The *Next* Archival Fundamentals Series

Draft Outlines for the First Three Modules

Standards for Arrangement and Description
Sibyl Schaefer
Draft Outline / February 2012

1. Introduction
    a. Why use standards?
        i. Interoperability / data exchange / information systems
        ii. Shared practices / collaboration
        iii. User expectations/usability / discoverability / access
        iv. Data migration as standards evolve
    b. Archival control vs. bibliographic control
        i. Context/ content/ structure/ function
2. Issues/literature review
    a. Development of archival standards
        i. International
            1. ICA initiatives
                a. ISAD(G)
                b. ISAAR(CPF)
                c. ISDF
                d. ISIAH
        ii. United States
            1. MARC/MARC(AMC)
            2. APPM/AACR2
    b. SAA standards committee
        i. Role within SAA/US archival scene
        ii. Standards/ best practices/ guidelines
3. Discussion of relevant standards, technologies, policies, practices, procedures, tools, and services, as applicable;
    a. Standards:
        i. Data Content
            1. DACS
                a. Overview
                b. Revision
            2. Others:
                a. AACR2/ RDA
                b. CCO
                c. RAD
        ii. Data Structure
            1. EAD
                a. Overview

b. Barriers for implementation(?)
            c. Weaknesses/ need for revision
        2. EAC-CPF
        3. MARC/ MARCXML
    iii. Data Value
        1. Names
            a. LCNAF
            b. EAC-CPF
            c. ULAN
        2. Subjects
            a. LC Subject headings
        3. Genre/Form
            a. LC
            b. AAT
        4. Functions
b. Metadata / Companion Standards
    i. Types
        1. Administrative
            a. Preservation
            b. Rights
        2. Descriptive
        3. Structural
        4. Technical
    ii. Standards [these may get folded into above type areas]
        1. XML as a standard (RDF?)
        2. MODS
        3. DC
        4. METS
        5. PREMIS
        6. MIX
        7. CCO/CDWA/VRA Core
        8. PB Core
        9. DCRM(MSS)/ DCRM(G)/DCRM(B)/ AMREMM
        10.
    iii. Choosing the right standard
        1. Nature of the materials
        2. De jure vs. de facto standards
        3. Institutional context
            a. Systems
            b. Audience
c. EAD consortia (OAC, NWDA, ArchivesGrid)
d. Archival data management software (AT, Archon, ICA-ATOM, proprietary)
e. Archival data display software (XTF, Omeka, next gen catalogs)
4. Description of current activities in the area, including one or more brief case studies;
    a. Current activities

       i. Revision of EAD – more data-centric, less document-centric
      ii. Revision of DACS – EAC-CPF
     iii. SNAC
     iv. RDA/FRBR model
      v. RDF/linked data/JSON – atomization of data structure
     vi. MPLP/ minimum levels of description/ staged description [out of scope?]
   b. Case studies
       i. EAC-CPF implementation/use [East Carolina University]
      ii. EAD implementation [maybe one implementing EAD in conjunction with MPLP, or detailing other types of metadata use in conjunction with EAD)

5. Recommendations (not sure how applicable this area is)
   a. Choosing the right standard area here?
6. Further readings.
   a. SAA Standards Portal
   b. URLs to standards

Processing Digital Records and Manuscripts
J. Gordon Daines III
Draft Outline / February 2012

I. *Introduction*

The last two decades have seen the development of remarkable technologies that enable people to create, store and manage their personal records in electronic format. This has important implications for the work of archivists and curators. As we move deeper into the twenty-first century it becomes vital that we develop the skill set necessary for acquiring and managing the digital records that will become an increasingly large part of the materials that document people's lives.

Developing this skill set will necessitate examining the fundamental principles and practices of archival work. While the key business processes of archival work will remain the same, the way that those business processes are accomplished will need to change. This work examines the arrangement and description business process and begins to discuss how it can be adjusted to enable archivists to grapple with digital records.

