POLICIES, STANDARDS AND PROCEDURES OF THE ARCHIVES OF THE LOS ANGELES COUNTY MUSEUM OF ART

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MISSION STATEMENT

The Museum Archives, a program of the Mr. and Mrs. Allan C. Balch Research Library, supports the Mission of the Los Angeles County Museum of Art by ensuring the evidential and physical integrity of the historic record of the Museum and facilitating its accessibility to museum staff and the public.

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LACMA ARCHIVES ACCESS POLICIES FOR NON STAFF USERS

- The collections of the LACMA Archives may be accessed by appointment only at the Balch Research Library. Appointments may be made by telephone at 323-857-6118 or email at library@lacma.org.

- All users must fill out a **User Registration Form**

- By completing the User Registration Form, users agree to the terms and guidelines indicated in that document.

- Because archival materials are kept in storage areas away from the reading room they must be requested for use at least **24 hours in advance**.
    - Only one box will be brought to the library per reader at a time.
    - Some materials may have additional restrictions. See the finding aid for the collection you are interested in for more details, or contact the Balch Research Library (323-857-6118 or library@lacma.org).

- The Archive strives to provide as much access to its holdings as possible but reserves the right to apply reasonable restrictions on access to preserve the confidentiality of sensitive records and the privacy of individuals; to remain in compliance with the law and to protect physically delicate materials.

LACMA ARCHIVES USER REGISTRATION FORM

Email one copy of the completed form to library@lacma.org. Print and sign one copy to bring to your research appointment.

NAME: Click here to enter text.

EMAIL: Click here to enter text.

ADDRESS: Click here to enter text.

LOCAL ADDRESS (IF DIFFERENT): Click here to enter text.

PHONE #: Click here to enter text.

LOCAL PHONE # (IF DIFFERENT): Click here to enter text.

CURRENT AFFILIATION (CHOOSE ONE): Click here to enter text.

☐MUSEUM ☐ACADEMIC ☐INDEPENDENT

STATEMENT OF RESEARCH TOPIC: Click here to enter text.

PURPOSE OF RESEARCH (CHOOSE ONE):

☐DISSERTATION OR THESIS ☐CATALOGUE RAISONNÉE ☐PUBLICATION ☐CLASS ASSIGNMENT

☐PERSONAL ☐OTHER Click here to enter text.

COPYRIGHT NOTICE:

I HAVE READ AND UNDERSTAND THE ABOVE COPYRIGHT NOTICE.

SIGNATURE:

DATE:

<p style="text-align: center;">**APPRAISAL POLICY**</p>

Purpose:

The purpose of an Appraisal Policy is to determine what records will be accepted into the LACMA Archives. This policy is in addition to any records retention and destruction schedules written for active documents and guidelines for weeding individual items from files.

Policy:

- Appraisal is the responsibility of professional archives staff under the authority of the Mr. and Mrs. Allan C. Balch Research Library. This includes the drafting and revision of the appraisal policy and day to day decisions regarding the specific ways in which the policy is applied.

- Appraisal decisions will be documented.

- Because of the large amount of documents held by LACMA it is the general policy of the LACMA Archives to apply principles of macro appraisal to institutional records. This means that records will be evaluated for their indefinite retention at the level of series or subseries and not below. Individual folders and items will not generally be evaluated for exclusion or inclusion in the Archives; instead *groups* of records will be evaluated according to how well they document a function, activity, or policy.

- To this end the following criteria will be applied in evaluating institutional records for accession or exclusion in the archives:
    - Uniqueness- Do the records contain unique information, document a unique process or activity or is the information or evidence of the activity duplicated elsewhere?
    - Context- Were the records created by the department in which they are being held (from which they will be accessioned)? If not do the records have some other unique evidentiary value?
    - Completeness- Are there major gaps in coverage (chronologically or otherwise) in the records that would render them less useful for research over the long term?
    - Relevance- Do the records pertain to functions, activities, or events with which LACMA was directly involved or interested?
    - Accessibility- Are the records readable or decipherable? If records are in an obsolete medium, does the Museum possess or have access to the necessary equipment to make it accessible?
    - Condition- Has damage or deterioration rendered records unreadable? Does the Museum have the resources to restore the records to a useable state if such an option exists?

