AN ARCHIVAL PRIMER

A PRACTICAL GUIDE FOR
BUILDING AND MAINTAINING AN ARCHIVAL PROGRAM

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Preface

The goal of this document is to provide an overview of the issues pertinent to an archives program, some practical operational guidelines, and a basis for further inquiry. Despite increasing standardization in the field of archives and manuscripts, policies and procedures continue to vary according to circumstances in individual repositories. Reflected here are the policies and procedures implemented at the Yale Divinity School Library. While we have found these guidelines to be useful and conducive to patron satisfaction, they are not presented here as the final solution, but rather as a case study that may have more or less relevance to other specific circumstances. This guide was first compiled in the early 2000s and while it has been updated since, some of the forms and procedures noted herein may not reflect Yale's most recent practices.

Creating and maintaining an archival program can be a daunting task. We hope this guide will serve as a "primer" for those approaching the task, supplying basic initial information and the impetus to begin.

1.
SETTING THE STAGE
A Statement of Goals,
Collection Development Policy,
& Use Policy

Establishing an archival program in an institution or organization requires a long-term commitment. The work of organizing and describing collections is labor intensive; the physical materials needed to house and preserve records properly are relatively expensive; the necessary space for storage, and acceptable temperature and humidity controls, must be assured. The administration of an institution or organization must be committed to ongoing staff and financial support.

Before plunging into the activities of acquiring, processing, and describing archives and manuscript collections, an institution should establish a foundation of guidelines that define the parameters of its archives program and provide for lasting quality.

STATEMENT OF GOALS

A good foundation for an archives program is a statement of goals, or mission statement, formulated in conjunction with the institution's leaders. Such a statement need not be carved in stone, but it ought to be written down - on record and available for distribution to interested parties.

What is the goal of the archives program for your institution or organization? Is it to preserve the records of the institution or organization itself? Is it to gather primary sources for research in certain subject areas? The goals and parameters of your archives program may change over the years, but initial goals should be fairly concrete and not overly ambitious. It is better to do a more limited task well than to have aspirations that are larger than your budget, staff, and space can handle.

There are two basic types of collections that you will encounter: archives of organizations and personal papers (manuscripts) of individuals. Methods of dealing with these two types of material differ to some degree but there are many principles and policies that will pertain to both. Many archives repositories contain a combination of archival collections and manuscript collections.

> *At YDSL* -- See Appendix A for Statement of Goals
> The Statement of Goals of the archives program at the Yale Divinity School Library is relatively straightforward because we do not have primary responsibility for maintaining the official records of our parent organization. The official archives of the Yale Divinity School are cared for by the Yale University Archives, part of the larger Yale library system. Our mission at the Yale Divinity School Library is to collect, describe, and provide access to archival and manuscript material related to specified subject areas, for the purposes of scholarly research.

An archives program that serves as a repository for official, legal, and financial records of its parent organization should include in its mission statement clarification of the relationship between the repository and the parent organization. The mission statement should address issues such as the enforcement of records management policy and the extent of retrieval service to be provided by the

repository.

In a few cases YDSL has accepted responsibility for maintaining the archives of ongoing organizations whose activities relate to the subject areas in which we seek to collect (e.g., the archives of the United Board for Christian Higher Education in Asia). In these cases, the organization is responsible for selecting the records it wishes to deposit in its archives (although we take some responsibility for providing advice on this). The organization also maintains in its own office all current records that may be necessary for daily operations. YDSL makes an agreement with the organization regarding the maintenance of its archives and the extent to which we will retrieve information from records held in the library for the purposes of the organization. These agreements vary from organization to organization and may evolve over the years.

COLLECTION DEVELOPMENT POLICY

The collection development policy of an archives program is integrally related to its mission statement.

> *At YDSL*: Collection decisions are made at the discretion of the Curator of Special Collections and the Divinity Librarian, based on certain guidelines, such as:
> - We will actively solicit materials relating to the first two subject areas specified in our mission statement but be more conservative in accepting materials relating to the third and fourth areas;
> - We are not the official repository for Yale Divinity School records but will attempt to collect nonofficial records and publications that document the life of the School;
> - We will acquire manuscript materials primarily through donations but will consider purchasing materials deemed to be of exceptional historical value;
> - We will consult with faculty members regarding the value of borderline collections that we may be offered;
> - Space considerations are important but we will seek new space before rejecting a valued collection.

Other repositories may wish to have specific written guidelines about collection development, particularly in relation to the official archives of their parent organization. Guidelines should address such issues as:
- Will the repository collect only its own institutional records?
- Will the repository collect personal papers of individuals related to the organization?
- If the archives learns of interesting records of some related organization or individual that are languishing in a damp basement, will it try to preserve these records along with its own records?
- Will the archives try to create documentation to fill gaps (e.g., through an oral history program)?
- If the focus of the archives program is not on institutional archives, but rather on

subject areas or genres of material, how specifically can or should these areas be defined?

- Are there archives programs in other institutions that are attempting to collect in the same areas?
- How can the archives program cooperate and avoid competition with others?
- What mechanisms will be used to make other institutions and individuals aware of the repository's collection development interests?

USE POLICY

A use policy should address three basic questions: **who** is allowed to use materials, **how** will the use of materials be regulated, and **what** materials will be made available for use.

Who is allowed to use materials?

> *At YDSL:* we do not allow elementary or high school students to use our collections except under exceptional circumstances. We grant access to undergraduates, graduate students, faculty members, and independent scholars or writers from both within and outside Yale. Family members of those who have donated their personal papers to the library are also welcomed.

How will use be regulated?

Security:

Researchers should be required to fill out an application form, which includes their home and local addresses, email address, telephone numbers, and institutional affiliation, and their agreement to abide by the rules of the repository.

> *At YDSL:* See Appendix B for a sample application form and Appendix C for our rules for the use of manuscript collections. We reserve the right to request two forms of identification, including one with a photograph, from potential researchers.

Researchers should fill out call slips requesting materials. These call slips can then be checked against returned material and retained with the researcher's application form as a record of materials used.

> *At YDSL:* The initial call slip is part of the application form. If additional items are requested, a form like Appendix D can be attached to the original application.

In most repositories, researchers using manuscript materials are under constant surveillance to guard against misuse or theft of records. Typically a researcher can have only one box to use at a time. Ideally, archives staff should verify that all the folders recorded as being in the box are present before giving the box to the researcher and then check the folders again after receiving the box back from the researcher. A daily log or guest book should be maintained to document the presence of researchers in the archives reading room. Researchers should sign in

and sign out each day that they are using materials.

Remote access to collections:

Remote access to manuscript and archival collections presents another set of issues to be addressed.

> *At YDSL:* we frequently receive email or telephone requests for information contained in our collections. We respond quite liberally to these requests but must limit the amount of time spent on any one inquiry. Our policy is to provide up to one hour of free research time in responding to a request for information. After one hour we charge $25.00 per hour to do research for a client, or request that they either do the research themselves or employ a research assistant to do it.

A repository's remote-access policy and fee structure will reflect the necessary balance between, on the one hand, a desire to have collections used and cited and, on the other, the amount of staff and time available to provide service.

Copying of materials:

Different repositories have widely varying policies and fee structures for making scans or digital photographs of archival materials.

> *At YDSL:* permission to scan or take photographs is at the discretion of the Special Collections staff. Depending on the physical condition of the documents and the reliability of the researcher, we might say that 1) a Special Collections staff member needs to do the scanning for the researcher, or 2) the researcher can do his or her own scanning, or 3) the material is too fragile to be scanned.

It is a fairly liberal policy for YDSL to allow researchers to make their own scans, but we have limited staff available to do copying for researchers and our particular context (specialized content, secluded physical location) means that most of our researchers are trustworthy academics.

