Beinecke Rare Book and Manuscript Library
Archival Processing Manual
(Draft, 2009)

Chapter I. Introduction

Welcome to the Archival Processing Manual for the Manuscript Unit of the Beinecke Rare Book and Manuscript Library. This manual records policies and procedures for processing manuscript collections at Beinecke and thereby serves as a training guide for new staff as well as an ongoing resource for all staff. It has been developed by Manuscript Unit archivists in accordance with national standards and reflects how these standards inform local practice. That said, the manual does not stand alone; it should be used in conjunction with published professional standards and manuals and especially in conjunction with guidance and advice from one's supervisor and colleagues at Beinecke. The manual is also a living document, subject to ongoing development.

In addition to providing overall instruction and guidance for processors of manuscript collections, the Processing Manual also provides some information about the library's accessioning, shelving, classification, and other record-keeping practices, past and present, that may be useful to processing archivists.

The primary goal of processing collections at the Beinecke (as in all archives) is to make collections more accessible by arranging them so that they can be retrieved and used with relative ease; to describe them to facilitate discovery and provide contextual information that aids researchers and staff in understanding and interpreting the materials; and to preserve the materials over the long term. All of these activities combine to facilitate access to collections by researchers.

The overall processing goal of the Manuscript Unit is to do a baseline level of work on all collections and to do more extensive work on our most important holdings as time and resources permit. At a minimum, this means that the unit must employ practices and techniques that allow it to keep up with the rate of current acquisitions. Collections are processed to a variety of levels, depending on the work necessary to make them usable, their perceived research value, the availability of staff, and competing priorities. When planning and carrying out a processing project, it is each archivist's professional responsibility to determine the appropriate level to which the collection should be processed, in consultation with supervisors and curators.

The Manuscript Unit's responsibility is to work through collections quickly to make them available for research as soon as possible. While processing can and should be interesting and intellectually rewarding, the archivist must always keep in mind the unit's overall processing goals when planning his or her work on a collection. Time spent on highly detailed processing of one collection is time that could have been spent providing less detailed access to several collections, and thereby raising the level of access to Beinecke's collections generally.

Processing should be a collaborative effort, in which the archivist draws upon the knowledge and skills of other archivists, supervisors, curators, archives assistants, student assistants, and others who can make positive contributions to this activity. We welcome input into our work by other staff members at Beinecke and Yale as well as the broader archival profession.

Chapter II. Getting Started: Overview of Processing Workflow and the Processing Proposal

INTRODUCTION:

The purpose of this chapter is to provide a broad overview of the Manuscript Unit's processing workflow, philosophy, and practices, in order to prepare the archivist to begin work on a collection. It contains guidelines for locating information about collections and for creating a processing proposal. The processing proposal is a memo to the archivist's supervisor and the curator that reports what s/he has learned from researching and surveying the collection, proposes a processing level or levels and a series structure, and outlines the work necessary to carry out the proposed plan. A detailed summary of what the processing proposal should contain can be found at the end of this chapter.

2.1 SUMMARY OF STAGES IN ARCHIVAL PROCESSING

1. Manuscript Unit Head and/or Assistant Unit Head, in consultation with curators and others, selects the collection to be processed and assigns it to a processing archivist. It is the Unit's goal to assign these collections up to two years in advance to provide ample notice to researchers of collections that will be closed during processing in the Unit's off-site facility.

2. Once the collection is assigned, the archivist or archives assistant adds a standard 506 Access Restriction note to the preliminary Orbis record (or creates the Orbis record if one doesn't already exist) to alert Access Services staff and others to the fact that the collection is or will soon be in process:

   > 506 In-Process Collection. Research use may require advance notice. Contact the Access Services department for further information.
   >
   > --or, if the collection is to be processed off site:
   >
   > 506 In-process collection. As of [month year], this collection [is/will be] closed to readers temporarily, and will reopen when processing is complete. For more information, please consult the Closed Collections Schedule on the Beinecke Web site, at www.library.yale.edu/beinecke.

   The archivist also notifies the archives assistant appropriate to their location that the collection is in process, and provides printouts of all relevant ACQ database records. The archives assistant will update the call number (BCN) from the Uncat # to read BCN Mssu plus the processing archivist's last name: e.g., BCN Mssu (Smith), and add the standard closed collection notice if the collection is to be processed off site. Also, if the collection is to be processed off site, the archivist is responsible for affixing transfer flags to the boxes in the stacks.

3. The archivist establishes a Processing File for the collection. This will include documentation from the Manuscript Unit and curatorial files, accession records, preliminary lists, cards in the manuscript card catalog, collection surveys if any,

The Yale Library Gazette, and other locally-published sources (guides, exhibit catalogs, etc.), additional notes compiled from discussions with the curator and Manuscript Unit Head or Assistant Head, and other basic historical or biographical data relating to the collection. Remember to check OCLC to locate any related material held elsewhere.

NOTE: Useful information may be photocopied from the various source files; however, the originals must be left in the file of origin. Before spending too much time copying the preliminary lists from accession and other files, check the collection itself. Duplicates often are filed there as well, and may contain additional annotations or other information.

4. All component parts of the collection should be located in order to survey it. It is crucial that extreme care be taken to find all material that is to be processed, especially when dealing with collections that have been held by the library for a long time. The Survey Checklist should be used to ensure that all the likely files are checked.

5. If the collection will be transferred to the off-site processing facility, the archivist also enters each accession/call number into the transfer log for the appropriate month, and notes whether any material needs special attention during packing. In most cases, a detailed survey of the contents of the collection is not easily done until the collection arrives in the processing space.

6. The archivist surveys the collection, conducting a broad analysis of the contents, condition, and existing arrangement of the collection.

7. Having surveyed the collection, the archivist prepares a processing proposal, which outlines strategies for arranging and describing the material. This proposal serves as the basis for a discussion with the archivist's supervisor and the curator, who may be able to note additional information that is important or useful, and to suggest alternative strategies. Following this discussion, the draft processing proposal is then revised, as needed.

8. The collection is processed and the finding aid drafted by the archivist. Regular discussions are held between the archivist, the archivist's supervisor and the curator to monitor overall progress of the project and to resolve any questions or problems that arise; significant changes in processing strategy should be discussed before they are implemented. The Unit Head/Assistant Head and the curator also should always be informed of any particularly important or unusual materials discovered in the course of processing.

9. When necessary (for large or particularly complex collections), a draft box and folder list (including Table of Contents and printout using the Headings stylesheet) is submitted to the Manuscript Unit Head or Assistant Head for preliminary review and discussion. When revisions are complete, narrative portions of the finding aid are drafted. This draft finding aid is submitted to the Manuscript Unit Head or Assistant Head for review. Once revised, the draft is submitted to the curator for review and discussion. Revision continues until the

finding aid receives final approval from the Manuscript Unit Head or Assistant Head and the curator.

10. Once the overall text of the finding aid has been finalized, the call number is assigned and any other final work on the collection (such as final housing for oversize and other non-standard materials and preservation photocopying) is completed. Only then can the final box and folder numbers be assigned and the labels printed and affixed.

11. Once the folders and boxes have been labeled the finding aid is added to the finding aids database; the collection is shelved; and the Orbis record for the collection is updated, re-exported, and linked to the finding aid. Note: if the collection is shelved before the finding aid is complete or available online, the archivist must provide a draft paper copy for use by researchers until the final version is available.

12. The archivist publicizes the completion of processing the collection. While the addition of new finding aids to the database is announced to Beinecke staff on a regular basis, it is helpful for staff and researchers to learn in a bit more depth about improvements to access. When a collection was heavily used in its unprocessed state, the archivist might make a presentation to Access Services staff. Other ways to get the word out include scheduling a “coffee talk” in the lounge for all interested Beinecke staff, and posting to one of the Beinecke subject-area blogs, among other means. These communications should include, at minimum, brief biographical information, a summary of the collection’s research strengths, and some interesting highlights.

Additional remaining post-processing tasks are listed in the Processing Checklist, which should be used to make sure that all steps are completed, and in Chapter 9. After Processing. Also, the archivist should thoroughly clean his or her work area to make sure that no collection material has been overlooked. Boxes and folders that formerly housed the completed collection, if retained for re-use, should be stripped or erased of all labeling and placed in the appropriate storage location.

2.2 COLLECTION SURVEY

2.2.1 General Notes

The archivist undertakes a survey of the collection itself and the library’s administrative files in order to locate all components of a collection, as materials may have come in different accessions or been separated over the years due to past policies. Surveying the collection enables the archivist to develop a good overall processing strategy and to identify potential difficulties in carrying it out.

The survey draws on:

- preliminary discussions with the curator, Manuscript Unit Head or Assistant Head, and other staff as needed
- direct examination of the collection
- review of accession records and related administrative files (e.g., accession files; Access Services files; curatorial files; Manuscript Unit files)
    - For a description of these files, see: Overview of Sources of Information about Collections
    - NOTE: For collections acquired before Beinecke opened (1963), the archivist may also need to consult Yale Librarian files in the University Archives (Manuscripts and Archives, Sterling Library; Yale Record Group number [###]) to obtain useful background information. This is useful if Beinecke's files are skimpy, as it's likely to pay off and save time and trouble understanding the history of the collection
- review of any pre-existing lists or finding aids, including cards in the manuscript catalog (be sure to check both sides of cards, as provenance information and other data is often recorded on the verso), paper lists prepared by donors, dealers, etc.
- preliminary background research in relevant biographical, bibliographical, and other information sources. This includes checking national and international union catalogs and databases for related holdings.

2.2.2 Useful Tips for Locating Component Parts of a Collection

As mentioned earlier, it is essential that the archivist properly identifies and locates all material related by provenance or acquired for a particular collection before starting processing. Locating all the component parts of a Beinecke collection, however, isn't always easy:

- Beinecke acquires and accessions many collections (especially papers of living individuals) in increments, over a period of years, and creates individual accession records for component parts of a single archive. Accessioning practices have varied over the years and records may be more or less complete. Also, the various increments usually are not shelved in a single location under a single call number.
- Manuscript groups obtained as a unit are sometimes accessioned in several increments, either because: a) the group didn't reflect a conscious "collecting focus" of the donor or seller; when accessioned, individual title/main entry was given precedence over group provenance; or b) the materials were individually

priced at purchase (i.e., itemized individually and priced individually on the invoice), not priced as a "lot."

- Printed, photographic, and art components of collections acquired prior to 1985 may have been separated from the archive and shelved separately by format. Some pieces may even have been cataloged in either the manuscript or printed material catalog; others (particularly in YCAL) may be found only by walking the stacks. Also, material may have been removed from a collection, regardless of provenance, and interfiled with other holdings related by subject. For example, letters written by John Collier to Elizabeth Shepley Sergeant were removed from her papers and filed with his, and some collector's collections were dismantled and the items interfiled by main entry with other materials by or about that individual; now the library is more inclined to maintain a collector's collection intact.

To aid in the search for all pertinent material, the archivist should use the Survey Checklist of Beinecke's various online and paper-based information files (administrative, bibliographic, and curatorial) and storage locations to make sure that all the likely bases have been covered. Once you have completed the survey portion of the checklist, you should feel confident that you have found all relevant material. Keep in mind as you go through the checklist that the more recently a collection was acquired, the less complicated your survey will be. If the earliest accession dates to the mid-1990s or later, you will likely not need to do extensive searches through multiple paper files, but will find all pertinent information in the dealer or acknowledgement file.

In addition, other Manuscript Unit staff, the curator, and other Beinecke staff can be invaluable sources of information about materials that haven't yet been identified. They can also help to track down material the archivist has identified from the accession and curatorial files but cannot physically locate, and clarify the relationship of material found with or related to the material to be processed, but which may or may not be part of that collection.

2.2.3. Books and Other Printed Material

Current practice is to separate most accompanying books from manuscript collections upon acquisition, following curatorial review, and transfer them to Printed Acquisitions. These books are either discarded (i.e. exchanged for credit with a dealer) or cataloged separately by the Rare Book Team with appropriate provenance tracings. In the past (prior to the mid-1980s) it was common for printed ephemera as well as books to be removed and cataloged separately. Separately cataloged books generally are not reunited with the archival collection with which they came.

Heavily-annotated printed items, however, and a variety of printed pamphlets and other ephemera (clippings, invitations, etc.) may be reunited with the archival collection. Consult the curator and your supervisor for guidance. Any separately-cataloged printed item returned to a manuscript collection must either have its Orbis record deleted or, in the case of records retained, modified to reflect the item's new location in the collection. Refer such cases to the Cataloging Coordinator.

Between the mid-1980s and about 2000, books were often left with the manuscript material for later triage. In the survey process, an archivist may encounter multiple volumes among accessions from this period. Books should be flagged or put aside for review by the curator in the course of discussing the processing plan. There are three possible outcomes: items will be transferred to Printed Acquisitions, where they will be accessioned and routed for separate cataloging or discarded; items will remain in place in the collection and be described along with other material in the finding aid; or the item will remain in place in the collection but receive item-level cataloging by the Rare Book Team in order to provide access through the catalog without sacrificing whatever significance it might have within its archival context.

As part of the accessioning process for books, miscellaneous manuscript material found laid into the books is often removed. This material can range from ephemera and receipts to substantive correspondence. It is returned to the Manuscript Unit accessioning staff when Printed Acquisitions staff has finished accessioning all the books from a particular collection, and is usually filed with an existing accession for that collection, although sometimes, due to volume, it may be treated as a separate accession.

2.2.4 Missing Material

If items appear to be missing from the collection, the archivist should check the full range of accession files, catalog records, finding aids database, and any extant reels of microfilm. The archivist should also notify his or her supervisor and the curator, either of whom may have information about the apparently missing item(s).

