

## J. Paul Getty Trust Institutional Archives

# Finding Aid Manual

9th Edition, revised August 2023

## Table of Contents

PART 1: PREPARATION OF EAD FINDING AIDS AND INVENTORIES .....	4
• 1.1. Background .....	4
• 1.2. Finding Aid Display .....	4
• 1.3. Core Concepts .....	4
PART 2: CREATING RESOURCE RECORDS .....	6
• 2.1. Spawning A Resource Record: Overview .....	6
2.1.1. To Spawn a Resource Record from An Accession Record .....	7
2.1.2. Accession Record to Resource Record: Mapped Elements .....	9
• 2.2. Basic Information .....	10
• 2.3. Dates Sub-Record (Required): [DACS 2.4] .....	12
• 2.4. Extents Sub-Record [DACS 2.5] .....	14
• 2.5. Finding Aid Data .....	16
• 2.6. Revision Statements .....	19
• 2.7. Related Accessions .....	20
• 2.8. Agents Links and Subjects .....	21
2.8.1. Personal, Corporate, Family and Software Names (Agents) [DACS 2.6] .....	22
2.8.2. Creating Agent Records .....	24
2.8.3. Subjects .....	28
• 2.9. Notes .....	31
2.9.1. Abstract (Required) .....	33
2.9.2. Biographical Note/Administrative History [DACS 2.7] (Required) .....	33
2.9.3. Scope And Content [DACS 3.1] .....	34
2.9.4. Arrangement [DACS 3.2] (Required) .....	35
2.9.5. Restrictions (Required) .....	36
2.9.6. Preferred Citation Note (Required) .....	37
2.9.7. Immediate Source of Acquisition [DACS 5.2] (Required) .....	38
2.9.8. Processing History Note [under DACS 8.1] (Required) .....	38
2.9.9. Existence And Location of Copies Note (Use only if needed) .....	38
2.9.10. Physical Location Note (Required) .....	38
2.9.11. Accruals Note [DACS 4.5] (Use only if needed) .....	39
2.9.12. Appraisal Note [DACS 5.3] (Use only if needed) .....	39
2.9.13. Related Materials [DACS 6.3] (Use as needed) .....	39
Existence and Location of Originals (Use only if needed) .....	40
Custodial History (Use only if needed) .....	41
Dimensions (Not Currently Used) .....	41
File Plan (Not Currently Used) .....	41
General (Not Currently Used) .....	41
Index (Not Currently Used) .....	41
Legal Status (Not Currently Used) .....	41
Materials Specific Details (Not Currently Used) .....	41
Other Finding Aids (Not Currently Used) .....	41

• 2.10. External Documents (Not Currently Used) .....	41
• 2.11. Rights Statement (As Needed) .....	42
• 2.12. Metadata Rights Declaration (required) .....	42
• 2.13. Instances (Not Used) .....	43
• 2.14. Deaccessions (As Needed) .....	44
• 2.15 Collection Management (Not Currently Used) .....	46
• 2.16. Classifications (Not Used).....	46
• 2.17. User Defined Fields (Not Used).....	46
PART 3: FINDING AID COMPONENT LEVELS .....	47
• 3.1. Container List.....	47
3.1.1. General Comments.....	47
3.1.2. Creating Resource Component Records .....	49
3.1.3. Series/Subseries Agents and Subjects.....	52
3.1.4. Series/Subseries Notes.....	53
3.1.5. File/Item Notes.....	54
PART 4: ADDING INSTANCES TO A RESOURCE OR RESOURCE COMPONENT RECORD .....	54
• 4.1. Overview .....	54
• 4.2. Add Container Instance .....	55
4.2.1. Link to an Existing Top Container.....	56
4.2.2. Create a New Top Container.....	59
• 4.3. Link Top Container to A Location .....	61
4.3.1. Linking a location from the Create Top Container module .....	62
• 4.4. Add Digital Object .....	64
PART 5: DIGITAL ARCHIVAL OBJECTS.....	64
• 5.1. Link an existing digital object:.....	64
• 5.2. Create A Simple Digital Object Record Directly in The Digital Object Module .....	67
• 5.3. Create A Simple Digital Object from Within an Accession or Resource Record.....	68
5.3.1. Basic Information.....	68
5.3.2. File Versions .....	70
5.3.3. Other Sub-records .....	71
PART 6: ALTERNATE DATA ENTRY METHODS .....	72
• 6.1 Rapid Data Entry (RDE) Tool.....	72
• 6.1 Load Via Spreadsheet.....	73
Download the template from GitHub: .....	73
Bulk_import_template for Excel or CSV .....	74
Required Columns .....	74
Bulk_import_DO_template for Excel or CSV.....	75
Constraints .....	75
Required Columns .....	75
Ingesting the spreadsheet .....	75
PART 7: ADVANCED TOPICS .....	77
• 7.1. Merging Resource Records .....	77
• 7.2. Publicizing Finding Aids and Inventories .....	78
7.2.1. To Export a Resource.....	78
7.2.2. Exporting EAD, MARCXML, And Container Label Files .....	78
7.2.3. Public Finding Aids .....	81
APPENDIX 1: PREPARING EAD FOR UPLOAD .....	82
• Part I: StandAlone CIFA Users' Guide .....	82
• Part II: Using the StandAlone CIFA Software .....	83
Export EAD From ArchivesSpace.....	83
Edit EAD in Oxygen.....	83

Upload To CIFA .....	83
Document And Notify.....	87
APPENDIX 2: SUBMITTING EAD TO THE OAC .....	88
• Part I: Introduction .....	88
• Part II: Before You Begin .....	88
Requesting A VoroEAD User Account .....	88
Setting Up Your Directories .....	88
• Part III: Submitting A Finding Aid .....	88
Create an EAD File.....	88
Test the EAD File in Voro.....	88
Submit the file for processing.....	90

SAA Museum Archives Section Working Group Example

## PART 1: PREPARATION OF EAD FINDING AIDS AND INVENTORIES

- **1.1. Background**

The following instructions are based on Describing Archives: A Content Standard <http://files.archivists.org/pubs/DACS2E-2013.pdf> (DACS, 2013) and the EAD 2002 Tag Library <http://www.loc.gov/ead/tglib/>. For questions outside the scope of this document, please refer to these standards.

From September of 2004 to October of 2008 Institutional Archives finding aids were produced using EAD 2002, using the ead.dtd (not the schema), a template created in-house to assure standardization, and XMetaSoftware (specifically, version 4). For specifics on the tagging practiced using this system, see the first two versions of the manual.

In October 2008, the Institutional Archives began using Archivists' Toolkit (AT) software to manage all accessions, preliminary inventories, and finding aids. By late October 2008, all accession, location, and finding aid data had been successfully loaded into AT and the system had become the place of record for this information. The import of preliminary box inventories began in January 2009 and continued for some time. Edition 3 of this manual was revised in January 2014 to update critical changes in technology and procedures.

A thorough revision of the manual (edition 4) was done in conjunction with the move to ArchivesSpace in September 2016. The manual was then updated again the Summer of 2019 (edition 5) to reflect evolving practices.

**Please note, this manual is intended to provide general guidelines for the creation of Institutional Archives finding aids. It is to be used in conjunction with professional common sense and applied according to the needs of each collection. The manual also presumes that you are already familiar with the basics of navigating, searching, and using ArchivesSpace and that you have access to the ArchivesSpace documentation. Its purpose is to document IA practices and procedures within ArchivesSpace.**

While this manual touches upon the description of born digital materials, [borndigital\\_findingaid\\_manual.pdf](#) provides more detailed guidance.

- **1.2. Finding Aid Display**

Although some of the fields do not display in our current environment (due to local system settings or style sheet definitions), fill in all the fields as instructed so that the data will be available should it be desired in the future.

- **1.3. Core Concepts**

Within ArchivesSpace, resources can be defined as finding aids, i.e., materials that are in the custody of an archival repository and are being controlled according to archival principles. An archival resource may be comprised of one item, or, most typically, it will be an aggregation of items that can be of any extent or complexity.

Resource records are where you place the bulk of information about the intellectual and physical characteristics of archival materials. Within a given resource record, you can add a range of descriptive

elements, as well as notes, rights statements, and linked repository records. The description of the archival resource can be supplemented with names and subjects.

SAA Museum Archives Section Working Group Example

## PART 2: CREATING RESOURCE RECORDS

There are two ways to create Resource records in ArchivesSpace. One way is to create a record within the Resource module. The other way is to “spawn” a Resource record from an existing Accession record. Both ways are described below and are subject to the same record requirements. Some data in an accession record can be transferred (a new record is spawned) into a new resource record. Edits to the spawned resource record do not change the accession record it came from. Only the first accession record can be spawned to the resource record; subsequent accession records for the same resource will need to be entered manually.

- **2.1. Spawning A Resource Record: Overview**

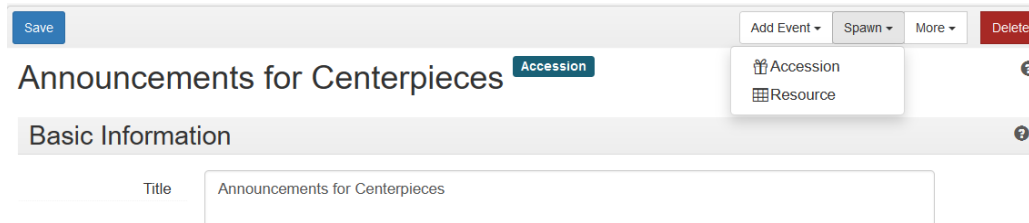
A preliminary Resource record can be generated from an Accession record. ArchivesSpace automatically links the two records and transfers specific information from the accession record to the resource record. Some, but not all, of the information recorded in the Accession record will be copied to the newly created and linked Resource record. Edits to the spawned resource record do not affect the accession record from which the data came.

The same Accession record can be used to spawn two or more Resource records; each spawned resource must be saved with a unique identifier. However, a Resource record may be spawned only initially from one and only one Accession record. Later additions or changes to Accession description cannot be re-spawned to a Resource. Subsequent modifications to the Resource record need to be made manually. Additionally, a second, third, or later Accession record cannot be spawned to the existing Resource record. Those Accession records can be linked to the resource to associate them with the resource.

When creating accessions for newly acquired material, think about the data you are inputting for the accession as the beginning of the Resource record. The more careful you are in creating the accession data, the more work you can save when it comes time to create the Resource record.

## 2.1.1. To Spawn a Resource Record from An Accession Record

Find the accession record you want to turn (spawn) into the core of a resource record. Click **View** or **Edit**. Once you are in the accession record, click **Spawn**, and select **Resource**.



Save Add Event Spawn More Delete

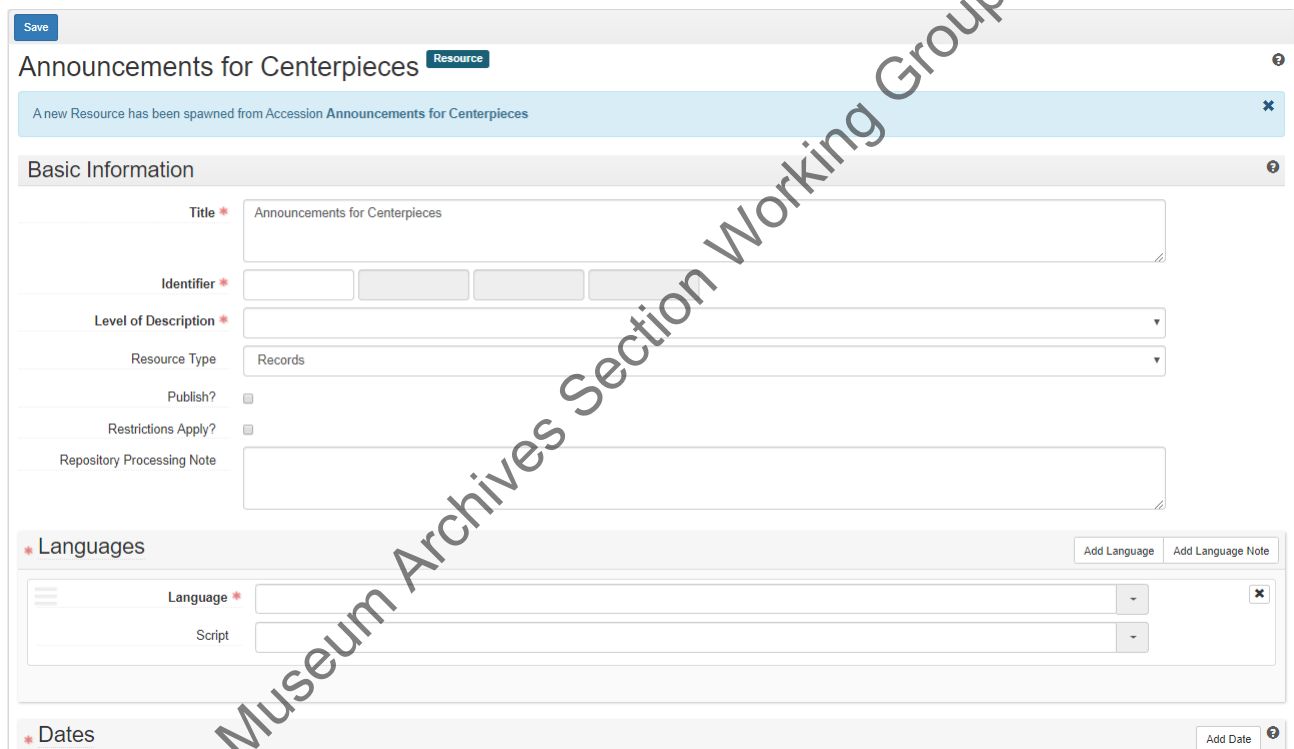
Announcements for Centerpieces **Accession**

Accession Resource

Basic Information

Title Announcements for Centerpieces

A Resource record template will load and will contain some values carried forward from the Accession record.



Save

Announcements for Centerpieces **Resource**

A new Resource has been spawned from Accession Announcements for Centerpieces

Basic Information

Title \* Announcements for Centerpieces

Identifier \*

Level of Description \*

Resource Type Records

Publish? ☐

Restrictions Apply? ☐

Repository Processing Note

Languages

Add Language Add Language Note

Language \*

Script

Dates

Add Date

Complete the Resource record according to the input requirements for Resource records and the needs of the materials being described. The Resource must contain the following information before you will be able to save the record successfully:

**Title**

**Resource Identifier**

**Level of Description**, chosen from a controlled value list containing the values class, collection, file, fonds, item, record group, series, subfonds, subgroup, subseries, or other level

**Languages**

**Dates sub-record**

**Extents sub-record**

**EAD ID – in the Finding Aid Data**

(Instructions for how to enter data for these fields are listed under the **Basic Information** section, below.)

Click on **Save** to save the spawned Resource record. You may continue to enter additional data as described in the resource manual sections below.

The resulting Resource record will contain in its data fields some of the data recorded in the Accession record on which it is based. The table below identifies what parts of the Accession record are transferred to what parts of the Resource record:

SAA Museum Archives Section Working Group Example



### 2.1.2. Accession Record to Resource Record: Mapped Elements

Directly mapped fields	
Accession record elements: field label	Resource record elements: field label
Title	Title
Extent Portion	Extent Portion
Extent Number	Extent Number
Extent Type	Extent Type
Extent Container Summary	Extent Container Summary
Extent Physical Details	Extent Physical Details
Extent Dimensions	Extent Dimensions
Date Label	Date Label
Date Type	Date Type
Date Expression	Date Expression
Date Begin	Date Begin
Date End	Date End
Bulk Date Begin	Bulk Date Begin
Bulk Date End	Bulk Date End
Resource type	Resource type
Publish	Publish

Indirectly Mapped Fields	
Content Description	Scope and Contents Note
Condition Description	Physical Description Note
Accession Title	Accession Linked
Agent Linked	Agent (Linked)
Subject Linked	Subject (Linked)

- **2.2. Basic Information**

Whether you spawn a Resource from an accession or create a new Resource, you must enter the following information.

The screenshot shows a web form titled 'Basic Information'. It contains the following fields and options:

- Title \***: A text input field containing 'J. Paul Getty family collected papers'.
- Identifier \***: A text input field containing 'IA20009', followed by three empty boxes for additional digits.
- Level of Description \***: A dropdown menu with 'Collection' selected.
- Resource Type**: A dropdown menu.
- Publish?**: A checkbox that is checked.
- Restrictions Apply?**: A checkbox that is unchecked.
- Repository Processing Note**: A large text area for additional notes.

**Title (Required): [DACS 2.3]** Since most archival collections lack a formal title, this must be devised, based upon sensible examination of the material, e.g., President Harold Williams' records. Include the following general terms:

***papers*** for collections of personal papers (Douglas Cooper papers)

***collection*** for any group of materials that was formed artificially around a person, subject, or activity, and that otherwise lacks integrity and unit of provenance (Italian Theater Prints collection)

***records*** for organizational records (J. Paul Getty Museum Antiquities Department records) (Most commonly used in IA)

**Identifier (Required):** Open text field. An identification number assigned to each discrete resource within a repository. Each finding aid will be assigned a unique 5-digit number entered into the first of the four boxes in this field. The individual who creates the finding aid will assign the numbers consecutively. The first digit of the number will indicate the creator (note that the GCI sometimes has interns who process their records so IA5 is being reserved for them). This numbering system prevents staff from accidentally assigning a number that a colleague has already assigned.

Nancy – IA1 series

Jennifer – IA2 series

Lorain – IA3 series

Alexis – IA4 series

(Cameron and GCI interns – IA5 series)

OPEN – IA6 series

**Level of Description (Required):** Identifies the character of the whole unit, for example, "collection,"

"series," "subseries," or "otherlevel." This attribute is comparable to ISAD(G) data element 3.1.4 and MARC field 351 subfield c. The default Level at the top level is "collection" but may be changed, as necessary. Set the level to accurately reflect the level of the Resource. IA will most commonly use collection and series.

**Resource Type (Required):** Choose from a drop-down list. A list of terms used by a repository for categorizing its resources into basic types. Use "Records" for institutional materials and "Papers" for personal papers.

**Publish (Required):** Clear the check box. A selected check box indicates that this resource will be published to public interface. If the finding aid will be accessible in the public interface, go back when you have finished and check the box.

**Restrictions (Required):** Select or clear the check box. A selected check box indicates that restrictions apply to the material. Additional description of the restriction should be provided in appropriate Notes or Rights Statements for the record where the restriction occurs.

**Repository Processing Note (As Needed):** Open text field. An application-specific field for recording information about processing of the materials. This note is not included in any exports or reports and is not populated by imports. Note here any critical information for future processors such as incomplete processing, additional archival material that needs to be incorporated, or other important advice for the person who may engage in the next step of processing the material.

**Language (Required): [DACS 4.5]** Choose from a drop-down list. The language term and code represented in the material(s) described. Used to describe the language of the archival materials described in the finding aid. If appropriate for a purely visual collection, use the option of "No Linguistic Content; Not Applicable."

**Script:** Choose from a drop-down list. Usually, the script will be "Latin."

If other languages are present in substantial amounts, you may add additional language records, or add a language note

The screenshot shows a web interface for managing languages. At the top, there's a header "Languages" with a red asterisk. To the right are two buttons: "Add Language" and "Add Language Note". Below this is a table with two columns: "Language" and "Script". The "Language" column has a red asterisk. There are two rows in the table, both of which are empty. To the right of the table is a close button with an 'X' icon.

- **2.3. Dates Sub-Record (Required): [DACS 2.4]**

This sub-record identifies and records the date(s) that pertain to the creation, assembly, accumulation, and/or maintenance and use of the materials being described. The required fields are **Label** and **Type**. You will need multiple inclusive date records if you have non-consecutive date ranges (e.g., 1980-1985 and 1990-1995). If you have both inclusive and bulk dates, you will need two date records for each type.

For born digital collections, depending on the maintenance history and how files were transferred to the archives, the created date is often inaccurate. For that reason, we will typically preference the last modified date, but this will depend on the set of files.

The screenshot shows a web form titled "Dates". It has a tab "Add Date" in the top right. The form contains several fields: "Label" with a dropdown menu showing "Creation"; "Expression" with a text input containing "1999-2021"; "Type" with a dropdown menu showing "Inclusive Dates"; "Begin" and "End" with text inputs and a calendar icon, with example text "e.g. YYYY, YYYY-MM, or YYYY-MM-DD" below each; "Certainty", "Era", and "Calendar" with dropdown menus.

**Label (Required):** Choose from a drop-down list to describe the type of activity that the date signifies. Use "Creation" as the default.

**Date Expression (Required):** Use a single hyphen with no spaces to indicate date ranges. Do not use abbreviations. Spell out months and the word "undated."

Examples:

For items or groups from consecutive years list the range of years, e.g., **1954-1968**.

For items or groups from two non-consecutive years, create a date record wherever you would employ a comma e.g., **1954-1968, 1972-1980**.

For three or more items from two or more years (consecutive or otherwise) record the inclusive span of years, e.g., to express 1965, 1967, and 1969 use **1965-1969**.

Where bulk dates fall within inclusive dates, record both, creating a date record wherever you would employ a comma e.g., **1918-1945 (bulk 1918-1919, 1941-1945)**

If there are items (e.g., letters or memos, etc.) from the same year indicate **the year only**.

However, if you wish to specify that they only cover part of a year then list these covering dates, e.g., **March-September 1970**. (When this kind of date is used at the main level of a finding aid use 1970 March-September.)

When undated material is present in a series/folder enter them as a string e.g., **1941-1943, undated**.

If you do not have a year and are not supplying one use **"undated"**.

Supply dates only when you are certain, or when supplying a likely date or range of dates is necessary to provide a reasonable degree of access to the item.

Always write the complete year, e.g., 1960s not '60s. For a date span within a single century, the second date should be four numbers, e.g., 1967-1969, not 1967-69.

Significant gaps in a date span should be explained or otherwise noted at the appropriate comment level or in the Scope and Content Note of the records.

When describing single items at the main level, list the date by year, month, day (or year, month). In the folder titles use month, day, year (more user-friendly).

