yourself with the collection

After you and the Archivist have identified a collection to process, get to know the material. Gather

and review all documentation about the collection. Survey the physical material and note any topics covered in the papers. Take note of the main events or issues documented in the collection.

## Background research

This is exciting stuff! You are embarking on a journey to understand the context of the collection's creation. Look for biographical or historical information about the individual, family, or organization that created or collected the materials. Collection files, both in the physical cabinet and on the departmental computer network, are great places to consult for documentation about the collection, including biographical or historical information.

Open the associated accession record(s) in ArchivesSpace. 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.

## Surveying the collection

Keeping the processing priority value score in mind (remember, it will indicate the recommended level(s) of effort/control) open the boxes and get your hands dirty! Scan the collection to get a feeling for the subject matter, scope, and types of materials. At this stage there is no need to read extensively in the collection. Resist the temptation to begin sorting the collection - resist! Instead, plan the work, but don't actually do it. You will summarize the findings of your survey in the processing plan.

Things to think about while surveying:

1. Arrangement
  - a. Is the collection, or are parts of the collection, arranged according to an existing, useable order?
  - b. Do files or items require arrangement or can the existing arrangement be maintained?
  - c. Does the collection have existing series or subseries? Or can series or subseries be imposed on the collection?
2. Description
  - a. Does the housing (e.g. boxes, envelopes, sleeves) have headings and if so, are they accurate? Can they be retained?
  - b. Do the headings include dates? If so, are they accurate?
3. Restrictions
  - a. Are there files in the collection that are likely to contain personnel or student records?
  - b. 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)?
  - c. Can an entire group of materials, as opposed to individual files or items, be restricted?

#### 4. Preservation

- a. Are materials being damaged in their current storage location (i.e. too acidic, too small or large for their contents)?
- b. If there are media materials (i.e. audio-visual media, photographic materials, etc.), will they need to be reformatted for preservation purposes?
- c. Are there oversize materials that could be expanded (i.e., unrolled, placed in a flat box)?
- d. 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?
- e. Are there brittle, fragile, or other kinds of materials that could be photocopied?

### Prepare a processing plan

As you complete the survey, draft a processing plan. Describe proposed arrangement schemes, tasks, and other specific aspects of processing the collection. This is discussed and approved by the Archivist.

A template for the processing plan is available in

V:\ms-as\_documentation\Archival Technical Services\_forms and labels\Forms\Processing, Appendix F of the Processing Manual, and online on 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.

### How much work to estimate?

*Note: More information can be found in the UC Guidelines [insert full title]*

In your processing plan, cite the level(s) of effort/control you plan to use, as well as the corresponding value score. **Remember:** There are always exceptions to the general rule and flexibility is key. Please document any anticipated deviations from the prescribed activities for a particular level of effort/control in the “Notes” section. This will really help archivists and reference staff in the future, and they will think you were awesome.

### A word about 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. 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 ArchivesSpace resource record’s Finding Aid Data. 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 as a PDF and submit it with your finding aid to the Archivist for upload as a supplemental PDF on the OAC.

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.

### How much time to estimate?

*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.

### **Arrange, preserve and house the collection (according to the plan).**

#### **Now that you have your plan, dig in!**

Arrange, preserve, and house the collection according to the processing plan.

Organization deals with the intellectual and physical aspects of putting a collection in order.

### **Working with multiple accessions**

(for both new and existing collections)

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.

Based on the value score, you have options:

- Minimal effort: Keep accessions distinct.
- Low-Moderate effort: Keep accessions distinct.
- Moderate effort (existing collections): Arrange additional materials in boxes at the end of a processed collection. Make efforts to arrange new materials similarly to previous efforts.
- Moderate-intensive effort (new collections): Integrate all accessions physically.
- Moderate-intensive (existing collections): Arrange additional materials in boxes at the end of a processed collection. Make efforts to arrange new materials similarly to previous efforts.
- Hella intensive (existing collections): Interfile the new materials.