If a surrogate copy of the item is located (on microfilm or in the Digital Library), a copy suitable for reference use should be derived and included in place of the original. The copy should be marked "Original temporarily unavailable." The copy may be used as a surrogate during processing. If the material has not been located before processing is complete, the archivist should follow the instructions on missing material in [Chapter X].

2.2.5 Old Numbering Systems (Special Cases)

The library occasionally acquires or decides to re-process collections that have been previously cataloged with a distinct numbering system. If the archivist identifies such a numbering system in the course of surveying a collection, it is important that s/he note this and consult with the Manuscript Unit Head/Assistant Head and the curator about its significance and current importance.

In some cases, the existing numbering system is firmly established in the scholarly community, and may even be published in authoritative bibliographies or indices (e.g., the “Pottle” numbers in the Boswell collection, or the “McKay” numbers in the Stevenson collection). If the archivist determines that the existing system is so well known that the omission of these numbers from the new finding aid would cause confusion among researchers and access services staff, s/he should record the numbers as folder notes in the finding aid or in a concordance appended to it. Appropriate explanatory notes can be included in the front matter.

Superseded "Uncat" call numbers are also recorded in the Processing Notes field of the finding aid.

2.2.6 Administrative Files Intermingled in Collections

Prior to the 1980s, administrative paperwork was often filed with collections. While surveying a collection, the archivist may come across copies of dealer "blurbs," acknowledgements to donors, processing notes, and memos, or even correspondence with scholars. Whenever possible, this paperwork should be removed during processing and refiled into the appropriate Beinecke administrative files.

For pre-1963 and some later accessions, however, the library may not have the appropriate centralized accession files in which to file background documentation from dealers, donors, or other sources, and there may be no logical home for such paperwork in the post-1963 files. However, this paperwork may be the only documentation of the content and provenance of the material, and it is best left with the collection so that the information is not lost. Sometimes it can simply reside in the folder containing the material to which it relates, in which case it should be photocopied to acid-free paper or placed in an acid-free bond paper folder. In other cases, putting it into a separate folder or group of folders may be appropriate.

Price notations that appear on documents themselves are considered part of the history of the document, and should not be erased. However, dealer descriptions or accompanying documentation containing price information should be removed from the collection and placed in the processing file. Dealer lists without prices may remain with the collection.

2.2.7 Existing lists

At the survey stage, the archivist will frequently come across previously-created lists of some or all of the material in the collection. These lists may have been created by dealers, donors, or by the library as part of accessioning or baseline processing. A list may be merely descriptive of the original order of the material, or it may reflect an arrangement imposed by those who created the list: it may not be possible to tell which of these scenarios is the case. Judging how reliable this earlier work is, and how it can or should be incorporated into the archivist's work on a collection, is part of the planning process. Decisions about using existing description will depend largely on the level of processing recommended for the collection as a whole, as described later in this chapter. Most lists, regardless of their origin, are now in the Finding Aid Database and are therefore easily repurposed.

Factors to consider when evaluating existing lists:

- Who made the list and for what purpose?
    - Consider any bias that the person who made the list might have had. For example, dealer's lists often highlight especially notable names, subjects, or rare formats at the expense of equally important but less monetarily valuable material. Ideas about research value and assumptions about research methods change over time, and a list might reflect the values of another era, highlighting particular formats or subjects while playing down others.
    - Consider the level of expertise of those who created the list. Were they able to read all of the languages present in the collection? Did they have sufficient knowledge of the subject area or formats in the collection to recognize important names, files, or objects? Did they perform the initial processing that underlies the list in accordance with archival theory and principles?
- Is the list complete?
    - Does the list encompass all of the material present? Does it describe material at least at the box level? Does it include date spans?
- Is the list accurate?
    - Are the names and dates in the list correct? Are writings, subject files, etc. correctly identified?
- Is the level of detail appropriate?
    - Some inherited lists are extremely detailed at the item level, and the material may be more effectively described in the aggregate.
- Does the list use standard terminology and forms of names?
    - Is the data in the list sufficiently standard to support access through keyword searching? Does it contain jargon or abbreviations that would confuse researchers?
- Does the list contain sensitive information?
    - Does it contain price notations (see above), give detailed descriptions of restricted material, or contain personal details that must be redacted (e.g. Social Security numbers)?

Based on the archivist's judgment of the utility of the existing list with regard to the level of arrangement and description required for the collection, the list might be used as it is, with minor editing, or it might be discarded in favor of complete reprocessing, or some solution in between. If a decision is made to use existing descriptions, the finding aid should contain the appropriate boilerplate disclaimer about the degree to which the library verified the existing list against the material, and the degree to which the content has been standardized to facilitate access.

2.3 TYPES OF COLLECTIONS MOST FREQUENTLY ENCOUNTERED

2.3.1 General Notes

This section describes the most commonly acquired types of collections. Titles must be assigned in accordance with current professional standards (e.g. DACS), but the categories below should help archivists to think about how to define and describe a particular collection.

2.3.2 Types of Collections

Papers

Designates a body of documents accumulated naturally by a person or family (e.g., Kathryn Hulme Papers, Kenaga Family Papers). The Orbis Cataloging Manual: Mixed Materials Format and Orbis Cataloging Manual: Visual Materials Format and *Describing Archives: A Content Standard* (DACS) should be consulted for conventions for naming collections, particularly for family papers and for collections of mixed attribution.

Records

Used for the official papers of an organization or institution.

The concept of arrangement by administrative function should be kept in mind and applied where appropriate to organizational records that the library may acquire.

Note on the use of the term "Archive":

> "Archive" has been used in the past to designate complex collections of personal and/or family papers with mixed but related provenance, or when a collection has long been known by that designation (e.g., The Spinelli Archive; Alfred Stieglitz/Georgia O'Keeffe Archive; the Theatre Guild Archive). While use of this term is not recommended by DACS, it may be used locally in some cases, following consultation with the Unit Head, Assistant Head, and curator.

2.3.3 Intentionally Assembled Collections

Intentionally assembled collections contain materials acquired from multiple sources, which have been grouped together either by a previous collector or by the library itself according to artificial criteria (perhaps person, subject, form, or physical characteristic).

Intentionally assembled collections are usually closed (i.e. no additions), but in some cases may be ongoing. A variety of strategies are used in processing them. Provenance for individual items is tracked through the use of Accession Labels on individual folders and/or in provenance notes at the appropriate level in the finding aid. In some cases material can be grouped by provenance into series-like components.

2.3.3.1 Collectors' Collections

The provenantial integrity of these intentionally assembled collections is preserved. Conventions for naming a collector's collection have varied over the years, and to some extent continue to be influenced by a collector's wishes. For detailed guidance on current standards for assigning titles to collectors' collections, consult the *Orbis Cataloging Manual: Mixed Materials* and *Orbis Cataloging Manual: Visual Materials Format* (MARC tag 245/title). As a general rule, the form is: "[Collector's name] Collection of [Person/Format collected]," e.g., Richard L. Purdy Collection of Thomas Hardy or Henry Raup Wagner Collection of Mexican Manuscripts.

Generic manuscript collections are listed as in the following example: Herman W. Liebert Manuscript Collection. Although collectors' collections often are referred to informally (e.g., Purdy-Hardy Collection), the official form of the name should always be used in finding aids and catalog records.

2.3.3.2 Library Designated Collections

These are collections assembled by the library in order to group together single items and small groups of papers by or pertaining to an individual or subject. Materials were acquired by the library over time from various sources, and the library has decided not to catalog the individual accessions as separate units. Less frequently, the library intentionally assembles a collection around a special genre or format (e.g., Western TV scripts; English 18th-century poetry).

Examples of library designated artificial collections include:

Edith Wharton Collection (YCAL MSS 42)

Gertrude Stein/Alice B. Toklas Collection (YCAL MSS 77)

John Cowper Powys Collection (GEN MSS 136)

William Watson Collection (GEN MSS 460)

Jean-Paul Sartre Collection (GEN MSS 143)

2.4 PROCESSING LEVELS

2.4.1 General Notes

Collections may be processed to any of several levels of physical and intellectual control. All collections receive "baseline" control, usually at the point of accessioning, which provides collection-level description and at least a box-level inventory. For some collections this will suffice for the long term. Other collections will, for a variety of reasons, require a greater level of processing to enhance access and ensure preservation. Archivists are responsible for determining the appropriate level of control for a collection, based on value of the material (research interest and/or security concern), its physical condition, and anticipated use.

The processing levels described below should be considered as points on a continuum of appropriate processing choices. They incorporate preservation decisions, physical processing activities, and level of descriptive/intellectual access.

Different components of the same collection may and should be processed to different levels. For instance, a writings or correspondence series or sub-series may merit folder-level arrangement and description, but a series of financial records or subject files in the same collection might be sufficiently served by a box-level arrangement and description. Likewise, a single component of a collection might be arranged at one level and described at another. For instance, the financial records above may be arranged at the file level for ease of use but described sufficiently for retrieval at the box level. The optimal storage conditions in the library's stacks and off-site shelving facility should be taken into account when making decisions about the need for item-level preservation activities such as hardware removal, preservation reformatting, and special media storage. The archivist should consult with the curator, Unit Head/Assistant Head, and in some cases Access Services in order to make the most informed decision possible for each collection or component of a collection.

2.4.2. Definition of levels

Level of Control:	***Arrangement***	***Description***	***Preservation***
Collection Level	*Rarely done.* Most if not all collections will be arranged at least at the series level (see below) within a short time after their acquisition by the library.	Upon acquisition, every collection receives an accession record in the ACQ database, and a "Full Level" MARC record in Orbis. When collections are selected for further processing, this Orbis record is enhanced with a finer degree of detail. The finding aid contains a collection-level scope and content note, similar to if not the same as the scope and content note (520 field) in the MARC record.	Blast freezing upon acquisition. Might later include microfilming, scanning, or mass deacidification.

		All but the smallest collections (one to two boxes) additionally receive at least box-level description to facilitate retrieval.	
Series Level	As part of the accessioning process, papers are sometimes sorted as to series or form of material (correspondence, writings, personal papers, photographs, etc.). Such a sort is usually rough at this stage.	Series-level description consists of a scope and content note for each series, in addition to at least a box-level description to facilitate retrieval. At least “circa” dates included.	Format-driven series or sub-series may receive treatment at this level, such as reformatting (e.g. audiovisual materials) or mass deacidification (e.g. clippings).
Box Level	Boxes are arranged within a series structure or in a single run.	Material is listed at the container level. Dates may or may not be included.	Material is rehoused into standard-size acid-free containers.
File Level	Files and folders are arranged, but little or no effort is given to sorting or identifying materials within folders.	Material is listed at the file level. Dates may or may not be included. This level of description may	Material is rehoused into acid-free folders.

		include cross references between files and brief scope and content notes at the file level where necessary.	
Item Level	Material is sorted and arranged within folders.	*Rarely done.* A calendar or item-level list, used in exceptional cases where the need for extreme security or other considerations of access and retrieval necessitate such control. This detailed level of control may also occur, *de facto,* as the result of retrospective conversion of existing, item-level card sets from the manuscript catalog, or the existence of a useful item-level donor- or dealer-supplied list.	Each item is evaluated, and preservation actions such as sleeving, interleaving, preservation reformatting, hardware removal, and separation for special media storage are taken as appropriate.

2.5 PROCESSING ESTIMATES

2.5.1 General Notes

One of the most difficult tasks archivists face is estimating accurately how long it will take to process, arrange, and describe collections of personal papers. The following guidelines may be helpful in making such determinations.

Note: These guidelines were written at a time when a very high level of processing was the assumed standard for all collections. A more flexible approach to determining appropriate levels for collections or portions thereof will have an effect on the processing rates outlined below. The guidelines continue to be useful because the condition and relative organization of the collection will continue to be a factor in determining the time it will take to process a collection. However, archivists should also bear in mind the level of work that will be done. For example, depending on the relative condition and value of the material, we may choose not to do any preservation photocopying, refolder material, or list beyond the box level.

2.5.2 Collection Size

The containers must be opened and examined to estimate collection size. Record storage boxes or Paige boxes hold 12" of papers if materials stored are legal size, and 15" of papers if materials stored are letter size. A standard document box holds 5" of papers and a "half document" box contains 2.5" of papers. Typical file drawers are 30" deep, as are many transfile cartons.

How materials are stored within the containers should be taken into account. Boxes may be filled with packets of letters still enclosed in their original envelopes, or groups of folded lectures or sermons, or piles of diaries or daybooks. As these papers are unfolded and properly foldered, they will double or triple in size.

Electronic files cannot be represented meaningfully by a linear footage count. The number of disks, the number of files on the disks (or other storage media), and the presence or absence of labeling or other descriptive information should be noted. This will give the archivist a general idea of the amount of work that would be necessary to provide intellectual access to these files.

Oversize material found in a preliminary survey should also be included in size estimates. Linear footage for this material should be measured by the height of the oversize box, not the width.

Acid-free folders likewise take up space. A case of 500 folders adds 10" to a collection, but since most foldering adds only a small percentage to the extent of a collection, it is generally not worth considering in the estimates of linear footage. If, however, letters are individually foldered (a policy that is not recommended except in unusual circumstances), then the number of folders used should be considered in making size estimates.

The Linear Footage Calculator may be helpful in estimating a collection’s extent.

2.5.3 Rates of Processing

Processing rates vary a great deal from collection to collection. The following guidelines have been found to be both useful and reliable. It must be noted, however, that processing estimates are derived from preliminary examinations of collections of papers. It is always possible, therefore, that complications will be encountered during processing that were not identified at the time of the survey.

Archivists should use the following rating system to provide, in the processing plan, a broad estimate of the time necessary to process a collection.