> *At YDSL:* We have a scanner available in the Special Collections Reading Room that can be used by the researchers under certain circumstances and we do not charge for its use. If a Special Collections staff member is doing scanning for a researcher, the fee is higher in order to cover the labor costs of the staff member. If a researcher brings his/her own digital camera or scanner in to make copies, we do not charge for it. We do not permit researchers to make copies of entire collections or to deposit any copies they made in another repository.

What will be made available for use?

Inevitably some records in a repository's collections will be restricted and not available for general use.

> *At YDSL:* We make every effort to avoid acquiring materials for which there are

significant use restrictions. When the donor does request specific restrictions or we deem restrictions necessary because of the sensitive nature of material, the restrictions are given time limits rather than existing in perpetuity. The restrictions are noted in the finding aid for a collection and the files are sealed in such a way that unauthorized browsing will not occur.

If a repository is responsible for the official archives of its parent institution, policies regarding restrictions on the use of records should be worked out carefully in conjunction with legal counsel and the offices that generate the records and are familiar with them.

KEEPING TRACK OF USE

It is important for a repository to keep track of ways in which its holdings are being used. Information about which collections have been cited, and in what contexts, can help the archivists be aware of related collections available for consultation or possible acquisition. Evidence of how collections have been used can assist in publicity and fundraising efforts.

A form defining the preferred format for citing collections should be available to researchers. A typical citation format would be:

_____Papers, Box __ Folder __, Repository Name.

Researchers should request permission or notify the repository if they include extensive quotations from manuscript holdings in a published work or include facsimile reproductions of documents or photographs in their publications. Permission is necessary if the repository holds the copyright for the materials in question, but notification is appropriate in all cases, so that the repository knows where and how its collections are being used.

> *At YDSL:* See Appendix E for our Permission to Publish application, and Appendix F for our Facsimile Reproduction application. If a facsimile reproduction is to be published by a for-profit publisher, YDSL requires a fee paid per image but we do not charge a fee to academic or non-profit publishers.

2.
WHAT TO GET AND WHAT TO KEEP
Appraisal, Acquisition, & Accession

APPRAISAL

In common usage, the term "appraisal" most often relates to setting a monetary value on something, but in the archival field, appraisal also refers to determining the historical value of records. This determination of historical value comes into play both in deciding whether to accept a group of records, and in determining whether to retain all of the records received in the group.

If a repository's collection development policy centers around certain subject areas or genres, many specific questions will crop up regarding which groups of records to solicit, accept, or reject. Circumstances of space, staffing, funds, and availability will frame the answers to these questions to some degree, but a core of decision-making remains with the archivist or director of the repository. Decisions about what to get and what to keep are among the greatest professional challenges for an archivist.

> *At YDSL:* In an ideal world of unlimited funds, staff, and space, YDSL could aggressively solicit personal papers of all missionaries, regardless of denomination or geographical location, all the office records of any organization involved in student Christian work, all the personal papers of all Yale Divinity School faculty members, and so on. In the real world, we have limited funds, staff, and space, and must constantly make decisions about what types of material will be of most value to researchers now and in the future.

When a repository is offered a group of personal papers or archival records, it is sometimes very clear that the materials would fit well with its collection and be of significant value to its clientele. In other cases it is necessary to do research about the individual or organization in question, or speak with faculty members or experts in the field about the materials in order to evaluate their significance.

It is sometimes wise to help define in advance the character of materials received by your repository by making available a checklist of what is desired.

> *At YDSL:* See [Appendix G](#) for a Checklist distributed to faculty at the Yale Divinity School.

A repository that collects institutional archives should provide specific guidelines to the offices that will be providing the records in order to inform them about the types of files that constitute permanent archival records. See the chapter on Records Management for more about this.

A repository that seeks to collect local church records would be wise to construct and distribute a checklist giving guidance to the churches in question. Such a checklist would list

the types of materials that the repository wishes to preserve, such as:
1. Constitution and by-laws of the congregation; dated copies of changes
2. Records of baptisms, confirmations, marriages, etc.
3. Minutes of the governing bodies of the congregation
4. Histories of the church/congregation
5. Photographs
6. Weekly service bulletins (define which ones, how many, are appropriate to keep)

See Appendix M for tips on appraisal of electronics records.

ACQUISITION & ACCESSION

Once the archivist decides to accept a group of records, a series of practical steps must be taken to satisfy legal requirements and assure the safekeeping of materials received in the repository.

- A record of the accession should be entered. The accession record can be kept very simply, e.g., sheets of paper in a notebook or a computer spreadsheet, but there are archival management software programs that can streamline the process.

  At YDSL: We use ArchivesSpace a software application for accessioning and describing archival materials; establishing names and subjects associated with archival materials, including the names of donors; managing locations for the materials; and exporting EAD finding aids.
  See Appendix H for an indication of the types of information required for an accession record.

- A Deed of Gift should be executed to clarify and record the transaction between the repository and the donor.

  At YDSL: See Appendix I for a sample Deed of Gift format. See Appendix J for a sample agreement with an ongoing organization whose archives are deposited at YDSL.

- A preliminary inventory of the materials received should be prepared and attached to the Deed of Gift. The repository can have its staff prepare this inventory, or it can require that the individuals or offices providing the records prepare it.

MORE DECISIONS

Once a group of records has been accepted, a variety of considerations affect decisions about whether to retain all of the records in the group. The concept of "provenance" in archival theory suggests that records generated by a particular individual or agency should be kept together, not mixed with records from another individual or agency, and not completely reorganized. Behind this concept is the belief that the way files are established and maintained by an individual or agency tells something about the person or organization. If the integrity of

the files is lost, information about the person or organization has been lost.

On a theoretical level it would seem that all the records generated by an individual or agency ought to be retained in order to maintain the integrity of the files. At YDSL, once we have decided to accept a group of records, we often do retain the group nearly in its entirety. This is done partly on theoretical grounds, and partly because making decisions about retaining or discarding portions of a group of records is time consuming. Such decisions are best made by a knowledgeable archivist rather than the student or clerical assistant who may be doing the bulk of the processing of a group of records. When the availability of storage space is not a crucial issue, maintaining a group of records in its entirety is probably more cost efficient.

There are times, however, when the size of collections must be limited. Practical reasons for weeding or otherwise limiting the size of collections come to mind quickly - space considerations, the number of boxes and folders needed to house a large collection properly, and so on. There are also valid conceptual reasons for limiting the size of collections. A completely "unedited" group of records may be more difficult for researchers to utilize; too much "chaff" in a collection can make its "wheat" elusive.

It has been said that the difference between a file clerk and an archivist is that the archivist has a sense of perspective. In appraising a group of records, the archivist must keep in mind two phases of use of documents - their present-day use and their potential historical value. Archival theory identifies three types of value of records - primary value, secondary value, and archival value.

The **primary value** of records is their administrative or functional use to the person or agency that created them. If possible, appraisal decisions should be made in consultation with the creator of the records.

The **secondary value** of records is their value for research, both now and in the future. Records may have value for research because of their <u>evidential</u> characteristics, the evidence they provide about the life and operations of their creator. The records may also have <u>informational</u> content that goes beyond documenting the functions and achievements of their creator. The individual or agency that created the records may have intentionally compiled information or the researcher may derive indirectly information about a wide range of topics.

The **archival value** of a set of records is the judgment call of the archivist in a particular repository. All records have some research value to somebody. The archivist's role is to decide which records have sufficient value to justify the costs of processing, description, and preservation.

PRACTICAL GUIDELINES FOR DISCARDING MATERIAL

Appraisal decisions based on the **content** of documents rarely take place on an item-by-item basis. This would be too time consuming and therefore too expensive. However, there are certain guidelines for discarding material that can be implemented as part of the processing procedure. Examples of these guidelines would include:

- Retain only two copies of any document. Discard any additional copies.
- It may not be necessary to retain multiple drafts of written material, or typescript copies of published works.
- Printed material such as minutes and reports sent from another organization and readily accessible from the sender can be discarded.