(Excerpted from Section 4.B.1 and 4.B.2 of the *UC Guidelines*)

### **Series**

Defining potential series should have been completed during the preparation of your processing plan. Nonetheless, 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. Series may be based on the presence of significant amounts of a uniform type of document or other common characteristic. Examples include:

Administrative (or organizational) records	Program records
Correspondence	Research notes
Grant proposals	Speeches
Photographs (visual materials)	Writings

Many other series are possible and 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/>).

In developing a name for a series, find the most appropriate title for an aggregation of files and/or the variety of records within.

### **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. This can become its own series.

### **Sequence of series**

As a general rule, series are arranged in descending order of importance of documentation. At times, chronological or alphabetical arrangement are both acceptable.

### **No series?**

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

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.

## **Describe the collection**

This section provides guidelines for how to describe materials, including instruction on how to label

folders. You will use ArchivesSpace or an Excel spreadsheet to enter detailed descriptive data into Resource records, from which finding aids can be generated and exported in various formats. Consult the ArchivesSpace user manual and related documentation for....

## Identifier

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

## Titles

Collection-level and Series-level:

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.

Folder titles:

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.

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.

- For folders: For moderate processing, rather than describing folders with related content individually, look for ways to describe multiple folders of related content together.

## Inheritance and clarification

Below the collection-level, parts of titles may be assumed due to inheritance of description. 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.)

## Style issues for folder titles

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.

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.

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

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

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

News clippings on Orange County history

If there is a date associated with a title, follow the title with a comma. (myabe change this because AS inserts the 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.

Similarly, use acronyms rarely. 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..

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.

## Style issues for notes

(all of the above, plus) All narrative notes should end with a period.

## Dates

Enter the inclusive dates of the entire collection in whole years in the begin and end date fields. Add bulk dates if necessary.

If using "undated" or "circa," *also* use the "date expression" field.

## Extent (and measuring the collection)

(**add common box language**) Include the total extent of the processed collection in linear feet. Follow with the number of boxes and oversize folders in parentheses. Example:

```
Extent Number:          2.3 Linear Feet
Container Summary:      (5 boxes and 1 oversize folder)
```

## Names and Subjects

When creating new records in ArchivesSpace, look up all names in the Library of Congress Name Authority File (<http://lcnaf.loc.gov>) for the established form of the heading.

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

The person responsible for cataloging for 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 OAC requires at least three controlled access headings. 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.

## Creator

Add the name of the creator to the Resource record:

Include the name of the creator as Creator. Choose "Creator" from the *Function* drop-down box:

(Leave “role” blank).

Note: **If the creator’s name is not listed**, improvise.

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. Add the name again and this time choosing “Subject” from the Function drop-down box.

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

## 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.

## Topical and Geographical Subjects

You can add topical and geographical subject headings to the record as suggestions for the cataloger. Since the catalogers are the experts in authority records, they can clean them up.

## Genres and forms of materials

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.

### Occupations

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

## Collection level notes

### Order and labeling of notes

Notes should be in the following order. Within the ArchivesSpace interface, there is a button to click to automatically sort notes into this order.

ArchivesSpace note title	Collection-level note label	Mandatory at Collection
--------------------------	-----------------------------	-------------------------

		<b>Level?</b>
Language of Materials Note	Language(s) of Collection Materials	no
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

## **Use and wording of collection-level notes**

The names of the notes as listed here are the ArchivesSpace note titles. Each note should also be supplied with the custom label provided in parentheses.

### **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.

**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.

**Abstract (label: Abstract)**

Mandatory. Shorten the Scope and Contents note to a brief abstract (2-3 sentences) that provides a general overview of the collection and the significance of the creator.

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

Mandatory. Describe the terms under which a researcher may access the materials. Specify any conditions that apply and also, if restrictions apply to materials only in specific series, the series in which material is restricted.

*(all of the below options should autopopulate in the AS resource record when creating a new one. If spawning from an accession, it is currently unclear if the autopopulate function will work. 2017-12-24).*

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 Calisphere, 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 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.