**Type (Required):** Choose from a drop-down list. Inclusive or Bulk are the norm but Single can occur. Once you enter the Type, Begin and/or End date fields will appear. See normalization rules supplied [here](#) in more detail.

**Begin:** The field will appear as you enter the date label and type. It allows you to enter an unnormalized begin date and displays recommended date formats. The calendar button also allows you to choose a specific date. Note, if the date type is Single, only the Begin date option will appear.

**End:** The field will appear as you enter the date label and type. It allows you to enter a normalized end date and displays recommended date formats. The calendar button also allows you to choose a specific date. Note, if the date type is Single, the End date option will not appear.

**Certainty (As needed):** Choose from a drop-down list. Indicate the level of confidence for the information given in a date statement. This information is optional and should only be added when you are qualifying date information as potentially uncertain based upon the description or cataloging rules in use. Options are Approximate, Inferred, and Questionable.

**Era (Not Used)**

**Calendar (Not Used)**

- **2.4. Extents Sub-Record [DACS 2.5]**

This sub-record is used for recording the size of the described materials in respect to volume, items, and containers. You may add as many extent records as needed, but only one for the whole of the resource.

An example of data entry might be to enter one extent record for the whole (portion) of the accession measuring the total volume, i.e., 10 (number) linear feet (type). You might then enter a second, third, etc. extent to measure parts of the collection, for example an extent part for a count of photographs, floppy discs, or artifacts. Always enter the whole total physical volume in linear ft. so statistics can be generated from the data.

**Consistency in the type of measurement and the label you use for it is critical!**

**We will enter digital volume here in Gigabytes (GB).** It will give us a constant for generating digital volume statistics. In hybrid collections, the digital volume will be a "Part;" we will have occasions in the future where it will be a "Whole." See [borndigital\\_findingaid\\_manual.pdf](#) for guidance on measuring digital volume.

**Portion (Required):** Choose from a drop-down list. Used to specify whether an extent statement relates to the whole or part of a given accession. Only one extent statement may refer to the whole accession. All additional extent statements must refer to parts.

**Number (Required):** Open numeric field. A numeric value for indicating the number of units in the extent statement, e.g., 5, 11.5, 245. Use it in conjunction with **Type** to provide a structured extent statement. Fractional measurements should be expressed with a zero holding the place of the whole number (e.g., 0.1).

NOTE: Extents can be automatically calculated when processing is completed if all the containers have declared box sizes. To do this, select the "More" button from the Resource toolbar and choose "Calculate Extent" from the dropdown options. Save the calculated extent and delete your supplied extent.

For outlier scenarios in which manual calculations are required, calculate the extent of the collection using the [linear footage calculator](#)

[<http://www.library.yale.edu/beinecke/manuscript/process/lconv.htm>]

Round numbers up to the nearest tenth (one decimal place). Generally, calculate the linear footage based upon the side of the box/crate that faces the aisle as it rests on the shelf/rack/floor.

In GRI convention, an entire flat file drawer = 4 linear ft. If there is more than one accession per drawer, count the accession as an appropriate fraction of the 4 feet. Consult the GRI Special Collections wiki for other unusual circumstances:

<https://griwiki.getty.edu/confluence/display/SpecCollCat/Calculating+extent+of+collections>

**Type (Required):** Choose from a drop-down list. A term indicating the type of volume unit used to measure the extent of materials described. Linear Feet and GB are the most commonly used selections.

**Container Summary (Required):** Open text field. A list of container and container types housing the materials described in the component record. Example of use, if the Number and Type are 10 linear feet then the container summary might be used to record the actual number of containers (10 boxes and 4 flat files)

The container summary at the top level should record the total number of boxes and other storage units described in the finding aid enclosed in parentheses, such as (29 boxes, 5 oversize boxes, 3 binders, 6 flat files).

See [borndigital\\_findingaid\\_manual.pdf](#) for guidance in describing hybrid and born digital collections in the ContainerSummary.

**Physical Details (Rarely used):** Open text field. Other physical details of the materials described, e.g., analog, black and white, negatives.

**Dimensions (Rarely used):** Open text field. Dimensions of the materials described. May be used for dimensions of crates.

SAA Museum Archives Section Working Group Example

## • 2.5. Finding Aid Data

Finding Aid Data is used to identify and provide bibliographic descriptive data about the finding aid for the resource and should not be confused with description of the archival resource itself. Finding aid information is not required for a valid Resource record, but it may be helpful for managing finding aids and elements are required to produce a valid EAD file

To add finding aid information to the Resource record:

The screenshot shows a web form titled 'Finding Aid Data'. It contains the following fields and values:

- EAD ID: US::CMAIG::IA20009
- EAD Location: (empty)
- Finding Aid Title: Finding Aid for the J. Paul Getty Family Collected Papers, circa 1880s-1989, undated
- Finding Aid Subtitle: (empty)
- Finding Aid Filing Title: Getty (J. Paul) family collected papers, circa 1880s-1989, undated
- Finding Aid Date: 2010
- Finding Aid Author: Sue Luftschein, Cyndi Shein, Sara Seltzer, Nancy Enneking
- Description Rules: Describing Archives: A Content Standard
- Language of Description: English
- Script of Description: Latin
- Language of Description Note: Description is in English.
- Sponsor: (empty)
- Edition Statement: (empty)
- Series Statement: (empty)
- Finding Aid Status: Completed
- Finding Aid Note: (empty)

**EAD ID [DACS 2.1] (Required):** Open text field. The identifier for the EAD generated from the resource description, typically a file name. The Unique Identifier is always:

**US::CMAIG::IA#####**

It is comprised of the country ID and the Getty ID, followed by the local finding aid number. Two colons appear between each of the elements.

As of December 2016, for reasons to do with GDI's need to create and manage secondary backups, an EADID is **required** from the moment of Finding aid creation. If you are creating an Inventory and do not yet have a finding aid number, use the Accession number without periods: **US::CMAIG::2016IA01**



## EAD Location (Not Used)

**Finding Aid Title (Required):** Open text field. Enter the title as it should appear in the finding aid titlepage. All titles should start with "Finding aid for the ...."

## Finding Aid Subtitle (Not Used)

**Finding Aid Filing Title (Required):** Open text field. Enter the filing title of the finding aid here. The filing title governs how the record will be indexed and displayed in computer systems. Include inclusive dates, but not bulk dates in the filing title.

For papers created, collected, or associated with an individual, the filing title should begin with the individual's last name, followed by the first name and optional middle initial, which should both be in parentheses:

Abel (Theodore F.) Papers  
Chambrun (Rene de) Papers  
Branch (Francis Z.) Correspondence and Papers

In most cases, the filing title for Getty institutional records will begin with J. Paul Getty Trust or the Getty program name. Occasionally it will begin with a project name, especially if the project was a collaboration between more than one creator/agent.

Corporate names and family names should be listed in their established form or as they appear in the records. Use appropriate abbreviations such as Corp., Co., Inc., Misc., Dept., etc. to maintain brevity in the title, but be sure the term is spelled out somewhere in the finding aid to accommodate keyword searching of the full name:

Bidwell Family Papers  
Crowley Maritime Corp. Records

**Finding Aid Date (Not Used):** Open text field. This field used to be used to hold the copyright date, but we are no longer claiming copyright, so *take the date and symbol out of records when you edit them in the future.*

**Finding Aid Author (Required):** Open text field. Enter the name of the individual(s) responsible for the creation of the finding aid. Ideally, this should be the person who is most familiar with the content of the records and to whom questions regarding the finding aid should be addressed.

Examples:

Sue Luftschein  
Kyle Morgan and Nancy Enneking  
Cyndi Shein, Sara Seltzer, and Ima Intern

**Description Rules (Required):** Choose from a drop-down list. We will always use Describing Archives: A Content Standard.

**Language of Description (Required):** Chose from a drop-down list. The tag designates the languages of the

finding aid rather than the language of the collection contents. Our default will be English.

**Script of Description (Required):** Chose from a drop-down list.

**Language of Description Note:** Open text field. "Description is in English."

**Sponsor (Not Used):** Open text field. Indicates any sponsors that contributed to the description of the finding aid. This might be used to acknowledge a granting agency.

**Edition Statement (Not Used)**

**Series Statement (Not Used)**

**Finding Aid Status:** Choose from a drop-down list. Indicates the status of the finding aid. These drop-down fields are used by both SC and IA. IA only uses the following entries:

**In Process** – A Resource in ASpace that is currently being created or revised

**Box list** – Box list/basic inventory that is complete

**Completed** – Finding aid or inventory ready for dissemination, as appropriate

**Finding Aid Note (Not Used)**

SAA Museum Archives Section Working Group Example

## • 2.6. Revision Statements

Revision Date and Revision Description will never be used in a new finding aid. Revision descriptions should only be used when an already published finding aid is being substantially edited. A substantial edit is

- the addition of significant new materials,
- splitting the finding aid into two or more documents,
- combining the finding aid with one or more other finding aids,
- converting the finding aid to a new version of the EAD dtd, or
- correcting **major** errors.

If applicable, add a revision statement by clicking “Add Revision Statement.”

The screenshot shows a web interface with a 'Finding Aid Note' section containing a large text area. Below it is a 'Revision Statements' section with a button labeled 'Add Revision Statement'.

A new box will appear:

The screenshot shows the 'Add Revision Statement' form. It includes a 'Revision Date' field with a red asterisk, a 'Revision Description' field with a red asterisk, and a 'Publish?' checkbox. The example data shows 'September, 3, 2019' for the date and 'Accession 2019 IA.56 was incorporated.' for the description.

**Revision Date (As Needed):** Open text field. Specifies the date the finding aid was last revised.

**Revision Description (As Needed):** Open text field. A description of the last revision(s) done to the finding aid. If multiple changes are made over time, list the changes in reverse chronological order, with the most recent change first.

- **2.7. Related Accessions**

Accessions are linked to Resources when all or part of an accession is processed and assigned to a finding aid. A Resource may contain multiple accessions. An accession may be linked to more than one Resource record if its contents are divided among more than one finding aid/collection. Select a record by typing in the field to use the auto complete feature or use the drop down to browse for a record.

Related Accessions
Add Related Accession

Accession *	2019-IA-56: J. Paul Getty and George F. Getty letters	x	
Accession *	1986-IA-40: [Portrait of a Woman], drawing by Gerald Leslie Brockhurst	x	
Accession *	1986-IA-48: J. Paul Getty papers	x	
Accession *	2010-IA-17: Getty Family papers	x	
Accession *	1986-IA-22: Miscellaneous papers relating to J. Paul Getty	x	

SAA Museum Archives Section Working Group Example

- **2.8. Agents Links and Subjects**

Subjects, personal names, corporate names, geographic names, genres, and other indexing may be added as discovered during processing. Except in rare circumstances, indexing terms should only be added at the top level.

The most traditional method is to base the index terms exclusively on the content of the main level scope and content note. The two sections should reflect one another. If the subject or person does not warrant being discussed at the main level of a finding aid, it does not warrant being indexed at that level in the finding aid.

Although names and terms from local sources are permissible, terms should come from national or international vocabularies, when possible, as detailed below.

**Helpful Links:**

[Library of Congress Authorities \(LCSH and LCNAF\)](#)

[Getty Thesaurus of Geographic Names \(TGN\)](#)

[Art & Architecture Thesaurus \(AAT\)](#)

[Union List of Artists Names \(ULAN\)](#)

SAA Museum Archives Section Working Group Example

## 2.8.1. Personal, Corporate, Family and Software Names (Agents) [DACS 2.6]

This sub-record associates an agent as a creator, source, or subject of the materials described to provide information about their context. The required fields are **Role**, **Relator**, and **Agent**. You may add as many Agent links as needed. Our Creators and Sources are most commonly corporate bodies (departments, programs, etc.).

You must add names for the party transferring the records (Source) and for the party who created/compiled the records (Creator/Compiler/Collector). When linking the agent to the record assign the appropriate functions and roles. If the transferor and creator/compiler are the same, enter the same name twice, each time with the correct role.

The screenshot shows the 'Agent Links' form with two entries. Each entry has a 'Role' dropdown, a 'Relator' dropdown, and an 'Agent' dropdown. The first entry has Role 'Creator', Relator 'Creator', and Agent 'Getty Conservation Institute. Field Projects Division'. The second entry has Role 'Source', Relator 'Depositor', and Agent 'Getty Conservation Institute. Field Projects Division'. A diagonal watermark 'SAAMuseum Archives Section Working Group Example' is overlaid on the form.

**Role (Required):** Choose from drop-down list. An indication of what function (creator, source, or subject) the agent has regarding its link to a certain description record. Repositories may not customize the list of data values. Note that if you choose a Role=Creator, the screen will present a Title field to complete; we will not use this.

Use the Subject Role only if the records are **about** the named corporate body or person. When a name is designated as Role: Subject, leave the Relator field blank. Use Terms and Subdivisions as required. Subjects map to MARC fields 6XX.

**Relator:** Choose from the drop-down list. A more specific indication of what role the agent has in respect to the materials being described. For example, an agent may be linked as a creator to a record, but with the more specific role of "contributor." Our defaults will be "Creator" or "Contributor" when the Role=Creator and "Depositor" when the Role=Source. The use of additional relator terms is currently under discussion with Special Collections, most of the terms will not be useful for us but will nevertheless be added here to signal their availability.

For example, in President Harold Williams' records, the Creator/Creator is J. Paul Getty Trust. Office of the President, while Williams, Harold Marvin, 1928- is a Creator/Contributor.

Creator/Creator names map to MARC field 1XX, while Creator/Contributor names map to MARC field 7XX.

Use the Role: Contributor for all contributors regardless of their specific role (architect, artist, etc.) to facilitate display in local systems.

**Agent (Required):** This is the name of the person, family, or corporate body. The Agent related to the material described in the record. Agents may be searched using auto-complete, using a browse function, or may be created on demand.

To add an Agent sub-record, click Agent Links on the left navigation bar and then click Add Agent Link on the right side of the screen.

To select an Agent using the auto-complete function simply start typing in the agent box. The system will present you with matching name options with icons indicating the type of agent, person, corporate body, family, etc. Select a name to fill in the Agent box.

To select an agent using the Browse function, click on the drop-down arrow by the Agent box and select Browse.

Search for and select the desired agent on the resulting screen. Click **Link to Agent** to add the agent to the accession record and close the Browse Agent screen.

If you cannot find the name you need, click **Cancel** or the **X** at the upper right to exit the Browse Agents

screen without selecting a name.

**Browse Agents**

Filter by text

**Agent Type**

- Person **4918**
- Corporate Entity **1186**
- Family **9**
- Software **1**

**Source**

- NACO Authority File **4428**
- Local sources **431**
- Unspecified ingested source **110**
- library of congress name authority file **90**
- Library of Congress

Showing 1 - 50 of 6114 Results, Sort by: Name Ascending and: Select

Agent Type	Name	Authority ID	Source	Rules
<input type="checkbox"/> Corporate Entity	8 (Group of architects)	nr98003293	NACO Authority File	
<input type="checkbox"/> Corporate Entity	18th Street Arts Complex	no94024907	NACO Authority File	
<input type="checkbox"/> Corporate Entity	32 Main St. Gallery	n2007086020	NACO Authority File	Anglo-American Cataloging Rules
<input type="checkbox"/> Corporate Entity	A. Asher & Co	n83227374	NACO Authority File	
<input type="checkbox"/> Corporate Entity	A. Bes et F. Dubreuil	no2007117	NACO Authority	Anglo-American

## 2.8.2. Creating Agent Records

### Agent creation guidelines:

If the name you need already exists in the system, use it. If the name is not in the system, search for it in LC using the LCNAF import and by searching within LCNAF directly. **If an authorized name already exists in LC, use it by downloading it through the LCNAF import.** You can enter the name or the NACO number into the search box to find the record.

**Institutional Archives**

- Manage Groups
- Manage User Access
- Manage Assessment Attributes
- Manage Top Containers
- Background Jobs
- Reports
- LCNAF Import**



The screenshot shows the 'LCNAF Import' form. At the top, there's a navigation bar with 'Browse', 'Create', and a search bar. Below the navigation bar, the page title is 'LCNAF Import'. A message states: 'This plugin depends on 3rd party services that may or may not be available or supported.' Below this, there are two radio buttons: 'LCNAF - https://id.loc.gov/authorities/names' (selected) and 'LCSH - https://id.loc.gov/authorities/subjects'. There are two text input fields: 'Primary Name' and 'Rest of Name'. A 'Search' button is at the bottom left. On the right side, there's a box that says 'No Results Selected' and an 'Import' button.

Once the name has been imported, simply link it to the resource record.

If the name does not exist in LC, next look in ULAN (Union List of Artists Names) or other standard vocabularies for the name and create it in ASpace based on the information in those sources.

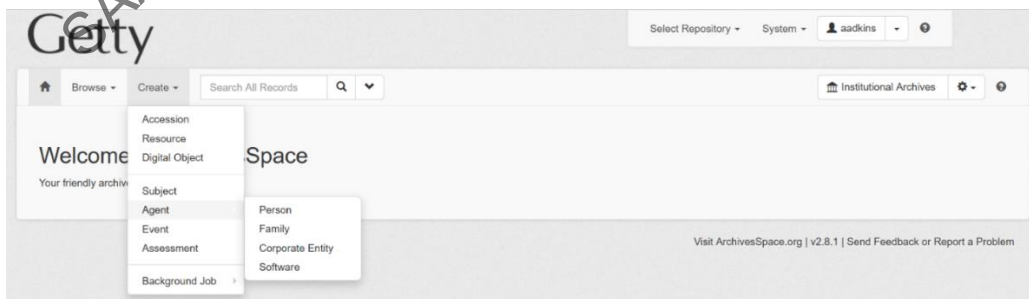
If you cannot find the name you seek in one of these databases, the name will have to be constructed in the Agents Module of ASpace in accordance with the rules established by RDA or DACS. Before constructing a name, discuss it with the Department Head and make sure that you have evidence (letterhead, formal reference in Getty press material, name from Getty 411) to justify the version of the name you want to use.

When creating the name, ensure that the source attribute refers to the appropriate authority. Set the source to "local" if you derive a name from the local MARC catalog or construct an authorized name for a Getty employee, business unit, or department. If you must create a name from scratch, use RDA or DACS as the rules standard. Note: when creating an authority name, we will never use Rules= "Local." Only Source can be "Local." Names must always be created in conformance with existing authority rules. Assign the appropriate role in the Resources module for each Agent, depending on the role of the person or corporation in the context of the records described therein.

See detailed instructions below.

You may navigate to create an agent in one of two ways:

- 1) On the main toolbar, click **Create**, select Agent, and select the type of agent you want to create: Person, Family, Corporate Entity, or Software.



- 2) If you are already working in an Accession or Resource record, click on Add Agent Link and then click the drop-down arrow by the agent box and select **Create**. Select the type of agent record you wish to create.

The Agents module was significantly enhanced with the upgrade to version 3 and later, but the number of required fields has decreased. See the ArchivesSpace Help Documentation for more information.

Each agent record for a person, family, corporate body, or piece of software is made up of five main sections: Basic Information, Record Control Information, Identity Information, Description Information, and Relation Information, each of which contains several sub-records. Only two sections, Basic Information and Identity Information, contain fields that are required to submit the new record to the database; all other sections and their sub-records are optional.

When a template for a new agent record is first opened, those sub-records that contain required fields will be open with all their fields exposed, while the sections with optional sub-records will be closed. The optional sub-records may be opened and completed by clicking on the Add... button (e.g., Add Record ID, Add Record Info, Add Related Agency Code, etc.) to the right of the sub-record title.

The following fields are required for the four types of Agent records:

#### Person

- Primary Part of Name (DACS references 2.6, 10.1-10.3)
- Sort Name (automated if selected)
- Name Order (default value of “indirect” provided; you may change to “direct” but only as needed based on appropriate cataloging rules)

#### Family

- Family Name (DACS references 2.6, 10.1-10.3)
- Sort Name (automated if selected)

#### Corporate Entity

- Primary Part of Name (DACS references 2.6, 10.1-10.4)
- Sort Name (automated if selected)

#### Software

- Software Name
- Sort Name (automated if selected)

The screenshot displays the 'Name Forms' section of the Getty Institutional Records and Archives system. The interface is divided into two main panels. The left panel, titled 'Basic Information', contains a sidebar with a list of record types: Basic Information, Record Control Information, Record IDs, Record Info, Other Agency Codes, Convention Declarations, Metadata Rights Declarations, Maintenance History, Sources, Alternate Sets, Identity Information, Entity IDs, Name Forms (highlighted), Description Information, Dates of Existence, Places, Occupations, Functions, Topics, Languages Used, Contact Details, Notes, External Documents, Relation Information, Related External Resources, and Related Agents. Below this list is a 'Save Corporate Entity +1' button. The right panel, titled 'Name Forms', contains a form for entering name information. It includes fields for Authority ID, Source, Rules, Primary Part of Name, Subordinate Name 1, Subordinate Name 2, Number, Dates, Location, Conference Meeting?, Jurisdiction?, Language, Script, Transliteration, Qualifier, Sort Name, and Date(s) of Name Use. A 'Save Corporate Entity +1' button is also present at the bottom right of the 'Name Forms' section.

1. Publish (In the Basic Information Section)
2. Enter the **Source** of the name, if found in an authority file; if not found in an authority file, indicate the **Rules** used to construct the name. **Note: when creating an authority name, we will never use Rules= "Local." Only Source can be "Local."** Names must always be created in conformance with existing authority rules
3. Select **Name Order** from the dropdown menu. When adding a Person, the default is Indirect, which means the name will appear Lastname, Firstname.
4. If the name comes from an authority file and has an identifying number, you may choose to enter it in the Authority ID field. Be sure to include the full number.
5. Enter the authoritative form of the name in **Primary Part of Name** (for a personal or corporate name) or the **Family Name** or **Software Name**. Do not add terminal punctuation.

Save the record. The steps are slightly different depending on where you opened the record:

1. **(If working from the main screen):** Save the Agent record by pressing the **Save Person | Family | Corporate Entity | Software** command button at the bottom of the record.
2. **(If working from the resource):** "Create and Link to Resource."