- Ongoing financial records of an organization often contain a great deal of duplication; the organization can probably tell you which records can be discarded. In general, only summary records need be retained after tax documentation requirements have been fulfilled.
- Newspaper clippings and other printed materials that are readily accessible elsewhere can be physically discarded as long as a record is kept of their existence in the original files.
- Routine acknowledgements and requests related to office supplies or travel plans may not be necessary to retain.

SAMPLING TECHNIQUES

Some repositories may choose to implement sampling techniques when dealing with very large collections. There are a variety of sampling techniques, all of which have their advantages and disadvantages. We rarely use sampling techniques at YDSL but repositories dealing with extremely large groups of records may need to implement them. Sampling techniques are of the following types:

- **systematic** - selection by some criterion without regard for the substance or content of the files, e.g. retain all files from even years.
- **exemplary** - selection based on case-study basis, to document a particular activity or time period, e.g. retain all the files from one region to demonstrate how a typical field office operated.
- **exceptional** - selection of particularly important files - those relating to important people, controversies, major events, etc.

3.
RECORDS MANAGEMENT
The Archivist's Best Friend

MAKING THE CASE FOR A RECORDS MANAGEMENT PROGRAM

If an archives repository is dealing largely with official records of an organization, appraisal decisions will be integrally linked to that organization's records management program. The archives may assist in setting up a records management program, but responsibility for carrying out the program usually lies with the organization. A successful records management program will do the following:

- Provide guidelines to the organization's staff regarding whether and how long different types of records should be kept.
- Provide a method and time frame for orderly destruction of records that do not have permanent value.
- Provide a method and time frame for orderly transfer to the archives of records that do have lasting value.

Organizations may need convincing that a records management program is worth the considerable effort that is needed to get the program started and maintain it for the long term. Archivists can both benefit an organization and save themselves valuable time by making a strong case for a records management program. Elements of this case would include the following:

- Records often take up valuable and expensive space in an organization's offices.
- Records that are just stockpiled in storage areas require valuable staff time to discover and retrieve.
- Historically valuable records may be safer in the hands of a repository especially equipped to care for them.

THE FIRST STEP: A RECORDS INVENTORY

The first step in beginning a records management program is to make an inventory of what types of records an organization has, and where they are all located. Preliminary investigation may reveal that not all the important records are in the organization's current offices. If they are not there, where are they? Some detective work may be required to track records down, including contacting former leaders of the organization.

As all existing records are identified, a simple inventory should be made that lists the following information:
1. type of record
2. dates of the records
3. quantity
4. current location
5. format

See a sample Inventory Sheet in Appendix K. In this inventory sheet, the "type" of record refers to its function. Organizations create many different types of records and some types

have more long-term value than others. Here are some sample types of records:

annual reports	minutes of committee meetings
legal documents (e.g., of incorporation)	committee or task force reports
property records	budgets and audits
personnel files	mailing lists
expense reports	bank statements
photographs	brochures
receipts from purchases	newsletters
financial ledgers	routine correspondence
programs from events	itineraries
material from other organizations	manuals

The records inventory should be done by someone, who is familiar with the operations of the organization, so that he or she can recognize the types of records and know why they were generated.

Listing the general dates of each type of record will reveal whether there are significant gaps in the documentation. The quantity of material usually is listed in terms of linear feet - how much shelf space would be required to store it. The inventory should indicate whether there are many duplicate copies of material. The "format" of the records refers to its physical manifestation - paper, audiotape, film, electronic files, etc.

THE SECOND STEP: A RETENTION SCHEDULE:

Once the records inventory has been completed, the archivist and organization should work together to decide how long each type of record should be kept. Some records should be kept temporarily and some records should be kept permanently. For each type of record a determination is made regarding its value in fulfilling legal or fiscal needs, operational or administrative needs, and historic needs. Certain types of financial records should be kept for several years because of tax requirements, even if they are not of operational value to the organization. Certain types of administrative records, such as travel arrangements, are no longer needed after their function is fulfilled. Certain type of records should be kept permanently because they are important for documenting the history of the organization.

Here are some examples of how long records should be kept:

minutes	- permanent
annual reports	- permanent
bylaws, charters	- permanent
annual budgets	- permanent
annual audits	- permanent
brochures/ publicity	- permanent
newsletters/ reports	- permanent
minutes of major committees	- permanent
photographs	- permanent
property records	- temporary - keep until twenty years after sale
personnel records	- temporary - keep for term of employment
tax records	- temporary - keep for seven years

bank statements	- temporary - keep for seven years
expense reports	- temporary - keep for seven years
accounts payable invoices	- temporary - keep for three years
routine correspondence	- temporary - keep only when actively needed
travel arrangements	- temporary - keep only when actively needed

> *At Yale:* The University Archives provides specific guidelines or "records schedules" to each major department of the University. See http://www.library.yale.edu/mssa/ua_schedules.html for examples. The University Archives also provides a specific template for the offices to fill out when records are transferred to the archives, including a folder-by-folder listing.

STEP THREE: ESTABLISH PROCEDURES FOR IMPLEMENTING THE SCHEDULE:

The leaders of an organization should charge some particular individual within the organization with the responsibility of implementing the retention schedule. This "records manager" should be officially designated and given authority to carry out the task of implementation.

In most situations, records fall into the following categories:

- Category 1: These records are used daily or weekly and should be kept close at hand in the organization's offices.
- Category 2: These records are used infrequently (monthly or a few times a year), or need to be retained for a set period of years, but they do not need to be immediately at hand. They could be stored in a more remote storage area (e.g., a storeroom within the office).
- Category 3: These records have permanent historic value but are not used frequently. They should be deposited in the archives, a safe and secure place.
- Category 4: These records that do not have lasting legal or historic value, are no longer used, and are not needed for tax or legal purposes. They should be discarded.

Have an annual Archives Day!

Many organizations find it useful to have one day annually when records are evaluated. On this "Archives Day", records that fit into category 2 above should be removed from current office files and placed in boxes that are clearly labeled with an indication of the contents and the date until which they should be retained. Category 3 records should be sent to the archives. Category 4 records should be destroyed or recycled. On this day, the records manager should check the storage area and disperse all records dated for removal.

4.
MAKING THE RECORDS USABLE
Arrangement & Description

STANDARDIZATION

After a group of records is accepted by a repository, appropriate legal documents are executed, and a preliminary inventory is made, the next step is to arrange and describe the records in such a way that researchers in-house and elsewhere will know what is available in the record group and be able to request records of specific interest.

In the field of archives, there is increasing standardization of methods of arrangement and description. The professionalization of the archives field and the development of a strong professional society, the Society of American Archivists, have brought about shared discussion, information, and publications about appropriate methodology. Many repositories now use *Describing Archives, A Content Standard (DACS)* as a standard.

In the past, each institution had its own in-house finding aids for describing records and researchers learned to interpret and adapt to each institution's individual methods and formats. Now that nationwide computer networks are used to share information about the holdings of institutions, there are accepted standards for creating catalog records and finding aids for collections.

> *At YDSL:* The various archival repositories that form part of the Yale University Library system have agreed upon common guidelines for preparing archival catalog records and finding aids. See http://www.library.yale.edu/cataloging/manuscriptcc/Manuscript Cataloging Manual.htm for guidelines on creating collection level records for archival collections.
> See http://www.library.yale.edu/facc/bpgs.html for Yale's best practices for creating finding aids using the Encoded Archival Description (EAD) standard, based on *DACS*.

ARCHIVES OR PERSONAL PAPERS?