II. *Literature Review*
    a. Arrangement and description in the analog world
    b. Issues and challenges of electronic records

III. *Arrangement and Description Business process*
    a. Define what the arrangement and description business process is

IV. *Arranging and Describing Digital Materials*

Arrangement and description is one of the most important activities that archivists engage in. These activities become even more vital in managing and providing access to digital materials. Traditionally arrangement and description has occurred after materials have been acquired. This will have to change in the digital environment. Arrangement and description will become a key component of almost all archival business processes.

    a. Hybrid collections
    b. Born Digital Collections

I plan to discuss the expansion of arrangement and description activities in the following sequence (not all steps will apply for hybrid collections):

        i. Identification and selection—archivists will need to identify digital materials early on and work with creators to gather appropriate descriptive information.

      ii. Acquisition—appropriate descriptive information will need to be gathered at this stage to allow for the management of the digital materials; it is probable that early arrangement decisions will need to be made at this state as well.

     iii. Processing (traditional location of arrangement and description)
1. Identifying media and file types
2. Identifying the information on various media types
3. Identifying and arranging (if necessary) the media types and the information on them
4. Describing the arrangement

     iv. Storage/Digital Preservation—gathering of necessary preservation descriptive metadata

      v. Reference/Patron use—discuss potential patron involvement in augmenting descriptive records

V.   *Current Activities*
a. Paradigm project
b. Digital Lives project
c. DigCCure
d. InterPares 3
e. Others

VI.   *Recommendations*

VII. *Further Readings*

Designing and Implementing Access Systems
Dan Santamaria
Draft Outline / February 13, 2012

1. Introduction

Most archivists would agree that "Use is the end of all archival effort."[1] In the 21st century archivists have a seemingly endless number of possible tools and strategies to consider in making the material in their care available to the widest possible audiences. There is no single archival access system that will work for all institutions, no one size fits all solution; decisions related to designing and implementing access systems are based on the goals and resources available in each repository. This module will describe tools available for various components of an archival workflow and make generalized recommendations for access systems for small, medium, and large repositories.

2. Literature Review

Please see appendix for a list of relevant literature. Most published literature focuses on EAD implementation and usability of online finding aids. Little published literature exists other than, in recent years, descriptions of the development of tools such as Archivists' Toolkit, Archon, and ICA-AtoM. There is also a lack of published literature regarding the implementation and design of an archival access system that describes an entire archival workflow, from accessioning to delivery of descriptive records and/or surrogates and born digital objects. Descriptions of access systems that can be sustained by small repositories are also limited. This module is designed to help fill some of these gaps.

Conference presentations do tend to include information relevant to the module, such as case studies of AT and Archon implementation, collection management tools and strategies, and new approaches towards digitization. I have included a list of relevant conference presentations in the appendix.

3. Discussion of Relevant Standards

This is the main section of the module. It will list and describe tools related to each of the steps involved in a generalized archival workflow. While some tools will overlap in several sections, I

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[1] Theodore Schellenberg, *Modern Archives: Principles and Techniques* (Chicago: University of Chicago Press,1956), 224.

believe this approach will be the most accessible for readers and will complement and fit with the structure of the "Processing Digital Archives and Manuscripts" module**.**

Workflow Steps:

1) Pre-custodial/Pre-Accessioning

    a) "Records management" and metadata
    b) Appraisal and selection

2) Accessioning
    a) Descriptive data
    b) Administrative data

3) Description and Arrangement ("traditional" step for processing)
    a) Creating new data
        i) Repurposing data
        ii) Catalog records
        iii) Finding aids
        iv) Other data

    b) Legacy data
        i) Structured data
        ii) Word processed data
        iii) Printed finding aids and lists

    c) Backlog reduction and collection management projects

4) Delivery and Patron Access
    a) Descriptive data
    b) Digital objects (both born digital and digitized)
        i) Patron access and user contributed metadata
        ii) Patron driven description and digitization
    c) Crowdsourcing possibilities
    d) Measuring and evaluating success
        i) Usability
        ii) Use tracking
        iii) Web analytics

4. Description of Current Activities in the Area

This section will be largely dedicated to one or two case studies which will serve to tie together the recommendations and references to various tools and workflows in section five.