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

Mandatory. Use elements of this wording as appropriate:

Property rights reside with the University of California. Copyrights are generally retained by the creators of the records and their heirs. It is the responsibility of the researcher to determine who holds the copyright and pursue the copyright owner or his or her heir for permission to publish where the UC Regents do not hold the copyright. For information on use, copyright, and attribution, please visit: <http://special.lib.uci.edu/using/publishing.html>

For collections with born-digital or digitized content available through Calisphere and/or UCIspace, add this wording. Example:

[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. **It is the responsibility of the researcher to determine who holds the copyright and pursue the copyright owner or his or her heir for permission to publish where the UC Regents do not hold the copyright. For information on use, copyright, and attribution, please visit: <http://special.lib.uci.edu/using/publishing.html>**

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

**Optional and rare. Refer to ...UCI Processing Manual... for more info.**

### **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.”

### **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.

#### **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. (also info for digital object numbers)

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

#### **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 have been digitized and are available in Calisphere.

Select items are available for research at [insert code to link to the online resource. The Archivist should have the most up to date code].

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.

#### **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.

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

Optional. Write in narrative sentence format.

#### **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]."

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

Mandatory. 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 note should not include information about the records in the collection; that is the function of the scope and content note. **If the creator has a SNAC entry, you may link out to the entry in the note.**

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 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.

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

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.