Techniques of arrangement and description will vary depending on whether the records in question are the official archives of an organization, the personal papers of an individual, or a group of materials collected by an organization or individual. The archival records of an organization usually come to a repository with an existing system of organization. The archivist's task is to discover or clarify this system of organization and keep it intact. Personal papers of an individual often arrive at a repository in a less organized state. The archivist's task is to analyze the elements of the personal papers and create a scheme of organization that will assist researchers in gaining access to the records. An archivist/records manager dealing with organizational records will be more concerned with maintaining original order. The archivist/manuscript curator dealing with personal papers will more likely need to impose order on an unordered collection.

The following few pages represent the processing guide used in the Special Collections department of the Yale Divinity School Library.

A. PRELIMINARY SORTING

- **Step 1** PRELIMINARY INVENTORY

Examine the collection generally before sorting. Find and read material within the collection or elsewhere that provides an idea of the background and significance of the individual or organization in question. Go through each box and make a preliminary inventory of what types of material are present in the papers. Preserve the original order of the collection at this stage. Insert old folders or pieces of paper as "flags" or markers to indicate the kinds of material and their arrangement.

Note in this preliminary inventory any information that may be lost if the original order of the collection is disturbed.

- **Step 2** INITIAL SORTING

Begin to unpack or straighten the materials; remove surface dirt or dust; flatten manuscripts that have been folded. (Severe preservation problems such as mold or excessive brittleness should be dealt with before proceeding.)

In this preliminary sorting it is often appropriate to put the material in different piles or boxes labeled according to type or format: correspondence, photographs, writings, printed material, and so on. Be cautious, however, because some materials ought to be kept together even if they consist of various types or mixed formats. It may be, for example, that an individual has created an elaborate subject file that includes letters, photographs, notes, and collected material about specific topics or events. In such a case it would probably be wise to maintain the groupings that the individual has created, regardless of format.

Archival records of an organization should in most cases be left in the order in which they have been received. If the organization's files integrate correspondence, minutes, and collected material, do not separate these materials according to genre or format. If the organization's records have come to the library in a chaotic state, it is permissible to impose some logical order upon them.

B. REFINEMENT OF PRELIMINARY PROCESSING

- **Step 1** ESTABLISH "SERIES"

The groupings that have emerged in the preliminary sorting form the basis for establishment of **series**. The creation of **series** within a collection allows for a kind of architecture or structure that will make the collection as a whole easier to describe and access. A **series** is a grouping of similar material within the larger collection; the material may be similar in format or in purpose. The series can be defined in any manner that makes sense. Some possible series titles for personal papers include:

Correspondence
Diaries

Notes and Notebooks
Writings
Photographs
Collected Material
Subject File
Biographical Documentation
Personal Items and Memorabilia

The series titles for the archives of an organization are more likely to reflect the different components or activities of the organization, such as:

Board of Trustees
Executive Director Files
Publications Office
Financial Records
Program Documentation
Etc.

The number, titles, and arrangement of series in a collection will depend on the types and quantity of material available. One collection may have ten series while another collection of comparable size has only three. One group of personal papers may have a single series for correspondence while another has separate series for family correspondence and general correspondence. Yet another group of personal papers may have separate series for family correspondence, general correspondence, and, e.g., "China era" correspondence, reflecting a special emphasis within the papers.

The names of the series should accurately reflect the kinds of material included. Most items will clearly fall into one or another of the defined series. Those items that do not readily fit into the established series may be placed in a folder or box of "Miscellany", which can be refined later when the collection is more familiar to the processor.

- **Step 2** ORGANIZE MATERIAL WITHIN SERIES

For collections that have no strong inherent order when received, the next step is to organize the material within the series that have been established. Beginning with the most important or revealing materials first, put each series into an appropriate order - alphabetically, chronologically, by subject, by type, or whatever. One of the marks of an experienced processor is to know which materials deserve attention, which ones ought to receive only cursory treatment, and which ones should be discarded, with perhaps only samples retained. In many cases a generic grouping (such as "planning material" or "class handouts") is sufficient for purposes of identification and retrieval. The processor must also decide when materials are important enough to warrant painstaking efforts to put them in alphabetical or chronological order. In general, the danger to beware of is over-processing rather than under-processing.

Some processing practicalities:
- Use old folders for this preliminary arranging.
- Hardware can be removed at this point: paper clips, string, rubber bands, old wrappers, binders, staples, etc.
- Old hardware may be replaced with stainless steel staples or items may be kept together within folded sheets of acid-free white paper. If staples are used, always

staple diagonally across the upper left corner.
- Retain only two copies of any item in the collection.
- Unannotated books, pamphlets, and journals not written by the person or persons represented in the collection may be removed and added to the general library collection. The governing criteria for deciding whether to keep printed materials with a manuscript collection is their pertinence to the collection and their availability elsewhere.
- In the case of newspaper clippings, keep those from more obscure newspapers (photocopy them and discard the originals in most cases) and discard those from more accessible newspapers (after noting their titles and dates if they are significant to the collection).

- **Step 3** TAKE NOTES & SUPPLY INFORMATION
  As you sort, take notes on the kinds of activities engaged in by the person or organization, subjects that may be of historical interest, notable correspondents, deficiencies as well as strong points of the collection, and any noteworthy peculiarities. These notes will facilitate writing the introductory portion of the finding aid that describes the collection.
  Take care to preserve incidental information as you sort:
- **Envelopes**: Transfer any information that may help to identify the item (postmark date, place, etc.) with pencil to the upper right corner of the item, then discard the envelope. If there are notes or extensive information on the envelope, enclose it with the item in a folded sheet of acid-free paper.
- **Enclosures**: An enclosure is generally kept with the item with which it is associated. If necessary, use a cross-reference sheet to refer to the enclosure elsewhere.
- **Annotations**: If you can provide identification or crucial information from the context of an item, annotate the item in the upper right corner. Use pencil and enclose the information within square brackets. Information supplied on the basis of personal knowledge or supposition should include a question mark within the brackets: [Jackson, Michael James ?].
- See Appendix L for more specifics regarding arrangement and description.

C. DESCRIPTION, FOLDERING, AND BOXING OF MATERIALS

- **Step 1** LABEL FOLDERS
  Once series have been established and the collection sorted, items can be placed in new acid-free folders. A brief description of the contents of each folder is printed on the upper right corner of the folder label area (or printed text labels can be generated). Each folder should also be stamped or annotated with the name of the collection, its record group number, and series title. This information on each folder will help to orient the researcher and facilitate re-filing of folders separated from their boxes.

- **Step 2** NUMBER FOLDERS/PUT IN BOXES
  After the folder descriptions are completed, the folders are numbered in the left corner

of the folder label area and put in acid-free document cases. Each document box should be filled tightly enough to prevent the materials from curling in the box, but not so tightly that the folders are difficult to remove.

Each box should be labeled on the front with the name of the record group and box number.

D. PREPARING A FINDING AID

The finding aid provides the researcher with information necessary to evaluate and gain access to a group of papers. It generally consists of an historical or biographical note regarding the organization or individual documented, an introduction to the entire collection, and a folder listing (or sometimes a box listing) for each series, preceded by a brief series description. The historical or biographical note should be as concise as possible; a chronology format is often most useful to researchers. The introduction should describe the kinds of materials in the collection, the quantity of materials, and the general arrangement (i.e., the series into which it is divided). The span of dates for which there is material and the names of persons for whom there is significant correspondence should be noted. The archivist should make use of notes taken while processing to analyze and comment on the strengths and weaknesses of the collection. Topics which are well documented should be noted, as well as topics for which one might expect to find materials, but which are not well documented.

See examples of finding aids linked to from https://web.library.yale.edu/divinity/divinity-special-collections. Ideally the standards of *DACS* and EAD are followed when creating finding aids, but repositories that do not have the staff expertise to implement these systems should not worry too much. The important thing is not that the finding aid is a properly encoded XML document but rather that it conveys the necessary information about the collection. Word-processed, PDF or HTML files are acceptable formats for finding aids.

