Manuscript and Archival Records Processing Manual

Archives and Special Collections

Arizona State University Libraries

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Introduction

1.1 Core Concepts

Respect des Fonds and Original Order are the two core concepts that guide archival arrangement. These principles work together to provide the archivist and the researcher with information about the context that the records were created and used in. This context influences the records' content and coverage and so can provide valuable information about the attitudes that the records reflect.

1.1.1 Respect de Fonds

Respect des fonds states that records created, accumulated, assembled, and/or maintained and used by an individual or organization should be kept together according to their origin and not mixed or combined with those of another person or organization. For example, a number of letters regarding Arizona's statehood cannot be combined with other similar materials to form an artificial Arizona statehood collection.

1.1.2 Original Order

Original order refers to keeping records in the order in which they were kept by the person or organization that created, accumulated, assembled, and/or maintained them. In other words, the groupings, file systems, subdivisions, and other structuring provided by the records' creator should be maintained. For example, letters originally organized by date should be maintained in that order.

1.2 Types of Collections at Archives and Special Collections (ASC)

1.2.1 Manuscript Collections

Manuscript collections house materials documenting the history, accumulated work, and/or activities of a person, family, or corporate body. Repository curators actively seek out donations that fit applicable collecting policies. The majority of the collections that ASC formally processes are manuscript collections.

1.2.2 Archival Collections

In the context of ASC, archival collections are those housing records created by Arizona State University. Because ASU is a public institution, these records are governed by Arizona law concerning the retention and disposition of public records. ASU adheres to a series of records retention schedules documenting the life cycle of archival records from their inactive use to their eventual retention (including processing) or destruction.

1.3 Finding Aids

Finding aids are tools created to establish administrative and intellectual control over archival materials and to provide researchers with rich, informative access to the collections. There are many different types of finding aids that can be created, including accession and catalog records, databases, and indexes.

This guide deals with collection-level inventories. This type of finding aid is the most common in modern special collections libraries. Each one describes one of the collections that the organization holds. They can frequently be searched as a group. Often, the term “finding aid” is used to generically refer to these types of inventories.

Appraisal, Duplicates, Discards, and Scheduled Records

It is the responsibility of all ASC archivists and curators to appraise the informational, evidentiary, and intrinsic value of manuscript and archival collections. While processors may assume that some form of appraisal has taken place with collections already in the department's custody, appraisal should continue when compiling inventories and performing full processing.

2.1 Value of Materials

Appraisal of archival materials is based several types of value:

2.1.1 Informational Value

Informational value is derived from the information that a document or record contains. According to former Archivist of the United States T. R. Schellenberg, an item's informational value is based on three criteria:

1. <u>Uniqueness</u> means that the information contained in the record cannot be found anywhere else.

2. <u>Form</u> refers to the concentration of the information in the record (for example, legibility and completeness) as well as to how easily the information can be accessed (i.e. information stored on punch cards is more difficult to use than is typewritten information).

3. <u>Importance</u> indicates the extent to which the record served the needs of its creator during the active portion of its life cycle as well as the extent to which it is still relevant to the collection and may serve the needs of future researchers.

2.1.2 Evidentiary Value

Evidentiary value refers to a record's utility as evidence of an historical event or a relationship between people, organizations, and/or events.

It is often necessary for the archivist to conduct research on an individual or an organization before considering evidentiary value in order to establish a working understanding of the history of the individual or the institutional structure of an organization.

2.1.3 Intrinsic Value

Intrinsic value indicates that the record possesses a unique factor important to the department and/or to the University. Intrinsic value may derive from sentimental or symbolic value; artifacts and personal memorabilia often are selected more for their intrinsic values than any other appraisal criteria.

Because the informational value of items with high intrinsic value is often low and because the department has very limited facilities and staff support for preserving non paper-based materials, ASC attempts to sample artifacts and memorabilia rather than to collect them comprehensively.

2.2 Publications

Unless a book or periodical bears notations or marginalia, it should be removed from an accession and reviewed for possible addition to an appropriate book collection. If ASC or the larger ASU library system already owns a copy or copies of the work, consult with the relevant curator to determine whether or not the publication should be retained.

2.3 Duplicates

If multiple and identical copies of an item are found, save two and discard the rest. Annotations (for example, handwritten notes on an event program) render an item unique; these materials should be retained. It is not necessary to complete a deaccession form when removing duplicate materials unless those materials are subject to Arizona retention schedules (See Section 2.5). Before discarding duplicate materials, consult the Deed of Gift to determine the donor's first right of refusal.

2.4 Discards

Several types of records should be discarded or returned to the donor. Before discarding materials, consult the Deed of Gift to determine the donor's first right of refusal and contact the Archivist for Collections and Records Management so that a deaccession form can be completed and filed. Records that may be discarded include:

- Medical Records
- Canceled and Photocopied Checks
- Credit Card Statements
- Bills and Receipts Postdating the 19th Century
- Personal identification (Driver's License, Passport, etc.)
- Records containing student information protected by FERPA.

When in doubt, the archivist should consult with their colleagues and with the appropriate curator to determine whether an item should be kept or discarded. In general, it is considered good archival practice to keep an item and review its status in the future rather than to remove it immediately.

2.5 Scheduled Records

As a State Agency, Arizona State University is subject to the General Retention Schedule for State Agencies, Boards and Commissions maintained by Arizona State Library, Archives, and Records Management (http://www.lib.az.us/records/state.aspx). This schedule specifies retention periods for various types of records. This schedule applies **only** to records created by Arizona State University and other state agencies.

As of June of 2012, the types of records governed include:

- Approval to image Check 21 records
- Administration Records
- Audit Records
- Bond Records
- Civic, Convention and Cultural Facilities and Visitors' Bureau Records
- Copy Center and Mail Room Records
- Election Records
- Electronic Communications, Social Networking and Website Records
- Environmental Quality and Sustainability Records
- Equipment/Vehicle Services Records
- Facilities/Grounds Management Records
- Finance Records
- Flood Control Records
- Human Resources/Personnel Records
- Information Technology (IT) Records
- Law Enforcement Records
- Library Records
- Management Records
- Medical Records
- Public Health Records
- Purchasing/Procurement Records
- Warehouse/Supply Records
- Financial Aid Records
- Registrar Records
- Undergraduate Admissions Records

If these records are to be shredded or otherwise discarded, a deaccession form must be completed and a Report of Records Destruction filed with the State Archives. Contact the Assistant Archivist for Collections and Records Management for more information about this process.

Processing

3.1 Preliminary Research

Before processing a collection, the archivist should familiarize themselves with the history or biography of the creator, with the subjects represented in the collection, and with any access, reproduction, or disposition restrictions.

3.1.1 Administrative Research

Administrative research is conducted to identify any potential restrictions regarding access, reproduction, or disposition. The archivist should consult the following sources:

Donor File: Verify the existence of a gift or deposit agreement and take note of any access, reproduction, or disposition restrictions. **Do not** process a collection lacking this paperwork without authorization from the Head of Archives and Special Collections.

Case File: If the collection has a case file, consult the hard copy preliminary inventories and ensure that they are clearly marked as such. Check all case notes made by the archivist who performed the inventory, as these notes may aid you in arranging the collection.

Other Archival Institutions: Conduct a search for collections related to the one being processed at other archival institutions. Links to online finding aids describing these materials should be included in the final finding aid.

3.1.2 Biographical and Historical Research

Biographical and historical research is performed to learn about the collection's creator and the subjects represented. While researching, take sufficient notes to allow production of a Biographical or Historical Note in the final finding aid (See Section 4.3.8). Some potentially useful sources include:

Library Collections: See the Luhrs Reading Room reference staff for research assistance if necessary. Historical information may also be gleaned from material (for example vitas and company histories) contained in the collection.