- It is understood that LACMA is a complex and dynamic institution and that there will be occasions when some of the criteria described above are inappropriate not applicable. The archivist or archivists will use their best professional judgment in all cases to determine when this is the case and to apply more relevant appraisal criteria and methods when necessary.

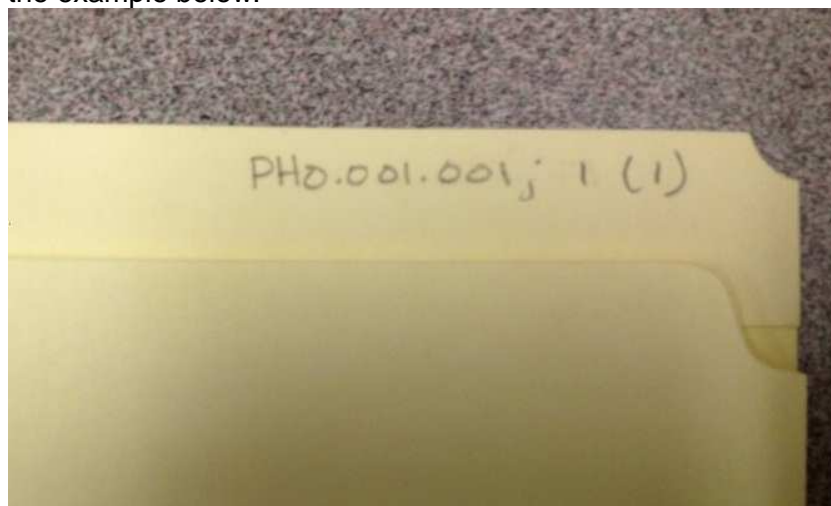# STANDARDS AND BEST PRACTICES FOR PROCESSING ARCHIVAL COLLECTIONS

Recommended Level of Processing

The purpose of this section is to establish standards for arrangement, description, conservation, and preservation desirable before a collection can be made available for research.

The Archivist may evaluate Individual collections on a case by case basis, according to the resources available and the needs of the materials, to determine a processing plan. These guidelines may be applied to institutional records and acquisitions from outside of the Museum.

Containers and Housing

- Rehouse records in acid free, archival quality boxes.
- Replace file folders with acid free, archival quality, full cut tab folders (for example Gaylord part number RF91110).
    - Transcribe folder headings, starting the transcription in the left side of a full cut file folder tab.
    - Use [square brackets] around folder headings or other notes provided by the archivist or processor.
    - Split up over-full folders.
    - Do not retain hanging file folders.
- Remove any non archival housing from within folders such as
    - Non-long term stable plastic sleeves or folders
    - Glassine envelopes
- Numbering and labeling
    - Folders – Number folders within each box starting with folder number 1. Number folders on the right side of a full cut file folder tab as follows: [collection number]; [box number] ([folder number]). For example: PHO.001.001; 1(1) as shown in the example below.

- o Boxes: Number boxes within a collection beginning with 1 and continuing sequentially to the end of the collection. Do not use a change in box numbering to denote a change in series or other organizational unit.
  Create box labels with the institution and repository name on top followed by the collection name, with the collection number and box number within the collection in the lower right hand corner as shown in the example below.

LACMA

LOS ANGELES COUNTY MUSEUM OF ART BALCH RESEARCH LIBRARY

MODERN ART DEPARTMENT ART AND TECHNOLOGY RECORDS

MOD.001.001

BOX 1 OF 6

Conservation

- Assess conservation needs while rehousing documents.
- Remove deteriorating foreign objects (such as rusty paper clips, staples, pins, or brads and rubber bands).
- Remove deteriorating tape: If not easily removed leave in place and segregate by enclosure in a Mylar sleeve.
- Stabilize fragile items by placing in a Mylar sleeve, or photocopy onto acid free paper and remove original from accessible portion of collection.