In determining processing rates, all time is considered equal. (Not all processing requires the expertise of professional archivists, so efficiencies can be achieved by matching tasks to levels of skill and expertise of available staff.) Some tasks should be undertaken only by trained archivists, while other tasks like labeling, sorting, preservation photocopying, data inputting, numbering, and listing can be done by processing assistants, students, or interns. The greater the expertise of support staff, the wider the range of duties that can be assigned to them.

These rates include all processing time, from preliminary survey through and including inputting and correcting finding aids. In addition, all collections are considered equal, although collections smaller than three linear feet will usually take longer to complete than the projected time and larger collections of twenty or more feet will usually take less time because of economies of scale.

Processing of some formats is not easily estimated by these measures. For instance, the amount of time required to process a substantial amount of electronic files or audiovisual media does not correspond to the linear feet occupied by the material in the same way that it does for paper files. Time should be added to estimates for these types of material if a high level of detailed access is proposed.

Processing Rate D (10 or fewer hours per linear foot)

Used for collections that have no significant organizational problems. A minimum amount of interfiling and reorganization is needed. The major portion of staff time will be expended on the basic work required for all collections: reboxing, refoldering, listing, and describing the contents of the papers. Records of organizations and collections that consist primarily of manuscripts of published works often fall into the D category.

Processing Rate C (10 to 20 hours per linear foot)

Used for collections that have a manageable number of organizational problems. Papers may have some order and sections of the collection may be properly sorted, although significant portions will have to be arranged and a good deal of interfiling work will have to be done. Most collections can be processed at this rate.

Processing Rate B (20 to 30 hours per linear foot)

Used for collections that have little or no arrangement and order. Different kinds of materials are mixed together, correspondence is unsorted or stored in original envelopes, some papers and correspondents are unidentified, and extensive preservation work may be required.

Processing Rate A (30 to 40 hours per linear foot)

Used for collections that have to be described at the item or virtually at the item level, like autograph collections.

2.5.4 Factors to Consider

1. The proposed level of processing for the collection or parts thereof
2. The language and/or difficulty in deciphering handwriting

3. The preservation considerations for the material (fragility, multiple formats, etc.)

A preliminary analysis of a collection may indicate that the degree of processing difficulty may fall at the high or low end of a category. Thus:

Processing rate A/B (35 hours per linear foot)

Processing rate B/C (25 hours per linear foot)

Processing rate C/D (15 hours per linear foot)

Total processing time is determined by multiplying the estimated linear footage by the processing rate.

4.5 linear ft. x 20 hours per ft. = 90 hours

2.6 CONCERNING RESEARCHER ACCESS TO IN-PROCESS MATERIAL

2.6.1 Collections Processed in the Main Beinecke Building

In-process collections housed in the main Beinecke building are open for research use during processing. As much as possible, the library makes material available to readers on request, even on short notice. Where needed, special arrangements should be made among the Access Services Department, researchers, and the processing archivist, to assure reasonable research access to in-process materials in a manner that also permits the archivist to carry out his/her work in an orderly and timely fashion. While a collection is in process, the archivist's role in paging and reference is crucial, and can be substantial with high-use collections.

Because in-process collections may be paged for use in the reading room, containers should be clearly labeled as to their general contents, and arranged in the processing archivist's adjacent shelving as soon as possible after the initial review. Green indicating that material must be returned to the processing archivist, not to the stacks, must be attached to boxes before they circulate to the reading room.

2.6.2 Collections Processed Off Site

In-process collections housed in the Unit's off-site facility are not accessible to readers, either there or in the Beinecke reading room: they are closed for the duration of processing. Exceptions may be made in rare circumstances, with the agreement of all relevant Beinecke staff members and in accordance with established security policies. If portions of a closed collection remain in the main Beinecke building for periods of time during processing, accommodations may be made at the discretion of the processing archivist and his or her supervisor.

2.6.3 Manuscript Card Catalog Maintenance

While the finding aid will eventually replace any catalog cards for a collection, it is important not to remove cards before the finding aid is completed and made available to researchers. Therefore, if an archivist pulls cards from the manuscript catalog to expedite processing, s/he should replace the card set with a reference card. The reference card should read, "Card set pulled for processing. See [your name]. [date]". Maintain the card set in a card file (i.e. in a drawer with a rod), as staff or researchers may need to consult it.

Extensive card sets may be moved to the off-site facility if necessary, after consultation with the Unit Head/Assistant Head and the Head of Access Services.

Once the collection is processed and the finding aid is publicly available, the archivist is responsible for removing the card set or reference card from the card catalog, and filing the retired cards appropriately in the Manuscript Unit.

2.7 Writing the Processing Proposal

Once the survey has been completed, the archivist writes a processing proposal in the form of a memo to the curator and the Unit Head or Assistant Head. The archivist also sends items 7 and 8 from the list below to the Preservation Librarian [interim: Head of Technical Services] and the Preservation Assistant.

Generally, the Processing Proposal includes:

1. An overview, which consists of:
   - an estimate of the collection's size;
   - a list of the kinds and quantity of materials found in the collection;
   - mention of significant processing, storage or other handling problems;
   - provenance information;
   - apparent research strengths of the collection.
2. An outline of likely series and sub-series arrangement(s), pointing out merits and limitations of various options, as appropriate. Final arrangement decisions, especially for sub-series, however, usually are determined in the course of processing, as the papers are more carefully examined.
3. A recommended processing level or levels, with an explanation of its/their appropriateness to the particular collection, given its access and preservation requirements.
4. A reasonably detailed summary of the work that will be required to complete the processing and arrangement of the papers, including explanation of any unusually time-consuming tasks and a presentation of options for using assistance effectively. The proposal may specify which tasks can be assigned to processing assistants and students.
5. An estimate of the amount of time required to complete all work on the collection, including post-processing tasks such as updating databases. In some

cases, a preliminary processing calendar may also be required, including benchmarks for the completion of portions of the collection.

6. A list of any special or unusually voluminous archival supply needs.

7. An overview of preservation concerns, with specific mention of significant (i.e., costly/time consuming) conservation needs.

8. Identification of any significant runs of material that may require priority preservation reformatting (microfilming or digitization).

9. A statement outlining significant special storage needs/problems (e.g., framed art work, folio or broadside shelving, Art Storage/Object Storage).

10. A statement describing printed material (e.g. books, serials, newspapers, pamphlets, and ephemeral imprints) that, if retained, will require separate cataloging in Orbis (either in situ in the collection or after transfer to Printed Acquisitions).

Chapter 3. Arrangement

The purpose of this chapter is to provide general guidance for arranging archival and manuscript collections physically and intellectually, in accordance with professionally accepted archival principles as well as institutional needs and requirements.

It is important to note that the level of description need not necessarily reflect the level of arrangement or vice versa. There will be instances when more granular arrangement will call for less detailed narrative description in the series or sub-series descriptions; and there will also be instances when more detailed narrative description can compensate for less granular arrangement at the file level.

3.1 Provenance and Original Order

The arrangement of archival and manuscript collections at the Beinecke Library should conform, as far as possible, to professional standards for practice. Accordingly, arrangement should be carried out in accordance with the archival principles of provenance and original order. In cases where a collection's existing order likely deviates significantly from its original order, does not reflect the activities of the creator, and/or does not facilitate use of the collection, archivists have the option of imposing a new arrangement on the collection. In these circumstances, decisions about how best to arrange a collection should be based on preserving remaining contextual information, facilitating researcher use, and processing materials efficiently.

3.2 Levels of arrangement

Determining levels of arrangement is a two-fold process. One part of the process is to determine the arrangement scheme for a particular collection—that is, how the collection is to be arranged into subgroups, series, sub-series, files, and so on. The other part of the process is to determine the extent to which arrangement should be carried out within a particular collection or series.

The overall decisions about how and to what extent to arrange a collection will be made by the archivist in conjunction with curators and supervisors, as outlined in the processing plan. The day-to-day decisions about how to carry out arrangement will typically be made by the archivist based on what she or he understands about the collection combined with his or her professional judgment.

This section will discuss standard levels of arrangement with some pointers and examples for determining the arrangement scheme for a collection.

3.2.1 Collection Level

Arrangement at the collection level involves identifying the component parts of a collection, which in turn involves making decisions about which accessions comprise the collection to be processed and which accessions comprise a separate collection or individual items of related material.

Identifying the component parts of a collection and making initial decisions about collection-level arrangement will be carried out to a certain extent as part of baseline processing during accessioning. Any remaining questions about collection-level arrangement should be addressed by the archivist upon further review of the pertinent paperwork found in curator or acquisition files and after surveying the collection in preparation of the processing plan.

Decisions about whether or not to merge items of the same provenance that have been separately processed or cataloged by the library in the past, or to include materials of separate provenance together in one collection, will involve consultation with the archivist's supervisor and the curator.

These decisions will be informed by knowledge about:

- the creator
- the subsequent custodian(s)
- the immediate source(s) of acquisition
- the history of the collection before and after it was acquired by the Library
- how the collection is or has been perceived and used over time

Decisions will take into consideration:

- Provenance
- The existing state of the collection and past arrangement decisions
- The benefits of improved access vs. the time necessary to effect it

Examples of situations that could present themselves to the archivist include:

- Unprocessed collections represented by multiple accessions
- Unprocessed additions to fully processed collections
- Partially processed collections for which collection material was previously removed and cataloged separately. Options might include:
    - repatriate all of the separated material (e.g. Mabel Dodge Luhan Papers)
    - repatriate some of the separated material (e.g. Sinclair Lewis Papers)
    - repatriate none of the separated material (e.g. Robinson Jeffers Papers)

<u>Intentionally Assembled Collections</u>: Based on the nature and extent of material pertaining to a particular person or subject, the relative importance of provenance vs. pertinence, and consideration of past and anticipated use, it may make sense to arrange material from various sources as one collection, e.g. the Edith Wharton Collection and the Nina Berberova Collection. Even in doing so, it is possible to respect and represent the mixed provenance through series-level arrangement.

When it's possible to distinguish clearly between the personal papers of an individual and material from other sources relating to that individual, the archivist may decide to create two separate collections, e.g. Mabel Dodge Luhan Papers and Mabel Dodge Luhan Collection. In cases where it is not so easy to distinguish between the two, the archivist may decide to remove some but not all material from other sources from the archival collection, e.g. Edmund Wilson Papers and Elena Wilson Papers, or Mary Butts Papers and Mary Butts Collection.

3.2.2 Subgroup Level

While arranging at the subgroup level has been done in the past, this approach is generally discouraged. For certain collections that contain distinct groups of material that together comprise an intellectual whole (e.g. groups of material that relate to different families, to different individuals within a family or to an individual and an organization to which he or she is closely connected), it may be appropriate to arrange material into subgroups, rather than into separate collections. Both the nature and extent of the material will be determining factors in this. Subgroups within a collection may or may not be arranged into series, depending on the extent to which arrangement is carried out on a particular collection. If subgroups are arranged into series, then the series should represent and be represented as a lower level of arrangement.

Beinecke manuscript collections that have been arranged in this manner include The Spinelli Archive (composed of several Italian family archives), the Rochambeau Family Archive (composed of one family member's correspondence and writings files, and a multi-generational family cartographic archive), the Alfred Stieglitz/Georgia O'Keeffe Archive, and the Katherine S. Dreier Papers/Société Anonyme Archive. It is important to note that these examples do not represent series as a lower level of arrangement due to technical limitations at the time they were processed.

3.2.3 Series Level

Arranging at the series level will be appropriate for most collections of any size. A series may be subdivided into sub-series; otherwise, it will usually consist of files or groupings of files.

Arranging at the series level involves analyzing the background of the creator and the context and content of the collection. The goal is to identify, as far as possible:

- the types and extent of record formats present within the collection
- any existing patterns of organization
- the functions, roles, occupations, interests, or avocations of the creator, as well as his or her record-keeping practices, if any
- the custodial, acquisition, and accessioning history of the collection
- any other circumstances of creation, maintenance, and use that will have impacted the physical and intellectual state of the collection.

Based on these considerations and any particular issues concerning access and use, the archivist will determine an appropriate series scheme reflecting the key activities of the creator, reflecting the way the creator likely maintained the records, representing the key formats present within the collection, and/or representing some other meaningful order. As a general rule, series are arranged in descending order of significance, which will be determined by apparent research value and past and anticipated use. See Common Series in Beinecke collections [link to section].

A certain amount of file-level work will be required to carry out series-level arrangement. However, it will not be necessary in every case to survey the contents of all files. In order to carry out series-level arrangement in an efficient and effective manner, it will be necessary to determine for each collection what material requires or warrants closer scrutiny and what requires or warrants less, and to conduct a targeted study of files accordingly.

Restricted Fragile and Oversize Material: A separate series should always be created for restricted fragile material (for physical processing of restricted fragile material, see Restricted Fragile). While oversize material will always of necessity be stored separately, the archivist will need to determine on a case-by-case basis how to represent oversize material in the overall arrangement of the collection. (For physical processing of oversize material, see Oversize Material). These decisions will depend on factors such as the type, quantity, and location of oversize material within the collection. For instance, if there are odd oversize items scattered throughout the collection, then it may be best to intellectually arrange them with related material but physically arrange them together with pointers in the finding aid to the common storage location of oversize material. If there is a whole box of oversize material, which is self-contained as an intellectual component, then it makes sense to list the material just once where it files intellectually. (See relevant section of Description Chapter)

EXAMPLE

[Living Theatre as example of baseline processing, arranging at series level only.]

Intentionally Assembled Collections: Intentionally assembled collections of any size may be arranged into series by provenance, by accession, or by type or format of material, as appropriate. For collections comprised of material from various sources for which pertinence is more important that provenance, such as the Eugene O'Neill Collection, material may be organized into series in a manner similar to archival collections, e.g. Correspondence, Writings, Photographs, and Other Material. For other collections, for which both provenance and pertinence is important, such as the Nina Berberova Collection, material may be organized into series by the provenance of the different parts of the collection, e.g. series titled Murl Barker Collection of Nina Berberova and John Malmstad Collection of Nina Berberova.