Internet Sources: Potentially useful sources available online include:

- Arizona birth (1855-1938) and death (1844-1963) records (http://genealogy.az.gov/)
- Other primary source vital records (http://www.familysearch.org)
- Congressional Biographical Directory (http://bioguide.congress.gov)
- LexisNexis Academic (Available through the "Research Databases" tab at http://www.lib.asu.edu)

- User-submitted family trees and genealogical information (http://www.rootsweb.ancestry.com and http://www.familysearch.org)
- Cemetery records (http://www.findagrave.com and http://www.billiongraves.com).

3.2 Creating and Ordering Series

When organizing your collection, you may wish to create series and subseries in order to group materials that have a similar function or format. These groupings should reflect the original groupings used by the collection's creator (see Section 1.2 for more information about original order).

In rare instances, the original order is confusing or not practical from a research standpoint. In these cases, it may be advisable to create a new order that is serviceable. Impositions of new arrangements upon a collection should be described in the collection's processing note (See Section 4.3.8).

If a preliminary inventory or inventories exist, review them and the relevant case notes to aid in identifying series and sub-series. Do not create so many series that the arrangement scheme becomes confusing and do not divide the collection below the sub-series level.

Not all collections will warrant organization into series. For example, a collection consisting solely of the correspondence of one individual does not need to be subdivided. Generally speaking, a series should contain at least one linear foot of material.

3.2.1 Types of Series

In manuscript and archival collections, series are most commonly created based on format. Common format-based series include:

- Diaries/Journals
- Correspondence
- Photographs
- Audiotapes
- Videotapes
- Clippings

Series may also be created based on function. Examples of function-based series include:

- Legal Papers
- Business Papers
- Personal Papers
- Genealogical Research Papers

Within a single collection, you may have both format- and function-based series.

3.2.2 Arranging the Series

When determining the order in which the series should be placed within the larger collection, several factors should be considered.

- The series that shed the most light on the creator are placed first. These series typically contain records generated by the collection's creator, for example diaries and correspondence. Conversely, such secondary materials as newspaper clippings and ephemera (which may be about the creator or the creator's interests) generally fall at the end of a collection.

- Second, consider the size of the individual series. If you have a number of series that define the creator in the same way, order the series from largest to smallest. For example, a series consisting of four boxes of Legal Records would come before a series consisting of one box of Financial Papers.

- Finally, alphabetical arrangement of series can be used when neither of the other methods is applicable.

3.2.3 Numbering Series

Series and sub-series should be numbered using the following outline pattern:

Series I: Correspondence, 1975-1998
  Sub-Series A: Incoming Correspondence, 1975, 1990-1998
  Sub-Series B: Outgoing Correspondence, 1975-1998

Series II: Legal Papers, 1960-1998

3.3 Creating a Processing Plan

Once you have established series and sub-series (if necessary), write a plan outlining the series and subseries you intend to create and the order that you intend to give the materials. Show this outline to the Assistant Archivist for Collections and Records management for review and approval. This report does not need to be formal and it is understood that your plans may change as you proceed through the collection.

3.4 Sorting the Collection

Once you have established a processing plan, the collection should be physically rearranged to comply with this order. There are a number of ways to achieve this goal; the method that follows (performing a rough sort and then refining the organization) is among the most commonly used.

3.4.1 Rough Sort

Begin reorganizing the collection by arranging the materials in series and sub-series (if necessary) according to the organization that you established. Materials should remain in their original folders during this process. Do not organize the folders in the series and sub-series at this point. Revise your processing plan as necessary and discuss your changes with the Assistant Archivist for Collections and Records Management.

While sorting the collection, watch for duplicate items, personally identifiable materials (for example transcripts and passports), and publications that should be cataloged into an appropriate book collection. Discuss these materials with the Assistant Archivist for

Collections and Records Management before removing or discarding them. See Section 2 for additional information.

3.4.2 Refining Organization

Once you have completed your preliminary organization, begin organizing the folders in the first series. During this process, you should place the materials in appropriate folders (Section 3.5), undertake preservation measures as necessary, label the folders (Section 3.7), and place the folders in appropriate boxes in their final order (Section 3.6). Repeat this process with the remaining series.

3.5 Placing Materials in Folders

Transfer the contents of each original folder into an acid-free folder. Use the scored creases on the bottom of the folders to adjust the folder's width so that it holds the materials upright. A folder may be considered full when its width exceeds the width of the top digit of the index finger. Do not overstuff folders, as the excessive weight of overfull folders will damage their contents over time.

If the original folder is too full, divide its contents into two folders and label the folders appropriately. For example:

Folder 1: Correspondence, 1980 March (1 of 2)
Folder 2: Correspondence, 1980 March (2 of 2)
Folder 3: Correspondence, 1980 April

As you rehouse your collection, you will find items requiring preservation measures. Refer these materials to the Assistant Archivist for Collections and Records Management for further processing.

3.6 Placing Folders in Boxes

As acid-free folders are filled, place them into appropriately sized acid-free boxes. Use whatever box size (or sizes) you need to house your collection. Do not overfill boxes, as overstuffed boxes will damage their contents over time. You should be able to remove a folder without pulling out any additional folders with it. Boxes should be given temporary labels including the box number and any other relevant information the processor finds appropriate.

If a box is not completely filled, insert a box spacer to keep the folders from slumping or falling over. These spacers are extremely important, as materials will begin to curl and fold very quickly if they are not supported. This damage will make the document(s) more fragile and so more difficult to use for research or digitization.

Do not separate the series by container. You will be able to show the differences in series on the finding aid.

3.7 Labeling Folders

The tab of each folder should be labeled with the MSS number at the far left, the folder title (including dates) to the right of the MSS number, and the box and folder number at the far right.

For example, a folder titled “Evan Mecham” located in Series I: Correspondence of MSS-500: Jim Kolbe Papers would be labeled as:

MSS-500 Evan Mecham, 1980 June 10-15 1/20

Series and sub-series do not affect folder numbering. The first folder in each box is "Folder 1" and the folders following it are numbered sequentially. Because these box and folder numbers are unique, reference staff and researchers use them to refile materials that have been removed from the collection.

To format dates:

- **Single Year**: All materials fall within one year (for example "1965")
- **Single Day**: All materials fall within a certain day. Follow a year-month-day pattern (for example, "1906 March 17 ")
- **Date Ranges**: Earliest and latest dates of the materials (for example, "1849-1851" or "1920 January-1955 June 20")
- **Bulk Dates**: The bulk of the materials fall into a smaller portion of the overall date range (for example "1951-1990 (bulk 1980-1990)")
- **Significant Gaps in Time**: A large gap exists and date ranges or bulk dates will be misleading (for example, "1850, 1934-1949")
- **Estimated Date Ranges**: When date ranges can be reasonably estimated. Be sure to use “circa” and not “ca.” or other abbreviations (for example "circa 1870-1879" or "circa 1980 March")
- **No Dates**: use “Undated” to indicate that the date is unknown. Do not use “unknown,” “n.d.” or other term. Be sure that you capitalize the word “Undated.” If at all possible, try to estimate a date range for the materials and avoid using “Undated.”

3.8 Oversized Items

Create a series titled “Oversized Materials” at the end of your collection to describe oversized items. If you do not encounter any oversized items in the collection, you do not need to include this series. You may find oversized items in two places:

3.8.1 Oversized Items Housed Separately

Oversized items are often moved to appropriate housing when a collection is accessioned. House these items appropriately and list them in the “Oversized Materials” series using box number, folder number, folder title, date, and any additional fields necessary to describe the item appropriately (see Section 4.2 for information regarding container lists). For example:

Series VI: Oversized Materials

Box 17/OV1 Folder 15 Poster Promoting CAP Funding, 1967

Box 17/OV3	Folder 16	Map of Central Arizona Project Canals, 1985

3.8.2 Oversized Items Interfiled with Letter and Legal Sized Materials

Oversized items not removed during accessioning may be found in letter and legal sized folders. Remove these items to appropriate storage. Note on the original folder that "[Oversized Materials Removed to Box #, Folder #.]. Label the oversized folder with the same title as the original folder and note that [Oversized Materials Removed from Box #, Folder #]. When entering your container list, record these notes in the "Physical Description" field (see Section 4.4.3.1).