The following sub-records are available in all Agent records:

- **Dates of Existence:** If you decide to include dates, you will need to select either **Range** or **Single** from the **Type** (of date) menu and either provide dates or describe the date or date range in the **Expression** field.
- **Other name forms:** Used to capture non-authoritative forms of the name, or if you wish to use a different form of the name for display purposes. They are added by clicking on **Add Name Form**.
- **Dates of name use:** If you wish to identify the era in which an agent was known by a particular name. You will need to select either **Range** or **Single** from the **Type** (of date) menu and either provide dates or describe the date or date range in the **Expression** field.
- **Contact details:** Useful for holding contact information for sources of collections. If a contact is added, the **Contact Name** is the only required field.
- **Notes:** A place to put additional descriptive information about an agent, such as a biographical note or an administrative history. This field will be included in EAC exports.
- **Related agents:** A way of specifying how different agents relate to each other. Select **Associative Relationship**, **Earlier/Later Relationship**, or **Parent/Child Relationship** from the drop-down menu.
- **External documents:** This sub-record contains any links to external documentation, e.g., biographical files, reference works, etc. about this agent. The document may be of any form or content. A web accessible file, a network accessible file, a file on the same computer as the application, etc. Both **Title** and **Location** (ideally a resolvable URI) are required fields.

For Getty corporate body agents, enter the program name in the **Primary Name** field and the department name in the **Subordinate** field. Department names evolve over time. When creating a name for a Getty entity, enter the source from which you derived the authorized name (organizational chart, phone directory, letterhead, email, phone call, etc.) and the history of known departmental name changes in the **Biographical/Historical Note**. The Agents module will serve as the authority record for Getty institutional names that do not already exist in LCNAF.

When creating personal names for prominent figures in Getty history that are not represented in LC Authorities, include a brief description of their role in relation to J. Paul Getty or the institution in the **Biographical/Historical Note**. This can be derived from the front matter of a finding aid. For example:

Allene Ashby was married to J. Paul Getty from 1926 to circa 1928 (overlapping his marriage to Jeannette Demont for a time).

C. Norris Bramlett was involved with the J. Paul Getty Museum and J. Paul Getty Trust from its inception in 1953, serving as a member of the Board of Trustees from 1961 to 1992.

As information is entered in the appropriate fields, ASpace will create a **Sort Name**. The **Sort Name** may contain superfluous punctuation. We do not edit the sort names.

Be aware that the Agents module is gradually being configured to conform with EAC/CPF data standards – we need to make sure we are incorporating those guidelines into our practices in the future.

### 2.8.3. Subjects

### Subjects

This sub-record associates subjects with the materials described to provide information about their context. The required field is **Subject**. You may add as many Subject links as needed.

To add a Subject sub-record, click Subjects on the left navigation bar and then click Add Subject on the right side of the screen.

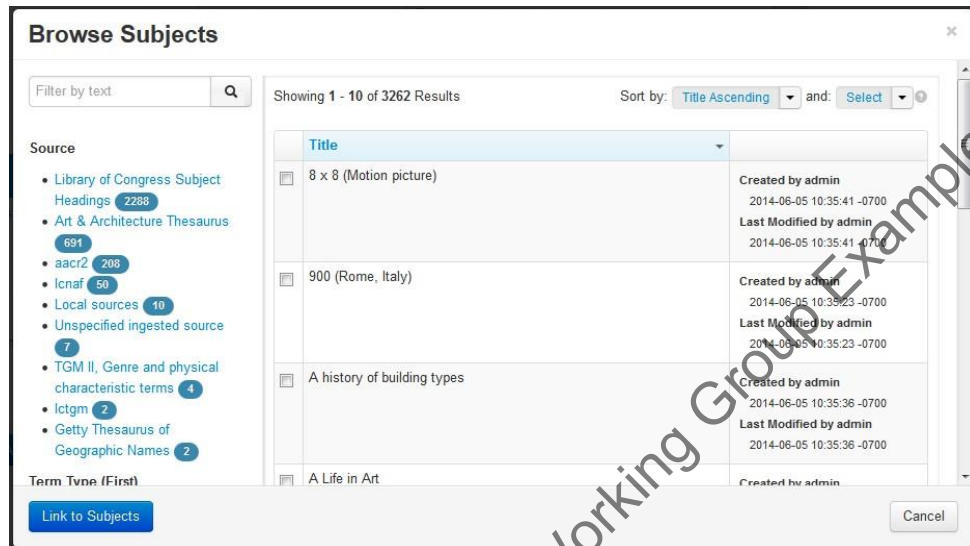
**Subject: (Required)** The subject related to the material described in the record. Subjects may be selected using auto-complete, using a browse function, or may be created on demand.

To select a subject using the auto-complete function simply start typing in the subject box. The system will present you with matching options. Select the appropriate subject.

To select a subject using the Browse function, click on the drop-down arrow by the subject box and select **Browse**.

Search for and select the desired subject on the resulting screen. Click **Link to Subject** to add the subject to the accession record and close the Browse Subjects screen.

If you cannot find the term you need, click **Cancel** or the **X** at the upper right to exit the Browse Subjects screen without selecting a term.



If a subject does not exist in the ASpace module, search Library of Congress Subject Headings LCSH and create a new subject in the system. To create a subject, click on the drop-down arrow by the subject box and select **Create**. (You may also create a subject, independently, through the main toolbar.) Fill in the appropriate terms and subdivisions, as required. Click **Create and Link to Subject** when you have completed the data entry.

If the subject term comes from an authority file and has an identifying number, you may choose to enter the number in the Authority ID field. It is not a required field. Be aware, though, that the reference number is only for the main term without any subdivisions and the system does NOT allow duplicate ID numbers. ONLY use the authority ID, if you use it at all, for those terms that have no subdivisions.

Abassadors -- Vietnam -- Portraits Subject

**Basic Information**

Authority ID

Source \* Library of Congress Subject Headings

Scope Note

**Terms and Subdivisions** Add Term/Subdivision

Term *	Abassadors	Type *	Topical
Term *	Vietnam	Type *	Geographic
Term *	Portraits	Type *	Genre / Form

**External Documents** Add External Document

Subject terms should be taken from LCSH, making full, but correct, use of the free-floating subdivisions wherever possible. Set the source attribute to "lcsch." Subject terms should be assigned to every resource at the main level.

If needed, geographic terms should be taken from LCSH or the Getty Thesaurus of Geographic Names. Ensure that the source attribute refers to the appropriate authority.

Form and genre terms should be taken from the Getty Art and Architecture Thesaurus. Enter the source attribute as "aat." Form and genre terms should always be assigned at the top level. See [borndigital\\_findingaid\\_manual.pdf](#) for suggested terms for digital media or files.

## • 2.9. Notes

ArchivesSpace supports 29 notes, each of which can be repeated and 28 of which are available in the **Notes** section of the Resource record template. [As of release 2.7.0, the Language of Materials Note is entered in the Basic Information section of the Resource record and is no longer available as an option in Notes subrecord dropdown.]

[Be aware: notes are sequenced vertically, with the note most recently entered at the bottom of the sequence. The position of a note in the sequence can be modified by clicking on the horizontal bars in the left-hand corner of the note frame and dragging the note to a new position above or below. Theoretically, the notes should export in this order. Our stylesheet forces the display order, regardless of the export order.]

Notes may be a single part note or a multipart note, depending on which note you are creating.

**Notes** [Add Note]

- Physical Location - Request Materials** [Expand] [X]  
To access physical materials at the Getty, go to the library catalog record for this collection and click...
- Abstract** [Expand] [X]  
The collection comprises collected materials related to art collector and oil tycoon, J. Paul Getty and his parents, George F. Getty I and Sarah C. Getty. The collected papers on J. Paul Getty...
- Processing Information - Processing History** [Expand] [X]  
Phil Curtis created a box list in the summer of 2003, began a preliminary rehousing of the collection, created and began encoding a preliminary finding aid in November 2004. Sue Luftschein completed...
- Immediate Source of Acquisition - Acquisition Information** [Expand] [X]  
This collection was assembled from a number of sources and is comprised of the following accessions: 1986.IA.22 transferred by the Getty Center for the History of Art and...
- Preferred Citation - Preferred citation** [Expand] [X]  
[Cite the item and series (as appropriate)], J. Paul Getty Family Collected Papers, circa 1880s-1989. Institutional Archives, Getty Research Institute, Finding aid no. IA20009.

Enter notes using the “Add note” button and resulting drop down menu to select the appropriate field.

**Notes** [Add Note]

Note Type \* Abstract [X]

**Single Part Note**

Persistent ID [Text Field]

Label [Text Field]

Type \* Abstract [X]

Publish? ☐

Content \* [Text Area]

Mixed Content Enabled -- Type '<' for elements or highlight text to wrap

[Add Content Item]

**Note Type (Required):** Choose from drop-down list. Note types are used to guide the export of note contents to certain elements in specific data formats. Repositories may customize the list of data values. Depending on the type of note you choose, a single part note, or a multipart note form will open. **Upon export, the Note type will appear as the Label UNLESS the Label has been filled in. This will be uncommon; staff are expected to use best professional judgement in determining when it is useful to have a label differ from the note type.**

**Persistent ID (Not Used):** Open text field. The persistent ID must be unique within the context of the complete resource description.

**Label (As Needed):** Open text field. A label or heading for the specific note. If a label is not used, the note type will be used as the label.

**Type (Required):** Choose from drop-down list. In a multipart note, the default is the same as the parent Note Type, but you can choose a different type for this field.



**Publish:** Select or clear the check box. A selected checkbox indicates that the note will be published to public (patron) interfaces.

**Content (Required):** Open text field. Contains the content of the note. If you are not ready to enter the content, do not create the note. Blank fields can create export problems.

**Publish:** Select or clear the check box. A selected checkbox indicates that the note will be published to public (patron) interfaces. Notes may contain sub-notes which can also be published.

## 2.9.1. Abstract (Required)

Provide a brief abstract derived from the main Scope and Content note (see guidelines below). Be sure to list the creator, main types of records, date range, and purpose/role/significance of the creator and the records. The abstract should also reflect the presence of digital materials if there is a significant amount in the collection.

Example:

Records comprise the administrative and project files of Michael Ester, the first director of the Getty Art History and Information Program (AHIP). Records date from 1983 to 1993 (bulk 1985-1992) and reflect the foundation and development of AHIP and its ground-breaking projects. The records provide insight into the planning and management of early information systems in the arts and humanities. Materials include correspondence; reports; proposals; research files; meeting minutes; memoranda; and policies and procedures.

## 2.9.2. Biographical Note/Administrative History [DACS 2.7] (Required)

The Biographical Note and/or Administrative History (edit the note label, as needed; you can have multiple biographical notes) is used to provide basic background information on the creator(s) of the records, the circumstances surrounding the creation of a collection, major figures represented in the records, etc. A biographical sketch should briefly cover the overall life of an individual, placing emphasis on those areas of his/her life that have a direct bearing on the collection being described. An administrative history should describe the history of the department or program that created the archival records. Keep DEA considerations in mind when composing descriptive text and avoid using superlatives and valorizing language. The description should be bounded by the scope of the records and should only expand beyond that scope if the creator of the finding aid has reason to believe that additional accessions will be added to the finding aid soon. Use multiple paragraphs as needed.

Example:

### Administrative History

The Trust's origins date to 1953, when J. Paul Getty established the J. Paul Getty Museum as a California charitable trust to house his growing art collections. Originally a small, private institution located in Getty's ranch house in Malibu, the Museum moved to the newly constructed Villa in grounds adjacent to the ranch house in 1974. When most of his

personal estate passed to the Trust in 1982, the Trustees decided that, given the size of the endowment, it should make a greater contribution to the visual arts and humanities than the Museum could alone. Out of this resolve grew an expanded commitment to the arts in the general areas of scholarship, conservation, and education, which took shape in a new range of trust activities. In 1983 the trust's name was changed from the J. Paul Getty Museum to the J. Paul Getty Trust to reflect its broader scope, with the museum becoming an operating program of the Trust.

### Biographical Note

Harold Marvin Williams was born on January 5, 1928, in Philadelphia, Pennsylvania to Russian immigrant parents. His family moved to the Boyle Heights neighborhood of Los Angeles in 1934 where he attended local public schools. He earned an A.B. with Phi Beta Kappa honors from UCLA in 1946 at the age of 18, and a J.D. from Harvard University Law School in 1949. Soon after receiving his J.D., he joined a Los Angeles law firm and specialized in tax and corporation law. From 1950 to 1953 he served in the Korean War as a 1st Lieutenant, US Army, service for which he was awarded the Bronze Star. In 1955 Williams left the law firm to join Hunt Foods and Industries, Inc. as Associate Tax Counsel and in 1968 was elected President. That same year Norton Simon, Inc. was formed from the consolidation of Hunt Foods and Industries and two other companies, and Williams was named Finance Committee chair, a position he held from 1968 to 1970, and Chairman of the Board, from 1969 to 1970. From 1960 to 1981 Williams was Trustee of various foundations holding the Norton Simon Art Collection, and in 1984 was elected to the Board of the Norton Simon Museum and its other art-related foundations.

In 1970 Williams left Norton Simon Industries, Inc. to assume the post of Dean and Professor of Management at the School of Business Administration, University of California, Los Angeles. Under his leadership the school was reorganized and renamed the Graduate School of Management. During this period, he also served as Director, Los Angeles Chamber of Commerce (1974-1977); Member of the Commission for Economic Development, City of Los Angeles (1973-1977); and Energy Coordinator, City of Los Angeles (1973-1974) during the California energy crisis.

Williams left UCLA in 1977 when he was nominated to be Chairman of the Securities and Exchange Commission (SEC) by President Jimmy Carter. Following Ronald Reagan's election Williams resigned from the SEC in 1981. That same year he was invited by the J. Paul Getty Museum Trustees to become the first President and CEO of the J. Paul Getty Museum Trust (legally renamed the J. Paul Getty Trust in 1983). In the years to follow Williams and his colleagues conceptualized a range of new programs for the institution, developed an overall plan for expanding Getty operations, and oversaw the design, construction, and opening of the Brentwood Center. In 1982, he became a Regent of the University of California, a position he held until 1994. Williams retired from the Getty in 1998.

### 2.9.3. Scope And Content [DACS 3.1] (Required)

#### Scope and Content Note

Scope and content notes should be a concise, unbiased, and informative delivery of key information about the material described in the finding aid. The primary purpose of description is to provide overviews of the whole collection, series, and/or subseries and to bring strengths or weaknesses to the attention of researchers and staff. There should be a consistent tone and style across collections regardless of who processed a specific set of records. DEAI issues should also be

considered here, including bringing attention to BIPOC materials.

The introductory sentence of the collection description should begin with the creator, followed by a list of the types of records found in the collection, the date span, and bulk dates. The second (and possibly third) sentence should provide a general summary of the scope and content of the collection and its importance or significance. Additional paragraphs may be included to provide an in-depth description of the arrangement and content of each series and subseries, emphasizing major features of each, including subjects covered and names of correspondents or other individuals who figure prominently in the collection. Obvious research strengths and weaknesses should be noted, including subjects and individuals about whom there are useful materials, as well as subjects one might expect to find covered but that are not well represented. In short, the collection description should be a summary, not a verbatim repetition, of the series and subseries descriptions found throughout the finding aid. Indexing terms will be derived from the subjects and individuals mentioned in the collection level scope and content note.

See [borndigital\\_findingaid\\_manual.pdf](#) for guidance in describing born digital materials.

Example:

#### **Scope and Contents Note**

Records comprise correspondence, memoranda, reports, notes, a few specifications, photographs, and oversize plats, dating from 1968 to 1975, pertaining to the conceptual development and construction of the J. Paul Getty Museum (Villa). Much of the correspondence consists of copies of outgoing letters and original incoming letters maintained by either Norris Bramlett or Stephen Garrett. Most of the correspondence maintained by Bramlett passed between Getty and members of the Trust/Museum as they discussed the development and construction of the Villa, recording the evolution of planning from a proposed expansion of the existing ranch house museum wing to the construction of the Villa Museum. Most of the correspondence maintained by Garrett consists of copies of outgoing letters and original incoming letters Garrett wrote, received, or was copied in on while working for J. Paul Getty and with the staff of the Getty Trust and Museum on the Villa project. The materials contain discussions about the Villa design, construction, maintenance, landscaping and irrigation, boundaries and easements, security, and various administrative and staff issues.

#### **2.9.4. Arrangement [DACS 3.2] (Required)**

Here, as well as in the series arrangement statements, the term "Arrangement" should be used in the "Note Label/Title" field. If the finding aid describes a single series or an undifferentiated set of records, state "The records are arranged in a single series" or "The records remain in their original order."

Note: Older finding aids may contain internal ref tags that now cause validation and pdf export problems: Example: `<ref target="ref23">Series I. Museum correspondence, 1953-1972 ;</ref>` If you find these remove the `<ref>` tags – they are not worth the trouble of maintenance.

Example:

These records are organized into three series:

Series I. J. Paul Getty papers, 1909-1977, 1982-1984, 1989, undated (bulk 1912-1976);

Series II. George F. Getty I and Sarah C. Getty papers, 1890, 1904-1921, 1928, 1931-1934, 1939,

undated (bulk 1911-1912);  
Series III. Photographs, 1880s-1970s, undated.

## 2.9.5. Restrictions (Required)

### 2.9.5.a. Conditions Governing Access note [DACS 4.1]

Use the Conditions Governing Access note for information about conditions that affect the availability of the materials being described. The content may indicate the need for an appointment, or the nature of restrictions imposed by the donor, legal statute, repository, or other agency. The content may also indicate the lack of restrictions. Do not confuse it with Conditions Governing Use, which designates information about limitations on the publication or reproduction (or other use) of the described materials after access has been granted.

The Note Label field should read "Restrictions on Access." Fill in the appropriate language for the restriction level of the records.

\\InstitutionalArchives\PoliciesProceduresADM135\Archives\BackgroundDevelopment\AccessPolicyAndRestrictions

#### Open.

The records described in accession \_\_\_\_\_ are available for use by qualified researchers.

#### Open with exceptions.

Except for materials that have been marked restricted or confidential, the records described in accession \_\_\_\_\_ are available for use by qualified researchers. Please note selected restricted materials must be removed from boxes prior to access by researcher.

#### Open after review.

The records in accession \_\_\_\_\_, subject to review for permanently closed information, are open to qualified researchers. Requests for access will be reviewed on a case-by-case basis.

#### Closed.

The records in accession \_\_\_\_\_ are closed to all except the department that created them, the General Counsel, the director of the originating program or division, or their designees until YYYY.

#### Always include the following clause:

The following types of records are permanently closed: records containing personal information, records that compromise security or operations, legal communications, legal work product, and records related to donors. The J. Paul Getty Trust reserves the right to restrict access to any records held by the Institutional Archives.

#### Sealed (only to be used for oral histories)

The records described in this finding aid are sealed [until date, if known]. Contact Institutional Archives staff for more information. The J. Paul Getty Trust reserves the right to restrict access to any records held by the Institutional Archives.

If the collection contains AV that requires reformatting, use the following note:

“Access copies of [audiovisual material, videocassettes, audiocassettes, etc.] must be created prior to use. To request access, fill out the reference form with the title and finding aid number [IAXXXX]. Please note reformatting may take up to eight weeks.”

For collections that contain digital material, see [borndigital\\_findingaid\\_manual.pdf](#) for boilerplate statements.

## 2.9.5.b. Conditions Governing Use note [DACS 4.4]

Use the Conditions Governing Use note for information about conditions that affect use of the described materials after access has been granted. The tag may indicate limitations, regulations, or special procedures imposed by a repository, donor, legal statute, or other agency regarding reproduction, publication, or quotation of the described materials. It may also indicate the absence of restrictions, such as when copyright or literary rights have been dedicated to the public.

The Note Label should read “Restrictions on Use.” If the note field does not automatically populate, enter the following:

Contact <extref actuate="onrequest" href="http://hdl.handle.net/10020/rights\_repro" show="new">Library Rights and Reproductions</extref> at the Getty Research Institute for copyright information and permission to publish.

## 2.9.5.c. Physical Characteristics and Technical Requirements Note [DACS 4.3]

Use the Physical Characteristics and Technical Requirements note for a description of important physical conditions or characteristics that affect the storage, preservation, or use of the materials described. This includes details of their physical composition or the need for hardware or software to preserve or access the materials.

See [borndigital\\_findingaid\\_manual.pdf](#) for additional guidance in describing born digital materials.

## 2.9.6. Preferred Citation Note (Required)

Follow the pattern below, insert the collection title, dates, creator, and the finding aid number enter a blank line and then enter the handle (the handle should be obtained from the staff member performing the MARC cataloging (Lawrence manages the handle server)). “The Getty Research Institute” is always listed as the repository. The current format recommended by IRA uses the following convention:

[Collection title, dates], Institutional Records and Archives, The Getty Research Institute, Los Angeles, [finding aid OR accession no.] followed by a blank line, followed by the finding aid handle.

For example:

J. Paul Getty Diaries, 1938-1946, 1948-1976. Institutional Records and Archives. The Getty Research Institute, Los Angeles, IA40009.

<http://hdl.handle.net/10020/cifaia40009>

Staff wishing to cite unprocessed collection material may use the appropriate accession number in lieu of a finding aid number. For internal finding aids, citations should omit the corresponding handles, as they result in broken links.

## 2.9.7. Immediate Source of Acquisition [DACS 5.2] (Required)

Use the Acquisition note to record the immediate source of the materials being described and the circumstances under which they were received. Includes donations, transfers, purchases, and deposits. Each source should be listed with the accession number, source, and year of the transfer. Multiple accessions can be appended to the same note.

## 2.9.8. Processing History Note [under DACS 8.1] (Required)

Use the Processing History note to summarize who has worked on the collection and what they have done. On occasion, a more detailed summary of action taken during processing is warranted, including an account of the present and former arrangement of the material, as far as this might affect interpretation. Always list actions performed on electronic files (format conversions, file re-naming, re-arrangement, etc.), particularly in reference to the access copies disseminated to researchers.