Preservation

- Insect or other infestation: Segregate from all other archival, art, or book holdings until fumigation or other measures can be taken to eliminate the risk of contamination to other collections.

Arrangement

- Unless records are in major disarray, maintain the order of records as received from the originating office or donor.
- Do not re-order records within folders.

Description

- Record accession in Archivists' Toolkit at time of receipt by donation or transfer.
- Finding aid
  - o Finding aid front matter with subject and creator access and container list at box level.
  - o Upload finding aid to OAC.

- MARC record
  - Collection level MARC record, searchable in the library's online catalog when other minimal processing is complete. The collection is now open for research.

STANDARDS FOR DESCRIBING ARCHIVAL COLLECTIONS

Content Standards for Finding Aids

Archival collections are described according to the Society of American Archivists' *Describing Archives: A Content Standard* or DACS. EAD finding aids must also conform to the *OAC Best Practice Guidelines for EAD* or the OAC BPG EAD by the OAC Working Group, Metadata Standards subcommittee, so that they can be hosted online by the Online Archive of California (OAC). Repository-specific guidelines for the LACMA Archives is provided in this section as well as standards for punctuation when entering headings into Archivists' Toolkit and sources for topical and name subject headings.

Collection Number (or Local Identifier, DACS 2.1.3)
Collection numbers are made up of three elements.

- The first element of the collection number is taken from the name of the creator or creating department. Generally use the first three letters of the creator or department name as the first element of the collection number. For example "Photo Services" becomes **PHO**.
- Use the second element of the collection number to differentiate creators with the same first three letters in the name. For example, collections created by Photo Services, have the first two collection number elements **PHO.001**. Collections created by the Photography curatorial department have the first two collection number elements **PHO.002**. The number in the second element is determined by the order of creation.
- The third element indicates the collection. **PHO.001.003** indicates the third collection created by the Photo Services department to be processed. **PHO.002.001** indicates the first collection created by the Photography curatorial department to be processed.

Conditions Governing Access Element. DACS 4.1.

The following is the default text for this element.

> Open for use by qualified researchers and by appointment only through the Los Angeles County Museum of Art Balch Art Research Library. Telephone 323-857-6118 or email library@lacma.org.

Conditions Governing Reproduction and Use Element. DACS 4.4

The following is the default text for this element.

> Contact the Balch Research Library for information on publishing or reproducing materials included in these records. Permission is granted by the Los Angeles County Museum of Art as the owner of the physical materials, and does not imply permission from the copyright holder. It is the responsibility of the researcher to obtain all necessary permissions from the copyright holder.

Preferred Citation. DACS 7.1.5

Formulate the preferred citation for each collection in the following manner:

> [Description of item], [Name of collection], Los Angeles County Museum of Art Balch Art Research Library, [Collection number].

Subject Headings.

Sources:
- Library of Congress Subject Headings
- Art and Architecture Thesaurus

Guidelines:
- The first letter of each word of a subject heading is capitalized. This includes Art and Architecture Thesaurus terms.
- Do not add a period at the end of the heading.
- Subdivided subjects from LCSH will still have the source Library of Congress Subject Headings.

Names.

Sources:
- NACO
- Union List of Artist Names
- From the collection, constructed according to AACR2 or DACS Chapters 12 (persons and families), 13 (geographic names), and 14 (corporate bodies).