3.2.4 Sub-series Level

If the decision is made to arrange at the sub-series level, then all material within a series must be arranged into a subordinate sub-series. Sub-series will then usually consist of files or grouping of files.

Sub-series may be determined by genre, format, or subject matter. A series of *Writings*, for example, can be organized into sub-series of Books, Plays, and Shorter Works. As another example, a series of *Photographs* can be organized into sub-series of Albums, Portraits, Group Shots, People, and Places.

When a decision is made to arrange at this level only, it will be neither feasible nor desirable to examine the contents of all files as part of determining appropriate sub-series. A targeted study of key files or a less thorough study of a range of files may provide all the necessary information.

3.2.5 File Level

Arranging at the file level entails arranging individual files or groupings of files within a collection, series or sub-series. While a certain amount of file-level arrangement will likely be done for all collections, this level of work can be carried out to different extents within a given collection, series, or sub-series. Factors to consider include the overall significance of the collection and/or of particular series or sub-series within the collection, as well as the extent and physical condition of the material.

The relationship between arrangement and description at this level is important to consider. If file-level access is desired for a particular series, then files will most likely need to be arranged at the file level to facilitate file-level description. However, material that will be described at the box level, for instance, may or may not require arrangement at the file level, depending on the extent and research value of the material.

What constitutes the "file" may also vary depending on the extent of the material and the general approach to the processing project. Here is an example to illustrate different degrees of file-level arrangement, represented by file-level description:

More detailed:

(with files for each title in the Books sub-series arranged roughly chronologically, in order of the creative process)

Writings

Books

My first novel

Contract (1 folder)

Drafts (5 folders)

Setting copy (1 folder)

Galley proofs (3 folders)

Reviews (1 folder)

Correspondence, agent and publisher (1 folder)

Fan mail (2 folders)

Royalty statements (1 folder)

Film adaptation (4 folders)

Less detailed:

(with files for titles in the Books sub-series arranged alphabetically; lower-level files within each title file are not described, and not necessarily arranged in any meaningful order)

Writings

Books

Autobiography (7 folders)

My first novel (19 folders)

Sequel to my first novel (10 folders)

A certain amount of item-level work may be required to carry out file-level arrangement. However, it should not be necessary to consult all items within a particular file nor even certain items within all files. More detailed approaches might call for, at most, targeted study of items within certain files.

3.2.6 Item Level

Arranging at the item level entails arranging loose items into or within files. The purpose of item-level arrangement is to enhance access to and/or security of material that is deemed to warrant more detailed attention. The archivist will need to determine on a case-by-case basis if any material in a given collection warrants item-level arrangement, as well as the amount of work required, i.e. whether it is enough to arrange related items into a particular file or whether it is also necessary to further arrange items in relation to each other within the file.

Factors to consider (see also discussion in Chapter 2):

- research value of the material/anticipated volume of use
- risk for theft
- current state and level of access
- restrictions on access or use
- potential presence of sensitive information
- time required to carry out such arrangement

In most cases, this level of work may be carried out for certain parts of a collection, i.e. for series of correspondence and writings within a literary collection, but typically not wholesale throughout a collection. Exceptions to this may be intentionally-assembled and small collections, which due to their nature and/or extent may warrant or support item-level work throughout. In other cases, such as baseline processing of incoming collections, item-level arrangement will not be possible for any part of a collection, regardless of importance.

3.2.7 Determining the level(s) of arrangement

Determining the level of arrangement for each component of a collection should be made according the guidelines outlined in Chapter 2. The following paragraphs outline some approaches the archivist might take to provide sufficient access at varying levels within a single collection.

> If a collection is already relatively well organized, then the archivist might devise a series arrangement that clarifies or enhances the current organization or better reflects the types of material found in the collection, but not arrange further at the sub-series and file levels. The

archivist can compensate for the lack of detail in arrangement by providing a more detailed description in the scope and content note for each series.

If a collection is deemed a low priority for detailed processing overall but contains substantive correspondence from an important author, then the archivist might devise a detailed arrangement for all or a sub-series of the *Correspondence* series, entailing the arrangement of items within files, but may group the remaining papers into a series of Other Papers with only a scope and content statement detailing what is contained therein.

If a collection is of high research value, is relatively unorganized, and is in high demand, then the archivist might devise an overall series arrangement that reflects the key activities of the creator, but might limit detailed lower-level arrangement to a few series that will likely receive the highest level of use, or which relate directly to the main activities for which the creator is best known (e.g. Theatre Guild Archive).

3.3 Common Series

The common series described here reflect the preponderance of personal papers and literary manuscript collections in Beinecke's holdings, for which series are often determined by format and by anticipated research use and interest. The possible series designations are not limited to those outlined below, but these guidelines should serve to guide the archivist in determining appropriate and useful series and sub-series arrangements when processing these frequently encountered types of material.

3.3.1 Correspondence

This section discusses arrangement of correspondence into series and sub-series. Details of item-level arrangement and physical handling, including treatment of enclosures, unopened mail, etc., is discussed in Chapter 4. Physical Processing.

3.3.2 Series and Sub-series

Original order and research value, among other factors, should be considered when determining arrangement of correspondence into sub-series. Sub-series are usually arranged in descending order of significance.

Correspondence may also be found mixed with writings, production files, financial records, scrapbooks, and other materials. Such correspondence (e.g. a letter accompanying an original draft of a manuscript, or a run of correspondence with a specific focus) can usually be left with materials in non-correspondence series.

Common correspondence series and sub-series:

- Correspondence
- General Correspondence.
    - Use for a main body of correspondence files when other correspondence series or sub-series are present.

- Family Correspondence
- Personal Correspondence
- Professional Correspondence
- Fan Mail
- Third Party Correspondence
- Incoming Correspondence
- Outgoing Correspondence

3.3.2.1 Mixed Files:

When determining into which correspondence series or sub-series to place a file of mixed nature (e.g., the correspondent is both a personal friend and a professional colleague), use the following general rules of thumb:

- If the correspondence is principally of one type, the predominant type should determine how it is classified.
- If the correspondence is equally weighed toward the personal and the professional, the ultimate nature of the relationship should take precedence. For example, a professional exchange may evolve into a closer personal/professional friendship (in which case, the correspondence would be treated as personal).
- Use cross-references as appropriate to direct researchers to the multiple locations in which letters to/from prominent individuals will be found. It will usually not be necessary to provide cross-references for every such case in a collection.

3.3.3 Alphabetical Arrangement

Alphabetical arrangement by the name of the correspondent is common in archival collections. Please note, however, that partial alphabetical arrangement is an option. In collections processed at the baseline level and in legacy collections, for example, it is not uncommon for only the better-known correspondents and larger files to be identified or for portions of correspondence to be in a rough chronological arrangement or unsorted. While it is usually easy and advisable to preserve an existing alphabetical order, it is possible to arrange groups of correspondence at a file, folder, or higher level (e.g. John McDonald Papers; Meriden Gravure Records).

Item-Level Processing Options for Correspondence (Alphabetical):

- Arrange correspondence with individuals and/or institutions alphabetically by the appropriate heading.
    - File names according to Library of Congress rules.
    - For correspondents with established name headings, file under that heading.
    - For correspondents who lack established name headings but who are prominent in a field pertinent to the collection or important to the creator, file under the form of the name used most frequently in the correspondence.
- Use volume as a guide to determine whether or not correspondence is pertinent or important to the creator. As a general rule of thumb, if there are five exchanges between the correspondent and the creator, establish a file for that correspondent rather than filing in “letter general” (see below).
- Arrange all other correspondence alphabetically in “letter general” files (e.g. “B” general).
- Within files, arrange multiple letters from individual and joint correspondents chronologically.
- File joint letters (e.g. letters from spouses or partners) under the name of the principal correspondent. When authorship is shared, and the letter is written on behalf of more than one individual, file the letter under the name that is of greatest interest or perceived importance in the context of the collection.
- File round-robin family letters either under the name of the person with whom the letter originated, or the intended recipient, if all contributing parties are clearly writing to a single individual. See the George Wilbur Family Papers (WA MSS S-1611) and Thornton Wilder Papers (YCAL MSS 108).
- File single third-party letters by correspondent. File letters from multiple correspondents to a particular third-party recipient by recipient (see: Alan Pryce-Jones Papers).
- In some cases a third-party letter formerly enclosed with a letter elsewhere in the collection can be reunited with the letter it originally accompanied. Do this only when the link is obvious.
- Fan mail from “known” individuals may be removed from unsorted files. Fan mail may also be found and kept in a Writings series with files for specific works.

3.3.3.1 Unidentified Correspondence

Common forms of unidentified correspondence include the following: correspondence bearing an illegible name(s), correspondence bearing the first name only, correspondence bearing a single name (for which it is unclear whether the name is a first or last name), and correspondence lacking any identification. Such correspondence can usually be filed at the end of the alphabetical sequence as “Unidentified.”

Item-Level Processing Options for Unidentified Correspondence:

- If only the correspondent's surname is known, the letter(s) can be filed alphabetically in the main run of correspondence or in the appropriate “letter general” folder.
- If only the correspondent’s first name is known, a single letter can be filed with other “First Name Only” or “Unidentified” correspondence. A substantial number of letters from the same person can be filed together by first name at the end of the alphabetical sequence.
- Correspondence lacking any form of identification should be filed as “Unidentified” at the end of the alphabetical sequence.
- There may be cases where it is helpful to file together all unidentified correspondence about a certain topic. See example in sample finding aid.

3.3.4 Chronological Arrangement

Chronological arrangement is another common arrangement for correspondence. It is often employed or maintained in collections of historical materials in which documenting the sequence of historical events at a particular time or place may take precedence over name access. It is also commonly found in certain types of correspondence (e.g. business correspondence or fan mail) in personal papers.

The original order of the material should be respected when making decisions about chronological versus alphabetical arrangement. In many cases it will be sensible to maintain a chronological arrangement that was inherited from the creator, but weigh this strategy against the potential demand for name access to the correspondence, as well as security concerns if there are high-profile autographs in the collection. Effective name access often can be achieved through description, even when the chronological sequence is preserved.

Undated letters in a chronologically-arranged series or sub-series may be filed at the end of the sequence.

3.3.5 Envelopes

Envelopes are generally retained with the letters they accompany. Decisions to discard envelopes are made in consultation with a curator.

Item-Level Processing Options for Envelopes:

- Letters are generally removed from envelopes and unfolded.
- File an envelope in front of the letter with which it is associated. This expedites microfilming prep in the event that the collection is later filmed.
- Check envelopes for any information that may help to identify the item (dates, correspondents, places, etc.) and use a soft pencil to transfer this information neatly to the upper right-hand corner of the first page of the letter, without overwriting information or defacing the document.
- Orphaned envelopes should be placed at the end of the folder or, if they are numerous, in a separate folder, at the end of the person's correspondence. Do not interfile them chronologically with the rest of the correspondence.

3.4 Writings

This section addresses drafts and associated documentation for published and unpublished textual works. Material generally originates from or is related to the individual around whom the collection has been created, but can also relate to third parties or topics.

3.4.1 Series and Sub-series

Writings may include research materials, background notes, outlines and synopses, drafts, galley and other types of proofs, printing samples, and published versions of works, as well as publicity, reviews, correspondence (e.g. accompanying letters or fan mail), dust jackets, and related artwork.

Factors to consider when determining arrangement for writings include original order, an author’s output (including both volume and literary genres), and research value.

Drafts and associated documentation may also be found mixed with correspondence, notes and notebooks, clippings files, printed ephemera, and other materials. These writings (e.g. a draft in a notebook) can usually be left with materials in non-writings series, with cross-references as appropriate.

Common literary genres and categories used as sub-series (and, in some cases, as series):

- Autobiographical Writings

- Articles and Essays
- Books
- Children's Books
- Diaries. Use when writings predominate. Otherwise, diaries may be filed with Personal Papers.
- Edited Works
- General Writings. Use as a broad category alongside a sub-series for a specific genre.
- Journals. Use when writings predominate. Otherwise, journals may be filed with Personal Papers.
- Lectures, Speeches, and Public Addresses
- Notebooks. Use when writings predominate. Otherwise, notebooks may be filed with Personal Papers.
- Novels
- Plays
- Poetry
- Radio Broadcasts
- Radio Plays
- Reviews
- Screenplays
- Short Fiction or Short Stories
- Shorter Works. Use for articles, essays, open letters, book reviews, blurbs, obituaries, tributes, short fiction, lectures, speeches, public addresses, outlines, proposals, radio broadcasts, interviews, and other forms. When present in significant quantities or if important, these different forms can be treated as separate sub-series.
- Translations
- Other Writings. Use for single examples of works that do not belong to other sub-series when multiple sub-series are present.
- Writings of Others. Use when not present in quantity sufficient to justify a separate series.

The quantity, nature, and significance of writings will often vary between sub-series, and different approaches to arrangement may be required or applied. As a general rule, sub-series are arranged in descending order of significance (see: Sinclair Lewis Papers, YCAL MSS 268). When multiple sub-series of comparable significance are present, sub-series may be arranged alphabetically by title, with "Other Writings" at the end of the series. Subdivide sub-series if appropriate. "Writings of Others," when present as a sub-series, is commonly filed last.