Because the folder title will be listed in the portion of the finding aid describing letter and legal sized materials, the titles of folders that oversized materials are removed to do not need to be listed individually. Instead, describe these materials at the box level using the box number, box title (i.e. "Oversized Materials"), and date. For example, a container list describing both oversized items separated during accessioning (see Section 3.8.1) and removed from letter and/or legal sized folders would be formatted as follows:

Series VI: Oversized Materials

Box 17/OV1	Folder 15	Poster Promoting CAP Funding, 1967
Box 17/OV1	Folder 16	Map of Central Arizona Project Canals, 1985
Map Case		Map of Maricopa County, 1975
Box 18/OV1		Oversized Materials, 1952-1968
Box 19/OV2		Oversized Materials, 1969-1985

3.8.3 OV Designations

Archives and Special Collections stores oversized materials in four sections: OV1, OV2, OV3, and in the map case. The section that the box is stored in is indicated on the finding aid by adding "/OV#" to the appropriate box number, for example "Box 25/OV3" or "Box 15/OV1." For items housed in the map case, give the box number as "Map Case."

Materials are assigned to oversized shelving based on the size of the box they are housed in:

- OV1: 14" x 18" or smaller
- OV2: between 14" x 18" and 16" x 20"
- OV3: between 16" x 20" and 20" x 24"
- Map Case: Larger than 20" x 24"

3.9 Labeling Boxes

Once all your folders have been placed in boxes, create a label including the collection's name, MSS number, and box number for each one. ASC uses two label sizes: 3 1/3" x 4" (used for record storage cartons, 5" wide Hollinger clamshell document boxes, and 3" high oversize boxes) and 1 1/3" x 4" (used for 2.5" wide clamshell document boxes and 1" high oversize boxes).

Formatting 3 1/3" x 4" Labels

Use the template provided in Word for Avery 5164 labels. Format the label as follows, adding OV designations (see Section 3.8.3) to the box number as needed:

Archives & Special Collections

[Collection Title]

MSS-[Number]

Box [Number]

Arizona State University
Libraries

Formatting 1.33" x 4" Labels

Use the template provided in Word for Avery 5162. Format the label as follows, adding OV designations (see Section 3.8.3) to the box number as needed.

Archives & Special Collections
[Collection Title]
MSS-[Number]
Box [Number]

ASU Libraries

Creating the Finding Aid

4.1 Overview

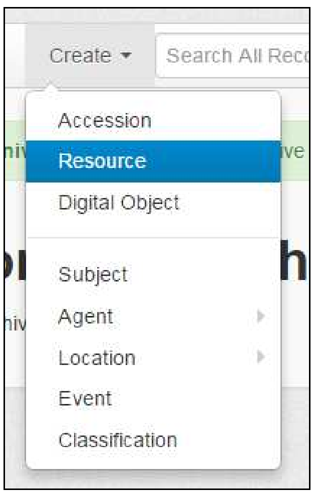
ASC uses ArchivesSpace to create finding aids. This database can be accessed at https://aspace-back.lib.asu.edu. If you do not have ArchivesSpace credentials, contact the Assistant Archivist for Collections and Records Management.

ArchivesSpace **DOES NOT** save automatically and unsaved data cannot be recovered. Be sure to save your work frequently!

4.2 Create a New Resource Record

ArchivesSpace uses the term "Resource" to denote finding aids. To create a new resource record:

1. Select the appropriate repository using the "Select Repository" drop-down menu
2. Select "Resource" from the "Create" drop-down menu



4.3 Writing the Front Matter

After creating a new resource record, use the fields provided to enter your front matter.

Note: Appendices can generally **not** be coded in EAD and so will be available in **print only**. Do not write an appendix unless specifically instructed to do so by the Assistant Archivist for Collections and Records Management or the Head of Archives and Special Collections.

4.3.1 Collection Title

Enter the collection's title in the "Title" field. Generally, a collection's title consists of a name segment and a term indicating the nature of the collection being described.

The name segment provides the name(s) of the person(s), family (families), or organizations(s) primarily responsible for creating, assembling, or maintaining the materials. Names should be recorded in the form by which the creator is generally known. If three or fewer people are credited with creating the collection, all of the names should be included; if there are more than three creators, use the creator whose name predominates.

The segment of the title indicating the nature of the archival unit can take several forms:

- "Papers" refers to the personal papers of an individual or family. For example, a group of materials (in a variety of formats) created by Severus Snape would be titled "Severus Snape Papers." A group of materials created by several members of the Snape family would be titled "Snape Family Papers."

- "Records" refers to the papers of an organization or corporation. For example, a group of business-related pieces (including correspondence, ledger books, and receipts) from the Duff Brewery would be titled "Duff Brewery Records."

- "Collection" refers to a group of materials brought together to create a non-organic grouping. For example, if John Redcorn collects a variety of materials regarding Carl Hayden and donates them to Archives and Special Collections, they would be titled "John Redcorn Collection Regarding Carl Hayden."

- If only one or two forms of material are present, use those form(s). For example, a set of diaries and letters created by Malcolm Reynolds would be titled "Malcolm Reynolds Diaries and Letters."

- If more than three forms of material are present but one or two forms predominate, use these forms followed by "and other materials." For example, a group of materials created by Dean Winchester consisting primarily of photographs would be titled "Dean Winchester Photographs and Other Materials."

4.3.2 Manuscript Number

Manuscript numbers are unique identifiers assigned to all processed collections. These numbers begin with "MSS" and are followed by the collection number, for example "MSS-225." Do not assign a manuscript number in any other format unless specifically instructed to do so by the Assistant Archivist for Collections and Records Management or the Head of Archives and Special Collections.

Contact the Assistant Archivist for Collections and Records Management to have an MSS number assigned to your collection. Be sure to obtain an MSS number before you begin writing your finding aid.

Enter the manuscript number in the "Identifier" field. Write "MSS" in the first space and the number in the second, for example:

4.3.3 Level of Description

Set the “Level of Description” drop-down box to “Collection.”

4.3.4 Dates

Provide a date range indicating the earliest and latest dates represented in the collection. Inclusive dates are mandatory; bulk dates may be added if applicable. These dates are formatted in the same way as folder dates (see Section 3.7). There are two concepts to keep in mind when determining the collection’s dates:

- Dates describe the intellectual content of the materials in the collection, not necessarily the dates of the materials’ creation. Thus, a photocopy of a letter written in 1862 would be dated 1862.
- Narrow down the date range as specifically as possible.

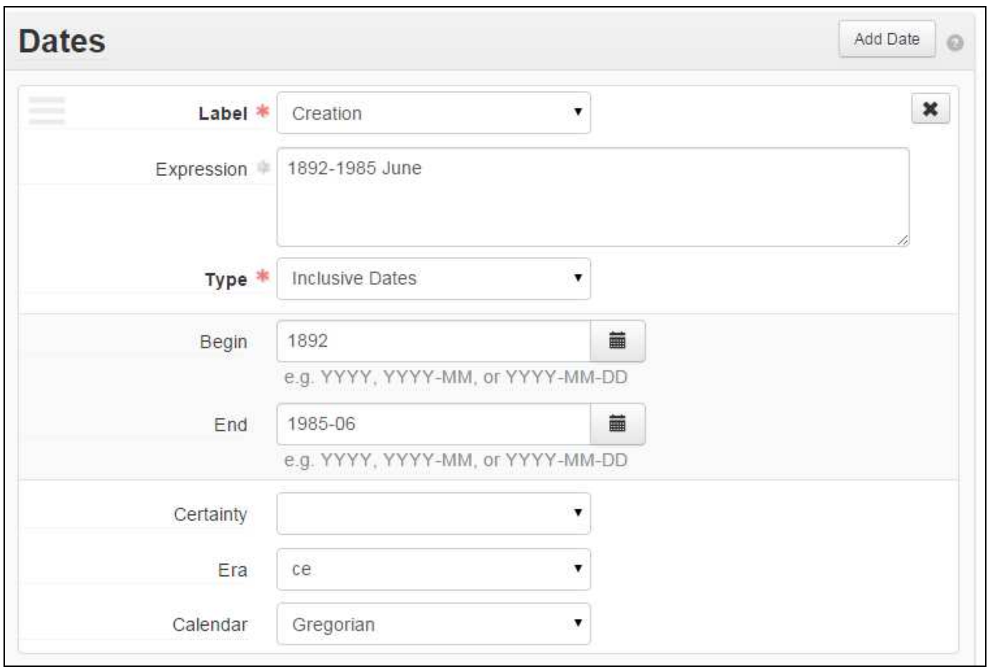
To enter dates:

1. Click on the “Add Dates” button
2. Set the “Label” drop-down to “Creation”
3. Set the “Type” drop-down to either “Inclusive Dates” or “Bulk Dates”
4. Enter the earliest date represented in the collection in the “Begin” box and the latest date represented in the “End” box. Format dates using the YYYY-MM-DD pattern.
5. Enter a natural-language expression of the date range in the “Expression” field. The examples given in Section 3.7 represent the type of statements that should be included here.
6. If the dates are not certain, select “Approximate” or “Inferred” from the “Certainty” drop-down menu.
    a. “Approximate” means that you estimated the material’s creation date based on its individual characteristics or circumstances. For example, if you have a letter written on stationary consistent with the type

commonly used in the 1870s, you would enter “1870” in the appropriate date field, "circa 1870" in the "Expression" field, and select “Approximate” in the “Certainty” drop-down.

b. “Inferred” means that you determined the materials’ creation date based on their content. For example, if you have an undated photograph showing an identified building under construction, you can infer the date of the photograph using the date of the building’s construction.

For example:



4.3.5 Extent

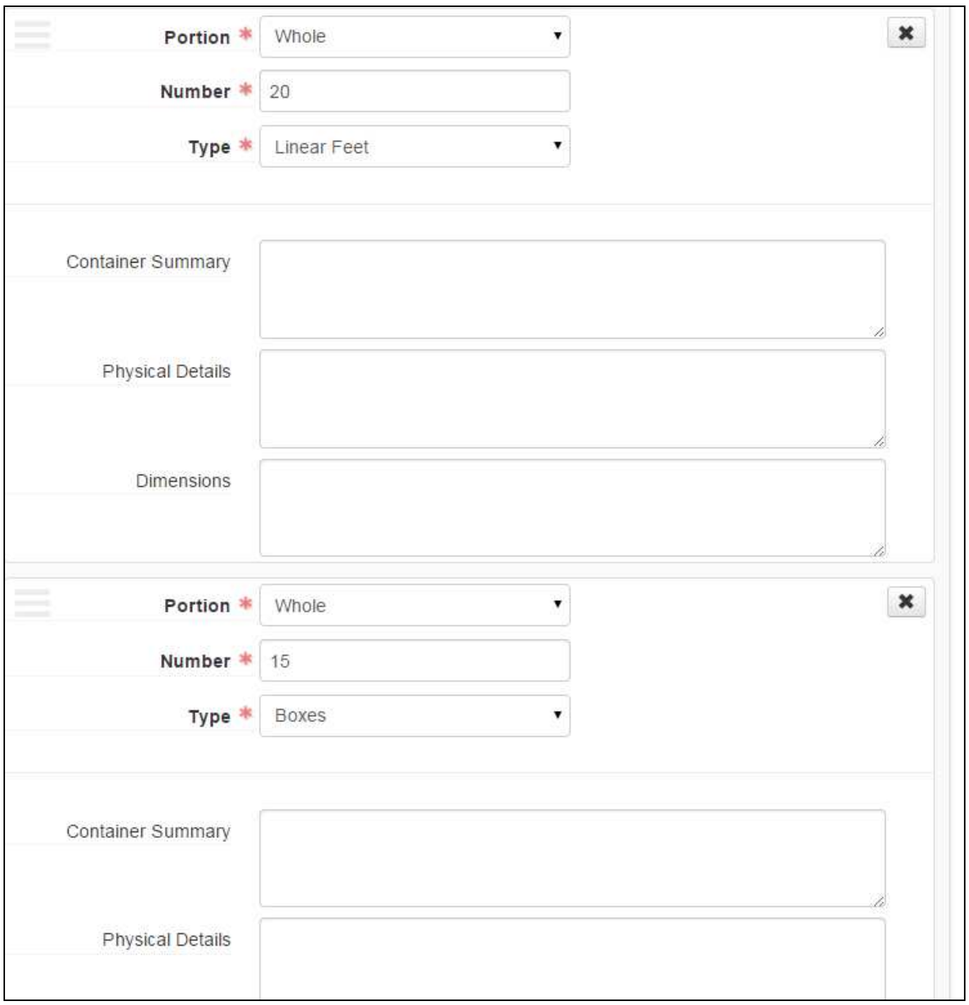
You will enter two pieces of information in the “Extent” field: total linear feet and total number of boxes.

To enter these numbers:

1. In the “Extent” field supplied, set “Portion” to “Whole” if it was not set automatically.
2. Enter the total number of linear feet in the “Number” field.
    a. The linear foot measurement should include one number before and either one or two numbers after the decimal point, for example “0.5 linear feet” rather than “.5 linear feet” or “4.0 linear feet” rather than “4 linear feet.”

3. Set the “Type” drop-down to “Linear Feet”
4. Click on the “Add Extent” button to create a new Extent field
5. Set “Portion” to “Whole” if it was not set automatically.
6. Enter the total number of boxes in the “Number” field
7. Set the “Type” drop-down to “Boxes”

For example:



4.3.6 Finding Aid Data

Complete the following fields in the “Finding Aid Data” section:

1. <u>Finding Aid Title</u>
   Enter the title you created in Section 4.3.1 in the “Finding Aid Title” box.
2. <u>Finding Aid Filing Title</u>

a. Personal Names: For collection titles beginning with a personal name, invert first and last names and enclose the first and middle names or initials in parentheses. For example, the filing title for the H. H. Nininger Papers would be “Nininger, (H. H.) Papers.”

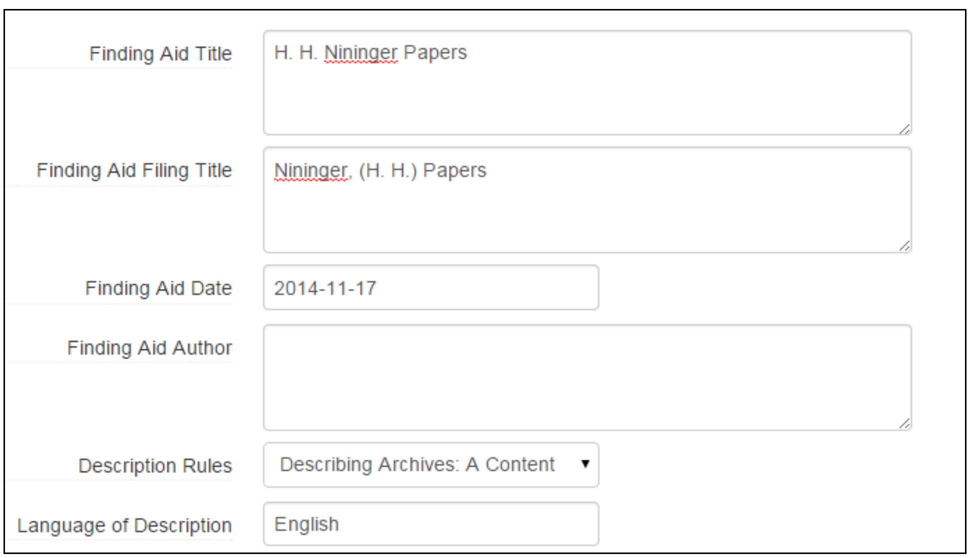
b. Family and Corporate Names: For collection titles beginning with family or corporate names, enter the collection title as it appears in the “Finding Aid Title” box.