E. CATALOGING THE COLLECTION

After preparing the finding aid, the archivist will enter a collection-level cataloging record in the Yale online computer catalog (ORBIS) so that information about the collection will be available throughout the Yale system and loaded into the national bibliographic databases.

▪▪

Archival processing techniques can also be used for organizing pamphlets and other ephemeral material. Sometimes it is better to organize such materials by creator, corporate body, topic, etc. and make a finding aid to describe them rather than cataloging each individually. See examples at http://hdl.handle.net/10079/fa/divinity.056 and http://hdl.handle.net/10079/fa/divinity.073.

5.
KEEPING THE RECORDS USABLE
Preservation of physical and electronic records

STORAGE OF PHYSICAL DOCUMENTS

As part of the processing procedure, all hardware (paper clips, rusting staples, and so on) and all rubber bands should have been replaced with stainless steel staples or sheets of acid-free paper. Ideally, the documents should be in acid-free folders in acid-free boxes that prevent dust from entering. These boxes should be labeled clearly with labels that will not fall off. An area of oversize shelving should be available to house maps, posters, and other large items that should be stored flat. Many sizes of acid-free boxes are available to accommodate materials of nonstandard size. Acid-free portfolios can be purchased or constructed out of smaller folders.

The room selected for storage of archives and manuscripts ideally will have no water pipes running through it, have little or no natural light, and be amenable to consistent environmental control.

ENVIRONMENTAL FACTORS

Much of the paper manufactured since the mid-19th century, unless it is of the type designated permanent/durable or acid-free, has an expected useful life of less than fifty years in unregulated climatic conditions. Valuable items can be deacidified to prolong their lifespan, but widespread use of this treatment is not feasible for most repositories. Other methods for preservation of brittle items include encapsulation in Mylar and repair by a trained conservator.

Environmental controls are the best defense for retarding the deterioration of acidic paper. A chemical reaction is taking place in acidic paper, and this reaction is accelerated by high temperatures and high humidity. The ideal temperature for an archives storage area is about 55-60 degrees F, and the ideal relative humidity level should be as close to 50 percent as possible. These levels can be monitored using a hygrothermograph.

Maintaining ideal temperature and humidity levels may be **very** difficult, especially in old buildings not specifically designed for storage purposes. In many areas, it may be necessary to use a humidifier in winter and a dehumidifier in summer to maintain an acceptable humidity level. If maintaining ideal temperature and humidity levels proves impossible, the next best solution is to have **consistent** levels. Cyclical changes in temperature and humidity can lead to a weakening of paper.

Mold or mildew attacks are a danger when temperature and humidity levels are not controlled. If detected early, mold can be controlled fairly easily; the mold spores evident on papers or bound volumes can be brushed away using a specially treated cloth. If mold growth becomes advanced, the records will need to be fumigated. Always be on the lookout for mold and mildew. At the first signs of a problem, temperature and humidity levels should be lowered. Prevention is easier than correction.

PRESERVATION SUPPLIES AND ADVICE

An amazing variety of preservation and conservation supplies and tools are available through catalogs published by Gaylord, Light Impressions, University Products, and others. Some of these companies also have toll free "help lines" to answer preservation questions. If a repository does not have local access to expert advice and opinion, such "help lines" could be of real assistance.

PRESERVATION PHOTOCOPYING, MICROFILMING, AND DIGITIZATION

Some records are valuable as physical artifacts while others are valuable primarily for the information they contain. It is important to be realistic about the value of records when making preservation decisions. For some deteriorating items, photocopying them onto acid-free paper and discarding the originals makes more sense than spending money to deacidify, repair or encapsulate them. In other cases a repository may want to create photocopy or microfilm service copies of records so that the originals can be preserved and protected from exposure.

Preservation microfilming is probably still the best long-term solution to the preservation needs of large collections because we know that the microfilm will have a long life span. Increasingly, though, digital scanning of materials will replace microfilm as the preferred method of preservation. Long-term reformatting of digital files may be necessary to preserve them into the future.

PHOTOGRAPHS AND FILMS

Photographic prints, negatives, and films can in most cases be stored in the same area as other archival records, though an ideal storage area for photographic materials would have very low humidity levels. Ideally, photographs should be enclosed in Mylar sleeves so that they can be handled without touching the original. The Mylar sleeves are also useful because a marking pen can be used to identify or number the photograph on the sleeve rather than on the photograph itself.

One fact that all repositories should be aware of is the existence of potentially dangerous nitrate-based film. Produced before 1950, nitrate-based film often can be identified by its distinctive acidic odor, especially when stored in a closed container. Nitrate-based film - both still negatives and movie film - is highly flammable; it should be segregated from other records, stored under the best (very cool) conditions available, or duplicated and replaced by acetate-based film.

ELECTRONIC RECORDS

The issue of electronic records is of increasing concern to archivists and there are no easy solutions for insuring their long-term access and preservation. Organizations and individuals now use computers to generate letters, minutes, and memoranda and may not retain paper copies in their files. Eventually these electronic records come to an archival repository in a variety of formats, requiring a wide variety of software and hardware to make retrieval of information possible. The conservative stance for a repository to take at this point is to require that all records be deposited in hard copy. This stance will be increasingly untenable as organizations and individuals

wholeheartedly enter the electronic age. Even now, there is a danger in requesting hard copy printouts of records to be saved. The extra steps of selecting and printing records to be saved will inevitably limit the number and variety of records saved; the records that are not saved may prove to have contained important documentary evidence.

Increasingly archival repositories will need to set up systems whereby they can retain electronic records in digital form. The records may need to be reformatted at intervals to avoid obsolescent formats and the need for obsolete hardware.

See [Appendix M](#) for additional guidelines related to electronic records

DISASTER PREPAREDNESS

A disaster plan in the event of fire or flood should be an integral part of any repository's program. It is important to have the plan in written form because of potential chaos and confusion at the height of the emergency. Floor plans should be available that included location of master light switches, electrical outlets, floor drains, rare materials, and all possible sources of water. Copies of the plan should be distributed to staff members, and copies should be stored off-site as well.

For the prevention of water damage, it is, of course, best to avoid storing records under water pipes, steam pipes, lavatories, air-conditioning equipment, etc. Materials should be stored at least four inches off the floor. If collections must be stored in areas where they are vulnerable to flooding, water-sensing alarms should be installed.

If there should be water damage, it is best to rescue photographs, microfilm, and any materials with coated paper first. Some individual should have responsibility for insuring the availability of water vacuums, fans, plastic crates, paper towels, sponges and rags, permanent marker, freezer paper, twine, etc. If large quantities of very wet material are involved, they should be packed in plastic crates and sent to a freezer or dry freezer; a master list of what goes out of the building should be maintained. If materials are not frozen, mold may set in within 48 to 72 hours. Every effort should be made to spread and dry materials as soon as possible.

Wet books or pamphlets should be treated in the following ways:
- if partially wet - stand them up, fan out pages; have fans blowing
- if fully wet - interleave every 10th page with paper towels
- if soaking wet - stand up, slanting toward spine,; first interleave with paper towels, then fan out pages
- if the book has coated paper - essential to separate every page while still wet.

Wet documents should be removed from their folders and spread out as much as possible to hasten the drying process.

6.
PROMOTING THE USE OF RECORDS
Reference & Outreach

A REPOSITORY GUIDE

An important first step in promoting the use of records is the preparation of a repository web site. The YDSL Special Collections web site (http://web.library.yale.edu/divinity/special-collections) provides a brief explanation of the collecting foci of the repository, listings of the record groups available, and information for researchers.