File- and Item-Level Processing Options for Writings:

- Arrange works alphabetically by title.
- Arrange materials relating to individual titles (e.g. background materials, drafts, and galley proofs) according to the stages of the work outlined in The Creative Process.
- Use chronological arrangement for works lacking titles (e.g. diaries, journals, and notebooks) and for small series and sub-series of general writings. See David Gascoyne Collection (GEN MSS 529).
- File untitled writings (as "Untitled") at the end of the alphabetical sequence or, if the title of the work is known, by a supplied title in the appropriate place in the alphabetical sequence.

Other considerations:

- Translations by others of works by the creator of the papers are usually treated as a writing of the translator and filed under writings of others.

3.4.2 The Creative Process

When possible, it is best to arrange book-length manuscripts according to the stages of the work (see The Creative Process). For less extensive writings files, the same principle of arrangement can be followed, as best as can be determined, with various stages of the work arranged in the order in which they were created.

The level to which The Creative Process guidelines are applied to materials relating to individual titles is flexible and should depend on the material, original order, research value.

Materials related to writings, physically and conceptually, are often found mixed with other materials in the collection. These materials can usually be left in non-writings series.

3.4.3 Published vs. Unpublished

Do not attempt to classify writings as published or unpublished. The library is prepared neither to do extensive research on this point when processing collections nor to update finding aids with publication information when it becomes available.

Materials should be filed under the published title when a work is known to have been published. When a work has been published under various titles (including translations), generally material can be filed under the title of the first published occurrence of the work, and sub-arranged by titles of versions represented in the files. In some cases, for example, if a work was published simultaneously in multiple languages, the context of the archive will determine how to file the works. For examples, see the Richard Wright Papers (JWJ MSS 3) and Nina Berberova Papers (GEN MSS 182).

If no published title is identified, file the various manifestations under the title of what appears to be the final version of the work.

3.4.4 Unidentified Writings

Writings of unidentified authorship should be listed as “Unidentified” and filed at the end of the author list in the Writings of Others series or sub-series if possible. [example, e.g. Joseph Brodsky Papers].

If subject identification of untitled writings is useful or important, supply a title. Otherwise, just list them as “Untitled.” (Example: Glenway Wescott Papers, YCAL MSS 134)

When listing a physical item as “untitled” bear in mind that some readers may understand this to mean that the work itself was never titled, which may or may not be the case. If confusion is anticipated, consider adding qualifying notes.

3.4.5 Writings of Others

When determining the level of arrangement for Writings of Others, consider the presence and absence of original drafts and/or annotations, and the significance of the authors of any original drafts and/or annotations. Writings of Others can be arranged alphabetically by author or by title of work, with writings of unidentified authorship filed at the end of the sequence. When present in significant quantity, consider a separate series for this material.

3.5 Other Common Series and Sub-series

Section 3.5 describes the arrangement of other common series used in Beinecke collections. These arrangement statements apply to collections being arranged at the file or item level.

Writings of Others

Use when writings of others are present in some quantity. When determining the level of arrangement for this series, consider the presence and absence of original drafts and/or annotations, and the significance of the authors of any original drafts and/or annotations. Writings of Others can be arranged alphabetically by author or by title of work, or into sub-series by subject, if appropriate (see: James Welch Papers, YCAL MSS 248).

Subject files

Use Subject Files when such material exists in a significant quantity and is not more appropriately filed in another series. Material that pertains exclusively to a writing project represented in the *Writings* series can also be classified with other material about that work in the *Writings* series. Subject files are often arranged alphabetically by heading.

Printed works or Printed materials

Use Printed Materials if an accumulation of such material is not more appropriately filed in another series. This sub-series is sometimes used for the published writings of persons other than the record creator when a *Writings* series does not exist. Printed Materials can also include general ephemera. [Link to section on printed material in Chapter 4]

Family papers

Use Family Papers for a significant quantity of material associated with a family. These papers can include correspondence, writings or other papers. Smaller numbers of pieces of family documentation may be incorporated (possibly as a sub-series) in a Personal Papers series, and not treated as a separate series. Consider the provenance of the papers when determining the best way to incorporate them into the arrangement of the collection. If there is little or no significant original order, Family Papers may be arranged by format or by topic (i.e. name of individual family member).

Personal papers

Use Personal Papers for documentation pertaining to the individual who is the focus of the collection that is not more appropriately filed in another series. Common sub-series include: Address Books, Awards and Certificates of Merit, Diaries, Financial Records, Legal Documents, and Scrapbooks. Personal papers are typically arranged by subject or format.

Memorabilia and personal effects

Use Memorabilia and personal effects when such material is present in a significant quantity and is not more appropriately filed in another series (such as Personal Papers). Memorabilia are typically arranged by format, subject or chronology.

Photographs

Photographs can be arranged chronologically, by subject, by photographer, or by format or photographic process. Unidentified items are usually filed at the end. Commonly used sub-series include: Family, People, Photograph albums, Places, Portraits, Publicity photographs, Works by known photographers, Unidentified people, Unidentified places. Small quantities of photographs may be included as a sub-series in a Personal Papers series.

Other papers

Use this series to classify miscellaneous papers that do not belong in any of the established series or sub-series. These papers can be arranged alphabetically by title, chronologically or by format.

Chapter 4. Physical Processing

Physical processing includes routine preservation measures such as rehousing into standard-size, acid-free boxes and folders, sleeving, and storage and housing of special formats or fragile items, and weeding of duplicates and some printed material.

See also Chapter X, Special Formats, for guidelines pertaining to specific material formats.

4.1 Separating material

Beinecke rarely engages in appraisal activities in the traditional archival sense of the term. The curator responsible for the collection makes all final decisions about acquisition and retention of material. However, the archivist responsible for processing the collection will become the person most familiar with its contents and with the relative significance (or insignificance) of particular items, and is encouraged to make recommendations to the curator regarding retention in the processing plan or at any stage during a processing project. Archivists do routinely separate duplicates and printed material, and guidelines for these processes can be found below.

A note about appraisal: while archivists at Beinecke rarely separate materials from collections based on their content, relevance, condition, or other factors, they do perform appraisal on collections when they make decisions about the levels to which to arrange, describe, and preserve collections. Archival appraisal is, at heart, the application of value to materials, a process that is at the heart of processing.

4.1.1 Printed material

Printed material is generally found in manuscript collections in two forms: printed ephemera, ranging from menus to broadsides, and what we might call “published” material, usually books. The latter is most often separated from the collection, and the former is most often retained within its original context in the collection, although there are exceptions on both counts. While the ultimate decision regarding disposition of the material is made by the curator, the archivist is responsible for bringing it to his or her attention to ensure that particularly interesting or important printed items can be described to the best advantage.

The archivist may recommend that some printed items remain with the papers. Heavily annotated books may serve as evidence of the creative process; other items may document aspects of a life or career that are not otherwise represented in the papers. Consider the relationship of the item to the collection: would it benefit research to keep the item physically among the papers?

The curator will review the printed material and make one of the following decisions about its disposition:

1. Retain items in the collection and arrange and describe them in a manner consistent with the overall level of arrangement and description for the collection. This may or may not involve item-level description in the finding aid.

2. Retain items in the collection but have them cataloged separately by the Rare Book Team. This cataloging is usually done after processing is complete: the archivist attaches a list of items to be cataloged, including box and folder locations, to a copy of the collection-level catalog record, and gives this to the Head of Technical Services.

3. Separate items from the collection. These will be either cataloged separately by the Rare Book Team, with appropriate provenance tracings in the catalog record, or flagged as not of interest to Beinecke and discarded. The archivist fills out a Printed Materials Transfer form for material that will be physically removed from the collection, and transfers the material to Printed Acquisitions.

4.1.2 Retention of copies

Collections frequently contain copies of material present in the collection in its original form, copies of material held by other institutions, and copies of material for which the location of the original is not known. The decision to retain or discard these copies depends on the nature of the documents and the circumstances of the collection.

4.1.2.1 Duplicates

True duplicates should be removed if they are easily identified or if a review of duplicates would result in a great volume of discards. For less granular processing levels, identify duplicates only if there is such a significant quantity that storage concerns outweigh processing expediency concerns.

Weeded duplicates should be put aside until the processing project is complete. Duplicate material can then be referred to the curator, who may or may not wish to examine it before giving approval to discard.

Item-Level Processing Options for Duplicates:

- Retain no more than 2-3 copies (i.e., original and best copies) of any item in the collection;
- When checking multiple copies for (possible) minor variations is simply too time consuming, retain all copies

4.1.2.2 Copies of Beinecke collection material

In the past, originals from one collection were sometimes photocopied and filed into related collections in order to facilitate research access to materials related by topic. The library also sometimes provided donors with copies of material that they donated, and these copies were then given to the library as part of later accessions. Once the presence of the originals is verified, these can usually be discarded.

4.1.2.3 Other copies

Creators of collections often collect copies of material from a variety of sources in the course of their own research and in pursuit of their own interests, and these are usually kept and considered an organic part of the collection.

In other cases, copies were given to the library in lieu of the originals, as in the case of personal correspondence from a prominent individual that the recipient did not want to part with. In most cases, this material is retained, but in some cases (for instance, a large volume of copies for which the originals are known to be available in another institution) the library may decide to discard this material.

4.1.2.4 Transcripts

In the absence of an original source document that can be used for verification, transcripts should be considered original documents. Transcripts should be so noted in the box and folder list to avoid confusion about the location of the original document.

If a folder contains both an original document and a library- or dealer-supplied transcript, the transcript usually is not kept unless the original is extremely difficult to read. If the archivist decides that the information on the transcript is worth retaining, s/he should consider photocopying it onto acid-free paper and then discarding it.

Transcripts made by or for the creator of the collection are usually retained, filed after the original items.

4.1.3 Procedure for discarding material

Material weeded from a collection (other than books, which are often traded) must be shredded, or, if this is not possible due to format or environmental concerns, disposed of in way that ensures that it is not identifiable as Yale property or the property of the former custodian.

- Names or ownership markings must be removed or effaced before disposal.
- Objects must be disposed of in the trash, and may not be adopted by staff members.
- Potentially dangerous items (such as deteriorated early plastics) must be disposed of in an appropriate manner.

4.2 Enclosures

An enclosure is generally kept with the item it accompanies. An enclosure may be more prominent than its carrier within the context of the collection, and may be filed as such; in this case, file the carrier with the enclosure(s). Exceptions to this practice may include the physical separation of fragile items or items requiring special housing, such as daguerreotypes, tintypes, cartes de visite, objects, or other items that have artifactual value or special storage needs.

Examples:

- A brief, insubstantial cover letter accompanying a manuscript : retain letter with manuscript and file with writings
- A manuscript of peripheral interest accompanying a lengthy, substantive piece of correspondence : retain manuscript with letter and file with correspondence

Item-Level Processing Options for Enclosures:

- Highly acidic items may be photocopied [link to instructions] or enclosed in bond paper or mylar sleeves;
- Extremely fragile items and some photographs may require a mylar sleeve for support and to protect them from abrasion.
- Bulky serials or newspapers may be clipped with the approval of the curator.
- Make appropriate cross-references for items removed for separate storage.

4.3 Unopened Items

Unopened envelopes, where ever these occur in the collection, should be opened carefully during processing to facilitate access. Enclose the envelope and its contents in a piece of acid-free paper annotated with the following text: "This envelope was unopened at the time of acquisition. It was opened by the library, [date]."

When a significant quantity of unopened envelopes is present, add a processing note at the collection level.

4.4 Attached Items

Items attached to documents—including items attached with adhesives, staples, and paper clips—are generally left as encountered when collections are processed to a series, box, or file level of control. This is particularly true in collections boasting a large volume of stapled items in good condition.

Exceptions to this guideline include situations:

- where material has high artifactual value;
- where anticipated use is expected to be high and paper is brittle;
- where extremely corroded hardware poses a risk to researchers.

In circumstances where attachments create a clear risk for material, consult with your supervisor to assess options.

Notes or other items attached by a donor or vendor may be discarded if no information is lost. Otherwise, add these materials to a collection's processing file.

Item-Level Processing Options for Attached Items:

When processing to item level control, notes and other items attached with adhesive, staples, paper clips or other hardware may be removed to facilitate use or due to preservation concerns.

- An attachment should be kept with the item from which it was removed, enclosed in mylar or a permalife sheet if necessary.
- If the placement of the attached item is significant, consider making a photocopy or snapshot of the complete item with the attachment(s) in place and storing the copy or photo with the original as a record of its original appearance.

Other options:

- attachments may be removed and rehinged by a conservator
- entire item may be microfilmed before attachments are removed

4.5 Framed Items

Framed items—including framed photographs—are usually removed from frames and provided with appropriate alternative housing and storage; rehousing provides efficient storage, handling, and retrieval and is recommended in most situations. Before removing items from frames, you may need to consult with your supervisor, the curator, and/or the Preservation Coordination Librarian, depending on the nature of the material. For example, in some cases the frame contributes to the aesthetic and monetary value of a work of art, and the curator must be consulted in any case in which this could be a factor. In other cases, items may be adhered to the frame in a manner that prevents removal without damage, and the item is best removed by conservation staff.

Do <u>not</u> unframe:

- pieces that, once out of the frame, will still be too large for flat storage
- an apparently fragile item unless it can be routed directly for necessary treatment and rehousing (if this is the case, leave the material framed and route as is)
- works of art in unfixed or fragile media (e.g., chalk, pastels, pencil, charcoal, oil painting, etc.)
- cased photographs such as daguerreotypes, ambrotypes, or other formats for which the frame constitutes an integral part of the research value of the item

If a decision is made to leave material framed, but the matting and frame do not appear to be museum quality, consult with the Preservation Coordination Librarian about possible conservation options.

When a decision is made to remove an item from its frame, consult with the curator regarding disposition of the frame. Depending on its condition or other factors, s/he may wish to retain it for exhibition or offer it back to the donor or another party. (Mass-produced, ready-made frames in poor condition can usually be discarded without involving the curator; consult with your supervisor in cases in which the difference is not clear.)