3. Finding Aid Date
   Enter the date you finished the finding aid on in the “Finding Aid Date” box. Use YYYY-MM-DD format.

4. Finding Aid Author
   Enter your name in the “Finding Aid Author” box.

5. Description Rules
   Select “Describing Archives: A Content Standard” from the “Description Rules” drop-down box.

6. Language of Description
   Enter the name of the language that you are writing the finding aid in. In almost all cases, you will enter “English.”



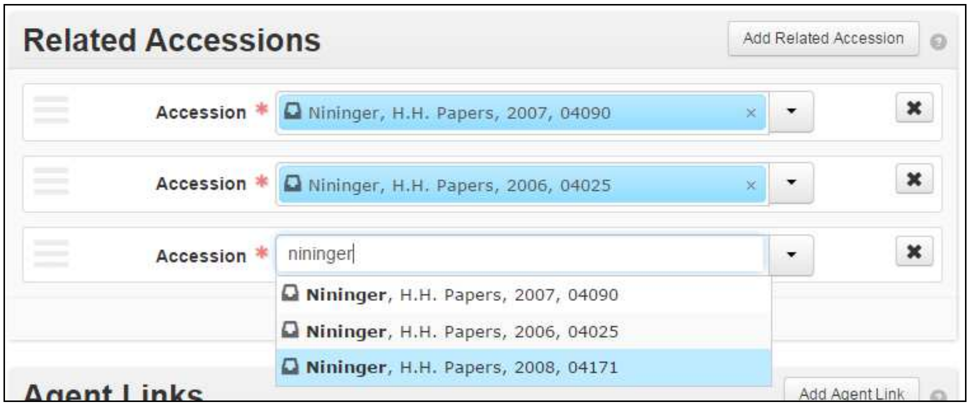
4.3.7 Related Accessions

Use this field to link your Resource Record to the relevant Accession Record(s).

1. Click on “Add Related Accession” to create a new Related Accession Field. If you have already linked an accession to the resource record, you can add a new field by clicking on the “+” at the bottom of the existing record.

2. Type part of the accession record’s title or number into the field provided.

3. In the list that appears, click on the accession record you want to link to the resource record.
4. Repeat steps 1-3 until you have linked all of the relevant accession records.



4.3.8 Notes

To create a new note, click the “Add Note” button and select the appropriate type of note from the “Note Type” drop-down that appears.

Notes marked with a * in the following list are mandatory

***Abstract**

To create this note, set “Note Type” to “Abstract” and enter your text in the “Content” box that appears.

The abstract is a brief description (four complete sentences or less) of the collection’s contents designed to give the researcher a general outline of the materials. It should include:

- Primary name(s) and subject(s) covered (for example, Central Arizona Project, Carl Hayden, or Phoenix photographers).
- Specific geographic area(s) covered.
- Specific time period(s) covered.
- Primary format(s) of the materials included (for example, photographs, letters, or receipts).

See Appendix D for examples of well written abstracts.

***Arrangement**

To create this note, set “Note Type” to “Arrangement” and enter your text in the “Content” box that appears.

This note provides information about the collection's organization. In most cases, it will take the form of a brief note about the collection's extent and a list of the series and sub-series included. ASC uses the statement "This collection consists of [spell out number of boxes] divided into [spell out number of series]:" followed by a list of the series and subseries. For example:

This collection consists of one hundred and thirty-five boxes divided into seven series:

- Series I: Personal
- Series II: Boards and Memberships
- Series III: Business
- Series IV: Politics
- Series V: Publications
- Series VI: Writings
    - Sub-Series A: Books
    - Sub-Series B: Magazine Articles
    - Sub-Series C: Newspaper Columns
    - Sub-Series D: Radio Programs
    - Sub-Series E: Radio and Film Scripts
    - Sub-Series F: Short Stories
    - Sub-Series G: Speeches
- Series VII: Media, Oversize, Artifacts
    - Sub-Series A: Photographs
    - Sub-Series B: Film
    - Sub-Series C: Video Tapes
    - Sub-Series D: Audio Tapes
    - Sub-Series E: Edison Voicewriter Dictation Discs
    - Sub-Series F: Wire Recordings
    - Sub-Series G: Phonograph Recordings
    - Sub-Series H: Scrapbooks, Posters
    - Sub-Series I: Oversize and Artifacts

If you are working with a collection that has no series, write "This collection consists of [spell out number of boxes and/or folders]." In the case that you have only one box, write "This collection consists of a single box."

***Provenance**
To create this note, set "Note Type" to "Immediate Source of Acquisition" and enter your text in the "Content" box that appears.

The provenance statement identifies the immediate source of acquisition for the collection. It includes the year(s) in which the materials were received and the relevant accession number(s). For example: "Norman Bates donated these materials to the Arizona Collection in 1972 (Accession #1972-01247)."

***Access Restrictions**
To create this note, set “Note Type” to “Conditions Governing Access” and enter your text in the “Content” box that appears.

Access restrictions describe issues that cause materials to be totally unavailable to researchers. Examples include records sealed due to donor request and the need to make an appointment to consult records that have been inventoried but not fully processed.

The following statements describing access restrictions have been approved for use on ASC finding aids:

- "None."
- "Access to [portions of] this collection has been restricted in accordance with the wishes of the donor. Contact [appropriate Curator, University Archivist, or Head of Archives and Special Collections] for information on access to [restricted portions of] this collection."
- "Access to [portions of] this collection has been restricted by Archives and Special Collections in order to preserve the original materials. Contact [appropriate Curator, University Archivist, or Head of Archives and Special Collections] for information on access to [restricted portions of] this collection."
- "Access to [portions of] these university records has been restricted by Archives and Special Collections in accordance with policies of the originating university department or office. Contact the University Archivist for information on access to [restricted portions of] these university records."
- "Access to [portions of] this collection has been restricted by Archives and Special Collections in accordance with extant statutory restrictions. Contact the Head, Archives and Special Collections for information on access to [restricted portions of] this collection."

***Copyright Statement and/or Use Restrictions**
To create this note, set “Note Type” to “Conditions Governing Use.”

The first paragraph of this note contains the copyright statement. The following statements have been approved for use on ASC finding aids:

When ASC owns the copyright to the materials
"The Arizona Board of Regents retains copyright to this collection on behalf of the Department of Archives and Special Collections, Arizona State University Libraries. Requests for permission to publish, display, or redistribute information from this collection must be submitted in writing to the Head, Department of Archives and Special Collections."

When ASC does not own the copyright to the materials
"Arizona State University does not hold copyright to this collection. Archives and Special Collections recognizes that it is incumbent upon the researcher to procure permission to publish information from this collection from the owner of copyright."

When additional use restrictions (i.e. limitations on how a researcher may use materials after access has been granted) apply, describe them in a new paragraph. These restrictions usually concern photocopying and digital reproduction. The following statements regarding use restrictions have been approved for use on ASC finding aids:

- "Reproduction of [portions of] this collection by any means has been restricted in accordance with the wishes of the donor. Contact [appropriate Curator, University Archivist, or Head of Archives and Special Collections] for information on procuring reproductions of this material."

- "Reproduction of [portions of] this collection by any means has been restricted by Archives and Special Collections in order to preserve the original materials. Contact [appropriate Curator, University Archivist, or Head of Archives and Special Collections] for information on procuring reproductions of this material."

***Biographical/ Historical Note**
To create this note, set “Note Type” to “Biographical / Historical” and enter your text in the “Content” box that appears.

The biographical/historical note provides contextual information about the organization(s) or individual(s) associated with the creation, assembly, accumulation, and/or maintenance and use of the materials being described. It is typically 1-2 paragraphs long. This note is not an exhaustive account of a person or organization’s activities and accomplishments, but rather an outline of significant events.

If ASC already has a collection with a biographical or historical note for the person or organization you are describing, use the existing note instead of writing a new one. If the existing note is incorrect or incomplete, report the error to the Assistant Archivist for Collections and Records Management.