Guidelines:
- Named artists subdivided by a work of art: Enter the standard form of the name (in reverse order) with the name of the work, separated by a double hyphen. For example:

  Matisse, Henri, 1869-1954--La Gerbe (The Sheaf)

- Always check for a local heading before constructing a new name heading.
- Do not add a period at the end of the heading.
- Only collection creators with be given the function "Creator." Creators of documents or publications within a collection may be added with the function "Subject" with the role "Creator."
- In the finding aid a list of one or more of these additional creators with the heading "Additional authors" may be created to distinguish them from named subjects. However this list cannot be created or stored in Archivists' Toolkit and must be created directly in the code of the EAD finding aid. For example:

<controlaccess>
<head><emph render="bold">Additional authors</emph></head>

```
<persname source="ulan" role="Creator (cre)">Detouche, Henry Julien, 1854-
1913</persname>
 </controlaccess>

 <controlaccess>
 <persname source="naf" role="Correspondent (crp)">Rops, Félicien, 1833-1898</persname>
 <subject source="lcsh">Art, Belgian--19th century</subject>
 <genreform source="aat">Auction catalogs</genreform>
 </controlaccess>
```

Structure Standards for Finding Aids

Order of Elements

Place the elements of the finding aid front matter in the following order. (Also see OAC BPG EAD 3.2 for additional information on order of finding aid elements.)

- Abstract (optional)
- Biographical/historical note (required)
- Scope and content note (required)
- Conditions governing access (required)
- Conditions governing use (required)
- Arrangement (required)
- Controlled access terms (required)
- Container list (recommended)
- All other indices or appendices (optional)

Filing title

The OAC BPG EAD requires a filing title for each finding aid. (For more on collection titles see DACS 2.3.)

- For collection titles with a personal name in the name segment, enter the name in indirect order followed by the nature of the materials segment to create the finding title for the finding aid.

  For example for the collection *Pratapaditya Pal correspondence* the filing title is: **Pal, Pratapaditya correspondence**

- For collection titles with a corporate name in the title segment, enter the name in direct order. Include *The* and *A* at the beginning of the filing title if that is where they appear in the collection title.

Component Tags

The OAC BPG EAD requires that component levels be numbered (OAC BPG EAD 3.7). See *Archivists' Toolkit User Manual Version 1.5/1.5.9.* Chapter 14, pp. 222-223 for instructions.

<u>**External Digital Media**</u>

The *Archivists' Toolkit User Manual Version 1.5/1.5.9* describes digital objects as "digital content files that are accessible through a network at least by the repository's staff, if not by users."

At this time Archivists' Toolkit does not have any standard tools to describe files stored in external storage media such as external hard drives, DVDs, flash media, or floppy disks. The following steps are to be used to account for this media in Resource Records in Archivists' Toolkit to track the physical locations of this media.

External storage media in Archivists' Toolkit is to be treated as an instance associated with a resource component.

- One disk may store files associated with multiple resources and/or multiple resource components, and a resource component may have associated instances on more than one disk or analogous storage device.

External digital storage media is handled in Archivists' Toolkit as an "analog instance." (See *Archivists' Toolkit User Manual Version 1.5/1.5.9.* **Chapter 9: Describing Archival Materials, pp. 122-124.)**

- When selecting the type of instance you would like to create, select the specific media type, for example 3.5" floppy, CD, DVD, or Zip.
    - "Computer disks/tapes" is also provided as an instance type, but it is preferable to use the specific type of media, to determine if special hardware will be required.
    - The archivist may create additional instance types if necessary
        - For instructions on customizing this lookup list see: *Archivists' Toolkit User Manual Version 1.5/1.5.9* Chapter 15: Customizing the Archivists' Toolkit, pp. 257-268.

The most specific container type to be described in the Analog Instance window must correspond to the storage media being described.

- For example for a 3.5" floppy disk instance, select "disk" as the container type from the drop down menu in the Container 2 Type drop down list.
- If the media is not contained in a larger container such as a box or drawer, choose the media type ("disk" for example) from the Container 1 Type drop down list.

Describe similar types of media together.