Storage

Where possible, house small items that remain framed in boxes with other collection material, taking precautions to prevent damage to the frame and to adjacent items. Options include wrapping in several layers of tissue paper, or sandwiching between archival corrugated board.

Large items that remain framed are typically housed in the Art Storage ranges. Light-sensitive items, such as photographs and watercolor drawings, can be covered in muslin for added protection.

Alternately, a large framed item may be stored in its own box or in a broadside drawer. Use boxes as close in size as possible to the frames' actual dimensions. Custom-made boxes are an option for odd-sized frames that do not fit well into standard oversize boxes. Mark boxes containing framed items with appropriate "Fragile: Glass" labels, and consult with Access Services about appropriate shelving locations (fixed as opposed to movable shelving).

4.6 Restricted Material

Two types of restricted material occur in Beinecke collections. The most commonly restricted materials are Restricted Fragile. Restricted Papers, which are materials restricted for reasons of privacy (usually at the request of the donor), also occur but are far less common.

4.6.1 Restricted Fragile

Items that would be damaged through handling or whose media or material composition would likely incur loss of content over time may be restricted from regular public access, and a reference surrogate supplied in its place.

The level of control to which a collection is processed will likely determine the degree to which fragile material is identified. If a collection is being processed at the file level of control or above, fragile items may be identifiable only if present in bulk, or if particularly and visibly at risk. Item-by-item selection of fragile items will likely not be feasible at these higher processing levels. This is a loose guideline, however, as exceptionally interesting or valuable materials may come to light during processing and merit special care.

Item-Level Processing Options for Restricted Fragile Papers:

- Thermofax paper, carbon paper, newsprint, telegrams, etc. may be designated Restricted Fragile in order to preserve content that would be lost due to inherently unstable media.
- Audiovisual material and computer disks are usually designated Restricted Fragile as the content is not accessible to researchers in the original format.
- Photographic material such as color slides may be designated Restricted Fragile and stored in cold storage to slow fading. Nitrate negatives must be stored separately in explosion-proof freezers.
- Consider Restricted Fragile when:
    - the contents of a particular item, folder, box, or sub-series is appraised as particularly substantive; or
    - use of the collection is anticipated to be high, with materials put at risk due to frequent handling

There are two steps to physically processing an item designated as Restricted Fragile:

1) creation of reference surrogate
2) packaging of original material

Reference surrogates are filed in the collection in place of original material or objects.

Options for reference surrogates include:

- A Preservation Photocopy on Acid-Free Paper

  Preservation photocopies are created in house. See instructions [link].

  The following statement should appear on each leaf of a preservation photocopy, preferably at the top: PRESERVATION PHOTOCOPY: ORIGINAL MATERIAL IS RESTRICTED

- Printout from the Digital Library

  Use a reference printout of the item if a surrogate image is available in the Beinecke's DL. Label the printout with the text "Original material is restricted."

- Print of digital photograph

  Confer with your supervisor about options for digitizing material.

If an item is too fragile to have a reference surrogate created, consult with the Preservation Coordination Librarian about treatment options.

4.6.1.1 Packaging

Unless a custom box is required or the material is assigned to Art/Objects storage or Cold Storage, Restricted Fragile material is housed in standard document boxes or oversize boxes. Restricted Fragile material must be housed in separate boxes from other collection material, even if there are only a few folders, and labeled as fragile, non-circulating material.

In general, all items originating from a single folder in the main files should be foldered together in Restricted Fragile. House the materials in a manner that will provide safe and stable storage.

Options include:

- foldering items individually for extra support;
- enclosing items in individual mylar sleeves;
- using light 2- or 4-flap wrappers;
- providing custom containment or support made by conservation staff.

4.6.2 Restricted Papers

4.6.2.1 Processing

Generally, restricted papers are not processed, but simply filed at the end of the collection in a series titled "Restricted Papers." When the restriction is lifted, the papers are processed and integrated into the finding aid, often treated as an addition.

Exceptions may be made when the restricted material comprises a discrete intellectual unit or group of papers, and the archivist knows generally what it is. In these cases, the material may be filed in an appropriate place in the collection—for instance, as a sub-series of correspondence, if the restricted papers are correspondence. This option allows for more seamless reintegration of the material into the collection when the restriction is lifted. In these cases the material may be further arranged and rehoused or not, depending on the nature of the restriction and the curator's preference. In most cases the material is simply segregated and sealed.

If no end date for the restriction is apparent in the acquisition paperwork or on the material, consult with the curator to resolve this ambiguity.

4.6.2.2. Packaging

If Restricted Papers are already sealed, do not open the package. Simply place the sealed package in a box, and file at the end of the collection, and seal the box (see below).

If the material is not already sealed, place it in folders for physical support, place the folders in a standard archival box or boxes, and seal the box(es).

Always label the box itself, before sealing, with the standard box label produced from the finding aid, and with the barcode. This eliminates additional physical processing after the restriction is lifted in cases where an entire intellectual unit is restricted, and in all cases it provides secure identification of the material when the restricted packaging is removed.

Sealing the box may be accomplished in several ways, but the goal is to create a situation in which any access to the box before the end of the restriction is physically apparent: a cut string, a ripped label, a torn wrapper. In the past, boxes were taped shut, but because this method often damages the boxes so that they can't be used when the restriction is lifted, other methods are preferable. Options include:

- Wrap the entire box in paper and tape shut. Label the outside wrapper with the standard box label, the barcode, and an additional "Restricted/Closed Until [date]" label.

- Tie the box shut with archival string tape, using one piece of string wrapped around the box twice (horizontally and vertically). Place the "Restricted/Closed Until [date]" label over the tie and back with a second label to hold in place. A second restricted label should be placed over the string on the end of the box that will be visible on the shelf, also backed with a second label. The standard box label and barcode on the box itself remain visible.

NOTE: Students should not be permitted to work with Restricted Papers.

4.7 Housing of Material

4.7.1 Foldering

Use legal-size folders as the default for all material that fits within them. (Oversize material is foldered and boxed separately.)

The amount of material in a single folder depends on the type of material. Very fragile or valuable items should be foldered at a fine level while up to one inch of material in good condition can be foldered together.

Take the following into consideration when determining the level of foldering:

- the overall approach to the collection, including the level of preservation deemed necessary or appropriate
- exceptional physical condition
- exceptional security considerations
- amount of material and how much fits in a folder
- expected amount of handling

Format-specific notes:

Multi-page items: Letters or drafts of writings can be enclosed in a wrapper of acid-free bond paper in order to keep the pages together if it is not otherwise possible to tell where one item ends and the next begins within a folder that contains other material.

Lengthy items: If a document, manuscript, or other item is too large to fit in a single folder, divide it at a logical place, e.g. a chapter break.

Bound volumes: Bound volumes are generally foldered individually. Volumes that are fragile or have particular artifactual value are boxed or wrapped individually. In some cases two or three volumes can be foldered together (e.g. address books or pocket diaries in good condition). Custom folds may be created as necessary with a bone folder to accommodate volumes greater than one inch thick.

Oversize material: Folder oversize material according to the size of the largest piece in a box or broadside drawer.

4.7.2 Boxing

In large collections, begin each series in new box. In smaller collections, a single box may contain more than one series.

If a box contains only a small amount of material, support it with a piece of acid-free corrugated board, which can be folded to size.

Oversize: Flat boxes which fit in the main stacks (11x17 and smaller) are not considered Oversize unless what is housed within them is pulled from a variety of locations in the collection. That is, if you have an intellectually discrete group of material that fits in these boxes it can be accommodated without any special considerations or pointers elsewhere, but 11x17 boxes housing material from several places in the collection should be shelved in Oversize to avoid confusion for those paging material from the stacks. Anything larger than 11x17 is Oversize.

Leave space for items temporarily removed:

- If you anticipate that material sent for conservation, once treated, will be returned to general use, try to leave adequate space in the box to accommodate it: use filler board in the meantime to keep other material in the box upright. If the material cannot be handled safely even after conservation, file as Restricted Fragile.

- Audiovisual reformatting can take some time, and processing may be complete before material is returned. Make sure to leave room for both surrogates and originals in the appropriate places.

4.7.3 Storage Locations

The following sections provide guidelines for identifying and physically preparing materials for specific storage locations.

4.7.3.1 Oversize Material

Typically, material is classified as Oversize because it falls within one of two categories:

1. An isolated piece pulled from a body of standard size material, which simply cannot be housed in a legal size folder with other material;

   OR

2. A body of similarly large material (e.g., a group of drawings; a batch of matted photographs) that cannot be reasonably accommodated in the main (octavo) shelving ranges.

For instructions for determining if a box is oversize, see the section on boxing.

Oversize material is shelved in designated oversize containers and shelving areas. These include: oversize boxes and portfolios shelved in folio shelving; broadside folders stored in broadside cabinets; rolled material stored in or around tubes in rolled storage (this storage location may also be used for portfolios that exceed 42" both ways), framed material hung in framed art ranges, and three-dimensional objects stored in objects cabinets.

To ensure efficient and safe housing of items stored in boxes that are to be stored in folio shelving, folder and house material according to size, not in strict series order. Folder all material to be housed together to the size of the storage container (box or broadside drawer).

4.7.3.2 Rolled Storage

Rolled storage is an option for unbound sheets, such as maps, scrolls, rubbings, and architectural drawings, which cannot be stored flat in an oversize box or broadside cabinet. Materials must not be brittle, or likely to become brittle, or be in fugitive media (e.g., chalk drawings; non-water based paints that might crack and flake), which are likely to be damaged by the mild rubbing together of surfaces that is inevitable when something is rolled and unrolled, or by flexing of the carrier surface.

Rolling a Document in 5 Steps:

> 1. Pencil the call number, including folder number, of the item on the verso, in the lower right corner, to facilitate identification of the piece in the event it becomes separated from its storage tube and wrapper.
>
> 2. Use tubes that are 3" in diameter and acid-free. The tube should be longer than the short dimension of the document, so that when the document is rolled on the tube there is at least a 1.5" extension of the tube beyond the edges of the document. We have standard size tubes in stock: use the size closest to the appropriate size for the document. An overly long tube can be cut down (the Conservation Lab has the equipment to do this), however, as much as possible try to stay with standard size tubes, without cutting them down, to facilitate shelving and stack maintenance in the rolled storage stack area. If the document is extremely fragile, wrap the tube with acid-free tissue or glassine to create a softer, smoother surface before rolling the item around the core.
>
> Alternately, telescoping boxes may be available to house very large rolls. [Need to confirm]
>
> 3. Once it is rolled over the tube, cover the document with a heavy, acid-free wrapping paper. The paper cover serves as a dust protector, protects the document from light, and helps to secure the document to the tube. The paper cover should be long enough to wrap around the document and overlap itself. The cover should be wide enough to extend beyond the edges of the document rolled on the tube and still leave the ends of tube bare. These ends protect against brushing or abrasion. If the document is extremely fragile, wrap acid-free tissue, glassine, or mylar around the document and before applying the paper wrapper.
>
> 4. Secure the cover to the tube by tying a string around the middle of the tube. For longer tubes, additional strings at the top and bottom may be required to better secure the wrapper and prevent it from being folded back or torn as the tube is removed from and replaced on to shelving.

5. Label and barcode the roll on the wrapper, on the end, using the box and folder labels printed from the finding aid. The labels should be oriented parallel to the bottom of the tube, so that they can be read easily when shelved.

4.7.3.3 Art / Object Storage

Art and objects may be stored in Art/Object Storage, which includes ranges for hanging framed items and open bins for three-dimensional objects.

Chapter 5. Special Formats

Material in special formats should be processed in accordance with the philosophy and general guidelines outlined throughout this manual. This chapter provides additional guidelines for the arrangement, description, physical handling, and storage of formats with specific needs. As with any material, the level to which these formats are processed will depend on the research value of the material, its physical condition, and anticipated use.

Questions about storage for particular items may be addressed in consultation with the Preservation Coordination Librarian and/or the curator of the collection.

<u>5.1 Two-Dimensional Visual Works (Non-Photographic)</u>

The creation of visual works on two-dimensional surfaces (such as paper, canvas, vellum, etc.) communicates information through primarily visual and nonverbal means, which often relies on figurative or expressive meanings, or an aesthetic experience. This includes pictorial material such as images created with paint on canvas or pencil drawings on paper.

5.1.2 Arrangement

Arrange two-dimensional visual works following the models laid out for textual material, but consider the challenges of the items, including their fragility, the preservation challenges of particular formats, the usual lack of caption information, and the common absence of original order.

Strategies for arrangement include *creator* (artist)**,** *subject* (portraits, abstracts, landscapes, etc.), or *medium* (pastel drawings, watercolors, sketches, pen-and-ink drawings, prints, etc.)

Visual works arranged by creator could be further arranged alphabetically by title of each work.

Visual works organized by subject provide a topical approach that often reveals the interests of a collector or intent of a creator.

Arrangement by medium facilitates proper housing, storage and conservation, and consistent physical description.

5.1.3 Description

When describing at the file or item-level, use titles assigned by the creator when possible, or provide brief descriptions of the subject matter. Depending on the value of the material, you may decide to include specific physical descriptions. See *Graphic Materials: Rules for Describing Original Items and Historical Collections* (Betz); see also the Manuscript Unit's Cataloging Manual for Visual Materials.

5.1.4 Storage and Handling

In all cases, archivists should consult with the appropriate curator and the Preservation Coordination Librarian to determine storage options.

Paintings

In most cases, oil, acrylic, and other types of paintings on canvas, panel, or board, should remain in frames, preferably under glass to protect their surface. Framed paintings without glass should be wrapped in acid-free paper or Tyvek to protect the surface from dust, other environmental pollutants, and abrasion. Do not use Mylar, as the static can lift paint flakes from the surface.