Case Study: Princeton University Archives
Case Study: Small Repository, TBD

5. Recommendations

This section will provide recommendations as well as providing sample access systems for various types of repositories: small; medium and large. I imagine this will include both narrative summaries and flow charts that describe the various components of the access systems. While the case studies in section four will be specific reports on the experiences of repositories, this section will contain recommendations that can be applied in variety of environments.

6. Further Reading

See above literature section review section for information.

In addition to published literature and conference presentations, this section will include an index of systems and tools with links for further information. The online version of the module should link to various tools and project websites, as well as other online resources, for additional information. (A sample of online resources is included in the appendix).

7. Appendix: Literature Review

Articles and Publications

Bond, Trevor James and Alan Cornish. "Developing and Sustaining the Northwest Digital Archives." *JODI: Journal of Digital Information* Volume 9, Issue 2 (June 2008).

Chapman, Joyce Celeste. "Observing Users: An Empirical Analysis of User Interaction with Online Finding Aids." *Journal of Archival Organization* Volume 8, Issue 1, 2010: 4-30.

Cornish, Alan. "Utilizing Native XML: The Northwest Digital Archives Project." Presentation at the Washington State University Academic Showcase (Pullman, WA), April 1, 2005.

Cornish, Alan. "Using a native XML database for Encoded Archival Description search and retrieval." 2004. Published online at: http://hdl.handle.net/2376/1076.

Combs, Michele, Mark A. Matienzo, Merrilee Proffitt, and Lisa Spiro. 2010. *Over, Under, Around, and Through: Getting Around Barriers to EAD Implementation*. Report produced by OCLC Research in support of the RLG Partnership. Published online at: http://www.oclc.org/research/publications/library/2010/2010-04.pdf.

Conway, Martha O'Hara and Merrilee Proffitt. 2011. *Taking Stock and Making Hay: Archival Collections Assessment*. Dublin, Ohio: OCLC Research. Published online at:

http://www.oclc.org/research/publications/library/2011/2011-07.pdf .

Evans, Max J. "Archives of the People, by the People, for the People." *The American Archivist* 70 (Fall/Winter 2007): 387-400.

Exline, Eleta. "Working Together: A Literature Review of Campus Information Technology Partnerships." *Journal of Archival Organization* Volume 7, Issue 1-2, 2009: 16-23.

Gruber, Ethan, Chris Fitzpatrick, Bill Parod, and Scott Prater**. "**XForms for Libraries, An Introduction," Code4Lib Journal, Issue 11, 2010-09-21. Available at: http://journal.code4lib.org/articles/3916

Maier, Shannon Bowen. "MPLP and the Catalog Record as a Finding Aid."
Journal of Archival Organization, Volume 9, Issue 1 (2011): 32-44.

Patty, William Jordan. "Metadata, Technology, and Processing a Backlog in a University Special Collections." *Journal of Archival Organization.* Volume 6, Issue 1 and 2. August 2008: 102 - 120.

Prom, Christopher J., Christopher A. Rishel, Scott W. Schwartz, and Kyle J. Fox. "A unified platform for archival description and access." Published in: · JCDL '07 Proceedings of the 7th ACM/IEEE-CS joint conference on Digital libraries ACM New York, NY, USA 2007.

Prom, Christopher J. "Using Web Analytics to Improve Online Access to Archival Resources." American Archivist 71 (Spring/Summer 2011): 158-184.

Riley, Jenn and Kelcy Shepard. "A brave new world: archivists and shareable descriptive metadata." American Archivist 72 (Spring/Summer 2009): 91-112.

Schwartz, Scott, Christopher Prom, Kyle Fox, and Paul Sorensen "Archon: Facilitating Global Access to Collections in Small Archives." World Library and Information Congress: 74th IFLA General Conference and Council 10-14 August 2008, Québec, Canada Availavle at: http://www.ifla.org/iv/ifla74/index.htm.