- If the resource component you are describing has instances on multiple disks of the same format, use one instance to describe them instead of creating a new instance for each item.
    - When working with a resource component with three 3.5" floppies, create one instance, using the container indicator to capture the multiple items.

Create a new instance for each type of media.

- For example, if the resource component you are working with has files on both CDs and 3.5" floppies, create an instance for each media type. If the resource component has three CDs and four 3.5" floppies, you would create two instances.

MANAGING EAD FINDING AIDS

This section describes steps for saving and managing EAD finding aids specific to the Balch Art Research Library. See *Archivists' Toolkit User Manual Version 1.5/1.5.9*. Chapter 14, pp. 222-223 for complete instructions for exporting EAD from the Archivists' Toolkit.

File Naming

When saving EAD finding aids, name the file with the collection number, separating each element of the collection number with an underscore.

For example, for the Modern Art Department Art and Technology records, the collection number is MOD.001.001, therefore the name for the EAD file is **MOD_001_001.xml**.

Editing Finding Aids

The Balch Art Research Library uses the text editor NoteTab Pro from Fookes Software (www.fookes.com) and the EAD Cookbook- 2002 Edition by Michael J. Fox to edit EAD finding aids after export from Archivists' Toolkit. The EAD Cookbook and documentation is available for download at http://www.archivists.org/saagroups/ead/ead2002cookbook.html.

TRANSFERRING AND ACCESSIONING ARCHIVAL RECORDS

Boxing and transferring records to the archives. Steps 1-8 to be performed by departments, steps 9 and 10 to be performed by the archivist.

1. Transfer records into letter/legal "bankers box" or document box such as Office Depot Item #940320. If you are concerned that your files will not fit in this box contact the archivist before proceeding.

2. Pack items into boxes in the same order that they were in in filing cabinet drawers.

3. Do not include any hanging file folders.

4. Remove files from binders before packing in boxes. If the binder included tabs or a cover page, include these when packing the contents in the document box.

5. Create a **Box Inventory** according to the directions. Save the document, naming the file with the **Box code.**

6. Create a **Box Label**. Attach box label to the end of the box using clear packing tape. Do not use Scotch tape or masking tape. Do not attach label to box lid.

7. Contact the archivist for pick up.

8. Email the container lists to the archivist as an attachment.

9. In **S:\Rsrchlib\Archival Accessions** create a folder with the same name as the accession number. Save box inventories here.

10. Create a Container List from the box lists and save with a file name constructed from the accession number (see item number 2 below) and "container list" for example: "2012.002.container list." Save the document as a **.xls** file in the accession's folder in **S:\Rsrchlib\Archival Accessions.**

Accessioning materials with Archivists' Toolkit. To be performed by the archivist.

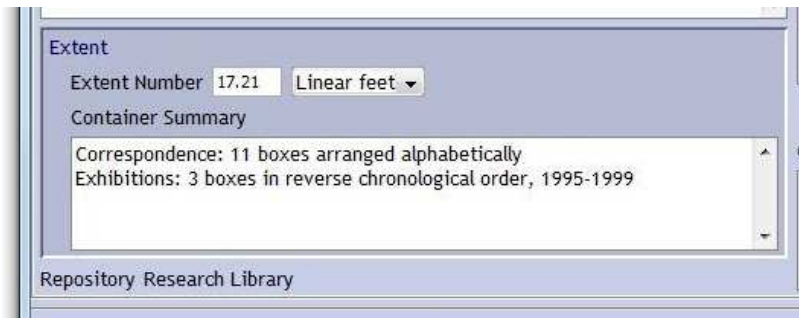Steps 1 through 7 are required when creating an accession record.

1. From the **Main Screen**, select **Accessions** and click the **New Record** button.

> **NOTE:** Items 2 through 10 are performed in the **Basic Information** tab in the Archivists' Toolkit Accession Module.