Framed works stored in boxes should be enclosed in polyethylene foam sheets (such as Volara) before being housed in boxes custom-fitted with polyethylene blocks (such as Ethafoam) to prevent shifting. Framed works too large for storage in boxes on folio shelves should hang in the Art Storage area.

Oil paintings without frames should be framed if deemed sufficiently important. Otherwise, store them individually and flat in folders and boxes.

Works of Art on Paper

Works of fixed media on paper (e.g., watercolors, prints, and some drawings) may be unframed, interleaved with acid-free paper, and grouped in folders, or for more fragile or important works, mounted in standard-size acid-free window mats with the image covered by acid-free paper or a cover mat. Various standard sizes of oversize boxes are available for storage of these materials; special boxes may be obtained to accommodate special cases.

Works of friable or unfixed media (e.g., charcoal, chalk, or pastel) should be kept framed, under glass (not Plexiglas). If not framed, consult with the appropriate curator and Preservation Coordination Librarian regarding appropriate housing options.

Some works on paper should remain framed for aesthetic reasons, or because the frames have association or artifactual value (e.g., frames that are handmade, vintage, or particularly beautiful, or that were created especially for the work by the artist or owner).

Fragile material in frames should be left framed until completion of appropriate conservation action.

5.2 Maps

Bound, folded maps usually are best housed as issued (i.e., folded and enclosed in the board covers). Some may benefit from tissue backing to reinforce fold lines. Consult with the Preservation Coordination Librarian as necessary.

Unbound, folded maps may or may not be flattened and stored in oversize storage (including rolled), depending on condition, expected use, and artifactual value. However, sectioned maps mounted on linen usually can be stored folded in folders, housed and stored as originally intended.

5.3 Three-Dimensional Objects

Individuals and organizations often keep three-dimensional material in addition to the texts and images they create. These items usually directly or indirectly pertain to the life and/or work of the creator. Examples include a commemorative medal for a special achievement, sculpture or decorative arts, and distinctly personal items such as locks of hair, jewelry, buttons, articles of clothing, wallets, etc.

Often objects have exhibition and illustrative value, and occasionally research value. On the other hand, organic material such as dried flowers can usually be discarded. Archivists should consult with the appropriate curator about objects found within a collection to determine their context and significance.

5.3.1 Arrangement

Arrange objects following the models laid out for other material. Depending on the number of items in the collection, a single object may physically remain in situ, or be segregated and arranged in a series based on their three-dimensional nature, with appropriate cross-references made.

5.3.2 Description

The level and form of description for objects in archival collections depends on their format and arrangement within a separate series. Oftentimes objects benefit from specific descriptions because they usually do not have corresponding texts that identify them. Archivists should consider the following attributes when thinking about objects in a collection:

- Description (what is its purpose, condition/age, and aesthetics?)
- Identification (how does the object relate to other materials of its type?)
- Construction (how was the object made?)
- History (what is the provenance of the object?)
- Location (how does this object relate to other objects and materials in the collection?)
- Distribution (where is this kind of object found, and is it common?)
- Significance (what meaning did users assign the object?)
- Interpretation (what does the object document in relation to the larger collection or archival context?

Describe most objects sparingly in a finding aid unless security or curatorial concerns suggest otherwise.

5.3.3 Storage and Handling

House each object in a manner appropriate for its preservation, as well as for ease of safe access by researchers; this decision should be made in consultation with the curator and Preservation Coordination Librarian. Typically store items in boxes (standard or custom-made) or unboxed in the object bins with paper identification tags. In either case, affix to the box or tag the set of labels ordinarily attached to file folders.

Extremely fragile objects may require designation as Restricted Fragile Material. If this is the case, obtain an image of the item to serve as a reference surrogate, either filed in the collection or linked from the finding aid. House and label as described above, adding Restricted Fragile labels, and treat as Restricted Fragile in the finding aid. Very valuable items, such as jewelry, in rare cases may be restricted for security reasons; in this case treat as Restricted Papers. If a valuable item is very small, it may be possible to create housing that makes it accessible without putting it at risk.

Unstable physical objects, including early plastics made of nitrocellulose, live ammunition, or flammable materials, require special attention from the Preservation Coordination Librarian. Many twentieth-century collections contain matches and matchbooks, which are sometimes retained for their artifactual value. While past practice dictated that match heads be cut off, current policy, supported by preservation and conservation staff, is to leave match heads on (the temperature at which they could combust is so high that fire suppression would deploy before the matches ignited).

5.3.4 Discarding Objects

Discard three-dimensional objects that the curator has determined have little or no artifactual value. Examples of discard candidates include wooden card file boxes, picture frames, old suitcases and carrying cases, filing cabinets, and small metal or wood storage cabinets. Remove any library ownership markings before discarding the object.

5.4 Photographic Material

Photographs are images produced on radiation-sensitive materials, usually from a chemical action of light on a sensitive film, paper, glass, or metal. The photographic image may occur in positive or negative forms on opaque or transparent material. Photographs in archival collections can range from family snapshots to art photography, from daguerreotypes to silver gelatin prints. Collections from the end of the twentieth century and later may also include digital images.

Photographers create photographic images with a variety of intentions. It is important for the archivist to consider the context for the image creation as well as the image content of photographs.

5.4.1 Arrangement

When determining arrangement, archivists should keep in mind the challenges of photographs, including the fragility of the material, preservation concerns for particular formats, the common absence of caption information, the common absence of original order, and the duplicative nature of the material as represented by negatives, positives, and copies of copies.

Like textual collections, collections comprised primarily of photographs should be arranged in a manner that takes into account original order, intellectual significance, security concerns, and physical attributes of the material.

Photographic negatives often prove invaluable in understanding the work of a photographer, especially in photographers' archives where decisions about printing images can be discerned by comparing photographic prints to photographic negatives. Still, the reversed polarity of negatives makes them inherently difficult to describe. Negatives should be arranged with other photographic material, unless they require special storage (nitrate negatives are always separated; some other negatives are separated, depending on value or condition).

Item-Level Processing Options for Negatives:

- When easily matched, file loose negatives with corresponding positive images. File negatives without corresponding positive images with other photographic material according to the arrangement scheme.

5.4.1.1 Photograph collections

A collection consisting entirely or chiefly of photographs is often arranged into series by its creator or previous custodians. Collections with no discernable original order may be arranged into series in a manner that will best facilitate research.

Series-level arrangement within photographic collections may be based on formats (daguerreotypes, tintypes, cabinet cards, exhibition prints, albums), subjects (people, places, events), genres (portraits, landscapes, working prints), chronology, projects, photographers, etc. Physical arrangement by format facilitates appropriate storage, but it need not dictate intellectual arrangement.

Further arrangement at the file and item levels may be carried out if the volume or research value of the material justifies such an approach.

Corporate, Government, and Photographers' Archives

Photographs created by corporations, government, and professional photographers often have filing schemes that provide access to images, but there can be peculiarities in these schemes that an archivist should recognize in his/her arrangement of the photographs. Remain cognizant of any relationship that may exist between negatives, photographic prints, and any other derivatives.

Intentionally Assembled Collections and Collectors' Collections

Photograph collections amassed by collectors (see Randolph Linsly Simpson Collection, Peter Palmquist Collections) or created by the library (for example, see WA Photos File) can range in their preexisting arrangement from little or no organization to highly detailed filing schemes.

5.4.1.2 Photographs in Manuscript Collections or Records

Arrangement of photographs within collections of other material should take into account original order, research value, volume, and format, among other concerns.

It is common to create a Photographs series in collections with any significant amount of material; a small number of photographs may be filed in Personal Papers, Other Papers, or in another appropriate series. A Photographs series may be arranged chronologically, by subject, by genre, or by format, as best serves the research use of the material. Some common subseries titles include Portraits, Snapshots, Family, Friends and Family, People, Individuals, Groups, Places, Travel, Albums, and Photographs of Artwork.

Photographs accompanying correspondence, writings, or other papers are usually kept with the item they accompany.

5.4.2 Description

The level and form of description for photographs depends on the overall research significance of the collection, the photographic formats present, and the arrangement of photographs within a separate series or in conjunction with other material.

5.4.2.1 Collection and Series Description

At the collection and series level, the description should capture the general characteristics of the photographic material. These descriptions are usually sufficient for small or interrelated groups of photographs. Diverse or large collections and series of photographs may require more extensive description of subcomponents, depending on image content, photographic format, and context.

If a variety of photographic formats occur in a collection or series, a description may highlight them. For example: "This series includes photographs in several formats, including black-and-white prints and film negatives."

5.4.2.2 File-Level Description

In most cases, file-level description of photographs will be sufficient to facilitate research. Files of snapshots, family portraits, photograph albums, etc., may be described broadly within the context of their arrangement, without specific mention of formats or extent.

5.4.2.3 Item-Level Description

Item-level description of photographs should be reserved for material with high research value. Even when items are listed individually in the finding aid, there is a range of descriptive detail that may be provided or not, depending on the nature of the material. For instance, a series of portrait photographs may be described at the item level with only the name of each subject, but descriptions in a series of daguerreotypes or art photographs may also include detailed physical descriptions and other information such as image content summaries or edition numbers.

In some cases, particularly where early photographic processes are present, the format of the photographs may be as interesting to researchers as the image content. Formats traditionally described with a high level of detail include early photographic processes, such as daguerreotypes, ambrotypes, and tintypes (often in their original individual cases, which may also merit description), as well as glass plate negatives, lantern slides, stereographs, transparencies, and slides (usually 35mm positive transparencies on film in a mount of 2 by 2 inches). Additionally, for photographs for which security is a concern, noting the format can be important in helping to identify particular items.

Consider Item-Level Description of Photographs for:

- Early photographic processes (e.g. images on metal or glass, salted paper prints)
- Stereographs (these commercially-published items are often searched individually)
- Art photographs (e.g. physical aspects of item are part of its value)
- Work of prominent photographers
- Rare formats (e.g. photographs on unusual media such as leather or ivory)
- Rare subjects (e.g. the only or earliest image of prominent person, the only known documentation of particular event)

Collections or series that will be scanned in their entirety for the Digital Library may require item-level description to facilitate that process; consult with your supervisor and the Head of Digital Projects and Metadata to determine whether this work is best carried out by the Manuscript Unit or the catalogers in the digital studio.

5.4.3 Storage and Handling

Photographs are complex chemical and physical items. Most photographs are comprised of an emulsion or image-bearing layer adhered to base or support material. The emulsion or image-bearing layer is usually chemically unstable and subject to damage from abrasion or chemicals (such as oil from fingers), while support materials can deteriorate, break, or tear.

The fragility of some formats, such as cased photographs or glass plate negatives, often necessitates special housing. Consult with the Preservation Coordination Librarian about options. In these instances, consider the production of digital surrogate in order to minimize handling of the fragile photograph. For high value items, conservation treatment may also be an option.

5.4.3.1 Photographic Prints

Original photographic prints may be housed in Mylar sleeves to protect them from handling and environmental abrasion, as well as to provide support to unmounted photographic prints or to cracked paperboard mounts.

Large quantities of photographic prints in collections and series often necessitate economic strategies. The archivist should gauge anticipated use of the collection to decide whether large quantities of photographic prints warrant individual sleeves. In these cases, photographic prints may be housed in folders without sleeves. A note in the finding aid may alert the researcher that the photographic prints should be handled with care.

Item-Level Options for Housing Photographic Prints:

- Select sleeves of a proper size for the individual photographic prints. Fold-lock Mylar sleeves should have the overlapping lock on the verso of the photographic print so that a line does not run across the image, which risks scratching the emulsion. If a Mylar sleeve is insufficient for support of particularly fragile items, consider adding another rigid support behind the photograph. Consult with the Preservation Coordination Librarian regarding other strategies.
- Per curatorial discretion, photographic prints of particular intrinsic or aesthetic value may be housed in mats cut to fit standard-size boxes for flat storage.

Oversize photographic prints should be housed flat in folders of a paperweight exceeding that of the base and/or mount of the photographic print. For extremely fragile large prints, consider matting for preservation.

5.4.3.2 Cased Photographs (Daguerreotypes, Ambrotypes, and Tintypes)

Cased photographs may be stored horizontally or vertically. Consult with the Preservation Coordination Librarian about any damaged cases, especially those with loose image packages. Daguerreotype and ambrotype plates without protective glass covers require immediate conservation attention to assure that no damage occurs to their fragile image-bearing surfaces. Tintype plates without protective glass necessitate housing in Mylar sleeves and should be stored in a manner that minimizes abrasion and chipping of the emulsion, as well as bending or breaking of the metal plate.

5.4.3.3 Film Negatives

Due to their fragile nature, negatives require attention and care, but do not necessarily require segregation from the original order within a collection. In most cases, properly housed photographic negatives may remain in a collection comprised of other material.

House loose film negatives in acid-free paper sleeves; if a great deal of handling is expected, sleeve negatives in mylar before placing in paper sleeves, or as an alternative to them. Film negatives may be left in original housing if no deterioration is evident (consult the Preservation Coordination Librarian). If high use is anticipated, negatives for which no positive print is present should be sleeved in Mylar to protect them from inevitable handling as they are held up to the light.

Exceptions:

- Nitrate negatives are highly flammable and must be housed in explosion-proof freezers.

- Color film negatives, which may be housed in cold storage if particularly valuable.

Assume that any film negative created between 1889 and 1955, which does not have “safety film” printed along the edge, is cellulose nitrate film and route it for cold storage. If there is no corresponding positive in the collection, a surrogate of the image should be created and filed in the appropriate folder.

Upon removal of film negatives from a collection, complete a separation sheet (and, when appropriate, attach a surrogate image) for each file from which negatives were separated.