Also note the level of processing if the materials are less than fully processed.

See [borndigital\\_findingaid\\_manual.pdf](#) for guidance in describing processing actions taken on born digital materials.

Example:

These records are unprocessed. A rough inventory of the accession was created by [processor name] in YYYY. To prepare the inventory, the described materials were cursorily reviewed to roughly delineate series, to create accurate contents lists, to provide an estimate of dates covered, and to determine record types. No other work has been performed on the materials.

## 2.9.9. Existence And Location of Copies Note (Use only if needed)

Use the Existence and Location of Copies note (the Note Label should read "Alternate Form Available") for information about copies of the materials being described, including the type of alternative form, significant control numbers, location, and source for ordering if applicable. The additional formats are typically microforms, photocopies, or digital reproductions.

Use this note only if necessary.

## 2.9.10. Physical Location Note (Required)

The Location Note is used to direct researchers to either the MARC record (for public materials) or anIRA contact (for staff-only materials) so the researcher can request the item.

For Public finding aids:

Most of this information is automatically populated with the title of "**Request Materials.**" If the field does not automatically populate with the text below, cut and paste it from here. Fill in the **XXXXXXX** with the bib id from the MARC record. Note that this URL should be the handle for the

Primo record, not the URL automatically generated by Primo.

Request access to the physical materials described in this inventory through the catalog record at

<extref actuate="onrequest" href=[http://primo.getty.edu/GRI:GETTY\\_ALMAXXXXXX](http://primo.getty.edu/GRI:GETTY_ALMAXXXXXX) show="new">library catalog record</extref> for this collection and click "Request an Item." Click here for <extref actuate="onrequest" href="http://hdl.handle.net/10020/access" show="new">general library access policy</extref>. See the Administrative Information section of this finding aid for access restrictions specific to the records described below. Please note, some of the records may be stored off site; advanced notice is required for access to these materials. For more information or to request access to any available digital material, please contact <extref actuate="onrequest" href="http://hdl.handle.net/10020/askref" linktype="simple">Library Reference</extref> at the Getty Research Institute.

For staff-only materials:

Cut and paste the text below.

Request access to the physical and/or digital materials described in this inventory by contacting Institutional Records and Archives staff at [records@getty.edu](mailto:records@getty.edu). See the Administrative Information section of this finding aid for access restrictions specific to the records described below. Please note, some of the records may be stored off site; advanced notice is required for access to these materials.

#### 2.9.11. Accruals Note [DACS 4.5] (Use only if needed)

Use the Accruals note if more records are expected for this collection. Use it to indicate the quantity and frequency of expected additions.

#### 2.9.12. Appraisal Note [DACS 5.3] (Use only if needed)

Use the Appraisal Note only to record significant or unusual decisions regarding the appraisal or reappraisal of a collection. Record information about any major decision to discard materials, who made the decision, and the date of the decision. Do not record the disposal of duplicates or the routine appraisal of mundane records.

#### 2.9.13. Related Materials [DACS 6.3] (Use as needed)

[From EAD Tag Library] The related material note is used to encode descriptions of or references to materials that are not physically or logically included in the material described in the finding aid but that may be of use to a reader because of an association to the described materials. Items encoded as <relatedmaterial> are not related to the described material by provenance, accumulation, or use.

Provide references to related collections or significant bibliographic items held by the Institutional Archives or Special Collections, including the relevant collection numbers. Place all related materials information in a single note.

Begin each related materials note with the following phrase:

<emph render="italic">The following materials are offered as possible sources of further information on the agencies and subjects covered by the records. The listing is not



exhaustive. </emph>

Followed by a list of repositories and their materials:

<repository><emph render="bold">Getty Institutional Archives</emph> </repository>

<archref>Board of Trustees Records, J. Paul Getty Trust. The Getty Research Institute (IA10002). </archref>

<archref>Library Inventories and Accession Records, The Getty Research Institute, (IA20001). </archref>

<repository><emph render="bold">The Huntington Library</emph> </repository>

<archref>The <extref actuate="onrequest" href="http://www.oac.cdlib.org/findaid/ark:/13030/kt7199q9m3/" show="new">C. C. Pierce Collection of photographs</extref>, circa 1840-1930. Located in: The Huntington Library, San Marino, California. Identification number: photo C. C. Pierce. </archref>

<repository><emph render="bold">USC Libraries Special Collections, Doheny Memorial Library</emph> </repository>

<archref>The <extref actuate="onrequest" href="http://digitallibrary.usc.edu/search/controller/collection/chs-m265.html" show="new">Title Insurance Trust / C. C. Pierce Collection</extref>, 1860-1960. Located in: USC Libraries Special Collections, Doheny Memorial Library, Los Angeles, California. Record ID: chs-m265. </archref>

**If you wish to add references to internal-only finding aids to a publicly available finding aid, discuss it with the department head. We may need to explore creating a second related materials note for such entries and setting it to unpublished.**

### 2.9.13.a Separated Materials (Use only if needed)

Use this note to record information about materials that are associated by provenance to the described materials but that have been physically separated or removed. The intent of this note, as described in the EAD 2002 tag library, is for items that may be separated for various reasons, including the dispersal of special formats to more appropriate custodial units; the outright destruction of duplicate or nonessential material; and the deliberate or unintentional scattering of fonds among different repositories.

The separated materials section is optional and can, if needed, be tagged with the same level of complexity that appears in the related materials section.

### Existence and Location of Originals (Use only if needed)

As described in the EAD 2002 tag library, use this note to record information about the existence, location, availability, and/or the destruction of originals where the



unit described consists of copies. Do not confuse <originalsloc> with Alternative Form Available <altformavail>, which is used to encode information about copies of the material being described. The <originalsloc> element is comparable to ISAD(G) data element 3.5.1 and MARC field 535. An example of use would be to document the fact that General Counsel has original legal documents (e.g., incorporation documents) and Accounting has original real estate deeds in their department safes. We only have copies.

## Custodial History (Use only if needed)

## Dimensions (Not Currently Used)

## File Plan (Not Currently Used)

## General (Not Currently Used)

## Index (Not Currently Used)

## Legal Status (Not Currently Used)

## Materials Specific Details (Not Currently Used)

## Other Finding Aids (Not Currently Used)

- **2.10. External Documents (Not Currently Used)**

This sub-record allows links to information in other description or management systems, such as donor files or processing plans. If the field is used, the required elements are **Title** and **Location**. You may add as many external document links as needed.

To add an external document link, click External Documents on the left navigation bar and then click Add External Document on the right side of the screen.

The screenshot shows the 'External Documents' form within the 'Archives' section. On the left is a navigation bar with links: Basic Information, Dates, Extents, Finding Aid Data, Related Accessions, Agent Links, Subjects, Notes, and External Documents (which is highlighted in blue). The main form area has a title 'External Documents' and a button 'Add External Document'. Below this are two required text input fields: 'Title' and 'Location', each with a red asterisk. There is also an optional 'Publish?' checkbox. The form is set against a light gray background.

**Title: (Required)** Open text field. The title of an external document referenced from the accession record. The document may be of any form or content. A web accessible file, a network accessible file, a file on the same computer as the application, etc.

**Location: (Required)** Open text field. The location of the file, ideally a resolvable URI. Examples: <http://www.archivesspace.org/membershipfile:///c:/path/to/the%20file.txt>

**Publish:** Select or clear the checkbox. A selected check box indicates that this External Document will be published to public (patron) interfaces. Note that this publish function operates independently from the publish box in the Basic Information

- **2.11. Rights Statement (As Needed)**

We have not made use of this section and are more likely to use it at the accession level. This sub-form contains information about the rights status of the materials described and whether there are specific restrictions or permissions that have been indicated. The Rights Statement record allows the option of linking to an external document. The required field is **Rights Type**. You may add as many rights statements and/or subsidiary external documents as needed.

To add a rights statement, click Rights Statement on the left navigation bar and then click Add Rights Statements on the right side of the screen. Click on Add External Document to add an external link as needed.

**Identifier:** Uniquely identifies the rights statement within the repository domain. Rights Statement identifiers are usually auto generated by the application.

**Rights Type: (Required)** Select from drop-down list. The basis for the rights statement being made. Four bases are allowed: intellectual property, license, such as donor agreement, legal statutes such as Fair Use or FERPA, and institutional policy. Repositories may not customize the list of data values.

Depending on which **Rights Type** you select, a variety of different rights related fields will appear. For detailed instructions on how to fill in these fields talk to Nancy).

- **2.12. Metadata Rights Declaration (required)**

This is a new field in ASpace version 3.0 and allows the entry of a Creative Commons license.

To share our collections with aggregators we cannot claim copyright. Therefore, we will always select the first License option “Universal 1.0 Public Domain Dedication.”

This record is made available under an Universal 1.0 Public Domain Dedication Creative Commons license.  
 This record is made available under an Attribution-NonCommercial 4.0 International Creative Commons license.  
 This record is made available under an Attribution-NonCommercial-NoDerivatives 4.0 International Creative Commons license.  
 This record is made available under an Attribution-NoDerivatives 4.0 International Creative Commons license.  
 This record is made available under an Attribution-ShareAlike 4.0 International Creative Commons license.  
 This record is made available under an Attribution-NonCommercial-ShareAlike 4.0 International Creative Commons license.

The file URI for the human-readable version of the license is:

<https://creativecommons.org/publicdomain/zero/1.0/>

Set Xlink Actuate to: onRequest

Set Xlink Show to: new

The completed entry will appear as follows:

The declaration will appear on the front page of the pdf.

### • 2.13. Instances (Not Used)

In Institutional Archives, these fields will always be empty at the main level; box numbers are only

entered in the most granular components (not their parent levels).

- **2.14. Deaccessions (As Needed)**

This sub-record allows you to record information about materials that may have been separated and discarded, returned to a donor, or transferred to another institution. Deaccession records store information about the removal of an accession or resource, or any part thereof. **When material is deaccessioned AFTER it has been processed and described in a finding aid, the deaccession record is entered into the resource record. This scenario occurs very infrequently.**

ArchivesSpace requires several elements in a deaccession record, though you may enter many more if desired. The required elements are **Portion** (which defines the scope of the deaccession), the **Deaccession Date Label** and **Type**, and a **Description**.

### Create a deaccession record

On the left navigation bar, click **Deaccessions**, and then in the **Deaccessions** box, click **Add Deaccession**.

Fill in the following fields as required or needed:

**Portion: (Required)** Choose Whole or Part from drop-down list. Used to specify whether an extent statement relates to the whole or part of a given resource.

**Description: (Required)** Open text field. Description of the materials that have been deaccessioned.

**Reason:** Open text field. The reason for deaccessioning the materials described

**Disposition:** Open text field. A description indicating what was done with the deaccessioned materials.

**Notice Given:** Select or clear the check box. A selected check box indicates that notification of the deaccession was given.

## Deaccession date

**Label: (Required)** Choose from a drop-down list. Describes the type of activity that the date signifies. The default here is Deaccession.

**Expression: (Required when a normalized date is not recorded)** Open text field. You must first select Type in the drop-down list. A natural language expression specifying the date or date range of the materials in the accession. Required when a normalized date is not recorded. Some examples: 1968; 1979-1993; 1785-1960; bulk 1916-1958; 1827; circa 1870-1879; 1906 March 1; undated.

**Type: (Required)** Choose from a drop-down list. Indicate the type for normalized date information, either a single date or a date range (inclusive or bulk).

**Certainty (Not Used)**

**Era (Not Used)**

**Calendar (Not Used)**

## Deaccession extent

To add an extent to a deaccession record, click the **Add Extent** button on the right side of the screen.

**Portion: (Required)** Choose from a drop-down list. Used to specify whether an extent statement relates to the whole or part of a given deaccession. Only one extent statement may refer to the whole deaccession. All additional extent statements must refer to parts. Repositories may not customize the list of data values.

**Number: (Required)** Open text field. A numeric value for indicating the number of units in the extent statement, e.g., 5, 11.5, 245. Used in conjunction with **Type** to provide a structured extent statement.

**Type: (Required)** Choose from a drop-down list. A term indicating the type of unit used to measure the extent of materials described. Repositories may customize the list of data values.

**Container Summary:** Open text field. A list of container and container types housing the materials described in the deaccession. Example of use, if the Number and Type are 10 linearfeet then the container summary might be used to record the actual number of containers (10 boxes and 4 flat files)

**Physical Details:** Open text field. Other physical details of the materials described, e.g., analog, black and white, negatives.

**Dimensions:** Open text field. Dimensions of the materials described.

- **2.15 Collection Management (Not Currently Used)**

We use this in Accession records, rather than in Resource records.

- **2.16. Classifications (Not Used)**

We use this in Accession records, rather than in Resource records.

- **2.17. User Defined Fields (Not Used)**

This sub-record allows for the creation of user defined fields for recording additional information about a resource not supported in other sections of the resource record.

## PART 3: FINDING AID COMPONENT LEVELS

- **3.1. Container List**

### 3.1.1. General Comments

ArchivesSpace supports the creation of Resource records comprising multi-level descriptions, using component records. Resource component records have the following characteristics:

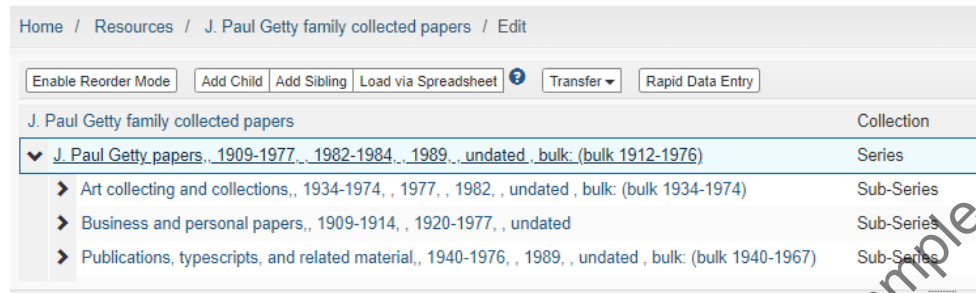
- Serve to describe the logical or physical parts of a resource that makes up an aggregation of archival materials.
- Requires the following elements:
  - **Level:** chosen from a pick list containing the values file, item, series, subseries, or other level. Note: typically, you will not use the level values of collection, fonds, class, subfonds, subgroup, or record group for Resource component records, since these are normally parts of a broader resource that will have one of those levels.
  - Either of the following:
    - Title
    - **Dates** sub-record (either expression or normalized dates)
- The Resource structure consists of nested components: series, subseries, files, and items. Most of the time, the most granular level of description in a resource will be at the folder-level; in exceptional cases, container-level or item-level lists might be created.
- Nested components reflect the hierarchical structure in which archival material is intellectually organized. There is no explicit correlation between a specific numbered level, or the position of a component in a hierarchy, and the intellectual level of the material being described. The intellectual level of a component number may vary within and between finding aids (e.g., level 3 may be a “subseries” in one part of a finding aid and an “item” in another). There is, however, logic to the nesting of levels. A series, for example, may contain subseries, files, or items, but not another series. The hierarchical position of each component in an intellectual structure must be specified using the **level** attribute. [Language from RLG best practice guidelines.]
- Though it is not readily evident, be aware that ArchivesSpace can only accommodate twelve nested component levels **if the levels are numbered**. This is in conformance with the EAD Schema. If, however, the components are **NOT numbered**, the depth of hierarchy is unlimited. Upon export you will need to choose whether to number the component levels.

Older finding aids may contain internal ref tags that now cause validation and pdf export problems.

Example: `<ref target="ref23">Series I. Museum correspondence, 1953-1972 ;</ref>` **If you find these, remove the <ref> tags – they are not worth the trouble of maintenance.**

Like the Resource record, the Resource component record accommodates extensive description of the component, including the same support for Notes sub-records and controlled access headings. You should use the guidelines for subsequent levels of description in DACS to help you determine which of the available ArchivesSpace fields should be used to ensure that your descriptions meet the recommended minimum for a multi-level description.

The following are the command functions for creating components on the ArchivesSpace Resource template:



- **Enable Reorder Mode:** Clicking this button will disable editing capabilities and enable the ability to rearrange, or reorder, component records individually or in bulk. You can:
  - Move a component to a new position within the same level,
  - Promote a component, i.e., move it higher in the hierarchy, or
  - Demote a component, i.e., move it lower in the hierarchy.

Bear in mind that all components that are children of a component that is moved will move with their parent component.

- **Add Child:** This button will open a new component record that is hierarchically subordinate to the context record (the record from which you use the **Add Child** button). Each Child record represents a level of hierarchy.
- **Add Sibling:** This button will open a new component record that is at the same level as the context record and that follows the context record within the component sequence.

ArchivesSpace places no limit on the number of sibling records, nor does EAD, the primary export option for a resource description in ArchivesSpace.

- **Load Via Spreadsheet:** This option is discussed in greater detail in Part 6 below.
- **Transfer:** You can use this button to transfer a component or a set of components from one resource to another. Discuss any such need with Nancy prior to attempting this.
- **Rapid Data Entry:** This option is for entering a series of components at the same level that have similar data, e.g., level of description, instance type, container type, container identifier, etc. The Rapid Data Entry option is discussed in greater detail in Part 6, below.

To create a Resource component record, select a context record in the multi-level description for the component record. The context record will be the parent record if there are no other component records in the description, and the only choice will be to create a child component.



## 3.1.2. Creating Resource Component Records

1. Select a context record in an existing resource. (If you are in the process of creating a resource, you must save it first.)
2. Choose either to **Add Child** or **Add Sibling** component record. Adding a child component record will be the only option if the context record is the top-level Resource record.
3. A blank component record template will be loaded.
4. Select a **Level of Description** for the component record.
5. Enter a **Title**; or alternatively enter a **Date Expression** and a **Begin Date** and **End Date** for the materials.
6. Add any additional information warranted for the resource component record description.
7. Save the record by pressing the **Save** command button at the bottom right corner of the window.

The screenshot displays the Getty Institutional Records and Archives interface. At the top, a list of records is shown with columns for 'id', 'File', 'Mixed Materials', and 'Box'. Below this, a 'New Archival Object' form is open. The form has a left sidebar with a menu containing 'Basic Information', 'Dates', 'Extents', 'Agent Links', 'Subjects', 'Notes', 'External Documents', 'Rights Statements', and 'Instances'. The main area of the form is titled 'Archival Object' and contains a 'Basic Information' section with fields for 'Title', 'Ref ID' (with a note '-- auto-generated upon save'), 'Component Unique Identifier', 'Level of Description' (a dropdown menu), 'Language' (a dropdown menu), 'Publish?' (a checkbox), 'Restrictions Apply?' (a checkbox), and 'Repository Processing Note' (a text area). A 'Save' button is located at the top right of the form area. A 'Save Archival Object +1' button is located at the bottom left of the sidebar.

When you add a date or extent, depending on the type of sub-record, specific fields may be required. If any required information is missing, you will be prompted to add the required information.

**Title (conditionally required; must have a title or a date)**

Enter the component/folder title, followed by a comma and space if the title will be followed by a date field. Spell out acronyms and abbreviations if known. Capitalize only the first word unless it is a proper noun or formal title. If the date is the title, leave the title field blank, and enter the date in the DateExpression field and Begin/End dates.

**Component Unique Identifier**

This can be used to enter a series or subseries number, though it is not required that you do so. If you do, the series numbers should follow the following format: Series I.

Series I.A.

Series I.B.1.

Series I.B.2.

The field is also used for specific numbers pertinent to the data being entered. For example, when entering Foundation grant files, it is used for the grant id number. When entering construction document records, it can be used for the document reference numbers.

**Level of Description (Required)**

Set the level attribute for each component to the appropriate value. Normally you will use file, though item, subgroup, series, etc. might also be used depending on the circumstances.

For Level 3 and Level 4 processing (as described in our *Processing Manual*), when a component is defined as a series or subseries it should have a date, scope and content note, and arrangement note.

Enter additional fields/notes as needed following the instructions in this manual.

If the Level of Description is "Series" or "SubSeries" DO NOT USE EMPH TAGS!

If one of the components is acting as an informal header do the following:

The Level of Description should be set to "Other Level" which will force the Other Level field to open. Enter ia on the Other Level field. Then you should either `<emph>` render "bold" the text of the unittitle/unitdate **or** do not bold the text and simply place a colon following the last character. Whichever approach you select, be consistent within the Resource.

Basic Information	
Title *	<code>&lt;emph render="bold"&gt;Art collections correspondence, &lt;/emph&gt;</code>
Ref ID	ref24_d8c
Component Unique Identifier	
Level of Description *	Other Level
Other Level *	ia

Examples:

`<emph render="bold">Alphabetical correspondence </emph>`

Note – this will not bold any associated dates

OR

Alphabetical correspondence:

Publish (Not typically used)

Restrictions Apply (As needed)

Repository Processing Note (Not typically used)

Languages (Note typically used)

Date Expression

All dates in the finding aid contained within the "Date expression" field should be entered as described above in the section on the main level of the finding aid. We are also normalizing the dates by adding them to the "Begin" and "End" fields; you can either do this manually or wait until you are done with the finding aid and then run the file through the more automated normalization process we have developed.

When the date of the material acts as the title of the component, as is often the case with chronological files, enter the date in the "Date Expression" field and leave the "Title" field empty.

For digital files, depending on the maintenance history and how they were transferred to the archives, the created date is often inaccurate. For that reason, we will typically preference the last modified date, but this will depend on the files. If you choose to use a date source for a particular set of files that is different from the primary source used for the rest of the collection, note that in

the Processing Information note.

## Extent

For series and subseries, the volume of the collection, measured in linear feet, should be listed in the extent number fields. The Extent sub-records functions here just as it functions at the main level. Fill it in in the same way. enter the quantity in the Number field and then select the volume "Linear Feet" or "GB" from the Type drop down menu.