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.
```

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

Mandatory. The collection scope and content summary note summarizes the topical coverage, document types, and formats of the entire collection. The first paragraph should serve as a general overview of the collection. 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.

If digital items are available online, 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. Example ending sentence: 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>.

**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.

## **Proofread your work**

Make certain that your notes reflect the contents of the collection and that the information makes sense. If it doesn't make sense to you, it probably won't make sense to a researcher either. Look for inconsistencies: do not vary certain terminology throughout the finding aid.

## **Submit the finding aid for review and publication**

The Archivist reviews the finding aid in ArchivesSpace and may provide suggestions for editing. The Archivist then approves the finished finding aid, uploads it to the OAC, and arranges for cataloging of the collection.

## **Tracking processing metrics (yes... we do this, too. or we're meant to, anyway)**

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

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.

**Worksheet available.... on the V:drive (V:\ms-as\_documentation\Archival Technical Services\_policies and procedures\Archival Metrics)**

## **Housing & Handling**

*Housing* deals with the ways in which materials need to be stored and treated. The following are general guidelines and best practices for preservation in SCA.

## **Boxes**

Records should be housed in acid-free boxes, usually record cartons (1 linear foot) or document

cases (.4 linear foot). There are also many other sizes of boxes available to house different sizes of materials. Oversize or fragile materials may be stored flat in drawers or boxes.

### Labeling boxes

## 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. If you are re-folding oversized materials ([details on all re-folding in the processing manual](#)):

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

### Writing folder titles

## 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 it's a published book, however, please consult with the Archivist.

## Oversize items

If you encounter an oversize item store it flat in a large, flat, acid-free box or an oversize drawer. Use an acid-free folder cut to fit the box or oversize drawer to keep the contents from slipping out. 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.

- 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.

## Bulky items

Look for a box that is appropriately sized for the item or items. If the 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.

## Photographs, negatives, and slides

The *UC Guidelines* provide a number of strategies for working with photographic collections. ([revisit this](#))

- Minimal: REbox if unserviceable in current housing
- Low: House loose items
- Moderate: Replace boxes.
- Intensive: Replace folders. Provide archival folders or plastic enclosures for a significant percentage of items. Sleeve all negatives.
- Hella intense: Rehouse, refolder, or sleeve everything!

**Important:** At one time, all photographic materials were 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. (as we fill up, storage space is running out and this isn't always possible)

## Scrapbooks and albums

Scrapbooks and photograph albums often have value as whole, original objects. 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.

## 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

- Audio and video cassette tapes should be stored on their short edge.
- Audio and video reel-to-reel tapes should be stored vertically<sup>1</sup>. It is often easiest to put these in an appropriately sized box.
- Film may be stored in metal or plastic film storage cans; replace metal cans that have become rusty. **The cans should be stored flat ?? See above??** with other cans of uniform size, and never stacked more than twelve inches high. The cans do not need to be stored in boxes.
- 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>2</sup>.

### Distinguishing Audiovisual and Digital Media Generations

house archival originals separately from user copies so that they are not accidentally given to

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<sup>1</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>2</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.



researchers.

### 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 ArchivesSpace. 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
--------------------------	----------------

#### 1.1.1 Name segments in titles

The name segment of a title records the person, family, or corporate body responsible for creating or collecting the collection. (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
- 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.

#### 1.1.1.1.1 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

#### 1.1.1.1.2 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.

#### 1.1.1.2 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>3</sup>

AFL-CIO records

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<sup>3</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.

(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/>).

If an authorized heading has not been constructed yet, for corporate bodies use the name as it appears in published items issued by the corporate body; in reference sources; 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>4</sup>

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:

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<sup>4</sup> There is a local exception for providing a collection-level title for University of California, Irvine collections. For more information, see page .

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)*.

### 1.1.1.3 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).)

### 1.1.1.4 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  
NOT

Ruth St. Denis collection, circa 1908–1937

## 1.1.2 Form segments in titles (collection title)

- 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)
- Resources for forms based on function or purpose

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.

#### 1.1.2.1 One or two forms of material?

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.

- John E. Brennan outdoor advertising survey reports
- William Gedney photographs and writings
- Troy Kinney etchings and engravings

#### 1.1.2.2 Three or more forms of material?

- Where the materials consist of three or more forms of documents by a government agency or private organization such as a business, supply the word “records” for the nature of the archival unit.
  - Coalition to Stop Trident records
  - St. Paul African Methodist Episcopal Zion Church records
- Where the materials being described consist of three or more forms by a person or family, supply the word “papers” for the nature of the archival unit.
  - Mortimer Jerome Adler papers
  - Semans family papers
- 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.”
  - Allyn Kellogg Ford collection of historical manuscripts

\* Note that “Papers,” “records,” and “collection” include materials in all media. (DACS 2.3.19)

#### 1.1.2.3 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

### 1.1.3 Topical segments in titles (collection title)

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

- Collection of California vacation albums  
*Devised title for a collection of purchased vacation albums assembled by Special Collections and Archives, University of California, Irvine*
- Helen Lotos files on Orange County women's organizations

**(Folder and series titles)** 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

## 2 Dates

- Do not abbreviate the year or months. When months and days are present, use the following format:
  - 1960 January
  - 1947 December 12
- Always include the dates of materials at all levels to which you are processing (i.e. the collection, accession, series, folder, and item levels).
- As a general rule, record the approximate (“circa”) dates. Do not examine items to determine exact dates.
- If items are not dated, try to provide an approximate one based on direct internal evidence.
- Use the phrase “undated” when the dates of a portion of the folder are unknown.
  - When sorting, the word “undated” follows dated materials.

Examples of devised dating:

- 1987 March 07
- circa 1925
- circa 1980-1989
- undated
- 1938-1941 and undated

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.

### 3 Identifying folders

#### 3.1.1 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.**

#### 3.1.2 Titles

##### **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.

##### **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 description) transcribed. If large chunks or a whole collection is entirely transcription of existing metadata, delegate the task of inputting to a student. Keep track of box and folder numbers in Archivists' Toolkit as you go so a title can be accurately matched with its folder; it is easier to change a number written on a folder than a title. **Writing of all folder titles should be completed by a student once description is finalized.**

Write the title of the folder followed by the dates of the folders contents. Leave 3 inches on the left of the folder for a label, and one inch on the right for the box and folder number. If there are other levels of control between the series (or subseries) and the folder, include the title of the levels below the series (or subseries, if you are using them.) For example:

Correspondence: Smith, John, 1948-1956

Labels should not be affixed to folders until after titles have been finalized and transcribed, as the intellectual placement of a folder or filing unit may shift during processing.

#### 3.1.3 Numbering

Number the folders, both on the folders themselves and in the finding aid. On the folders

themselves, write the box and folder number in the far right corner of each tab or flap. Number folders as you process so titles in Archivists' Toolkit can be tied to their folders. Make sure the folder numbers match those in the finding aid. For example:

Correspondence: Smith, John, 1948-1956

3 : 11

Begin the sequence of folder numbers with 1 at the beginning of each box.

#### 4 Media materials

The primary goals in processing media materials are:

1. To document and remedy preservation needs
2. To craft a description for the materials that contextualizes the materials
3. To provide access in the most efficient way possible

##### 4.1.1 Describing photographs

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

#### Processing activities for photographic collections

Effort	Control	Description	Arrangement	Preservation
Minimal	Collection Level	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	+ series/ subseries descriptions and/or box listings.	Putseries 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)	+ abbreviated folder lists or simple inventories. Existing description repurposed.	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 (see full processing manual)				
Highly Intensive (see full processi ng manual)				

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

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

- o Photographic collections managed independently of other archival materials (4.E.1.b)
- o Photographs in manuscript and archival collections (4.E.2.b) alter this section so that that is waht it is rather than for collections of only photographs

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 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 Kid* and *The Great American Goof*.

#### 4.1.2 Moving images

Moving images have special preservation needs. 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."  
videocassette (Beta)  
videocassette (Betacam)  
videocassette (Betacam SP)  
videocassette (Betacam SX)  
videocassette (Digital Betacam)  
videocassette (U-MATIC)  
videocassette (VHS)  
videodisc (DVD)  
videodisc (optical)

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

### 4.1.3 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

#### 4.1.4 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.

## 5 Creating the Finding Aid

### 6 Using the Archivist's Toolkit

The instructions that follow assume a basic familiarity with the Archivists' Toolkit (ArchivesSpace), 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 ArchivesSpace: Do not copy and paste into the ArchivesSpace* any text from a word processing program that has curly quotes (") or other special characters prohibited in xml. The ArchivesSpace 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.

#### 6.1.1 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.

## 6.1.2 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.

### **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.

### **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.

### **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.

### **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.

## 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.autorynationalcenter.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>

## **Collection level finding aid data**

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

## **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.

## **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
```