2. Enter a unique **Accession Number**. The first element is the year of the accession; the second element is the number that accession is for that year. The second element must have three digits, using leading zeros if necessary. For example the accession number **2012.002** indicates that the materials are the second accession for the year 2012. Each accession record must have a unique accession number.

3. Enter the date of the accession in the **Accession Date** field in mm/dd/yyyy format. The accession date may be different from the date you are creating the record.

NOTE: You cannot save the record unless you have entered an **Accession Number** and **Accession date.**

4. Select a **Resource Type** from the drop down menu. For accessions transferred from LACMA departments, the type is usually **Records.**

5. Enter a **Title.** The title should be descriptive and include the name of the department transferred from, or the name of the creator.

6. Enter an **Extent Number** and select an extent type from the drop down list.

7. **Container Summary.** Use the container summary field to *briefly* describe the containers in the accession. It may be used to describe the different types of containers or the general nature of box contents in an accession as in the example below.

8. **Dates.** If you do not know the exact dates of the accession, enter a circa date in the **Date Expression** field. For example "circa 1980 – 1999." When using the **Date** and **Bulk Date** begin and end fields, you must enter a year integer, for example "1999." You cannot enter text, spaces, or other characters into these fields. (See *Archivists' Toolkit User Manual Version 1.5/1.5.9,* Item number 7 in the section "Addition Elements" on page 87.)

9. **Locations.** Click the add location button and select the appropriate location from the list by clicking on it once and then clicking the **Link** button. An accession may have multiple locations. Click **Close window** button when through. You must click **Save** in the Accession Module to save the linked locations to your record.

> **NOTE:** Items 10 and 11 are performed in the **Accession Notes** tab in the Archivists' Toolkit Accession Module.

10. Select the **Acquisition Type** from the drop down list. For accessions from museum departments, the type will always be **Transfer.**

11. **External Documents**. Link the container list Excel document (See *Archivists' Toolkit User Manual Version 1.5/1.5.9,* Item number 7 in the section "The Accession Notes Tab" on page 90.) The Excel document must be saved as an **.xls** file before linking. You must click **Save** in the Accession Module to save the linked document to your record.

> **NOTE:** Item 12 is performed in the **User defined fields** tab in the Archivists' Toolkit Accession Module.

12. **Container List.** Copy and paste the text of the container list in this field. This allows the contents of the container list to be searched directly from Archivists' Toolkit. It is not necessary to format the text in any way.

LACMA

Box Code		
Department Code	Date Stored	Box Number

		Choose One	
Department:		**DO NOT DESTROY** (check box)	**X**
Contact Person :		Destroy Date:	
Destination: ARCHIVES			

Folder #	Folder Label
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
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30	

<u>LA</u>CM<u>A</u> RECORDS STORAGE BOX

		Choose One	
Department:		**DO NOT DESTROY (check)**	**X**
Contact Name:		Destroy Date	
Destination:	ARCHIVES		

Brief Description of Contents: [For example "Dali Exhibition," "Broad Gala," "General Correspondence A-B."]

Dates of contents: [The date range of the files]

BOX CODE		
Department Code	Date Stored	Box Number

VALIDATING AND UPLOADING EAD FINDING AIDS USING voroEAD

Using Cyberduck to Submit EAD Files to the Online Archive of California

The OAC technical staff have found that WebDav services for Windows 7 are not reliable. Until Windows 7 comes up with a fix/patch, they recommend the use of Cyberduck (open source and free) for Windows 7 users.

Installing Cyberduck

1. Go to http://cyberduck.ch/

2. On the right hand pane, download Version 4.1, Cyberduck-Installer-4.1.exe (for

   Windows XP and 7).

3. Double click on the .exe file and install on your workstation.

Setting up WebDAV in Cyberduck

1. Click on File --> Open Connection.

2. In the Open Connection dialog box, select WebDAV (Web based distributed Authoring and Versioning) from the drop-down menu.