Enter the number of containers into the "Container Summary" field; the entry could look like

- (1 box: 1 hard drive, MAC: 1 TB)
- (450 KB, 20 files)
- (2 MiniDV Cam cassettes)
- (9 audio CDs, 3 video DVDs and printed materials)
- (6 audio CDs in MP3 format, and 1 printed transcription)

## 12

When the component is used at the file or item level, use the "Physical Description Note" (you will have to create a Note for this) to record the number of copies (if multiple), the number of folders, if the folder is empty, or other physical aspects of the material in question. Always place the content of the extent information in parentheses within the note text.

[Note – while using Archivist's Toolkit we used to do this in the extent container summary, but you can no longer save an extent without a Number and Type. In other words, you can no longer use **only** the container summary field. When data migrated to ASpace, all the container summaries were imported as Physdesc notes. We now need to enter the data in that field as a default.]

### 3.1.3. Series/Subseries Agents and Subjects

Do not enter names or subjects below the top level of a resource unless the materials are exceptional and require additional access points. This is subjective and will happen rarely - one of the only possible circumstances might be that the size of the finding aid means that series are posted as separate finding aids and given separate MARC records (as in the case of Special Collections Shulman material).

### 3.1.4. Series/Subseries Notes

Series and Subseries should always contain Scope and Content notes and Arrangement statements, all other available notes can be used if needed. Discuss any display issues with Nancy.

#### Series/Subseries: Scope and Content Note

The series scope and content note should be treated as an extension and clarification of the collection scope and content notes. The same structure should be followed for the series and subseries descriptions, though as one descends the hierarchy the description should become more detailed. Although the series and subseries inherit description from their parent levels, repeat essential information (especially the creator's name) to aid users who may enter the finding aid online at the series or subseries level without benefit of having read the collection level scope and content note. **The most detailed descriptions should appear at the level immediately preceding the folder lists.**

**See [borndigital\\_findingaid\\_manual.pdf](#) for guidance in describing born digital materials.**

#### Series/Subseries: Arrangement Note

Always provide an arrangement statement at these levels; add additional notes only when necessary.

#### Series/Subseries: Biographical/Historical Note

Use as needed/appropriate to describe essential administrative or biographical information that is too detailed to include at the main level.

#### Series/Subseries: Restriction Notes

When restrictions are noted at the series, subseries, and particularly file/item level, use the appropriate Conditions Governing Use Note, Conditions Governing Access Note, or Physical Characteristics and Technical Requirements Note as described above.

**See [borndigital\\_findingaid\\_manual.pdf](#) for guidance in describing born digital materials.**

#### Series/Subseries: Physical Characteristics and Technical Requirements

Use the Physical Characteristics and Technical Requirements note for a description of important physical conditions or characteristics that affect the storage, preservation, or use of the materials described. This includes details of their physical composition or the need for hardware or software to preserve or access the materials.

**See [borndigital\\_findingaid\\_manual.pdf](#) for guidance in describing born digital materials.**

#### Series/Subseries: Processing Information Note

Use this note as needed if the collection contains born digital materials. We will preference using this note at the series and subseries levels, but if needed we will use this field at lower levels to record work by Institutional Archives staff that may help or affect how researchers will access or understand the files. This includes, but is not limited to, unique identifiers that were assigned, whether files were or were not transferred from digital media, and whether the media were

retained or discarded. Also use this field to explain if using a date source different from the primary source indicated in the collection level Processing Information note.

**See [borndigital\\_findingaid\\_manual.pdf](#) for examples.**

External Documents (rarely used)

If needed, add information as you would at the main resource level.

Rights Statements (use??)

This is a new feature and practical use has not been determined. Can be used at any level of description – less likely to be used as one moves down the hierarchy. These are not EAD fields and will not be exported to EAD.

### 3.1.5. File/Item Notes

Enter notes at the File or Item component levels as needed but sparingly so as not to clutter the finding aid. Except for folder-level restrictions and technical requirements, most descriptive information should be entered at the parent level for that component.

Physical Description Note

This note will be common in finding aids that were imported into ASpace. The import process placed the content of an Extent Container Summary (that does not have an associated volume) into a General Physical Description Note. We now need to enter the number of copies (if multiple), the number of folders, if the folder is empty, or other physical aspects of the material in question into a General Physical Description Note. Always place the content of the extent information in parentheses.

Record special formats in the Physical Description Note and include media, file types, digital volume, running time, and any other essential details when readily available.

Conditions Governing Access Note

Add a note at the file level for restricted materials. Usually it is a single folder that is restricted. Information about restricted materials must also appear in the Conditions Governing Access Note at the collection level. Wrap the text in “emph” tags.

Examples of a file level note:

`<emph render="italic">RESTRICTED. This material is closed until 2026.</emph>`

`<emph render="italic">RESTRICTED. This material is closed for the life of Gordon Peter Getty.</emph>`

## PART 4: ADDING INSTANCES TO A RESOURCE OR RESOURCE COMPONENT RECORD

### • 4.1. Overview

"Instances" in ArchivesSpace refer to embodiments of the same content in different media. A Resource record or Resource record component may describe a letter, but the letter may exist in multiple formats:

- Ink on a sheet of paper
- A PDF for the sheet of paper
- A floppy disk containing the letter
- A digital object harvested from the floppy disk

In this example, the letter is physically represented in four distinct ways. ArchivesSpace is structured to allow you to use the same description for multiple instances rather than repeating the description for each new instance.

Equally important, the instance declaration also enables describing the containers that house an analog instance, e.g., a folder inside a box. The container information can then be linked to the Location record designating where the container is stored, either permanently or temporarily. For digital objects, the instance record allows you to describe the digital object and record information about the files that comprise it, as well as indicate its location on the web or within a file management system.

In short, the ArchivesSpace instance data model supports assertions of the following type: the described content exists in a certain physical format, which is housed in a certain container and located at a certain place in a repository.

Because archivists typically describe materials at aggregate levels, instances can be created at any level in ArchivesSpace: collection, series, file, etc.

Note that digital media, such as a 3.5-inch computer disk or a CD-ROM that might be part of an archival resource, is not considered to be a digital object in ArchivesSpace. Digital object records in ArchivesSpace are intended to describe either digitized surrogates or born-digital materials that are stored on a server or other digital storage media and are accessible by staff and/or researchers via a network.

Add the digital object if providing access to digital files through the Rosetta viewer. Certain browsers may be able to display additional formats, but the standard supported formats are PDFs, MP3s, MP4s, and JPEGs. For all other types of files, consider the user experience and access restrictions in deciding whether to link to the Rosetta records. (See note at beginning of [born\\_digital\\_findingaid\\_manual.pdf](#).) Typically, you will want to link the digital object at the lowest descriptive level but there will be instances where it is more appropriate to add the digital object at a higher level.

BE AWARE: Currently, because CIFA is the display system, a component can only have a single physical instance and several digital objects. Eventually, this will change, and we will be able to enter multiple physical instances.

### • 4.2. Add Container Instance

To declare a physical container instance (usually a box) for analog content described in a resource or resource component record, click on the Instances bar for the Resource or Resource component record and click on **Add Container Instance**.

Select the **Type** of instance you wish to declare. Our standard default is "Mixed Materials". In the unlikely event that we have a component for an individual document or item, you can use "Text" or another appropriate option. You must select a Type to save the instance.

You must link a Top Container to save the instance. Select an existing Top Container if a record for it has already been created. You may search for a top container by typing into the text field. Matching search results will appear as a drop-down list that you may select from.

#### 4.2.1. Link to an Existing Top Container

Often, a top container for the box will have been created when the materials were accessioned. That top container is linked to the accession record and should be relinked to the resource. The top container record is reused across ArchivesSpace, just as subject or agent records are linked and reused.



The indicator for a top container (the “box number”) is the accession number followed by a dash and then a sequential box number. For example, the first three boxes in accession 2011.IA.07 should be numbered as follows:

Box 2011.IA.07-01  
Box 2011.IA.07-02  
Box 2011.IA.07-03  
Etc.

The advantage of this system is that a specific box can always be easily traced back to its accession regardless of how many accessions comprise the resource. It ensures that all box numbers in our system are unique – like human-readable barcodes.

If a Top Container has already been used within a resource, select it by typing into the text field. Matching search results will appear as a drop-down list to select from.

The screenshot shows the 'Instances' form with the following fields and values:

- Type \***: Mixed Materials
- Top Container \***: A text input field containing 'Box'. Below it, a dropdown menu is open, showing two search results: 'Box 2013.IA.05-1' and 'Box 2013.IA.05-2'. The first result is highlighted in blue.
- Child Type**: A dropdown menu.
- Child Indicator**: A text input field.

You may also search existing Top Containers by selecting Browse:

The screenshot shows the 'Instances' form with the following fields and values:

- Type \***: Mixed Materials
- Top Container \***: A text input field containing 'Type to search available records..'. A dropdown menu is open, showing two options: 'Browse' and 'Create'. The 'Browse' option is selected.
- Child Type**: A dropdown menu.
- Child Indicator**: A text input field.
- Child Container Barcode**: A text input field.

This will open a window that allows you to browse all the Top Containers in ArchivesSpace, however it is pre-loaded to only include Top Containers for the resource that you are working in (as seen in the field “Resource.”)

Browse Top Containers

Top Containers

Keyword

Barcode(s)

Resource

Accepted scholar applications and symposium planning, x

Accession

Type to search available records..

Container Profile

Type to search available records..

Location

Type to search available records..

Exported to ILS

Unassociated containers

Has Location

Search

Matching results: 2

If you need to find a “Shared” box, click the “x” next to the resource title to clear the field. Then select the Accession Field and begin typing the accession number or title for the accession to which the box is already linked. Select the correct accession number from the drop-down menu and click Search. You can also enter the accession number within quotation marks “2011.1A.15” in the keyword box to search.

Top Containers

Keyword

Barcode(s)

Resource

Accepted scholar applications and symposium planning, x

Accession

Type to search available records..

Scroll down to see list of all the Top Containers linked to the accession. Select the correct one and click Link to Top Container. This will close the window and take you back to the resource.

Click a row to select it for bulk operations. Hold alt while clicking a checkbox to select, or unselect, multiple previous rows.

	Resource/Accession	Series	Container Profile	Container Type	Indicator	Barcode	Current Location	ILS Holding ID	Restricted?	Exported to ILS
<input type="radio"/>	<ul style="list-style-type: none"> <li>• 2013.IA.05, Accepted scholar applications and symposium planning,</li> <li>• 2013--IA--05, GRI Accepted scholar applications and symposium planning</li> </ul>		8-inch wide legal document box [1.33d, 0.86h, 0.67w feet] extent measured by width	box	2013.IA.0 5-1		Annex, GRI area, Compact shelving [Range: 479, Column: B, Shelf: 7]		False	Not exported
<input type="radio"/>	<ul style="list-style-type: none"> <li>• 2013.IA.05, Accepted scholar applications and symposium planning,</li> <li>• 2013--IA--05, GRI Accepted scholar applications and symposium planning</li> </ul>		8-inch wide legal document box [1.33d, 0.86h, 0.67w feet] extent measured by width	box	2013.IA.0 5-2		Annex, GRI area, Compact shelving [Range: 479, Column: B, Shelf: 7]		False	Not exported

[Link to Top Containers](#)
[Cancel](#)

Note: Top Containers are always associated with resource components or accessions.

### 4.2.2. Create a New Top Container

If you need to create a Top Container, select Create:

Instances Add Container Instance Add Digital Object

Type \* Mixed Materials

Top Container \* Type to search available records...

Child Type

Browse  
Create

This will open a new window:

Complete the fields as follows:

**Container Profile:** The container profile is the dimensions of the physical box (or other housing) and is used to automatically calculate the extent of a resource or accession and the available shelf space in a repository. Most boxes already have container profiles in ArchivesSpace. \*\*\*Do not create a new container profile without consulting Nancy first.\*\*\* Note – this area is shared with Special Collections.

Begin typing the name of the box you are using in the field and matching options will appear in the drop down. Commonly used boxes include:

**Hollinger - Standard Legal** [1.33d, 0.86h, 0.44w feet] extent measured by width

**Records Storage Box (1.2 cubic ft)** [1.33d, 0.86h, 1.04w feet] extent measured by width

**You may also search the list of container profiles by clicking “Browse.”**

**Container Type (Required):** Enter the type of container (e.g., “Box”)

**Indicator (Required):** Open text field. An alphanumeric expression for indicating the place of a container in a sequence of containers; the box number. For example,

2015.IA.01-01

2015.IA.01-02

\*\*\***Note:** Do not enter a range of boxes in this field (such as “2015.IA.01-1 thru 5”). You must add a

**separate Top Container for each box linked to the record for the extent calculation and space management to be accurate.\*\*\***

**Barcode (Not Used)**

**ILS Holding ID (Not Used)**

Click Create and Link to Top Container. This will close the window and return you to the resource.

Complete the rest of Instance fields as follows:

**Child Type (As needed):** This is where folder labels will be placed

**Child Indicator (As needed):** This is where item numbers will be placed

**Grandchild Type (Not used):** This is where item labels would go if we were tracking to the document level within folders (this is a virtually unheard-of scenario for us)

**Grandchild Indicator (Not used):** This is where item numbers would go if we were tracking to the document level within folders (this is a virtually unheard-of scenario for us)

Save the record.

- **4.3. Link Top Container to A Location**

Once the top container information is created, it can be linked to a **Location** record. You may do this when you first create the Top Container or later in a different session using the Manage Top Containers areas,

which allows you to batch locate boxes. All locations have been pre-built into the system, so use the existing appropriate location. If you think a new location needs to be constructed, talk to Nancy.

Location records generally include the following components: Building, Floor, Area, Range, Column, and Shelf.

Examples:

Annex, GRI area, Compact shelving [Range: 335, Column: A, Shelf: 1]

Annex, GRI area, Main Floor, Flat Files [Top of Stacks: unspecified]

GRI, L3, Vault 6 [Range: 39, Column: A, Shelf: 1]

#### 4.3.1. Linking a location from the Create Top Container module

1. Select **Add Location** at the bottom of the **Top Container** record.

The screenshot shows the 'Create Top Container' form. The 'Container Profile' is set to 'Hollinger - Standard Legal [1.33d, 0.86h, 0.44w feet] extent measured by width'. The 'Container Type' is 'Box'. The 'Indicator' is '2015.IA.01-1'. The 'Barcode' field is empty. The 'Barcode length for this repository: 0-255 characters' is noted. The 'ILS Holding ID' and 'ILS Item ID' fields are empty. The 'Exported to ILS' status is 'Not exported'. At the bottom, there is a 'Locations' section with an 'Add Location' button highlighted in red. The 'Create and Link to Top Container' button is at the bottom left, and the 'Cancel' button is at the bottom right.

2. New fields will appear (scroll down to see them).

**Create Top Container**

Exported to ILS Not exported

**Locations** Add Location

**Status \*** Current

**Start Date \*** 2021-07-19

**End Date**

**Note**

**Location \*** Type to search available records..

Create and Link to Top Container Cancel

### 3. Fill out the fields:

**Status (Required):** Select “Current” for the location status. Repositories may not customize the list of data values. We will not use Previous – it has some unfortunate side-effects.

**Start Date (Required):** Intended to reflect the date the material was moved to the location. Use the calendar button as needed.

**End Date (Not Used):** Choose from drop-down list. Intended to reflect the date the material was removed from the location. Use the calendar button as needed.

**Note (As Needed):** Open text field.

**Location (Required):** Find a location record (usually a shelf) to link to your top container record (usually a box). If you know which shelf you will be placing the box on and have confirmed that your box will fit, you may either begin typing the location in the field so that it auto-populates or click “Browse” to select from a list of all the locations in ArchivesSpace. If typing the location, it is easiest to enter only the range number, column letter, and shelf number with a space after each element. BE AWARE – Vault 6 and vault 7 locations can appear intermingled in results lists BE SURE you are selecting the correct vault.

**Location \*** Type to search available records..

Find with Space Calculator  
Browse

When using “Find with Space Calculator.” Be sure to use the filter features to find the correct storage areas.

## • 4.4. Add Digital Object

A component may also be represented by a physical instance AND/OR a Digital Object. Refer to the section [Digital Archival Objects](#) for more information.

## PART 5: DIGITAL ARCHIVAL OBJECTS

A digital archival object is a link within a finding aid that points to an electronic representation of the materials described. For example, a digital surrogate of an analog original or a born-digital document. The terms “digital archival object” and “digital object” are used interchangeably.

Digital Archival Objects may be created in either the digital object module or on demand within a resource or accession record. Once created, they may be linked to a finding aid using the browse function or auto complete. You may add as many Digital Object links as needed.

Our default use of the digital objects module will be to embed links in the EAD finding aids. Rosetta is considered the place of record for all digital metadata, so we will only enter enough information to uniquely identify and actuate the link to Rosetta (or elsewhere). The archivist depositing the files in Rosetta will create digital objects for Rosetta records. (Procedures for creating digital objects for Rosetta records are documented in G:\Institutional Archives\ADMINISTRATION\ADM-135 Policies Procedures Adm\Archives\_Policies\_procedures\_manuals\Manuals Current\BornDigital\RosettaIA.pdf) Before proceeding, confirm that the object has been created.

## • 5.1. Link an existing digital object.

- Browse or search for the Resource record and then open in the **Edit** mode.
- Within the Resource record, select the component level description to which you would prefer to link a digital object.
- Then navigate to the **Instances** section for that component.
- Select the **Add Digital Object** button.

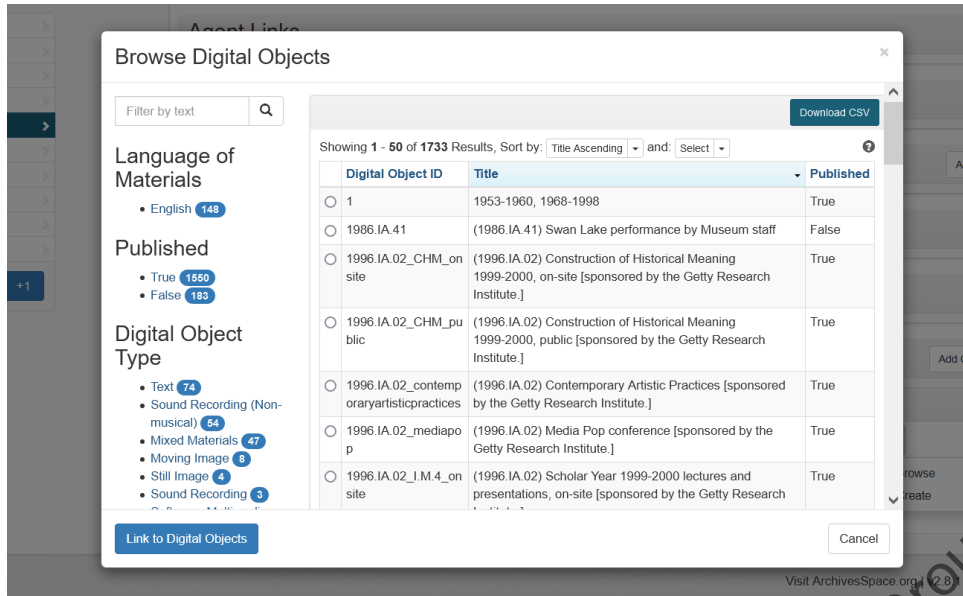
The screenshot shows the ArchivesSpace web interface. On the left is a sidebar with a menu containing 'Basic Information', 'Languages', 'Dates', 'Extents', 'Agent Links', 'Subjects', 'Notes', 'External Documents', 'Rights Statements', and 'Instances'. The 'Agent Links' item is currently selected. The main content area displays the 'Agent Links' form, which includes sections for 'Subjects', 'Notes', 'External Documents', 'Rights Statements', and 'Instances'. The 'Instances' section is expanded, showing a 'Make Representative' button and a 'Digital Object' dropdown menu. The 'Add Digital Object' button is highlighted with a red box. At the bottom of the form, there is a 'Save Archival Object' button and a 'Cancel' button. A footer at the very bottom reads 'Visit ArchivesSpace.org | v2.8.1 | Send Feedback or Report a Problem'.



- To select a digital object using the **auto-complete** function simply start typing in the digital object box. The system will present you with matching options. Select an object to fill in the box.

- To select a digital object using the **Browse** function, click on the drop-down arrow by the digital object box and select **Browse**.

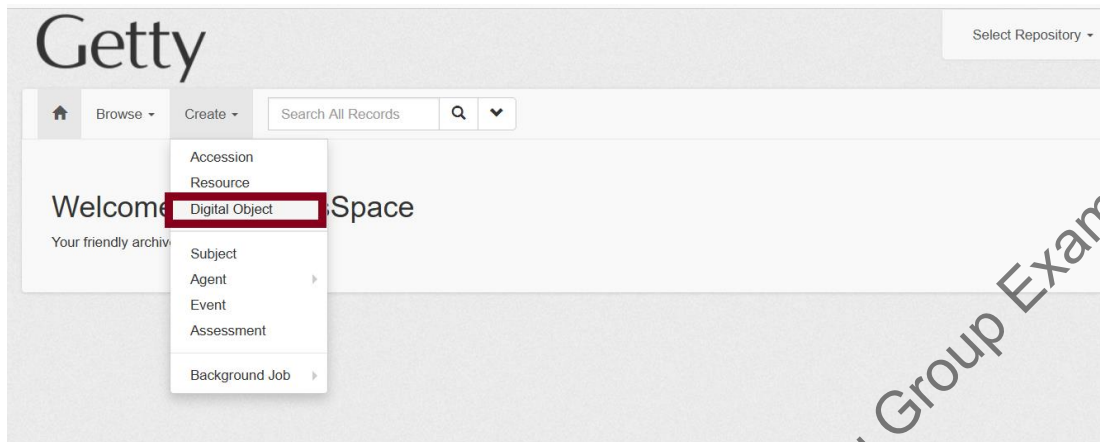
- Search for and select the desired object on the resulting screen. Click **Link to Digital Objects** to link the object to the accession or resource record and close the screen.



If you cannot find the term you need, click **Cancel** or the **X** at the upper right to exit the screen without selecting an object.