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

Notes should be added in the following order:

ArchivesSpace note title	Series/Subseries-level note label	Mandatory at Series/Subseries Level?
Scope and Contents Note	Series/Subseries Scope and Content Summary	yes

## 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.

## 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.
```

## 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.).

## 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.

### **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.

### **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.

### **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.

### **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

### **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.

### **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)

### **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.

### **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.

### **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.).

### **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.

### **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.

### **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.

## 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.

## 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.

## Containers

### 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.

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

## 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.

## 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.

## 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
```

## 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.

### 6.1.3 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 ArchivesSpace 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 ArchivesSpace, 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).

### Making the revision in the Resource record

If the finding aid was originally created in ArchivesSpace, 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 ArchivesSpace was implemented at UCI in mid-2009. If you are not sure if an EAD finding aid was originally created using the ArchivesSpace, 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 ArchivesSpace were created by importing the EAD finding aid into the ArchivesSpace, 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.

## 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.

### 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.

### **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.

### **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.

### **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.

### **Common restricted records**

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

### **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

## **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.

## **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.

## **Grievance files**

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

## **Trade secrets or patents**

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

## **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.

## **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.

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

### **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

## 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

## 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.

## 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.

## Commonly removed records

Duplicates <sup>5</sup>	Payroll records	Tickler files
Invoices	Weekly/daily financial records <sup>6</sup>	Catalogs and publications received from organizations or locales we are not attempting to document
Bank statements	Widely available publications (or portions thereof)	Equipment and supplies records

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<sup>5</sup> For brochures, fliers, and other items meant for distribution, it is acceptable to keep 2-3 copies.

<sup>6</sup> If no other financial summaries are available, you should keep this documentation.

Check stubs	Telephone messages	Irrelevant clippings
Receipts	Routing slips and transmittal sheets	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.

## Relocation of publications

**Books:** Most books should be removed from collections and given to the SCA Curator or Archivist associated with the subject for consideration in the SCA collection. If the books are not accepted by SCA, and the deed of gift allows for it, pass them along to the bibliographer for the subject to consider for the general collection.

**Pamphlets:** Pamphlets that are only loosely related to materials in the archival collection that can be removed from the collection without the collection suffering greatly from the lack of contextual information that the pamphlets may provide, can be given to the SCA Curator or Archivist associated with the subject for consideration in the SCA collection.

**Serials:** If the serials are 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.

## Completing processing

### Shelving the collection

### 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