3. Leave Port: as is.

4. In the Server box, copy in your voroEAD Production URL: https://voro.cdlib.org/oac-dav/cam

5. Un-click "Anonymous" login.

6. Type in your voroEAD user name and password.

7. Click on "Connect".

8. You should now see your voroEAD folders.

9. Click on "Bookmark" on the menu --> New Bookmark. It should open with the voroEAD WebDAV connection you just set up. Give the nickname **"OAC Production".** The next time you start up Cyberduck, it will show up as a little hard drive connection icon at the bottom.

10. Repeat steps for your voroEAD Test directory and give it the nickname **"OAC Test".** The voroEAD Test URL is: https://voro.cdlib.org/test-oac/cam

Using the voroEAD Testing Interface

This interface allows the validation of finding aids against the OAC BPG EAD before submitting them to the Online Archive of California. It also allows the HTML version of the finding aid that will be available to OAC users to be previewed.

1. Open **Cyberduck** and select **OAC Test** from the book mark menu. This will open the Research Library's voroEAD testing directory. Log in if required.

> **NOTE:** The log in for the OAC Test and Production directories in Cyberduck is the OAC Contributor password.

2. Open the folder containing the EAD finding aid you would like to test.
3. Drag and drop the file to be tested into the OAC Test directory.
4. Go to the Research Library's voroEAD testing interface by entering this URL into a browser: https://voro.cdlib.org/cgi/blackhole.cgi. Log in.
   The voroEAD testing interface will open displaying all of the EAD files that have been saved in the OAC Test directory.
5. Select the file to process, using the interface. The system will validate the file against the EAD DTD (if submitting DTD-based files), or validate the file against the EAD XSD schema (if submitting schema-based files), and report any errors.

> **NOTE:** Some browsers may not display the validation errors, resulting in a "The XML page cannot be displayed" message; if you receive this message, select "View->Source" from your browser

Using the voroEAD Production Interface

This interface is used to submit EAD finding aids for display on the OAC. Do not perform these steps until a finding aid is complete, corrected, and ready for publication.

1. Open **Cyberduck** and select **OAC Production** from the book mark menu. This will open the Research Library's voroEAD production directory. Log in if required.

> **NOTE:** The log in for the OAC Test and Production directories in Cyberduck is the OAC Contributor password.

2. Open the folder containing the EAD finding aid you would like to test.
3. Drag and drop the file to be tested into the OAC Test directory.

4. Go to the Research Library's voroEAD production interface by entering this URL into a browser: https://voro.cdlib.org/cgi/process.cgi. Log in.
5. The voroEAD production interface will open displaying all of the EAD files that have been saved in the OAC Production directory.
   Select the file to process, using the interface. The system will validate the file against the EAD DTD (if submitting DTD-based files), or validate the file against the EAD XSD schema (if submitting schema-based files), and report any errors.

NOTE: Some browsers may not display the validation errors, resulting in a "The XML page cannot be displayed" message; if you receive this message, select "View->Source" from your browser

6. If there are no errors, the file will be automatically queued for publication. Files are generally published the following day.

RESOURCES

Archivists' Toolkit. *User Manual Version 1.5/1.5.9*, Archiviststoolkit.org,
   http://archiviststoolkit.org/http%3A/%252Farchiviststoolkit.org/support/AT1_5_U
   ser%20Manual.

Fox, Michael J. *EAD Cookbook (EAD Version 2002).* "EAD Help Pages" Society of
   American Archivists EAD Roundtable,
   http://www.archivists.org/saagroups/ead/ead2002cookbook.html.

OAC Working Group, Metadata Standards Subcommittee. *OAC Best Practice
   Guidelines for EAD (OAC BPG EAD) Version 2.0, April 2005.* California Digital
   Library, http://www.cdlib.org/services/dsc/contribute/docs/oacbpgead_v2-0.pdf.

Society of American Archivists. *Describing Archives: A Content Standard.* Chicago:
   Society of American Archivists, 2004.