- **5.2. Create A Simple Digital Object Record Directly in The Digital Object Module**

1. Create a new Digital Object record (from the toolbar, select Create->Digital Objects).



2. You will be presented with the Digital Object data entry screen. Complete the **Basic Information** section as described in *Complete the Digital Object Record* below.

The screenshot shows the 'Digital Object' data entry screen. At the top, there is a 'Save' button. Below it, the title 'Digital Object' is displayed with a 'Digital Object' tab. The 'Basic Information' section is highlighted. It contains the following fields: 'Title' (required, with a red asterisk), 'Identifier' (required, with a red asterisk), 'Publish?' (checkbox), 'VRA Core Level' (dropdown menu), 'Digital Object Type' (dropdown menu), and 'Restrictions?' (checkbox). At the bottom, there is a 'File Versions' section with an 'Add File Version' button.

## • 5.3. Create A Simple Digital Object from Within an Accession or Resource Record

1. Follow steps 1-4 in the section LINK AN EXISTING DIGITAL OBJECT above.

The screenshot shows the ArchivesSpace interface with the 'Agent Links' section selected in the left sidebar. The main content area displays various sections: Agent Links, Subjects, Notes, External Documents, Rights Statements, and Instances. In the 'Instances' section, the 'Add Digital Object' button is highlighted with a red box. Below this, there is a 'Make Representative' section with a 'Digital Object' dropdown menu and a search field.

2. Select the option to **Create** a new Digital Object.

The screenshot shows the ArchivesSpace interface with the 'Instances' section selected. The 'Add Digital Object' button is highlighted with a blue box. Below this, there is a 'Make Representative' section with a 'Digital Object' dropdown menu and a search field. The 'Create' button is highlighted with a blue box.

You will be presented with the Digital Object data entry screen. Complete the **Basic Information** section as described in *Complete the Digital Object Record* below. COMPLETE THE DIGITAL OBJECT RECORD

### 5.3.1. Basic Information

**Title** and **Identifier** are the only two data elements ArchivesSpace requires for a valid digital object record, but we also require a File Version URI and actuate and show attributes.

1. Add a **Title**, to briefly characterize the Digital Object. It may be the same as the title of the Accession or Resource component to which it is linked.
2. Add a unique identifier
3. In the **File URI** in the **File Versions** sub-record, enter the complete URL to the digital object, as displayed and accessible in the external system. Save the record once the URL is added. (The URI can

also be added to the **Identifier** field in the **Basic Information** sub-record to act as an identifier, but it will not be actionable there.)

Basic Information

Title \*

(2018.IA.10) Digital images of Tiwanaku project.

Identifier \*

bd038413-92db-471d-bbc0-9c4aba555465

Publish?

☒

VRA Core Level

Digital Object Type

Restrictions?

☐

#### 4. **Publish:** Select the check box.

Add additional optional metadata (by default, we do not use these)

- **VRA Core Level:** Choose from a non-configurable controlled value list. Primarily for use in multi-level VRA Core compliant records to indicate that a description is about a collection, a work, or an image.
- **Digital Object Type:** Choose from a configurable controlled value list. A generic term indicating the basic content type of the digital object. The default options correspond to the MODS <typeOfResource> element.
- **Restrictions:** Select or clear the check box. A selected check box indicates that restrictions apply to the material. Additional description of the restriction should be provided in appropriate Notes for the record where the restriction occurs.

After the required and any optional basic data has been entered, you can continue to describe the Digital Object using the sub-records. When you add a sub-record, depending on the type of record, specific fields may be required. If any required information is missing, when you try to save the record, you will be prompted to add the required information.

## 5.3.2. File Versions

A File Versions is required. This sub-record contains the actionable link to the digital file.

Complete the other fields as instructed below.

- **File URI (Required):** Open text field. Supply an identifier for a file associated with a digital object, accessible on the web or in a file directory.
- **Publish:** If you want this specific file version to export and be viewable (actionable) by others, select the checkbox. There are occasions, usually involving internal-only documents, when this might not be desirable.
- **Use Statement: (As appropriate – usually only when the object represents a single file).** Choose from the configurable controlled value list. Indicate the use for which the digital file is intended (e.g., a thumbnail).
- **XLink Actuate Attribute (Required):** Choose "onRequest" from the non-configurable controlled value list. This means the user must click on the link to activate it.
- **XLink Show Attribute (Required):** Choose "new" from the non-configurable controlled value list. This tells the link to open in a new window, rather than replacing the existing window.

By default, we do not typically use the following fields.

- **File Format Name:** Choose from the configurable controlled value list. Choose the name of the format for the file type.

- **File Format Version:** Open text field. Enter the version of the format for the file type.
- **File Size (Bytes):** Open text field. Enter the size (in bytes) of the digital file.
- **Checksum:** Open text field. Enter a digital signature for monitoring the integrity and authenticity of a digital file
- **Checksum Method:** Choose from the configurable controlled-value list. Indicate the algorithm used for generating the checksum.

### 5.3.3. Other Sub-records

Additional sub-records can be used for a more comprehensive description of the Digital Object, as well as to support discovery and use. However, for a variety of reasons, use of these fields is actively discouraged; intellectual description of the object should be done on the resource side. The additional sub-records are:

- Languages
- Dates
- **Extents**
- Agent Links
- **Subjects**
- Notes
- **External Documents**
- Rights Statements
- **Collection Management**
- User Defined

## PART 6: ALTERNATE DATA ENTRY METHODS

### • 6.1 Rapid Data Entry (RDE) Tool

The **Rapid Data Entry (RDE)** tool supports repeated entry of Resource component records at the same level, thus requiring fewer mouse clicks than when adding individual resource component records and then adding instance records. Using “sticky values” and other mechanisms, the RDE tool provides a more efficient interface for entering series or folder lists, where multiple components of the same level and same basic content are entered one after another. The RDE tool also includes in one data row fields from the Resource component record, the Dates sub-record, the Notes sub-record, and the Instance sub-record.

To create resource component records using the RDE:

1. Select **Rapid Data Entry** at the top of the multi-level description.
2. Enter desired data. The **Level of Description** element, **Title** element, and the **Dates** sub-record elements (**Expression**, **Date Type**, **Begin** and **End**) are required.
3. **Instance Type** and at least one **Container Type** and **Container Indicator** are necessary if locations are to be linked to the Resource component record.

4. Select **Add Row** to add another row, or use **Shift + Return**, to add another row using all the data except the **Title** in the previous row. You will need to update the title(s) in the new row(s).
5. Select **Validate Rows** to check that all rows are properly encoded.
6. Select **Save Rows** to save the row(s) to the Resource record.

You can do the following with the RDE tool during a given session:

- Remove columns from view using the **Columns: ## visible** display configuration option.
- Turn sticky values on and off by clicking on the label for a data column.



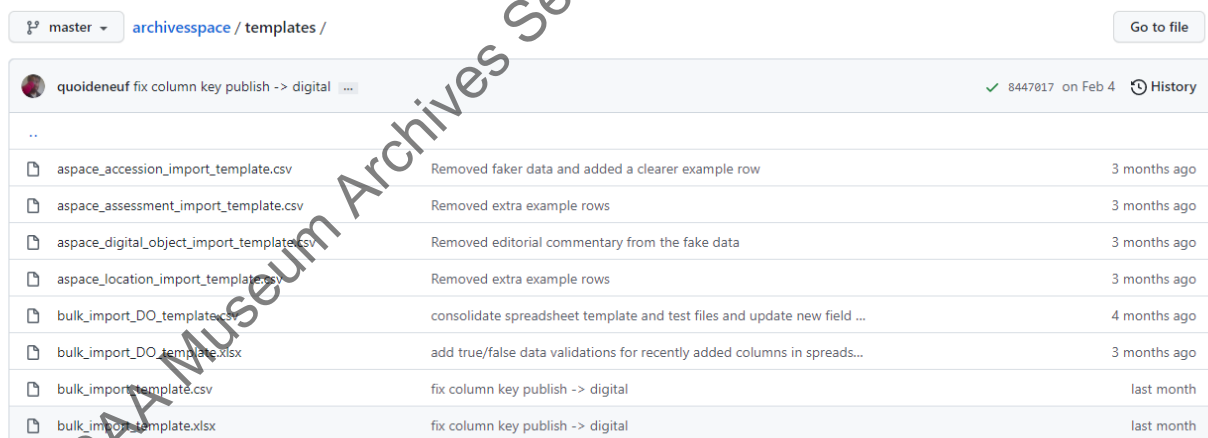
- Reorder the left-to-right sequence of the data columns using the **Reorder Columns** option.
- Designate a value to fill all occurrences within a data column using the **Fill Column** option.

## • 6.1 Load Via Spreadsheet

Beginning with ArchivesSpace 2.8 you can use an [Excel or CSV Spreadsheet template](#) to import Archival Objects into a Resource, or to import Digital Objects that are attached to Archival Objects in a resource. **This is a powerful time saving tool and staff are encouraged to use it; The Head of Institutional Records (Nancy) can walk you through it when you are ready to try it out.**

### Download the template from GitHub:

1. Click on the following link to go to the GitHub site:  
<https://github.com/archivesspace/archivesspace/tree/master/templates>
2. At the GitHub page, choose the template you want to download and click on the name of the template to open the download site:
  - bulk\_import\_template.xlsx or bulk\_import\_template.csv -- to import archival and/or digital objects
  - bulk\_import\_DO\_template.xlsx or bulk\_import\_DO\_template.csv-- to add digital objects to archival objects
3. At the template webpage, click on the Download button. Depending on your browser's settings, the file will be saved to your Downloads folder, or you may be prompted to choose a location for saving the file.



master archivesspace / templates /		Go to file
quoideneuf	fix column key publish -> digital ...	✓ 8447017 on Feb 4 History
..		
aspace_accession_import_template.csv	Removed faker data and added a clearer example row	3 months ago
aspace_assessment_import_template.csv	Removed extra example rows	3 months ago
aspace_digital_object_import_template.csv	Removed editorial commentary from the fake data	3 months ago
aspace_location_import_template.csv	Removed extra example rows	3 months ago
bulk_import_DO_template.csv	consolidate spreadsheet template and test files and update new field ...	4 months ago
bulk_import_DO_template.xlsx	add true/false data validations for recently added columns in spreads...	3 months ago
bulk_import_template.csv	fix column key publish -> digital	last month
bulk_import_template.xlsx	fix column key publish -> digital	last month

Treat these copies of the templates as a "Master Copy" and make copies with identifiable names to use for your actual work.

The template is designed to be flexible enough to accommodate different workflows. The first row is the place where you can put identifying information, such as "My Collection".

If you **do not edit** the row marked "ArchivesSpace field code", you may hide or rearrange columns to suit your workflow. Indeed, you will see that there are a few already-hidden columns; these are not currently used but may be used in future enhancements. **DO NOT** hide required columns.

**Note** that some columns already have in-column drop down data validation defined. You may of course add more of these or edit the ones that are already defined.

## Bulk\_import\_template for Excel or CSV

Use to import Archival/Digital Objects into a Resource record.

[illegible]

### Required Columns

There are very few columns that must be filled in.

- **EAD ID or Resource URI** - of the resource to which you are adding Archival Objects. This will be used to confirm that you are trying to add your spreadsheet information to the correct resource.
- The **Hierarchical Relationship** of the new Archival Object to the selected resource or selected Archival Object: If you have selected a Resource, 1 indicates that this is the first level of Archival Objects. If you have selected an Archival Object, use 1 if you are adding a sibling to a selected Archival Object, 2 if a child, etc. You can therefore describe several levels of Archival Objects in a single spreadsheet.
- The **Description Level** This is an in-column drop-down.

Description Level	Other Levels
<div>Class Collection File Fonds Item Other Level Record Group Series</div>	

- EITHER the **Title** OR a **valid Date** having at least a begin date or a date expression.

For definitions of the other columns in the spreadsheet see the ArchivesSpace Help Center information at: [Import Archival Objects from Excel or CSV file.](#)

## Bulk\_import\_DO\_template for Excel or CSV

Use to import Digital Objects that are attached to Archival Objects in a resource

*This is the template for use with the bulk\_import ("Load Spreadsheet") for importing digital objects to associate with archival objects. You may replace this line with something of your choosing after you've copied the template.*

Mapping - ArchivesSpace Resource record SECTION	Resource Identifying Information	Resource Identifying Information	Archival Object Basic Information	Archival Object Basic Information	Digital Object	Digital Object	Digital Object	Digital Object	Digital Object
Mapping - ArchivesSpace record FIELD with comments	EAD ID	Resource URI REQUIRED IF NO EAD ID	Ref_id REQUIRED IF NO URI	Archival Object URI REQUIRED IF NO REF ID	Digital Object Identifier (Leave this blank to get a default system-assigned Digital Object Identifier that is based on the Archival Object Ref ID. Or enter a custom identifier here to override the default. Custom identifier must be unique within ArchivesSpace. Note that Digital Object identifiers are not exported in the EAD.)	Digital Object Title (Leave this blank to get a default Title that is based on Archival Object Title. Or enter a custom title here to override the default.)	Publish Digital Object (FALSE/TRUE) (Note that Publish value will be inherited by each File Version in addition to being set on the Digital Object record. Leave this blank to get the default value FALSE.)	Linked-to Digital Object URL (Will set Actuate=onRequest, Show=new)	Thumbnail URL (Will set Actuate=onLoad, Show=embed)
ArchivesSpace digital object import field codes (please don't edit this row)	ead	res_uri	ao_ref_id	ao_uri	digital_object_id	digital_object_title	publish	digital_object_link	thumbnail
Field name	EAD ID	Resource URI	REF ID	Arch. Obj. URI	Digital Object ID	Digital Object Title	Publish Digital Object Record	File URL of Linked-to digital object	File URL of Thumbnail

## Constraints

- Only one Digital Object can be associated with a single Archival Object
- The Digital Object can have up to two files associated with it:
  - a File with an Xlink Actuate Attribute of **onLoad** and an Xlink Show Attribute of **embed**
  - a File with an Xlink Actuate Attribute of **onRequest** and an Xlink Show Attribute of **new**
- If the Archival Object *already* has a Digital Object associated with it, that row is skipped.

## Required Columns

The following columns must be filled in:

- EAD ID** -- of the Resource to which you are adding Digital Objects. This will be used to confirm that you are trying to add your spreadsheet information to the correct resource.
- REF ID** -- of the Archival Object that you want to associate the new Digital Object with

For definitions of the other columns in the spreadsheet see [Add Digital Objects to Archival Objects](#)

## Ingesting the spreadsheet

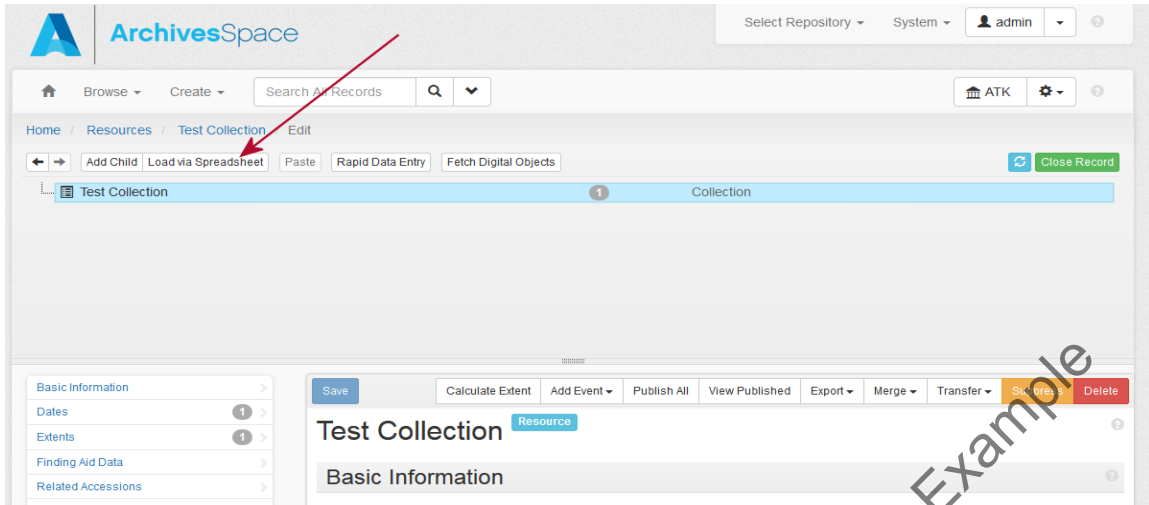
- In ArchivesSpace, where you invoke the ingest depends on what you are trying to do.

Locate the desired Resource record **if**:

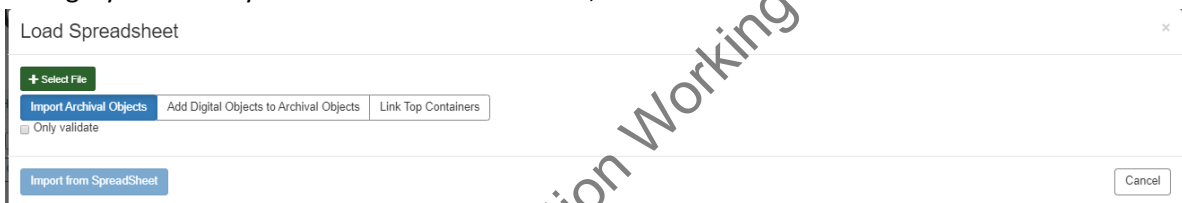
- the resource has no Archival Objects; or
- you want to create Archival Objects to be appended to the end of the list of first-level Archival Objects; or
- you want to add Digital Objects to Archival Objects.

**Otherwise**, if you want the first Archival Object in your list to be inserted as a sibling/child (see [Hierarchical Relationships](#)) of an *already-existing* Archival Object, locate the Archival Object where you want to begin your insertion. You can either search for it or select it from the tree that displays on the Resource record. In the latter case, the page will reload to that Archival Object.

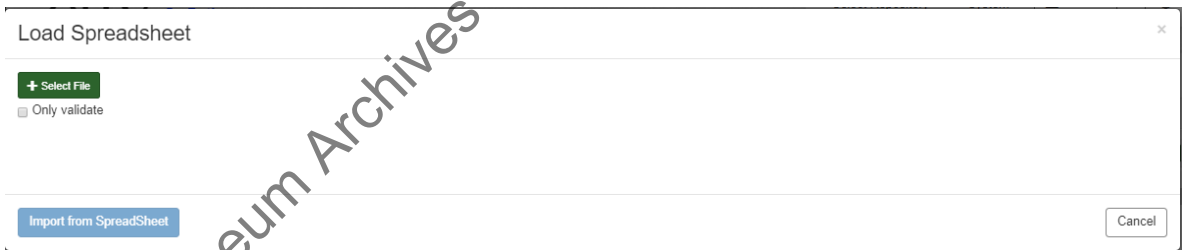
- When you have displayed the Resource or the Archival Object as appropriate, make sure you are in *edit* mode. A "Load via Spreadsheet" button will appear



3. Click on the button. You will see a Load Spreadsheet modal window, with the rest of the page "greyed out". If you are at the Resource level, the modal window will look like this:



If you are at the Archival Object level, the modal window will look like this:



4. Click on "Select File" to browse and locate a file on your system. Select the Excel File.
5. Click on either the **Import Archival Objects** or **Add Digital Objects to Archival Objects** button if you are given the choice.
6. To validate the spreadsheet without creating archival object records, click the "only validate" box. To validate the spreadsheet and create archival object records, deselect the box.
7. Click on "**Import from Spreadsheet**". The Background job will start, opening a new browser tab where you can track the job's progress.
8. When the background job is finished, review the log for any errors. Once you refresh the page, you will be able to download a csv report of the processing.

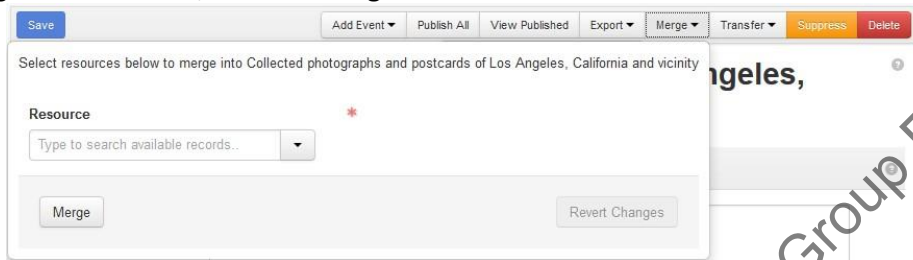
While the background job is running, you may continue to work in ArchivesSpace by returning to your original tab and closing the Load Spreadsheet popup box. If you have not selected the "only validate" box, new archival object records will appear in the resource tree once the background job has completed running.

## PART 7: ADVANCED TOPICS

### • 7.1. Merging Resource Records

The merging process retains the entirety of the resource you are merging into and adds to it the component information that was part of the resource you are merging from. The original Resource you are merging from will be **DELETED** as a part of this process so **always** discuss merging with the department head before you do it and test it in the Sandbox first!

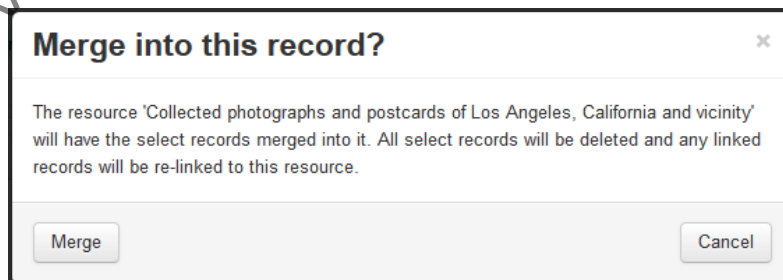
To merge two resources, click the **Merge** button in the **Resource** toolbar.



The system will automatically assume that you wish to merge another record into the record that is open. Find the resource you want to Merge into your open record in one of two ways. Either use the auto-complete function in the Resource box or click the drop-down button and then Browse for the desired Resource:

- 1) To select a resource using the auto-complete function simply start typing in the **Resource** box. The system will present you with matching options. Simply select the resource you need, and it will populate the Resource box.
- 2) To select a resource using the Browse function, click on the drop-down arrow by the agent box and select **Browse**. Search for and select the desired resource on the resulting screen. Click **Link to Resource** to add the resource to the accession record and close the Browse Resources screen. If you cannot find the resource you need, click **Cancel** or the X at the upper right to exit the Browse Resources screen without selecting a name.