See Section 3.1 for a list of possible sources for biographical information.

See Appendix D for examples of well written biographical/historical notes.

***Scope and Content Note**

To create this note, set "Note Type" to "Scope and Contents" and enter your text in the "Content" box that appears.

The Scope and Content note is similar to the Abstract, but it provides a more detailed description of the collection and its contents. This note is designed to help the researcher judge the collection's potential relevance.

If your collection has series, add additional paragraphs describing these series individually.

In general, the Scope and Content note should cover:

- The functions, activities, transactions, and processes that generated the materials being described.
- The format or intellectual characteristics of the materials being described (for example, correspondence, minutes, diaries, reports, etc.)
- The dates (including bulk dates) of the intellectual content of the collection.
- The geographic areas that the materials document.
- Significant people, events, organizations, and other pertinent subject matter.

The first paragraph of the Scope and Content note should include the information found in the abstract, including dates, subject foci, formats, and major keywords. Often, you can use the first few sentences of the Scope and Content note as the Abstract.

When writing the scope and content note, avoid:

- Interpreting the materials in the collection. Mention the major themes, but do not speculate as to the interpretations that could be placed on the materials.
- Telling the researcher how to use the materials. Discuss the collection's content, but allow the researcher to decide for themselves what use they will put the collection to.

See Appendix D for examples of well written scope and content notes.

Processing Note

To create this note, set "Note Type" to "Processing Information" and enter your text in the "Content" box that appears.

The processing note contains a brief description of actions taken on a collection that have an impact on the use or content of the collection. For example, this note might explain the reasons for an unusual arrangement or describe sampling techniques used during acquisition or processing.

See Appendix D for examples of well written processing notes.

4.4 Entering the Container List

ArchivesSpace's container list structure employs the "parent/child" relationships used commonly in programming languages. A parent element is one that contains subsidiary elements; a child element is one that is subsidiary to a higher-level element. It is possible for an element to be both a parent and a child element simultaneously. If two or more elements are children of the same parent element, they are sibling elements.

In a Resource record, the highest level element present is the collection-level element. If the collection has series, each series is a child of this parent and all of the series are siblings. If the collection does not have series, each folder is a child of collection-level element and all of the folders are siblings. If the collection has sub-series, each sub-series is a child of one of the series elements and all of the children of that series are siblings. Because only child elements belonging to the same parent are siblings, not all of the sub-series are siblings.

4.4.1 Create the Series Outline

If your collection has series, you will need to create the series and sub-series outline before you begin entering folder information.

Adding a Series

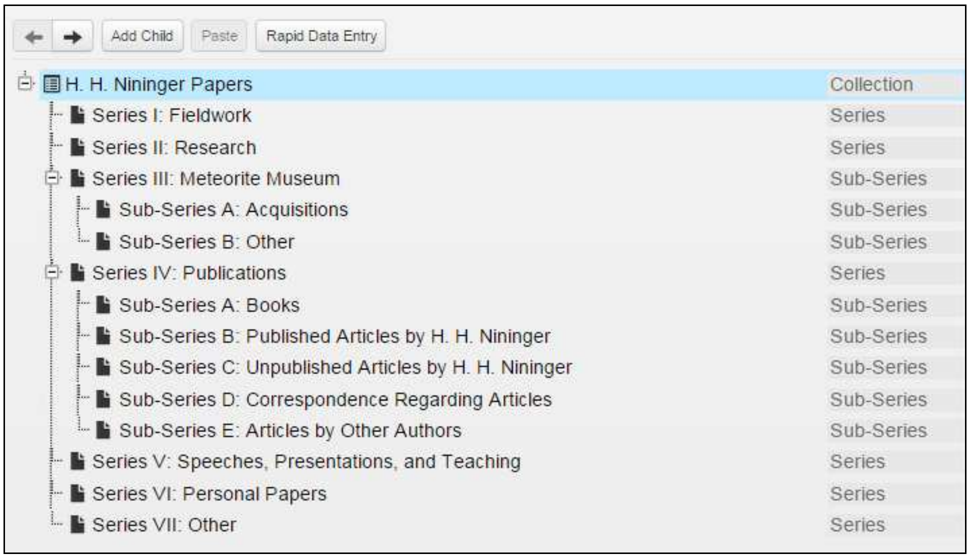
1. To add your first series, select the collection level element at the top of the screen and click the "Add Child" button.
   a. When adding subsequent series, you can use the method described above, select the preceding series and click "Add Sibling," or click the "+1" next to the "Save Archival Object" button when saving the preceding series.
2. Enter the series title, including the phrase "Series [Number]:", in the "Title" field.
3. Set "Level" to "Series."
4. Repeat steps 1-3 until you have added all of your series

Adding a Sub-Series

1. To add your first sub-series, click on the series that you want to add the sub-series to and then click the "Add Child" button.

a. When adding subsequent sub-series, you can use the method described above, select the preceding sub-series and click “Add Sibling,” or click the “+1” next to the “Save Archival Object” button when saving the preceding series.

2. Enter the sub-series title, including the phrase “Sub-Series [Letter]:”, in the “Title” field.
3. Set “Level” to “Sub-Series.”
4. Repeat steps 1-3 until you have added all of your sub-series

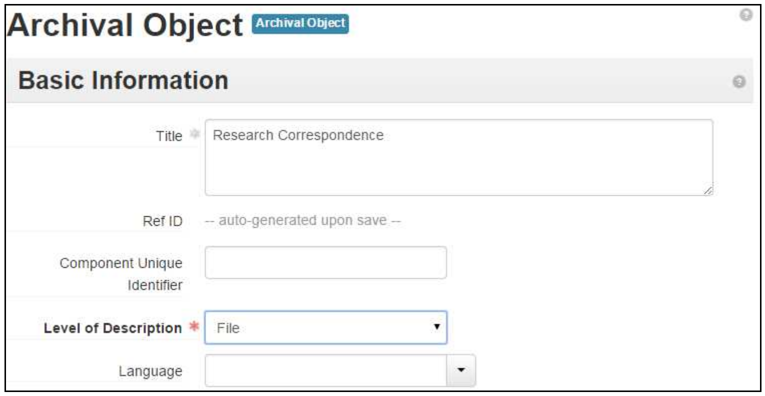


4.4.2 Enter the Folder List

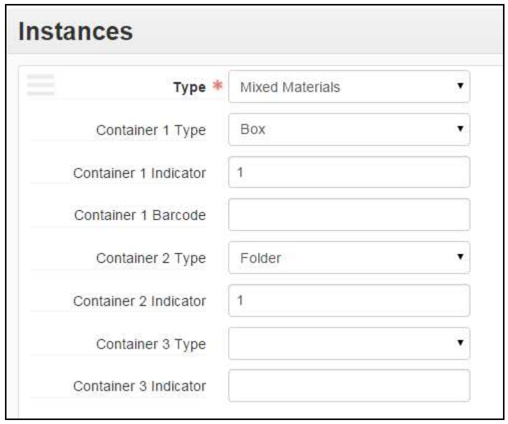
You can enter folders one at a time or by using “Rapid Data Entry” (RDE).

4.4.2.1 Entering Folders Individually

1. Select the collection, series, or sub-series record you want to add the folder to and click “Add Child”
   a. As is the case with Series and Sub-Series, when adding subsequent folders you can use the method described above, select the preceding folder and click “Add Sibling,” or click the “+1” next to the “Save Archival Object” button when saving the preceding folder.
2. Enter the folder’s title in the “Title” box. Folder titles should be brief and accurately describe the materials housed in the folder.
3. Set “Level of Description” to “File”



4. Enter dates of the materials in the folder in the “Dates” section. To add dates:
    a. Click on “Add Date” to create a new date field.
    b. Set “Label” to “Creation” if it has not been set by default
    c. Enter the appropriate natural language date expression in the “Expression” field. For guidance on constructing this statement, see section 3.7.
    d. Select “Bulk Dates,” “Inclusive Dates,” or “Single” from the “Type” drop-down list.
5. Add any necessary notes in the “Notes” section. For information about the types of notes available at the folder level, see section 4.4. For detailed instructions on adding notes, see section 4.3.8.
6. Click on “Add Instance” to enter box and folder numbers. In the section that appears:
    a. Set “Type” to “Mixed Materials”
    b. Set “Container 1 Type” to “Box”
    c. Enter the appropriate box number in the “Container 1 Indicator” field. It is not necessary to write "Box" before the number or to include a leading "0" (i.e. "1," not "01").
    d. Set “Container 2 Type” to “Folder”
    e. Enter the number of the folder being described in the “Container 2 Indicator” field. As with box numbers, it is not necessary to write "Folder" before the number or to include a leading "0."