PUBLICITY BROCHURES

Brochures that describe certain sections of the larger collection or are oriented toward potential donors are also useful. Distributable brochures and broadsides help to publicize the holdings of the repository and attract other collections.

FINDING AIDS ON THE WEB

The advent of word-processing, the Internet, and electronic databases have had a tremendous impact on the dispersion of information about archival and manuscript collections. In the pre-computer age, the availability of a collection in a repository was known by word of mouth, by citations in published works, by cards in local library catalogs, or through the cumbersome *National Union Catalog of Manuscript Collections*. Now, information about the holdings of many repositories is available on a nationwide basis through the RLIN and OCLC networks.

On a repository level, the inclusion of collection catalog records in a library's online catalog serves to direct patrons to primary sources, which might otherwise be ignored. Linking to the full text of the finding aids you create allows researchers to keyword search them for relevant names and terms. The finding aid can be presented in HTML form, as a word-processed or PDF file, or via a more sophisticated XML delivery system.

> *At YDSL:* Finding aids to our collections can be accessed in three ways: 1) via links in the listings on our Special Collections web site 2) via links in the catalog records for the collections in our OPAC , and 3) via a University-wide indexing database that makes it possible to keyword search all the finding aids at one time: https://archives.yale.edu/ .

EXHIBITS AND OUTREACH PROGRAMS

Exhibits that include documents, photographs, and artifacts from a repository's holdings are useful publicity tools, especially if a brochure or catalog describing the exhibit can be prepared for distribution. Good exhibits are time-consuming to prepare, but it is time well spent if the exhibit brings valuable holdings to light and provides an opportunity for the archivist to delve into

collections.

Exhibits should be mounted in secure, dust-free display cases and should not stay in place for more than two or three months because of potential damage to documents from ambient light. As is the case with most aspects of an archives program, many articles and manuals have been written about the preparation of exhibits, providing a wealth of valuable and practical information.

Repositories can also draw attention to their manuscript and archival holdings through orientation tours, seminar series, journal publications, and so on. Having an "archives" column in a regular institutional publication is a useful way to publicize new or interesting collections.

Appendix A

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

Statement of Goals

The Special Collections department of the Yale University Divinity School Library will collect, organize, and make accessible manuscript and archival records, for the purposes of scholarly research. The head of the Special Collections department will oversee the library's rare book and pamphlet collections. Special Collections staff will assist patrons in formulating research strategies that bring to light relevant materials in the Library's manuscript, archival, pamphlet, periodical, and monograph collections.

The Special Collections department historically has focused its collecting of archival and manuscript resources on the following categories:
1. Records of Protestant Christian missionary activities overseas.
2. Records of Protestant Christian religious work among college and university students.
3. Personal papers of American clergy, evangelists, and religious leaders, particularly those involved in missions, ecumenical work, or student work, those from the New England area, and those of Congregational background.
4. Personal papers of Yale Divinity School faculty, deans, and prominent alumni.
The department will continue to focus on these categories while remaining open to their redefinition according to the evolving needs of researchers and the availability of resources.

The Special Collections department will attempt to supplement its holdings of original manuscripts and records in these areas by the acquisition of microform copies of holdings in other repositories.

The Special Collections department will make information about its holdings accessible through participation in a nationwide information network, interactions with Yale faculty members and with scholarly societies, the preparation of exhibits, and the publication of broadsides and articles.

Yale Divinity Library Special Collections

**Application for Permission to Examine Manuscript Material
& Box Request Form**

Many of the Yale Divinity Library's manuscript and archival holdings are shelved at the off-campus Library Shelving Facility. Please complete and submit this form at least one business day before you wish to view the materials.

1. Application for permission to examine manuscript material:
I hereby request permission to examine manuscript material in the Yale Divinity School Library. If permission is granted, I agree to comply with the Library's terms governing use of such materials, including the requirement that Yale University Library manuscripts may not be published in whole or in part unless such publication is specifically authorized.
☐ I have read and agree to the terms governing use of manuscript and archival material at the Yale Divinity Library.

Today's date:

Name: Email address:

Scope and purpose of your research:

If this is the first request form you have submitted since July 1, 2009, please provide the following information:
Permanent home address and phone number:

Institutional affiliation and academic status:

Your application for permission to examine manuscript material will be examined by the Divinity Library Special Collections staff. Should there be any reason to deny permission, you will be notified; otherwise you can assume that the material will be made available as requested.

2. Box request form:
Please use the online finding aids to identify the material you would like to examine and enter the following information in order to have it retrieved to the Yale Divinity Library Special Collections Reading Room. If you want material from more than two record groups, please submit additional forms. Please note that we do not want to know folder numbers; only whole boxes are retrieved. If you have any question about the relevance of the material you are requesting for your area of research, please contact Martha Smalley, Divinity Library Special Collections Librarian.
A total of ten boxes can be in use by a researcher at any one time.

Record group number: Record group number:

Record group name: Record group name:

Box numbers requested: Box numbers requested:

Date needed:
Boxes will be held in the Divinity Library Special Collections Reading Room for three days following this date. Please call 203 432-5301 or email Joan Duffy if you are unable to come use the material within that time period.

Submit your request. (SEND) (CLEAR)

Appendix C

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

TERMS GOVERNING USE OF HOLDINGS
Upon application, Special Collections grants permission to examine its holdings to qualified researchers, according to University Policies on Access and subject to whatever restrictions may have been placed by donors or depositors. We will not grant exclusive rights to examine holdings.

Social Security Numbers
Holdings may contain Social Security numbers. The reader must agree not to record, reproduce, or disclose any Social Security numbers that may be included in requested materials. Failure to comply with this agreement may result in the loss of research privileges at Yale University.

Reproduction
The department will consider requests for the reproduction of its holdings. All reproductions (of whatever nature) are provided for the reader's individual use. We reserve the right to request the return of copies and prohibit the making of duplicate copies from those we furnish.

Publication
By granting permission to examine holdings or by supplying a reproduction, we are not authorizing publication. The reader must obtain permission to publish texts and facsimiles from the owners of the copyright, typically the creator or the heirs to his or her estate. The Library will be held blameless for the infringement of copyright or of publication rights held by others.

Special Collections can only grant permission to publish texts or images for which Yale University is the copyright holder. We reserve the right to assess a use fee when granting permission to publish materials for which the University does hold copyright. In giving permission to publish, the Yale University Library does not surrender its own right thereafter to publish the material or to grant permission to others to publish it.

Researchers publishing texts or facsimiles from our holdings should cite Special Collections, Yale Divinity School Library as the source. As soon as a work is published, the researcher should present Special Collections with a copy of any publication (except a dissertation) that relies heavily on the department's holdings.

READING ROOM PROCEDURES FOR PATRONS:
These procedures are intended to provide equitable access to Collection materials in a manner that ensures their preservation. While working in the Special Collections Reading Room, please adhere to directions given by the Reading Room staff and observe the following:

1. Only registered Readers may have access to Special Collections material. Registered

Readers will leave a picture ID with Special Collections staff and sign the Special Collections guest book each day before beginning any research.