Once you have found the resource you wish to merge into your open record, click the **Merge** button in the box. The system will supply a confirmation box to ensure that you really wish to perform this function.



Click **Merge** - or **Cancel** if you change your mind. You may also close the screen without making changes by clicking the X in the upper right corner of the message box.

- **7.2. Publicizing Finding Aids and Inventories**

### 7.2.1. To Export a Resource

ArchivesSpace enables the production of several export options from within a Resource record.

EAD files are XML-encoded documents compliant with the EAD 2002 schema. These may be uploaded to an EAD database for indexing and made publicly searchable with EAD files from the same repository and/or other repositories. Exports reflect the parent-level Resource record, plus any associated child-level component records. You can opt to include or exclude notes and sub-notes that are not intended for publication, include, or exclude <dao> tags, or choose whether to number <c> tags.

MARCXML files are XML-encoded documents compliant with the MARCXML schema. These may be uploaded to an ILS to be searched amongst other MARC records. Exports reflect the parent-level Resource record only.

Container Labels are exported in Tab Separated Value format and are intended to provide automatically generated container labels that may be formatted for printing. [We do not use this functionality.]

ArchivesSpace currently supports exporting of individual Resource records; support for batch exporting of multiple records will be available in forthcoming releases.



### 7.2.2. Exporting EAD, MARCXML, And Container Label Files

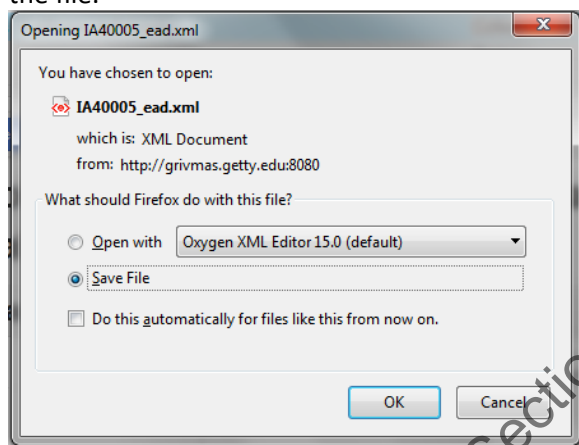
1. Find the Agent or Resource record you want to export. You can browse or search.
2. Next to the record you want to export, click **View** or **Edit**.
3. Click the **Export** button (for Resource record exports)
4. If you are printing the XML or the PDF, choose the parameters from the horizontal menu next to "Download EAD"

- **Download EAD**

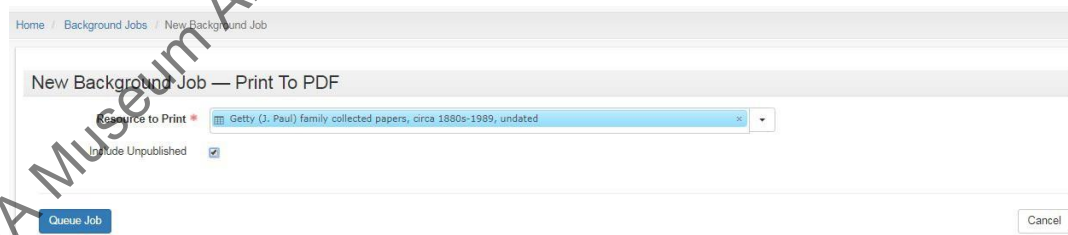
- **Include unpublished:** select this option for EAD exports to include all notes and subnotes (even if they have been marked as not intended for publication).
- **Include <dao> tags (Required for finding aids that Alexis will upload):** select this object to include digital archival objects
- **Use numbered <c> tags (Required for finding aids that Alexis will upload):** select this option to number the component tags upon export

- **Download MARCXML:** select this option for MARCXML exports.
- **Download container labels (Not Used):** select this option to download container labels
- **Print Resource to PDF:** Used to generate a pdf version of the finding aid using a stylesheet embedded in the ASpace files on the server.
- **EAD3 Schema (Not Used):** Generates ead-xml in conformance with the EAD 3 schema – this area is still under construction and we are not using the EAD 3 schema yet.

5. When you download the xml, you will see the following. Depending on your browser's settings, the file will be saved to your Downloads folder, or you may be prompted to choose a location for saving the file.

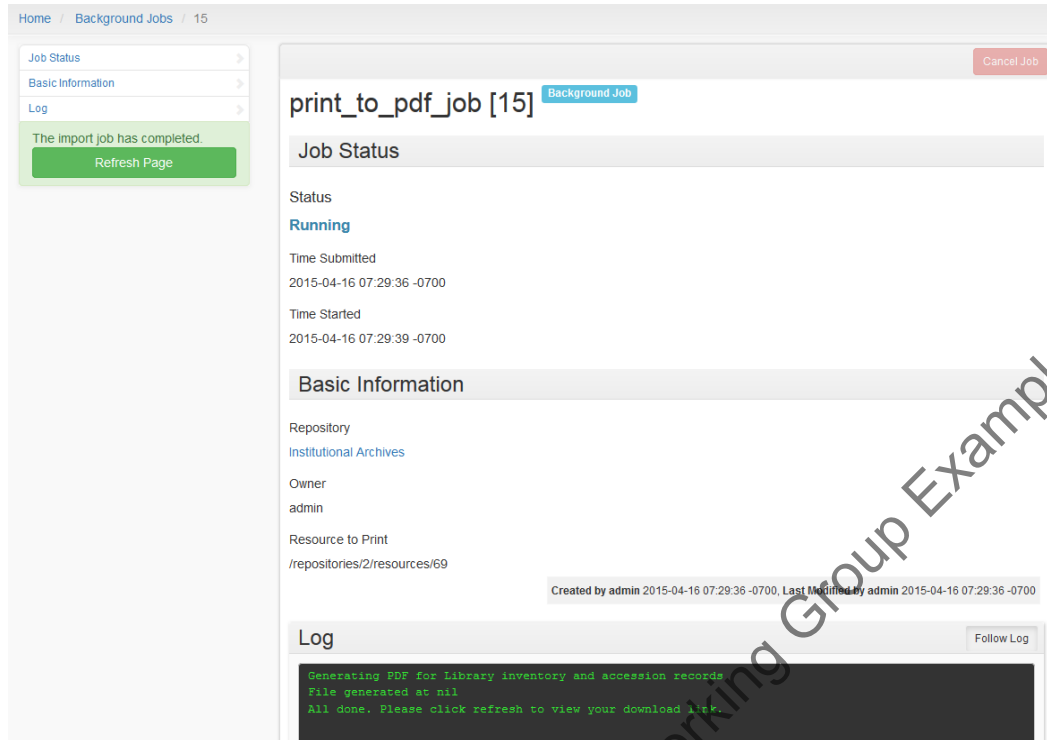


6. When you export the PDF, the system will take you to a background jobs screen. You will then have to reselect the resource you want to print. Be sure to check the "include unpublished" box if the finding aid is for internal use.

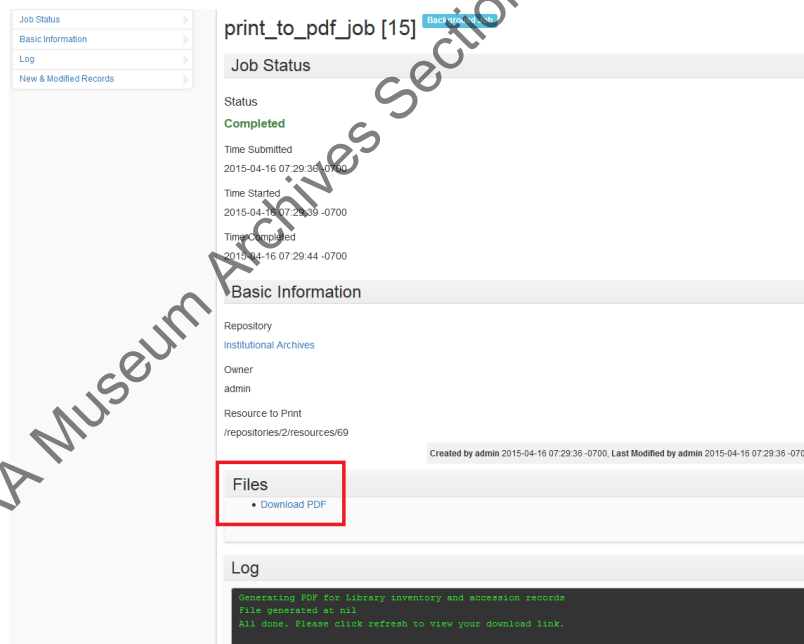


Then select "Queue Job."

The system will bring up a processing screen with a log and start generating the PDF. The job will either error out or complete. If it completes you will see the following screen.



Click on “Refresh Page.” And then on “Download PDF.”



A failed job will display a red box on the left with a failure notice, instead of the Green “Refresh Page” appearing above. Whether a success or a failure, the job log appears on the screen and errors are reported at the beginning of the log.

Contact the Head of Institutional Records for assistance interpreting a failed error log.



### 7.2.3. Public Finding Aids

Some inventories/finding aids will be made public, while others will not. For internal-only inventories, consult the Head of Institutional Records for the appropriate way to make it available to the target audience. For public inventories/finding aids, a single staff member will be designated to take the following steps. The staff designated as of 3/2022 is:

Create a handle for the finding aid using the Handle Tool:

<http://archives.getty.edu:30008/hdlTool/admin.php>

Follow the procedures in the StandAlone CIFA User's Guide to prepare the EAD for upload (Appendix 1)

Upload the EAD to Getty.edu using the CIFA Upload Tool:

<http://archives2.getty.edu:10080/CIFAUploads/CIFAUpload.php>

Notify Lawrence(?) so he can reindex/refresh the server to include the new finding aid. Submit the EAD to

the Online Archive of California following the instructions in Appendix 2.

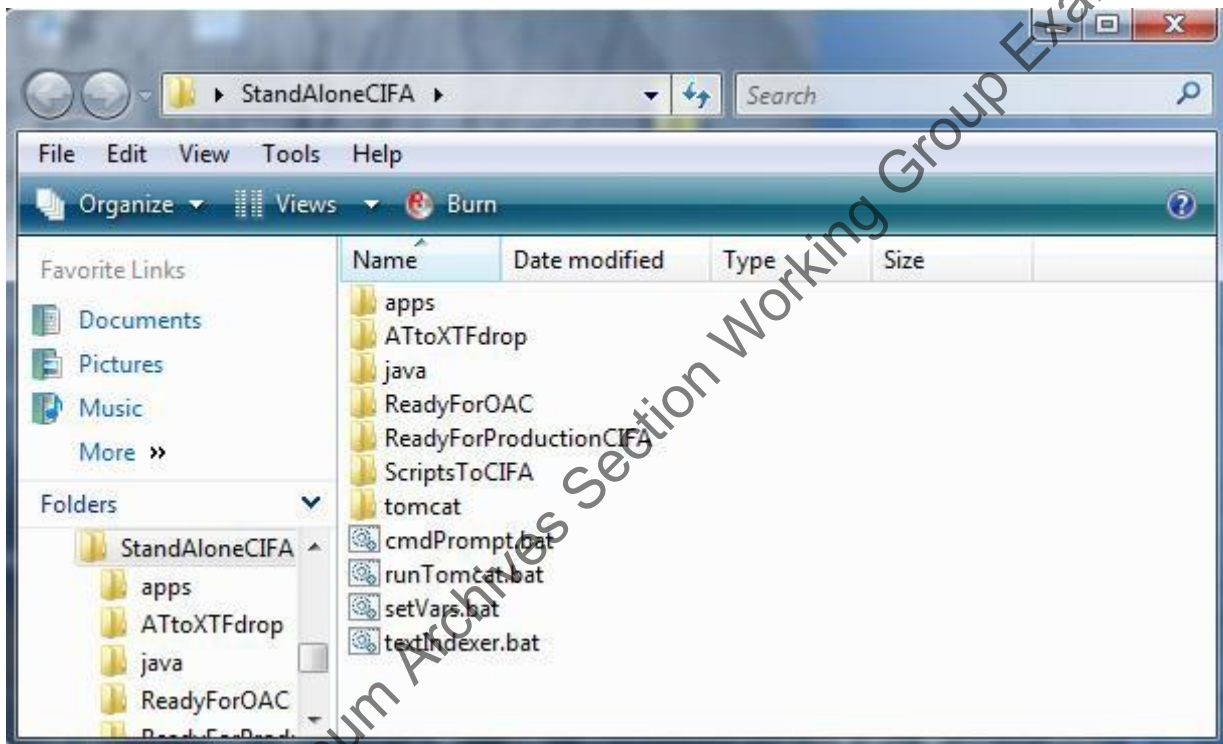
SAA Museum Archives Section Working Group Example

## APPENDIX 1: PREPARING EAD FOR UPLOAD

- **Part I: StandAlone CIFA Users' Guide**

StandAloneCIFA is a stand-alone version of the CIFA production software. Its purpose is to provide finding aidreviewers the opportunity to see how a new or modified finding aid/inventory from ArchivesSpace (ASpace) will look in the production CIFA system.

There are two versions of StandAloneCIFA. One has the Institutional Archives finding aids/inventories from the CIFA Shadow instance and the other has the Special Collections finding aids/inventories from the CIFA production instance. Both versions have exact copies of all the XTF code from the production version of CIFA. The directory structure of StandAloneCIFA is as follows:



- The apps folder contains the saxon XSL processor used to apply xsl stylesheets to xml files.
- The ATtoXTFdrop folder is where AT exported EADs are placed for processing prior to being added to CIFA.
- The java folder contains a java runtime environment for running the web client.
- The ReadyForOAC folder contains xml files that are ready to be uploaded to the Online Archive of California (OAC).
- The ReadyForProductionCIFA folder contains other folders, one for each finding aid/inventory, that have the xml and Dublin Core (DC) metadata required for inclusion into production CIFA.
- The ScriptsToCIFA folder contains the scripts used to process EADs from AT and clean up directories once the EADs have been added to CIFA.
- The tomcat folder contains the local tomcat web server.

The processing of the new/modified finding aids/inventories is performed using Windows batch (.bat) scripts. To run a batch script, just double click on the batch file.

- **Part II: Using the StandAlone CIFA Software**

## Export EAD From ArchivesSpace

There are some errors in the EAD because of ASpace issues that need to be manually fixed before uploading to CIFA and OAC. If unedited files are uploaded to CIFA, it will not necessarily cause a problem, but the unedited files will result in error messages when uploading to OAC so it is better to go ahead and fix the errors before any upload.

## Edit EAD in Oxygen

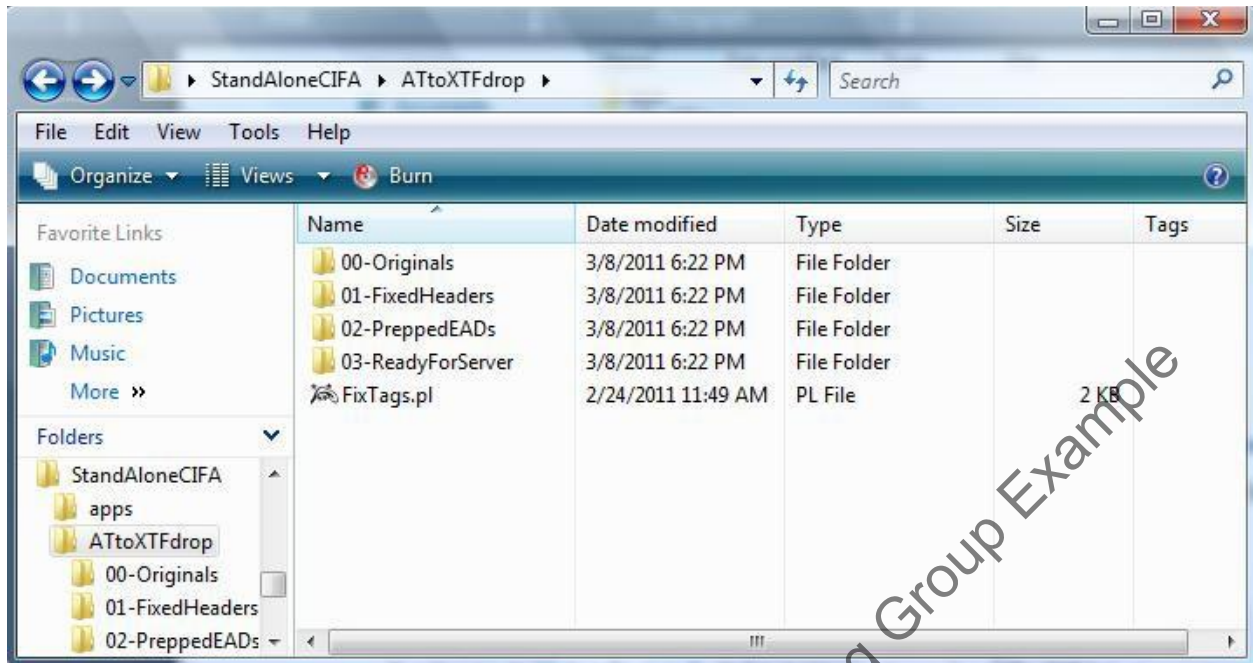
1. Rename the file name in the "IAXXXX.xml" convention. If this is a replacement finding aid upload, it will have to have the same file name of the previous upload so the existing file will be replaced.
2. Find all instances of "library of congress name authority file" and replace it with "lcnaf." For some reason, ASpace spells out "library of congress" as the source attribute.
3. Replace the address line to  
`<addressline>URL: "http://hdl.handle.net/10020/GRI_InstitutionalArchives/"</addressline>` to remove the xlink and extref elements, which cannot be in the address line.
4. If a finding aid was originally created in Archives Toolkit, the refIDs will need to be manually edited since they are no longer valid. ASpace automatically appends characters and numbers to each ref ID so they will have to be edited to match up. The easiest way to find these is to search for  
`""target="ref"`
5. Remove the "xlink:" from external links and digital object links.

## Upload To CIFA

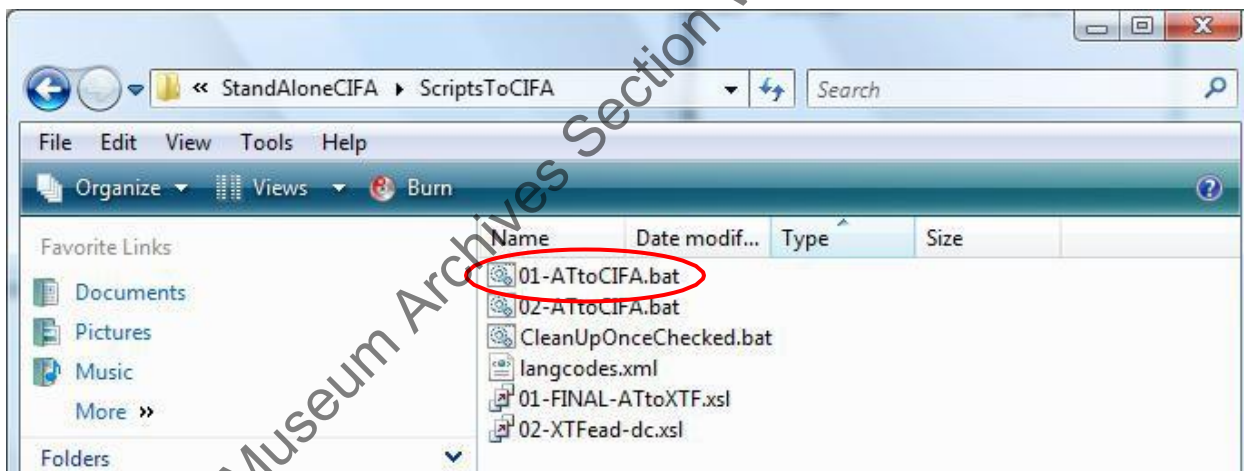
There are a total of four scripts listed below that need to be run to process the XML files to make them ready for upload to CIFA and OAC.

- 01-ATtoCIFA.bat script
- 02-ATtoCIFA.bat
- runTomcat.bat script
- CleanUpOnceChecked.bat

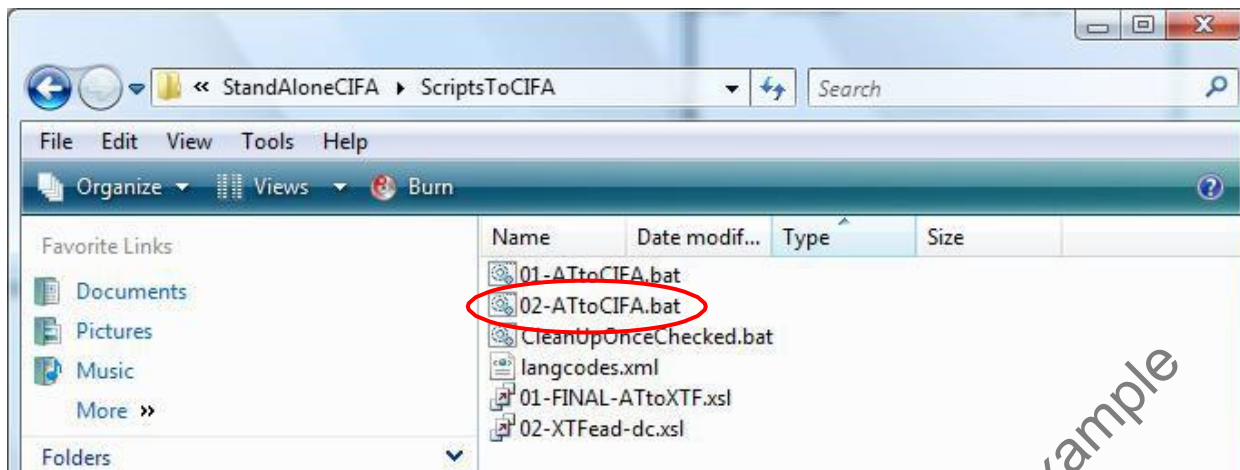
1. After making the edits in Oxygen, make a copy of the EAD and place it at the top-level of the ATtoXTFdrop folder. Making a copy is recommended in case of errors that need correction. This way, the edits do not need to be made again.