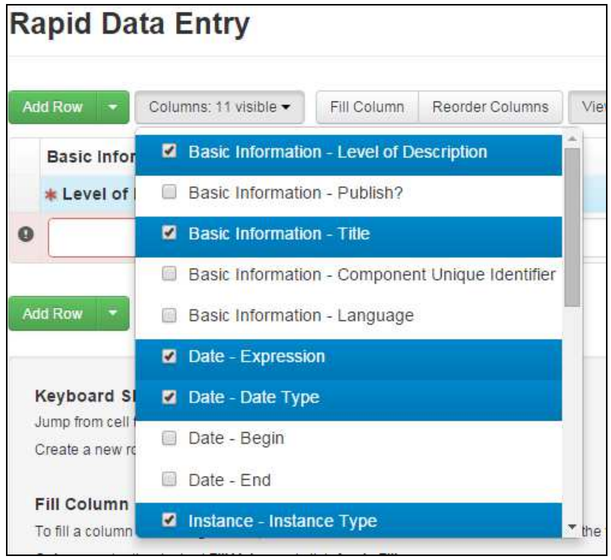


4.4.2.2 Using Rapid Data Entry (RDE)

RDE allows you enter folder lists into a spreadsheet rather than making a new record for each folder.

<u>Set up the RDE Interface</u>

1. Select the collection, series, or sub-series element you want to add folders to and click the “Rapid Data Entry” button.
2. In the table that appears, click on “Columns: 23 Visible” and uncheck the following entries in order to hide them:
    a. Basic Information – Publish
    b. Basic Information – Component Unique Identifier
    c. Basic Information – Language
    d. Date – Begin
    e. Date – End
    f. Instance – Container 1 Barcode
    g. Instance – Container 3 Type
    h. Instance – Container 3 Indicator
    i. Notes – Note 2
    j. Notes – Content 2
    k. Notes – Note 3
    l. Notes – Content 3



3. Set “Level of Description” to “File” and “Instance Type” to “Mixed Materials." Make sure both of these columns are highlighted in blue, indicating that they are "sticky."
    a. **NOTE:** You will have to reset these columns every time you open the RDE screen in order to create valid records.

4. Click on “Columns: 11 Visible” and uncheck “Level of Description” and Instance Type.” You should have 9 columns remaining.
5. Adjust the columns to the widths you prefer by placing your cursor over the right-hand side of the column you want to expand. When the arrow appears, click and drag the column boundary to where you want it.

<u>Enter Your Container List</u>

Note that any of the following fields can be made “sticky” (meaning that they will automatically be set to the value(s) entered in the preceding record) by clicking at the top of the column. “Sticky” columns are highlighted in blue.

For each folder you want to add:

1. Enter the folder's title in the "Title" field.
2. Enter the folder's dates in the "Expression" field. For more information about formatting date expressions, see Section 3.7.
3. Select "Bulk Dates," "Inclusive Dates" or "Single" from the "Date Type" drop-down.
4. Set "Container 1 Type" to "Box" and enter the box number in "Container 1 Indicator"
5. Set "Container 2 Type" to "Folder" and enter the folder number in "Container 2 Indicator"
6. If you need to add a note at the folder level, use "Note 1" to select the appropriate type of note and enter the note text in "Content 1." For information about the types of notes available at the folder level, see section 4.4.3.
7. To add a new row, either click on the green "+" at the end of the row you're working on or click the "Add Row" button located underneath your folder list.
8. When you have finished adding folders, make sure that all of the rows have the green checkmark symbol ( ) at their left-hand edge. Correct any errors and then click "Save Rows" at the bottom of the screen.

4.4.3 Note Fields

In some cases, you will need additional fields to describe the folder completely. Keep in mind that these fields should be used **only** where they are necessary and **not** for every folder.

1. Physical Description
   This field houses information regarding the physical characteristics of the item or items being described, for example color, number, measurements, format, or running time. This information should take the form of a brief statement rather than a complete sentence. Separate concepts using a semicolon. For example:
   - ¾" U-Matic; 35 minutes
   - 78 RPM Record; Some scratches

- 8 x 10 Photograph
- Incomplete Betamax Tape
- Part I
- 1 of 2

Note: This field should be used for [Oversized Materials Removed to Box #, Folder #] notes when oversized materials were separated from letter or legal sized folders.

This field corresponds to <physdesc> in EAD. See http://www.loc.gov/ead/tglib/elements/physdesc.html for more information.

2. Scope and Content
   Use this field to enter a more detailed description of the materials in the folder. Unlike Physical Description, the Scope and Content note is written in narrative form and should use complete sentences. Do not use this field for information that can be incorporated into the title field using "regarding" or a similar statement, for example "Correspondence Regarding Publications" or "Photographs Depicting Sri Lanka and Thailand." For example:

   - These tapes were made during the 1985 writing workshop held at Arizona State University for high school students from around the state. This program was intended to support and encourage struggling students and to reduce the climbing dropout rate.
   - Simeon Schwemberger took these photographs during his trip to the Arizona desert. They depict such subjects as cacti, rock formations, and sunsets.

   This field corresponds to <scopecontent> in EAD. See http://www.loc.gov/ead/tglib/elements/scopecontent.html for more information.

3. Restricted Materials
   Use this field to indicate that materials in a specific folder have been restricted. This note should take the form of a brief statement and often repeats a statement made in the front matter. For example:

   - Personnel records have been restricted in accordance with Arizona state law.
   - Faculty files can be accessed only with the permission of the Head of Archives and Special Collections.
   - Access to the original negatives has been restricted due to their fragile condition. Contact the Department of Archives and Special Collections for further information.

   This field corresponds to <accessrestrict> in EAD. See http://www.loc.gov/ead/tglib/elements/accessrestrict.html for more information.

4. Location of Originals
   If the materials in the folder are duplications and the location of the originals is listed, use this field to note it. For example:

- The original copies of these documents are located at the Library of Congress in Record Group 35.

This field corresponds to <originalsloc> in EAD. See http://www.loc.gov/ead/tglib/elements/originalsloc.html for more information.

5. Unit Identifier
   If the material in the folder has identifying information beyond the box and folder number (for example, a call number), use this field to note it. Enter only the identifier itself; additional information can be added later if it becomes necessary.

   This field corresponds to <unitid> in EAD. See http://www.loc.gov/ead/tglib/elements/unitid.html for more information.

4.5 Formatting Concerns

When finding aids are coded, any and all formatting information not entered correctly will be **lost**, including double quotes placed around titles and italicizing:

- To italicize a title: <ti>Twelfth Night</ti> creates *Twelfth Night*.
- To add quotes around a title: <td>Horatius</td> creates "Horatius"
- To italicize text: U.S.S. <i>Enterprise</i> creates U.S.S. *Enterprise*
- To add quotes around text: <d>The Chair recognizes the Senator from Arizona</d> creates “The Chair recognizes the Senator from Arizona."

4.6 Finishing up

Once you have completed both the container list and the front matter for your finding aid, e-mail the Assistant Archivist for Collections and Records Management to let her know that the guide is ready for final encoding.

Once the finding aid has been coded, the Archivist for Collections and Records Management will post it to Arizona Archives Online and send you a link so that you can review it. Inform the Archivist of any necessary changes.