2. Registered Readers are required to leave <u>all</u> personal property in the area designated for that purpose.
3. With permission of the archivist, Readers may bring materials for reference into the Reading Room.
4. Registered Readers must not use pens or indelible pencils, or bring note pads or other personal papers into the reading room. We permit the use of loose note cards up to 5″ x 8″, laptops, cameras, and tape recorders for note taking. Any carrying cases must be left in the area designated for Readers' personal property.
5. Aside from the materials located on open stacks in the Reading Room, all materials must be paged for researchers by the Special Collections staff.
6. Readers will submit a call slip for all archival and restricted circulation materials.
7. Readers may select any open seat in the Reading Room, but at the discretion of the staff, some materials must be used at the reading table closest to the Special Collections staff area.
8. Readers may have one box or volume at their reading table at a time. Up to ten boxes or volumes will be held for the Reader in the Special Collections staff area.
9. Because materials are unique and can be fragile, Readers must handle them with great care. They may remove only one folder from a box at a time and they must maintain the original order of the folders in the box and materials in the folder. If materials appear to be misfiled or if there are other questions about the proper handling of materials, please consult a staff member. Materials may not be removed from folders for any reason. No marks may be added or erased, and no tracing or rubbing is permitted. Food and drink are prohibited in the reading room.
10. Collection materials are non-circulating and may not be removed from the Reading Room for any reason without prior authorization.
11. Readers should rewind any microfilm or audio or videotapes used before returning them to their cases.
12. When Readers are finished with items, they should return them to the Special Collection staff, who will inspect them. If a Reader plans to return to continue using the material, s/he may ask that the item be held for a limited period of time.
13. As a courtesy to other Readers, please refrain from loud conversations or transcribing and turn the ring off cell phones. Readers must leave the Reading Room to make or receive telephone calls.
14. Readers needing reproductions of manuscript and restricted circulation materials should speak with the Special Collections staff. We reserve the right to refuse to reproduce an item when such reproduction might cause injury to it or when donor or copyright holder restrictions apply.
15. Registered Readers leaving the reading room must show the Special Collection staff laptops, notes or any other materials they are taking with them. We reserve the right to search any notes or belongings.
16. Registered Readers must sign out in the Special Collection guest book when they leave for the day.

Appendix D

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

CALL SLIP

Reader's name _____

Date: _____

Record Group	Box	*Received*	*Returned*	*Hold until*

Appendix E

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

Application to Publish Manuscript Material

Name (please print)_____ Date_____

Address_____

_____ Phone_____

In accordance with the requirements of the Yale Divinity School Library, I hereby request authorization to publish the following manuscript material in the Yale Divinity School Library collection. (Identify the collection or collections and describe the material precisely.)

Bibliographical information on planned publication:

***********************DO NOT WRITE BELOW HERE***********************

In authorizing publication of this material Yale Divinity School Library does not remove the author's and publisher's responsibility to guard against the infringement of rights that may be held by others.

Request approved_____

Signature_____ Date_____

Appendix F

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

Application to Publish Facsimile Reproductions

Name (please print)_____ Date_____

Address_____

_____ Phone_____

In accordance with the requirements of the Yale Divinity School Library, I hereby request authorization to publish in facsimile reproduction the following material in the Library collection. (Identify the collection or collections and separately describe each item to be reproduced.)

Bibliographical information on planned publication:

Signature_____ Fee enclosed* $_____

*See following page for fees and terms

Send this request together with the fee to: ***Special Collections***
                                                        Yale Divinity School Library
                                                        409 Prospect Street
                                                        New Haven, CT 06511

************************DO NOT WRITE BELOW HERE************************

The Yale Divinity School Library hereby authorizes you to publish in facsimile reproduction the material identified above. In authorizing the publication of this material, Yale University does not surrender its own right to publish it, or to grant permission to others to do so. Nor does this authorization by Yale University remove the author's and publisher's responsibility to guard against the infringement of rights that may be held by others.

** Each facsimile reproduction must carry the following credit line: **

"Special Collections, Yale Divinity School Library. _____ Papers, Record Group No. _____"

Signature_____ Date_____

Appendix G

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

Faculty Papers Checklist

1. Correspondence:

We welcome correspondence which sheds light on a faculty member's academic career, development of thought, participation in noteworthy projects, committees, and conferences. General and family correspondence of primarily biographical interest will also be welcomed in certain circumstances. Letters of reference for students and colleagues present particular problems but are sometimes of value in documenting a faculty member's activities. Please consult with the Curator of Special Collections regarding these borderline materials.

2. Writings:

We welcome any published or unpublished writings of a faculty member.

3. Course-related material:

We welcome lecture notes, syllabi, handouts, etc. which document courses taught at Yale. Representative noteworthy student papers are acceptable.

4. Collected material:

a. Offprints of articles by colleagues are generally not needed. Exceptions would be articles from periodicals not held at Yale.

b. Reports, minutes, and other documentation from noteworthy projects, committees, and conferences in which a faculty member has participated are welcomed. We are particularly interested in materials relating to the Yale Divinity School, the ecumenical movement, student Christian work, and world Christianity.

c. Any documentation of life at the Divinity School is welcomed, including photographs.

5. Biographical documentation, including *curriculum vitae*, journals, diaries, documentation of honors and awards, special lectureships, etc. is welcomed.

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

Information for accession record

Accession date _____

Name of collection _____

Related to another collection? _____

Record group number _____

Quantity _____

Method of acquisition _____
   If purchased - price: _____

Donor information:
   Name: _____
   Postal address: _____
   Email address: _____
   Telephone:_____

Acknowledged? _____
Deed of Gift signed? _____
Status of literary rights _____
Completion date indicated to donor? _____

COMMENTS:
_____
_____
_____

Current location of material
_____

Appendix I

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

GIFT OF PAPERS
OF

_____

TO THE
YALE DIVINITY SCHOOL LIBRARY, NEW HAVEN, CONNECTICUT

I,_____, (hereinafter referred to as the Donor), hereby give, donate, and convey to the Yale Divinity School Library at Yale University for administration therein by the authorities thereof, material as listed and described in the appendix thereunto attached. The gift of these papers and other materials and of papers and materials that I may from time to time send to the Yale Divinity School Library in the future is made subject to the following terms and conditions:

1. Title to the papers and other materials transferred hereunder will pass to Yale University as of the date of signing of this instrument.

2. It is the Donor's wish that the papers and other materials donated to the Yale Divinity School Library by the terms of this instrument be made available for research in the Yale Divinity School Library as soon as they have been received, arranged, and cataloged. The papers shall be made available for research purposes in accordance with the regulations and policies of the Yale Divinity School Library governing the use of manuscript materials for research purposes.

3. Select one:

    _____   The Donor retains to her/himself during her/his lifetime all literary and other property rights to the unpublished writings in the papers (including letters) and other materials donated to the Yale Divinity School Library by the terms of this instrument, following which these literary rights will become the property of the Yale Divinity School Library.

    OR

    _____   The Donor transfers all literary and other property rights to the unpublished writings in the papers (including letters) and other materials donated to the Yale Divinity School Library by the terms of this instrument

Signed _____   Date _____

Accepted _____   Date _____

Appendix J

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

AGREEMENT WITH ORGANIZATION

In consideration for the gifts of others, __(the organization)_____ grants to Yale University, a corporation existing under the laws of the State of Connecticut and located in the Town and County of New Haven and State of Connecticut and hereinafter called the "University," both ownership and possession of such of its archives as _____ transfers to the "University."

The "University" agrees to hold these materials intact in the Divinity School Library except for items in these archives that are duplicates of items in the "University" collections. The "University" agrees to deposit with _____ such registers and finding guides to the material as it prepares and will provide document-retrieval service for officers and staff members of _____ and to other persons recommended by _____.

_____ agrees to send to the "University" from time to time such reports and documents as will augment the archives.

The "University" agrees to grant access to these archives, including limited copying permission, to qualified scholars and researchers. The "University" agrees to seek approval from _____ for proposals to publish <u>in extenso</u> materials from the archive.

The "University" agrees that in the event it decides that it is unwilling or unable to hold these archives for any reason, it will first offer them to _____. Should _____ decline to accept these archives, the "University" will be free to dispose of them in any manner it chooses.