2. Navigate to the ScriptsToCIFA folder and run the 01-ATtoCIFA.bat script. A dos window will open to display messages describing the tasks being performed.



3. Navigate back to the ATtoXTFdrop folder and open the 02-PreppedEADs folder. If the document is near the same size as the original document, then continue to the next step. Otherwise, if the size varies significantly, or more likely has a size of 0KB, then there is a problem with the data. The file that is found in the 01-FixedHeaders folder, can be uploaded to the OAC and validated there, to find the errors causing a problem in the EAD e.g., bad UNICODE character, etc.
4. If the file in the 02-PreppedEADs folder looks good, run the next step, 02-ATtoCIFA.bat.



AT EXPORT → EAD-XML

Step 1 Runs FixTags.pl, which:

- Fixes the header
- Removes smart quotes and em-dashes
- Fixes export errors to make EAD compliant



Moves EAD-XML to 01-FixedHeaders directory

Step 2 Runs 01-FINAL-ATtoXTF.xsl on EAD-XML

- Reorders tags
- Creates frontmatter, etc.



Moves EAD-XML to 02-PreppedEADs directory

NOTE: If there are any data issues, this step will not pass  
Problems result in an incomplete or empty EAD file (typically, "Size OK")

Step 3 Generates DC record from EAD-XML

- Creates a folder with the same root name
- Bundles the EAD-XML and DC, into the new folder



Moves new bundle to 03-ReadyForServer

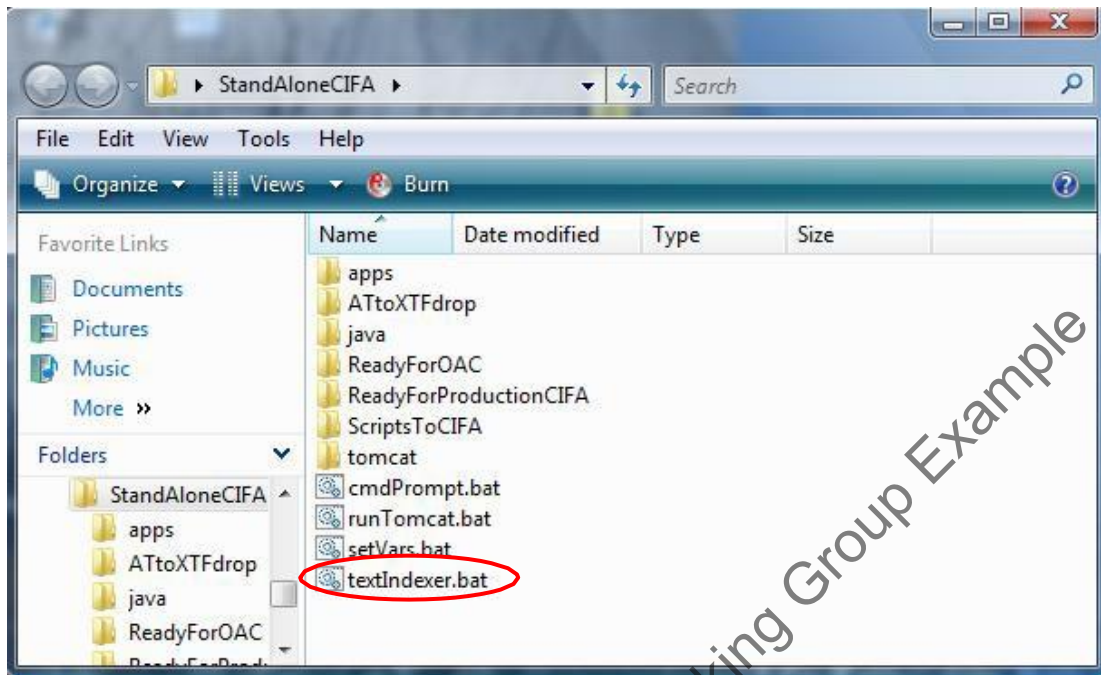
Step 4 Processes the files for CIFA



- Copies the "03" bundles to CIFA data directory
- Shuts down CIFA
- Indexes the new/modified EADs
- Restarts CIFA

5. Once the ATtoCIFA.bat has completed (the dos window will close), navigate to the top-level StandAloneCIFA directory and run the runTomcat.bat script.





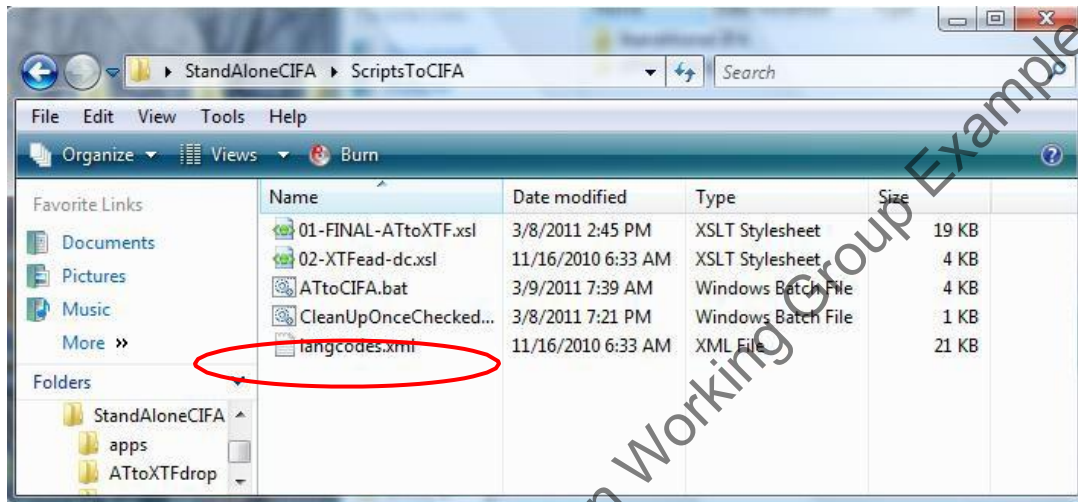
A DOS window will open, and it should look something like the image below. Once you see a statement at the bottom of the dos window that says, "Server startup in xxxx ms", open a browser –either Chrome or FireFox. **Note: Make sure you leave the dos window open otherwise tomcat will be shutdown.**

```

C:\Windows\system32\cmd.exe
Using CATALINA_BASE:   C:\Users\lmcglohon\Desktop\xtfWorkshop\tomcat
Using CATALINA_HOME:   C:\Users\lmcglohon\Desktop\xtfWorkshop\tomcat
Using CATALINA_TMPDIR: C:\Users\lmcglohon\Desktop\xtfWorkshop\tomcat\temp
Using JRE_HOME:        C:\Users\lmcglohon\Desktop\xtfWorkshop\java\jre6_win
Mar 9, 2011 3:19:10 PM org.apache.catalina.core.AppLifecycleListener init
INFO: The APR based Apache Tomcat Native library which allows optimal performance
in production environments was not found on the java.library.path: C:\Users\lmcglohon\Desktop\xtfWorkshop\java\jre6_win\bin;.;C:\Windows\Sun\Java\bin;C:\Windows\system32;C:\Windows;C:\Users\lmcglohon\Desktop\xtfWorkshop\java\jre6_win\bin;C:\Python26;C:\Python26\Scripts;C:\Perl\site\bin;C:\Perl\bin;C:\Program Files\Microsoft SQL Server\90\Tools\Binn\;C:\Program Files\Microsoft SQL Server\100\Tools\Binn\;C:\Program Files\Microsoft SQL Server\100\Binn\;C:\MinGW\bin;C:\Program Files\QuickTime\QTSystem\;C:\Users\lmcglohon\AppData\Roaming\Python\Scripts
Mar 9, 2011 3:19:10 PM org.apache.coyote.http11.Http11Protocol init
INFO: Initializing Coyote HTTP/1.1 on http-8080
Mar 9, 2011 3:19:10 PM org.apache.catalina.startup.Catalina load
INFO: Initialization processed in 521 ms
Mar 9, 2011 3:19:10 PM org.apache.catalina.core.StandardService start
INFO: Starting service Catalina
Mar 9, 2011 3:19:10 PM org.apache.catalina.core.StandardEngine start
INFO: Starting Servlet Engine: Apache Tomcat/6.0.18
Mar 9, 2011 3:19:12 PM org.apache.coyote.http11.Http11Protocol start
INFO: Starting Coyote HTTP/1.1 on http-8080
Mar 9, 2011 3:19:12 PM org.apache.jk.common.ChannelSocket init
INFO: JK: ajp13 listening on /0.0.0.0:8009
Mar 9, 2011 3:19:12 PM org.apache.jk.server.JkMain start
INFO: Jk running ID=0 time=0/15 config=null
Mar 9, 2011 3:19:12 PM org.apache.catalina.startup.Catalina start
INFO: Server startup in 1661 ms
  
```

6. In the browser window, type in the following URL: <http://localhost:8080/xtf/search>. That will bringup the keyword search page from CIFA.
7. Navigate as you usually do in the production server to find the finding aid/inventory to review. When you open the Browse page, expect a delay (the "initial hit") due to the starting of the tomcat server.

8. If everything looks OK,
  - a. Close the browser
  - b. Select the open dos window with your mouse
  - c. Type Ctrl-c and you will get a prompt "Terminate batch job (Y/N)?" Answer y and the dos window will close.
9. Navigate to the ScriptsToCIFA folder and run the CleanUpOnceChecked.bat script. This will clean up residual files created during the ATtoCIFA.bat script execution. It also adds the newly processed finding aids/inventories to ReadyForOAC and ReadyForProductionServer folders



Once you have checked to ensure the file appears as you expect, upload the file to CIFA (if it is public).

Go to <http://archives2.getty.edu:10080/CIFAUploads/CIFAUpload.php>

Login: user

Password: @WSXzaq1

Browse to find the XML and DC files and select the appropriate system(s).

## Document And Notify

Add the MMS id to the [Getty Box spreadsheet](#) if it is a new finding aid.

When uploading finding aids, other Getty staff need to be notified, specifically notify Lawrence Olliffe and Sela Constan-Wahl. Tell them the finding aid was uploaded to CIFA. Specify if it was new or a revised file.

## APPENDIX 2: SUBMITTING EAD TO THE OAC

- **Part I: Introduction**

The Online Archive of California (OAC), a component of the California Digital Library (CDL), hosts an EAD version of each of the Institutional Archives' public finding aids. Once a finding aid is completed in ArchivesSpace (AS) and approved by the Head of Institutional Records, it is marked "Completed" in the status field of the Finding Aid tab of the Resource module in AS. Before uploading to the OAC, be certain that the finding aid has been approved for distribution to the public.

- **Part II: Before You Begin**

### Requesting A VoroEAD User Account

Email [oacops@cdlib.org](mailto:oacops@cdlib.org). The subject of the email should be "voroEAD account." The body of the email should include "Getty Research Institute, Institutional Archives," your complete name, and contact information. You will receive an email containing your username and password.

### Setting Up Your Directories

Set up your Web connection to OAC by following the directions on the OAC website:

<http://www.cdlib.org/services/dsc/contribute/voroead.html>

If you need to download a recommended tool such as (CyberDuck or BitKinex), you may need to call Getty Digital at x1199 to get permission to do so.

You will need your voroEAD account information to follow these procedures. Your account information includes the following: a voroEAD Production and Testing Directory URL, a username, and a password.

1. Establish a WebDAV connection to your **voroEAD Production Directory**:

[http://www.cdlib.org/services/dsc/contribute/docs/DSCwebdav\\_connection.pdf](http://www.cdlib.org/services/dsc/contribute/docs/DSCwebdav_connection.pdf)

Establish a separate and different WebDAV connection to your **voroEAD Testing Directory** using the steps outlined above. **Note:** your voroEAD Production Directory URL must be changed slightly when setting up your connection: replace "oac-dav" with "test-oac" when typing in the URL.

2. Place a copy of the ead.dtd in each of your directories. A downloadable copy of the dtd can be found at <http://www.loc.gov/ead/ead2002a.html>

The voroEAD Testing Directory for GRI Institutional Archives is found at:

<http://voro.cdlib.org:8086/test-oac/getty/inarch>

The voroEAD Production Directory for GRI Institutional Archives is found at:

<http://voro.cdlib.org:8086/oac-dav/getty/inarch>

- **Part III: Submitting A Finding Aid**

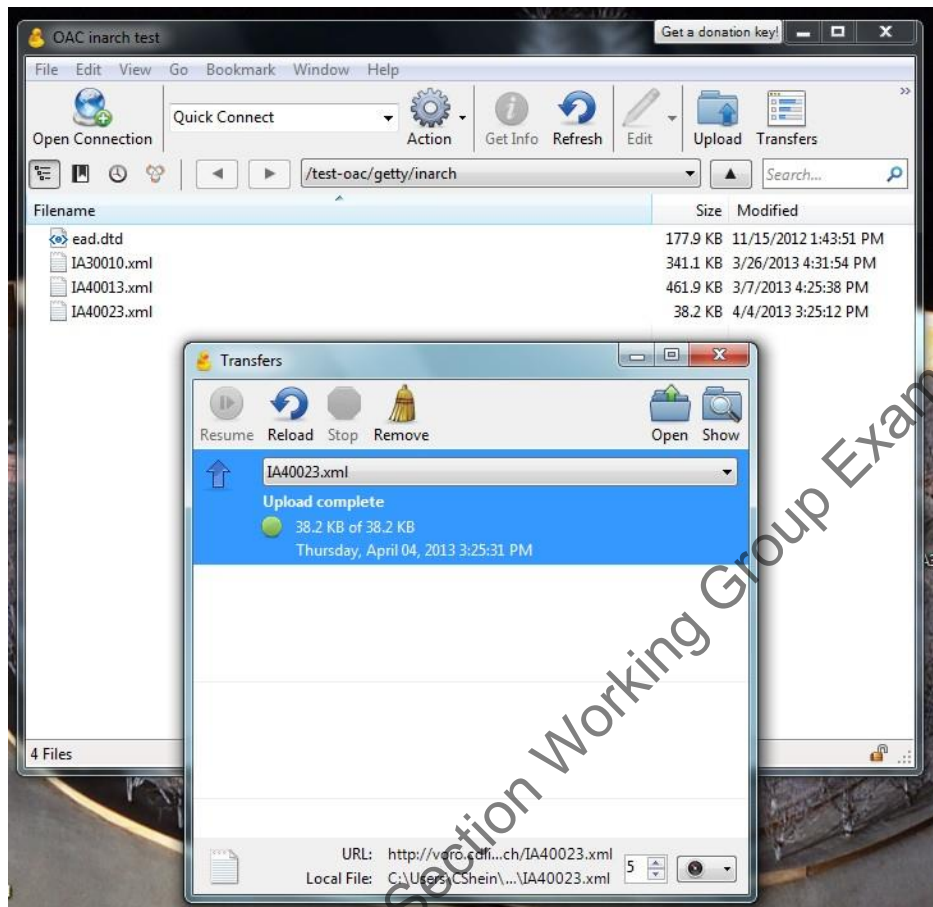
### Create an EAD File

- Export an EAD file from the Resource module of AS
- Run the file through the StandAlone CIFA process
- Open the StandAloneCIFA > Ready for OAC folder and save a copy of the EAD file to your desktop

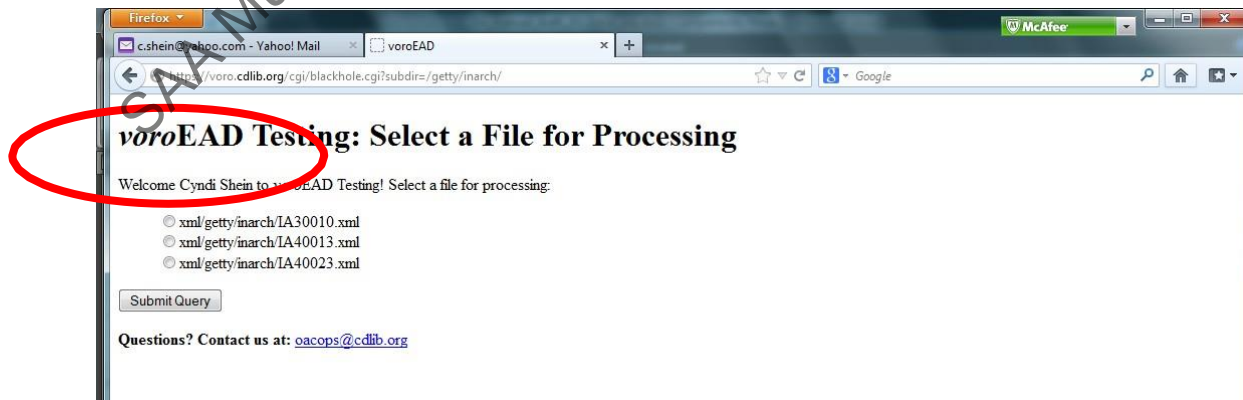
### Test the EAD File in Voro

- Open your voroEAD **Testing Directory** (current process utilizes BitKinex)





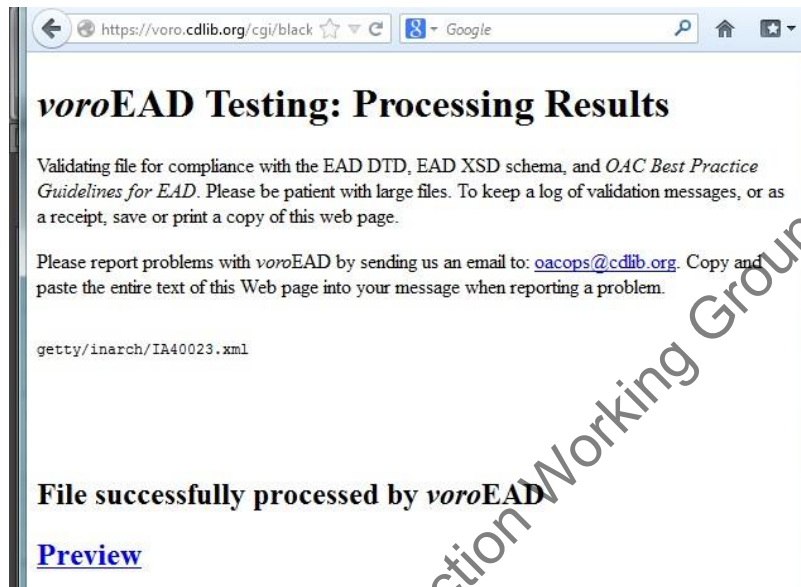
- Upload the EAD file
- Open your Web browser
- Go to the voro Blackhole <http://voro.cdlib.org:8086/cgi/blackhole.cgi> (this will require your username and password)
- Confirm that you are in the Test Directory
- Open the /getty/inarch/ folder



The EAD file you uploaded into the testing directory folder should be present on this screen.

- Click the button next to the EAD file that you want to test
- Click the box "Submit Query"

The finding aid will be validated for conformance to the EAD DTD and to the OAC BPG EAD. voroEAD will produce a log of critical errors, warnings, and recommendations for correcting encoding.



If the finding aid is "successfully processed," click on the "Preview" link at the bottom of the page. This provides you with the opportunity to view the display as it will appear on the OAC. At this point you may return to your EAD file and revise code or text if necessary. To edit your file, you must return the file saved to your desktop, upload the file again into the inarch folder, and resubmit it. If your file fails and is rejected by voroEAD due to critical errors, the file must be corrected and resubmitted. If the file fails, you will not be able to preview it.

### Submit the file for processing

Once you have tested and confirmed that your file is ready to be published, you may submit it to the OAC for processing. The submission procedure mirrors the testing procedure.

- Open your voroEAD **Production Directory** (name may vary) (in CyberDuck)
- Drag your corrected, finalized EAD file from your desktop into the inarch folder
- Open your Web Browser
- Open the GRI voroProduction folder at <http://voro.cdlib.org:8086/cgi/process.cgi> (this will require your username and password)
- Select the /getty/inarch/ folder

## ***voro*EAD Production: Select a File for Processing**

Welcome Helen Kim to *voro*EAD Production! Select a file for processing.

- ☐ submission/getty/inarch/IA10001.xml
- ☐ submission/getty/inarch/IA10011.xml
- ☐ submission/getty/inarch/IA10013.xml
- ☐ submission/getty/inarch/IA10016.xml
- ☐ submission/getty/inarch/IA10019.xml
- ☐ submission/getty/inarch/IA10020.xml
- ☐ submission/getty/inarch/IA10024.xml
- ☐ submission/getty/inarch/IA10030.xml
- ☐ submission/getty/inarch/IA20001.xml
- ☐ submission/getty/inarch/IA20002.xml
- ☐ submission/getty/inarch/IA20003.xml
- ☐ submission/getty/inarch/IA20005.xml
- ☐ submission/getty/inarch/IA20008.xml
- ☐ submission/getty/inarch/IA20009.xml
- ☐ submission/getty/inarch/IA20012.xml
- ☐ submission/getty/inarch/IA20013.xml
- ☐ submission/getty/inarch/IA20014.xml
- ☐ submission/getty/inarch/IA20015.xml
- ☐ submission/getty/inarch/IA20017.xml
- ☐ submission/getty/inarch/IA20018.xml
- ☐ submission/getty/inarch/IA20019.xml
- ☐ submission/getty/inarch/IA20020.xml

Click the button next to the file you want to upload. Click the "Submit" box at the bottom of the screen.

Only one EAD file can be selected at a time. You will be asked to confirm whether this is a new or a replacement file. OAC will send you a confirmation email letting you know that your file has been processed. OAC batch loads files on Fridays at noon. Barring unforeseen delays, your finding aid will go live on OAC after 24 hours.

Once you have confirmed successful upload of the file to the OAC, delete the file from the StandAloneCIFA folder and your desktop.