Appendix A: Unit History

The University Archives were originally housed in the former residence of Arizona State University President Grady M. Gammage. They were later moved to Hayden Library, also known as the University Main Library during the mid 1980s.

Founding University Archivist Alfred Thomas Jr. was appointed in 1972. He was succeeded by Edward A. Oetting in 1983. After Oetting stepped down in 1996, Robert P. Spindler was appointed "acting archivist." Spindler was appointed Head of the Department of Archives and Manuscripts in 1997.

In the fall of 1987, the Department of Archives and Manuscripts began using Q & A software to create accession records, preliminary inventories, box/folder lists, and finding guides. During this time, materials were entered into the Manuscripts Society Records, Arizona and Southwest Autobiographies and Newspaper Indices using MARCON.

In 1998, Microsoft Access replaced Q & A as our main database management software and is now used to create accession records, preliminary inventories, search queries, administrative reports, finding guides, and box/folder lists.

In order to ensure Y2K compliance, all accessions and inventory databases were migrated into Microsoft Access in December of 1999. Access remains the department's primary database management software.

The department name was changed to Archives and Special Collections effective July 1, 2005. As of 2012, ASC consists of seven repositories:

- University Archives
- Arizona Collection
- Chicana/o Research Collection
- Visual Literacy Collection
- Labriola Center
- Child Drama Collection
- Special Collections

Appendix B: Well Written Finding Aid Components

Abstracts

This collection contains minutes, agendas, incorporation papers, membership lists, correspondence, conference materials, newspaper articles, research papers, newsletters, and other items documenting the Mexican American Student Organization (MASO) and its successor, the Movimiento Estudiantil Chicano de Aztlán (M.E.Ch.A.), at Arizona State University from 1968 to 1999. (From MSS-150: MASO/M.E.Ch.A. Records 1968-1999)

The R. Kenneth Baily Collection contains two boxes of correspondence, photographs, and digitized film documenting the role of the Varsity Inn on the Arizona State College (now Arizona State University) campus and the city of Tempe, Arizona between 1930 and 1943.

Processing Note

Photographs in this collection were separated from their original boxes and folders in 1996 by AHF staff during preparation of a preliminary box inventory. These photographs have been re-integrated into the original files (campaigns, various publications) wherever possible. The photographs in Series VII, Sub-Series A represent those photographs that could not be refiled. (From FM MSS 53: Stephen C. Shadegg Papers 1855-1991 (Bulk 1930s–1990)).

Concerning Series I, researchers should note that each membership record also has a corresponding number listed on the file; however, the significance of the number isn't consistent. The majority of the numbers are certificate numbers, but occasionally the number assigned with the name is the claims number rather than the certificate number. (From MSS-322: Alianza Hispano Americana Records 1894-1994)

Biographical/ Historical Note

Simeon Schwemberger was born George Charles Schwemberger in Cincinnati, Ohio on August 16, 1867. He attended a seminary for high school age youth and became a candidate for the Order of the Friars Minor (Franciscans) in the summer of 1887. Schwemberger was accepted as a brother and took his solemn vows in 1896. The Franciscan brothers were responsible for the everyday operation of the mission homes. Schwemberger showed talent for gardening and mechanical tasks, but proved reluctant to complete domestic chores. He requested assignment to the Indian mission field and was dispatched to the St. Michaels mission church near Window Rock, Arizona in 1901. Beginning in 1902, Schwemberger began experimenting with photography and the mission purchased a camera and film for him on the condition that he would not seek payment for his work while he was a Franciscan. Schwemberger proved a talented amateur photographer and captured numerous images documenting the daily lives of the Navajo, Hopi and Zuni peoples, their sacred ceremonies, secular culture, homes, and the stunning geographic region.

In 1908, Schwemberger fell in love with the senior friar's niece. She did not return his affections, and he left the mission (taking the photographic equipment and negatives with him) to follow her to Gallup, New Mexico. The Order made an effort to obtain a dispensation from Rome that would allow Schwemberger to return to secular life and Schwemberger established the Indian Arts Studio in Gallup, where he took photographs, made postcards, and sold Navajo crafts. He left the studio in about 1911 to travel to Florida to assist his brother William Schwemberger in establishing a winter resort but soon returned to Arizona, where he worked at the Cedar Springs Trading Post. He became postmaster on October 20 but was fired in 1912 after frequent clashes with Roman Hubbell, his superior's youngest son. Schwemberger married Jeaneatte Murphy on September 16, 1912 and the couple settled in Indian Wells, Arizona where Schwemberger attempted to obtain a license to trade on the reservation. He was unsuccessful and the couple moved to Gallup, New Mexico in 1913. Here, Schwemberger worked temporarily for merchant Joel Higgins McAdams and later returned to his old post in Cedar Springs. In 1915, the Schwembergers founded a company manufacturing yucca root soap called the Navajo Ta-La-Wush Company with Arthur Bailey. Schwemberger also purchased Eugene Schuster's Gallup store, which he managed until acquiring a new facility in September of 1919.

In 1918, Jeaneatte Schwemberger left New Mexico for Los Angeles, and Simeon Schwemberger filed for divorce on the grounds of abandonment and desertion the following year. The divorce was granted on May 20, 1919. Schwemberger married Margaret Sandy on January 23, 1923 and the couple had one daughter, Eunice Adeline. Schwemberger's blood pressure became dangerously high during a family auto trip to Florida taken in March of 1930 and he died of heart disease in Gallup on January 17, 1931.

Scope and Content Note

The Arizona Cactus-Pine Girl Scouts Council Records consist of materials documenting early Arizona Girl Scouting history, administration, community involvement, and correspondence as well as publications. The collection has been divided into eight series reflecting Girl Scouting in Arizona. These series include: Administration/Corporate, Calendars, Community, Correspondence, Publications, Public Relations, Photographs, and Oversized Materials.

Series I: Administration/Corporate (Boxes 1–6) includes office administrative files and meeting minutes in addition to materials showing awards and other recognitions, budgets and finance, camping, cookie sales, the Field Department, personnel and staff, reports, and training.

Series II: Calendars (Box 6) includes annual Girl Scout calendars and general production information.

Series III: Community (Box 7) includes a variety of materials documenting community events, projects, and members.

Series IV: Correspondence (Box 8) houses general correspondence documenting staff communications within departments and community contacts statewide dating from 1941 to 1995.

Series V: Publications (Boxes 8–11) includes fliers, brochures, manuals, monographs, newsletters (including "The Listening Post" from scattered dates between 1951 and 2004), and program books published by Girl Scouts USA.

Series VI: Public Relations (Boxes 11–12) includes paper media for journals, newspapers, news releases, radio and television broadcasts, and video scripts as well as publicity and promotion kits and sound recordings.

Series VII: Photographs (Box 14) includes approximately 620 photographs of Girl Scouting activities in various locations throughout Arizona. Duplicate images have not been removed.

Series VIII: Oversized Material (Box 15) includes maps, posters, and promotional materials.

Appendix C: Processing Rates

These rates include all processing time, from preliminary survey through completion of finding aid/EAD record.

Processing Rate A (10 hours per linear ft.)
Used for collections that have little or no arrangement and order. Different kinds of materials are mixed together, correspondence is unsorted or stored in original envelopes, some papers and correspondents are unidentified, and extensive preservation work may be required.

Processing Rate B (8 hours per linear ft.)
Used for collections that have an average number of problems. Papers may have some order and sections of the collection may be properly sorted, although significant portions will have to be arranged and a good deal of interfiling work will have to be done. Most collections can be processed at this rate.

Processing Rate C (5 hours per linear ft.)
Used for collections that have no significant organizational problems. A minimum amount of interfiling and reorganization is needed. The major portion of staff time will be expended on the basic work required for all collections: reboxing, refoldering, listing, and describing the contents of the papers.

Factors to Consider

1. Language and/or difficulty in deciphering handwriting
2. An excessive amount of preservation work