YALE UNIVERSITY   (the organization)

_____   _____
(   )   (   )
Librarian of Yale Divinity School   (president)

Date: _____   Date: _____

Appendix K

YALE UNIVERSITY DIVINITY SCHOOL LIBRARY
Special Collections

Checklist of Records

Type of record	Format	Current location	Dates covered
Legal documents			
Annual reports			
Board minutes			
Minutes of committee meetings			
Committee or task force reports			
Property records			
Budgets and audits			
Financial ledgers			
Routine correspondence			
Newsletters			
Programs from events			
Personnel files			
Publicity brochures			
Photographs			

Appendix L

Further guidelines on arrangement and description

Thickness of folders: Contents should generally be no more than 1/4 to 1/2 inch thick, depending on the kinds of material. A good rule of thumb is to include no more material in a folder than can be reasonably handled by a researcher without disturbing the original order of the folder. When there is a sufficient quantity of materials one should "square" the bottom of the folder along the fold lines so that it will stand flat in the box and not bend.

Boxes and folders: Archival document cases and folders come in letter, legal, and portfolio sizes. Do not fold long items to fit them into letter-sized folders. Some repositories use primarily legal-sized folders and boxes in order to avoid having to switch between folder/box sizes when documents are too large to fit in letter-sized folders. It is also acceptable to use letter-sized boxes and then switch to legal-sized as necessary. Portfolio-sized folders can be purchased or created by stapling together smaller folders. Oversize document cases in a variety of sizes are available from vendors.

Items to be repaired: Important items should be repaired by someone skilled in the process. Less important items, not worth the cost of repair, should be enclosed in mylar or bond paper. Deteriorating items that are valuable only for their content can be replaced by photocopies made on acid-free paper. Transparent (e.g., Scotch) tape should never be used because it deteriorates rapidly and may permanently damage the manuscript. Archival repair tape can be purchased and used.

Abbreviations: The months of the year generally are abbreviated as follows:

Jan	Apr	Jul	Oct
Feb	May	Aug	Nov
Mar	Jun	Sep	Dec

Dates written: 1991 Sep 10

Some additional abbreviations:
 n.d. - no date   n.y. -no year   n.m.- no month
 NB: Technically abbreviations are not allowed by the *Describing Archives, A Content Standard* (http://www.archivists.org/governance/standards/dacs.asp)

Alphabetical arrangement: The most important and significant part of a name should appear first in the folder description. Examples:

 New Haven, Mayor of   *Not:* Mayor of New Haven
 Missionary Society of Connecticut   *Not:* Connecticut, Missionary Society of
 Yale University, Religious Studies Dept. *Not:* Religious Studies Department, Yale University

Names beginning with "Mc" (e.g.,McLean) are filed alphabetically under "Mac"; names beginning with "St." (e.g., Susan St. John) are filed under "Saint."

Dating folders: Dates are printed in the upper right hand corner of each folder. For a folder containing materials representing only a few years, each year may be listed. If a span of years is represented, the inclusive dates may be used. One may also use parentheses to indicate the years of greatest concentration in a long span of material. Examples:
 Gray, Vincent J.1913,1923,1930, n.d.
 Morgan, Andrew   1920-1933

Cross-references and corporate entries: A recurring problem is whether to file correspondence under the author's name or under a corporate name (institution, company, organization, etc.). Generally, in cases where the author is obviously writing as a low-level representative of an organization, you may file under the corporate name without any reference to the personal name. But if the low-level representative later becomes executive director of the organization, the personal name should take precedence. Quite frequently, personal letters are written on stationery bearing an organization's letterhead. Generally, these letters should be filed under the author's name, perhaps with a notation about the organization and the author's position in it. Example:
 Collins, Stephen, secretary of the United Bible Society

If, however, the author writes as an official of an organization, you may decide to file the letters under the corporate name and make a cross-reference from the author's name to the corporate entry. Example:
 Wilder, Robert P. See: Near East Christian Council

Such cross-references should be noted on "cross-reference sheets" in the appropriate place in the box. The cross-reference sheets will be removed when the folder description is entered into the computer in preparing the register or finding aid. Cross-references can be used liberally to alert researchers to connections between individuals and organizations.

If a letter is signed by two individuals it may be most appropriate to make a photocopy of the letter and file the original under the first author and the copy under the second.

Family relationships, nicknames, and identical names: Family relationships may be delineated whenever such information may be helpful to the researcher. Example:
 Johnson, Carolyn (cousin)

Nicknames, especially those used among members of a family, should be noted in the series description or introduction to the collection.
In cases in which two persons have identical names, include birth and death dates to order to distinguish them. Always file the elder person first.

Names of married women: Generally the correspondence of married women, even the letters they received before they were married, is filed under their married name, with their maiden name in parentheses. Example:
 Graham, Katherine (Walker)

If it seems more appropriate to file materials under both the married name and the maiden name, a cross-reference is in order. Example:
 Walker, Katherine See also: Katherine Graham.

If a woman has gained fame or notoriety using a particular name, whether her maiden name, a pen name, or a former married name, use the famous name. Example:
 Koch, Adrienne (Mrs. Lawrence Keegan)
 Eliot, George (née Mary Ann Evans)

Appendix M

Guidelines for Managing Electronic Records

The management of electronic records is a very complicated subject, but these are a few guidelines to keep in mind.
1. Electronic records are just as much records as paper records, so don't think that you can ignore them.
2. Although it may be tempting to throw up your hands in despair, remember that it is always better to do something about electronic records rather than to do nothing.
3. The same kind of archival principles that apply to paper records also apply to electronic ones.
4. Early intervention is very important; try to be in communication with the creators of the records while they are still in the process of making them.
5. Electronic records are high maintenance, so you may want to keep fewer of them: appraise ruthlessly.
6. If offices or individuals want to save electronic records in your archives, you should require that they provide the files in specified acceptable file formats, in acceptable media formats, via acceptable transfer methods, and that they provide adequate documentation for the files.
7. "Processing" electronic records entails verifying that the records can be opened and making copies of everything. Ideally you should have three copies: a use copy that you make available to users, a master copy that you protect absolutely and maintain offline so that it is difficult to access, and a backup copy that you keep offsite.
8. Description of electronic records should largely be in place when they are first accessioned. The same kind of administrative or personal histories, series descriptions, etc. that apply to paper records also apply to electronic records. Try to get the creators of the records to provide the necessary documentation.
9. Preservation of electronic records requires a proactive stance. If we do nothing to preserve electronic records, the records will become unusable due to hardware, software, platform, and media obsolescence.
10. Preservation strategies include:
    a. Migration
    b. Normalization
    c. Emulation
    d. Conversion to hardcopy
11. Migration means taking a file in a certain format and moving it to a newer version of the format, moving forward continually in order to keep pace with emerging technologies. This is a common solution and can be implemented easily. However, it is time-consuming and labor intensive. Quality control must be instituted to ensure the viability of records over time.
12. Normalization means conversion to formats that have been designed for archival preservation such as:
    a. For text: PDF/A (Portable Document Format Archive); ASCII, Unicode, XML
    b. For image files: TIFF or JPEG 2000.

          c.   For audio files: AIFF or WAV

13. Emulation allows one technology to imitate another. This is complicated and expensive to implement but may be an important solution in the future if corporations or governments get behind it and create standard systems.

14. Conversion to hardcopy may still be the best solution for relatively small amounts of documentation for which searchability is not crucial. The future may bring wider implementation of *COM - computer output microfilm -* which is a process for copying and printing data onto microfilm from electronic media found on computers.

15. Email is a particularly tricky preservation problem because the various formats and file structures that people use. Here are some tips re. saving emails:

          a.   Appraise ruthlessly. For organizational archives, identify those few offices or individuals that create archival email and work with them to figure out a process for segregating the wheat from the chaff.

          b.   Save important emails in textual form. In Microsoft Outlook, for example, it is possible to save a whole section of messages as PDF.

          c.   Systems that utilize XML schemas to preserve email are being developed. See http://www.siarchives.si.edu/cerp/ for example. It is likely that some standardized methods will emerge in the not too distant future.