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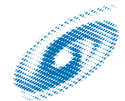
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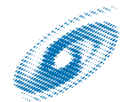
SI 580 Understanding Records and Archives: Principles and Practices

Week 8 - Core Archival and Records
Management Functions:
Part Two



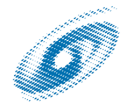
Key Concepts

- Physical control
- Intellectual control
- Administrative control



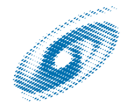
Accessioning

- Accessioning -- the process of gaining physical, administrative, and minimal intellectual control over records
- Involves physical and legal transfer of custody of records



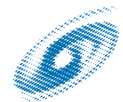
Physical transfer

- usually based on an initial inventory of records; prepared as a records management activity or for appraisal
- requires careful supervision to retain the original order and as check for completeness of records transferred
- initial descriptive information establishes basic administrative control and rudimentary access



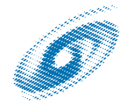
Legal transfer

- Transfer of ownership
- Transfer of authority and responsibility
 - access
 - privacy & confidentiality
 - security



Transfer instruments

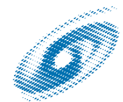
- Institutional / Government archives
 - disposition schedules
 - transfer agreement
- Collecting archives
 - donor agreements
 - deeds of gift



Transfer of legal and physical custody are often synonymous...

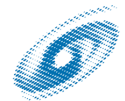
...but there are exceptions:

- records placed on deposit
- non-custodial arrangements



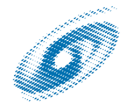
Administrative issues

- authority to process (weed, reorganize, reformat)
- preservation needs v. capabilities
- access restrictions
- reproduction rights
- access to unprocessed materials



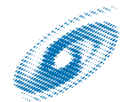
Physical control

- managing the physical integrity of records
- maintaining the original order of records
- identifying materials needing immediate treatment



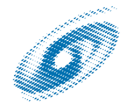
Intellectual control

- compiling information about the materials from donors or creating agency
- compiling an initial inventory of the materials



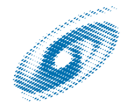
Arrangement

- intellectual and physical process of putting archives & records into order in accordance with accepted archival principles, particularly...provenance and original order. (Ellis)
- work from general to specific
- distinguish between physical arrangement and intellectual arrangement (arranging boxes v. manipulating information about records)



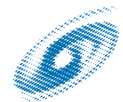
Physical control

- organization of fonds, collections, record groups into series
- establishing order (arrangement) within series
- re-housing material
- weeding, elimination, separation of duplicates & non-archival material
- separation of special formats



Intellectual control

- Physical inventory of collections
 - series level
 - box and folder level
 - item level (uncommon)



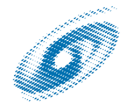
Levels of Arrangement

■ Holmes (1964)

1. Repository
2. Record Group/Manuscript Collection (& Sub-Groups, etc.)
3. Series (& Sub-Series, etc.)
4. File Unit
5. Item

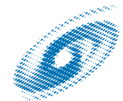
■ Miller (1990)

1. Repository
2. Provenance
3. Filing Structure
4. Filing Unit



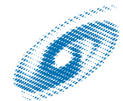
Arrangement and archival administration

- why is arrangement necessary?
 - establish original order
 - establish coherent order when original order has been lost
 - improve access
 - identify and deal with preservation problems



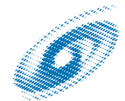
Description - definition

- Process of capturing, collating, analyzing, controlling, exchanging, and providing access to information about:
 - origin, context, and provenance of different sets of records
 - filing structure
 - form and content
 - relationships with other records
 - ways in which they can be found and used (Miller 1990)



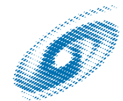
Description - overview

- Process:
 - analysis, identification, organization
- Purpose:
 - control, access, retrieval
- Products:
 - finding aids



Levels of description

- Repository
- Fonds / Records Group / Collection
- Series
- Filing Unit
- Item



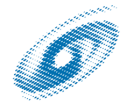
Descriptive Tools (aka finding aids)

■ Internal Tools

- Accessioning Documentation
- Creator-Supplied Finding Aids
- Inventories
- Series-Record Creator Linking Systems
- Indexes and Catalogs

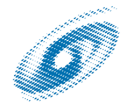
■ External Tools

- Guides
- Summary Collective Descriptions
- Specialized Descriptions
- Websites



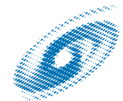
Descriptive elements

- title
- administrative / personal / family history
- scope and content note
- series descriptions
- administrative information



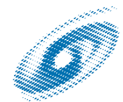
Series descriptions

- title
- inclusive dates
- quantity
- scope and content note
- physical characteristics
- arrangement
- inventory at box or folder level for each series
- related series



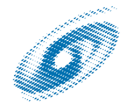
Administrative information

- name and location of repository
- control number
- access conditions
- processing notes
- other administrative notes



Descriptive standards

- Machine Readable Cataloging - MARC format for catalog records
- Encoded Archival Description - EAD for finding aids
- Describing Archives: A Content Standard - DACS
- Various data value standards

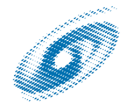


Standards for catalog records

- MARC:AMC - standard for structuring descriptive elements for archival materials and providing additional access points
- APPM (archives, personal papers, and manuscripts) - rules governing the content of fields in MARC format.
 - Superseded by -->
- DACS (Describing Archives: A Content Standard)

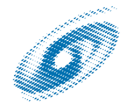
DACS: <http://www.archivists.org/catalog/pubDetail.asp?objectID=1279>

Workshop: <http://www.archivists.org/prof-education/workshop-detail.asp?id=2023>



Describing Archives: A Content Standard (DACCS)

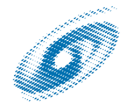
- “Used to create any type and/or level of description of archival and manuscript material, including catalog records and full finding aids.”
- “These systems can be of any type, ranging from simple paper-based files to complex digital information management systems. The output products of these systems—archival descriptions of all kinds and formats, printed on paper or encoded in EAD or MARC...”
- Three parts:
 - 1. Describing archival materials
 - 2. Describing Creators
 - 3. Forms of Names
- Defines 25 elements for creating descriptive systems: both single and multilevel.



Encoded Archival Description (EAD)

- convention for structuring archival finding aids and using SGML/XML to distinguish different structural parts of the finding aids to enhance search and retrieval
- purpose:
 - online delivery of finding aids
 - cross-collection searching of finding aids
 - cross-repository searching

See EAD Sources on CTools



Thank you!

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