Spiro, Lisa. 2009. *Archival Management Software, A Report for the Council on Library and Information Resources*. CLIR Reports. Published online at: http://www.clir.org/pubs/reports/spiro2009.html.

Walters, Cheryl D. and Sandra McIntyre. "Sharing Your Finding Aids in CONTENTdm: Encoded Archival Description (EAD) Files in Mountain West Digital Library." Western CONTENTdm Users Group Conference. Reno, NV. Jun. 2009. Available at: http://works.bepress.com/cheryl_walters/7 .

Westbrook, Bradley Lee Mandell, Kelcy Shepherd, Brian Stevens & Jason Varghese. "The archivists' toolkit: another step toward streamlined archival processing." Journal of Archival Organization, Volume 4, Issue 1-2, 2007: 229-253.

Yako, Sonia. "It's Complicated: Barriers to EAD Implementation." American Archivist 70 (Fall/Winter 2008): 456-475.

Yakel, Elizabeth, Seth Shaw, and Polly Reynolds. "Creating the next generation of archival finding aids." D-Lib Magazine Volume 13, Number 5/6 (May/June 2007). Published online at: http://www.dlib.org/dlib/may07/yakel/05yakel.html.

Zhang, Junte, Khairun Nisa Fachry, and Jaap Kamps. "Effective access to digital assets: An XML-based EAD search system." Proceedings of DigCCurr2009: Digital curation: Practice, promise and prospects. Chapel Hill, NC: University of North Carolina at Chapel Hill, School of Information and Library Science.

Zervanou, Kalliopi, Korkontzelos, Ioannis van den Bosch, Antal Ananiadou, Sophia. "Enrichment and Structuring of Archival Description Metadata Enrichment and Structuring of Archival Description Metadata." Proceedings of the 5th ACL-HLT Workshop on Language Technology for Cultural Heritage Social Sciences and Humanities, 2011

Presentations (General):

Cox, Robert S. "Appropriate Technology and the Catablog." Paper presented at PACSCL event titled *Something New for Something Old: Innovative Approaches to Managing Archives and Special Collections,* Philadelphia, December 4-5, 2008. Available at: http://www.pacsclsurvey.org/documents/cox/CoxProjDesc.pdf.

Di Bella, Christine. "Twenty-two Heads Are Better Than One: A Multi-Institution Approach to Addressing Backlogs." Paper presented at PACSCL event titled *Something New for Something Old: Innovative Approaches to Managing Archives and Special Collections,* Philadelphia, December 4-5, 2008. Available at: http://www.pacsclsurvey.org/documents/dibella/01dibella.ppt.

Flurbaay, Eileen and Marc Holtman. "You Ask, We Scan: The Amsterdam City Archives and the Archiefbank." Plenary at the Fall 2009 meeting of the Mid-Atlantic Regional Archives Conference, Jersey City, New Jersey, October 30, 2009. PPT, PDF, and MP3s (from the same presentation given at Princeton University on November 2, 2009) available at: https://webspace.princeton.edu/users/dsantam/archiefbank/City%20Archives%20of%20Amsterdam%20Presentation.xapp/index.wiki.

Ranger, Joshua. "Mass Digitization of Archival Manuscripts." Paper presented at PACSCL event titled *Something New for Something Old: Innovative Approaches to Managing*

Archives and Special Collections," Philadelphia, December 4-5, 2008. Available at: http://www.pacsclsurvey.org/documents/ranger/04ranger.ppt.

Santamaria, Dan. "Something for Everything: Thoughts on Archival Description at Princeton." Paper presented at PACSCL event titled *Something New for Something Old: Innovative Approaches to Managing Archives and Special Collections,* Philadelphia, December 4-5, 2008. Available at: http://www.pacsclsurvey.org/documents/santamaria/02santamaria.ppt.

Santamaria, Dan. "Medium-Scale Digitization." Presentation to Society of American Archivists Metadata and Digital Objects Roundtable. August 2011. Available at: http://www2.archivists.org/groups/metadata-and-digital-object-roundtable/2011-annual-meeting-agenda.

Steman, Tom, **Ian C. Stade, Alexis Braun Marks. "**How to Decide, Archon or Archivists' Toolkit: Open Source Software Solutions to Manage and Provide Access to Archival Information." 2010 Library Technology Conference, Macalester College. Available at: http://digitalcommons.macalester.edu/libtech_conf/2010/concurrent_a/25/.

Presentations (SAA Conference Sessions):

Kevin Glick, Tom Rosko, Marcy Rosenkrantz, and Stephen Chapman. "Digital Institutional Repositories: Opportunities for Archivists," 2004.

Bradley D. Westbrook, Kelcy Sheperd, and Brian Stevens. "The Archivists' Toolkit: Toward Streamlined Archival Workflow," 2005.

Megan Friedel, James Eason, John Slate, and Helena Zinkam. "'More Product' in the Image Archives: Applying Minimal Processing Guidelines to Visual Materials Collections," 2006.

Paula Jabloner, Susan Hamburger, Lisa Miller, and Jennifer Harp. "Open Source Software Solutions for Collection Management and Web Delivery," 2007.

Christine de Catanzaro, Jody Lloyd Thompson, Kate Bowers, Bradley Westbrook, and Kat Stefko.   "Where Are We 'AT'? A Status Report on the Archivists' Toolkit," 2007.

Anne Van Camp, Wendy Duff, Helen Tibbo, and Beth Yakel. "Beyond Evaluation: Measuring the Impact of Archives," 2007.

William Landis, Jenn Riley, Kelcy Sheperd, and Sarah Shreeves. "The Dynamics in the Aggregate: Shareable Metadata and Next-Generation Access Systems," 2007.

Jennifer Schaffner, Lena Zentall, and Helena Zinkam. "Revealing Archival Collections at the Web's Surface," 2008.

Daniel Santamaria, Jennifer Marshall, Jennifer Meehan, and Claudia Thompson. "Evolving Finding Aids for Basic Processing," 2008.

Lucy Barber, David Null, Mark Harvey and Kaye Minchew. "Digitizing Entire Collections: Project Planning, Cost, Collaborations," 2008.

James Roth, Kristy Pasquariello, and Dharma Akmon. "Issues and Lessons from Mass Digitization of Archival Collections," 2008.

Kevin Glick, Laura Tatum, and Daniel Hartwig. "Pre-Custodial Intervention: Let Them Do the Damn Work!," 2008.

Mary Elings, Rosalie Lack, and Rachel Hu. "The Online Archive of California Interface Redesign," 2008.

Jodi Allison-Bunnell, Max Evans, Jeanne Kramer-Smyth and Elizabeth Yakel. "After the Revolution: Unleashing the Power of EAD," 2008.

Dennis Meissner, Amanda Focke, Dreanna Belden, and Joshua Ranger. "Less Process, More Pixels: Alternate Approaches to Digitization and Metadata," 2008.

Karen Weiss, Barbara Aikens, Mark Custer, Laura Clark Brown, and Merrilee Profitt. "Going With the Flow: Sustainable Models for Integrating Digitization," 2009.

Jacquelyn Ferry, Merrilee Proffitt, Jay Gaidmore, and Prudence Backman. "Is EAD Too Complex? Breaking Down Barriers to EAD Implementation," 2010.

Jackie Dooley, Michael Fox, Barbara Aikens, and Noah Huffman. "Structured Data Is Essential for Effective Archival Description and Discovery: True or False?" 2010.

Web Resources:

Chris Prom. Practical E-Records Blog: http://e-records.chrisprom.com/

EAD Help Pages: Tools and Helper Files: http://www.archivists.org/saagroups/ead/tools.html

University of North Carolina – Southern Historical Collections. Extending the Reach of Southern Sources: Proceeding to Large-Scale Digitization of Manuscript Collections: http://www.lib.unc.edu/mss/archivalmassdigitization/