In the case of deteriorating safety film negatives, consult the Preservation Coordination Librarian and appropriate curator to determine whether a surrogate may be produced or conservation action may be taken.

5.4.3.4 Glass Plate Negatives and Lantern Slides

Boxes of glass negatives should be segregated from the collection and stored on a shelf range that is in a fixed position rather than on movable shelving (consult Access Services for appropriate locations). Create a shelf dummy in the main box and folder sequence, pointing to this separate location. If there are only one or two glass negatives, they may remain within the main sequence in secure packages, as described below. This separation is for the preservation of the negatives and does not necessarily mean that they must be designated Restricted Fragile, although if positive prints are present in the collection, consider this option. If the negatives are particularly rare or important, consider designating them Restricted Fragile to protect them from risk of breakage in circulation; in this case obtain a reference surrogate for any image that does not have a corresponding positive print.

Place each glass negative in a four-fold wrapper or paper sleeve and label the wrappers with regular labels. Depending on the quantity of negatives involved, they may be boxed or sandwiched between pieces of mat board. Tie the box or sandwich with acid-free string and label it with the corresponding box and/or folder labels for the item(s) enclosed. In addition, include a label that identifies the contents as “FRAGILE – GLASS”

Broken glass plate negatives or lantern slides, or those items which show active emulsion deterioration or flaking, require consultation with the Preservation Coordination Librarian and the curator assess the options for conservation or special storage.

5.4.3.5 Digital Photographs

For the storage and handling of digital photograph files, consult the section on electronic files.

Most printouts of digital photographs created on traditional ink jet printers are highly unstable and their color tones and contrast levels usually fade and diminish within months of creation. Exceptions include ink jet prints created using pigmented ink, which retain image continuity on par with traditional photographic prints. If a traditional ink jet printout is the only image available, consult the curator about creating a digital surrogate.

5.4.3.6 Further information

For general information about the identification and handling of photographic prints and negatives, consult the following reference sources:

Mary Lynn Ritzenthaler, et al, *Photographs: Archival Care and Management* (Chicago: Society of American Archivists, 2006).

Mary Lynn Ritzenhaler, et al, *Administration of Photographic Collections* (Chicago: Society of American Archivists, 1984).

James M. Reilly, *Care and Identification of 19th-Century Photographic Prints* (Rochester, New York : Eastman Kodak Company, 1986)

Constance McCabe, editor, *Coatings on Photographs: Materials Techniques and Conservation* (Washington, D.C.: Photographic Materials Group, 2005).

William Crawford, *The Keepers of Light: A History & Working Guide to Early Photographic Processes* (Dobbs Ferry, New York: Morgan & Morgan, 1979).

Henry Gilmer Wilhelm, *The Permanence and Care of Color Photographs: Traditional and Digital Color Prints, Color Negatives, Slides, and Motion Pictures* (Grinnell, Iowa: Preservation Publishing Company, 1993) [Copy available on the Internet at http://www.wilhelm-research.com/book_toc.html]

Gordon Baldwin, *Looking at Photographs: A Guide to Technical Terms* (Malibu, California: J. Paul Getty Museum, 1991).

5.5 Audio and Moving Image Material

[TO COME – revised/drawn from Chapter XI.B.3, KB, 1/25]

5.6 Electronic Files

[pending further updates]

Computer media, such as disks, containing electronic or digital files are sometimes found in manuscript collections and, like other collection material, should be accounted for in the arrangement and description of the archive. The library reproduces and provides access to electronic files in collections in accordance with federal legislation set forth in Title 17, Chapter 1, Sections 107-108 of the *United States Code*.

Disks and other media are logged and pulled when a collection is accessioned and acknowledged in the Acquisitions database. Files are copied for preservation, and the original media and the Electronic File Log are returned to the collection and placed in *Restricted Fragile*.

Copies of electronic files are maintained as follows: use copies of files are stored in the electronic files directory on the library network; an archival copy is stored with the Yale University Repository Service; and a reference copy is burned to a CD upon patron request.

If you find disks or other media that have not been routed for preservation, follow the instructions (Electronic File Archiving Routines) established for newly acquired collections before proceeding to steps outlined below.

5.6.1 Security & Access

Beinecke staff members have read only rights to use copies of files on the network directory. Library patrons have read only rights to reference copies.

The library has software (Quick View Plus) for viewing electronic files on staff workstations, public workstations, and laptops. The software simulates the original software associated with the file. Printing is not always supported, however, and what you see on screen may not be what you get in print.

The file formats supported by Quick View Plus include: Generic text; DOS word processors; Windows word processors; Macintosh word processors; spreadsheet formats; database formats; graphic formats; presentation formats; and compressed formats. See the Quick View Plus website for a more comprehensive list of file types supported by the current version of the viewer.

Library guidelines for research use of electronic files in manuscript collections are posted on the Beinecke website under Research Services at Ordering Copies / Photographs / Scans.

5.6.2 Intellectual Arrangement

General Notes

Use the designated file viewing software to examine collection material in electronic form stored on the network directory, as well as the associated Contents file document (contents.txt); contents files are created for each disk when files are copied. The media, the Contents file, and file itself, should yield enough information to place an electronic file in context with other archival documents.

5.6.2.1 Computer Disks

Most electronic files in manuscript collections accessioned before 2008 came on the standard data storage devices in use since the mid 1970s: 5 ¼ and 3 ½ inch disks, zip disks, and compact discs (CDs). When evaluating files on these media formats, the following instructions may best apply.

The number of disks and electronic files in a collection may determine whether you can conduct item-level analysis and whether to arrange files by format or with other materials. Most files on these media formats include drafts of writings or material relating to writing projects (in word processing format) and correspondence (in text format). In general, small numbers of disks and files lend themselves to item-level analysis and arrangement with other materials, and larger numbers of disks and files, and disks with mixed files (e.g. writings, correspondence, software files, etc.), lend themselves to arrangement by format.

One way to keep track of electronic files when doing item-level arrangement is to create a dummy folder, labeled with information about the file, and incorporate the folder into the sorting of like material. For example, when arranging material for a particular title in a writing series, place a dummy folder for an electronic draft (see “Hotel Christobel” example in section 5.6.4.6) in the sequence of materials relating to the title.

Other types of text files can be treated the same way, placing them in the appropriate intellectual and sequential location of related files.

See the James Welch Papers (YCAL MSS 248) and George Whitmore Papers (YCAL MSS 274).

5.6.2.2 Special Cases

Some electronic files may not lend themselves to the management and access strategies outlined above. In these cases, other strategies may be desirable or necessary to provide staff and research access to the files.

- For difficult-to-access files, files prone to corruption, and relational files, it might be preferable to print a copy of the file, rather than rely on the electronic copy, for reference and research use. These copies would go into the archival boxes just as Preservation Photocopies do, and would be clearly marked as printouts from electronic files.

- For relational files, such as databases and hyperlinked documents, it may be better to recreate a mini-environment with the original software. For example, a suite of web pages could be copied to a folder that also contains a simple version of an HTML browser. Or a database file could be coupled with a viewing version of the database program.

- For graphic files, Quick View Plus and other file viewers can open and display most types of images formats. Dynamic image data (e.g., motion picture files), however, will need to be viewed on software that can properly sequence them.

- For batch files that we might describe at a finer level (e.g. Eudora e-mail folders containing e-mail from numerous correspondents, accessible in the original Eudora software), the access methods could take two forms:

    - Arrange the file at the end of the Correspondence series as a general correspondence file (e.g. “Work Letters 1997”) and include important names in a note.

    - Use the original software, if available, to access the individual components, print them out, and file them as you would paper-based correspondence. Printouts must be marked to show that they are copies of material received in electronic form.

5.6.2.3 Computers, External Hard-drives, Flash-drives

It may be possible to respect the order of digital archives of authors acquired on these media formats.

5.6.3 Physical Arrangement

Computer media should be placed in *Restricted Fragile*.

5.6.4 Description

In the finding aid, the existence, quantity, technical specifications and requirements, and conservation relating to computer media and electronic files can be described in the following EAD elements: Physical Description, Description of the Papers, Information About Access, and Notes.

5.6.4.1 Physical Description <extent>

When a collection consists solely of computer media, describe the quantity in terms of material type in accordance with *DACS* 2.5.5. See also *RAD* 9.5B3. For example:

> Physical Description: 57 computer disks

When computer media are an important component of a larger collection, describe the existence in terms of material type in accordance with *DACS* 2.5.6. See also *RAD* 9.5B3. For example:

> Physical Description: 40 boxes (incl. 27 computer disks)

5.6.4.2 Description of the Papers <scopecontent>

The existence of computer media or electronic files can be noted in the Description of the Papers. Otherwise, if electronic files are arranged at the series level, this can be discussed in the series scope and content note.

If electronic files have been printed out, rather than left in electronic form, this should be noted. If they have been printed out because the electronic file was damaged or otherwise problematic, be sure to note that the file was "salvaged" from the electronic version. If some files are printed out and others are left in electronic form, provide the rationale for this decision.

5.6.4.3 Information about Access <accessrestrict> and <phystech>

Access restrictions on original media and files should be noted in the Access Restrict element in accordance with *DACS* ?2.7. Use the following statement:

> Original [computer disks] are restricted. Use reference copy.

Technical requirements for patron access should be noted in the Physical Characteristics/Technical Requirements element in accordance with *DACS* ?3.5 – ?3.6. Use the following statement:

> Copies of electronic files are available through Access Services. System requirements include CD/DVD drive and file viewing software.

5.6.4.4 Notes <notes>

Preservation actions that results in changes to the file, such as migration, should be documented in a note element in accordance with *DACS* 7.1.? See also *RAD* 9.8B10b. For example:

> Computer files migrated by National Data Conversion from the original word-processing software (WordStar for Kaypro) to 7-bit text files to maintain readability of data. [Technical specifications are filed with the printed documentation.] [Should we drop the recommended textual explanation above or provide a list of migrated files? Perhaps with the original disks in *Restricted Fragile*? mlf 02/06]

[This element is optional according to *DACS*, but I recommend we adopt it in accordance with InterPARES and PREMIS recommendations relating to authentication. Not sure where the element should go... into the Processing notes? mlf 02/06]

5.6.4.5 Series and Subseries Headings

Local practice is to apply the term "Electronic Files" to series and subseries headings. [Electronic Files is preferred to Computer Files, the *AACR2* GMD (*AACR2* 1.1C1), as a broader and ostensibly more accurate term, one, for example, that can encompass electronic or born-digital files created on contemporary portable devices (such as digital cameras, cell phones, PDAs, etc.) not commonly identified as computers. Electronic Files is preferred to Electronic Records in order to distinguish materials created or received by individuals common to personal papers from records created or received in the course of institutional activity. Electronic is also preferred to Digital as a broader term, encompassing both analog and digital formats.]

At this time Beinecke does not apply headings by specific format (e.g. text files, image files).

See the George Whitmore Papers (YCAL MSS 274).

5.6.4.6 Folder Headings and Folder Notes

The recommended chief source of information for electronic files is the title screen (*AACR2* 9.0B1). Transcribe the title screen of the file when applying item-level analysis and arrangement. Other prescribed sources of information include the physical carriers or labels. When applying disk-level analysis, transcribe information from the physical carrier (e.g. disk or jewel case) or label. See the George Whitmore Papers (YCAL MSS 274).

When transcribing or supplying folder headings for files arranged at the item level, such as a draft, add the term "electronic file," as you would the GMD. When electronic files are arranged intellectually, outside of an "Electronic Files" series, always include the following folder note:

[Available through Access Services: [Disk #; Disk label]

For example:

Series I. Writings

PLAYS

"Hotel Christobel"

4	21	Research notes	1990
	22	Preliminary sketches	1990 Oct 1
		Draft, electronic file	1990 Nov
		[Available through Access Services: Disk#17; Hotel.doc]	
	23	Galley proof	1990 Dec

See the James Welch Papers (YCAL MSS 248).

Item-level description might also include the original file format.

Future delivery of copies of electronic files may be possible through links in the finding aid. Recommended practice at this time is to supply individual file names within the finding aid. This can be done with item-level arrangement, shown above, or by listing file names (captured in the Contents.txt document) in a folder note. See George Whitmore Papers (YCAL MSS 274).

5.6.4.7 Updating File Paths Following Processing

Once a collection has been processed, the path on the network for the files in that collection must be updated to reflect the new call number. The processing archivist is responsible for coordinating with the staff person who maintains the electronic files directories to ensure that the necessary path name changes are made.

5.7 Music

5.7.1 Arrangement

In general, arrangement of music is similar to arrangement of literary writings. A small amount of music or music that is peripheral to the research value of a collection may be included in a series such as Other Papers. If music is extensive or central to the collection's research value, organize it in one or more dedicated series or subseries. Music within a series or subseries could be listed alphabetically by work title, or subarranged by composer name, medium of performance (e.g. keyboard, voice, orchestra) or type of composition (e.g. operas, string quartets, songs, jazz arrangements).

5.7.2 Description

For music present in other series, use the term "music" in a folder title or folder note, to identify music notation and support keyword searching.

If music is organized in a single series, title this series Music, or use the word music in a more specific title. If medium of performance or type of composition is included in a series, subseries, folder title, or note, use standard terms (see below). If work titles are included, use an established uniform title, or either supply a uniform title or transcribe a distinctive title according to AACR2. For dates, keep in mind that the date of creation of a manuscript may differ from the date of composition of the work, especially for copyist's manuscripts.

For standard terms or uniform titles, consult the following sources, or request assistance from a staff member with knowledge of music:

General: Orbis Cataloging Manual: Manuscript Music (Beinecke Manuscript Unit) and Music Cataloging at Yale (Yale Music Library)

List of standard medium of performance terms: Names of Instruments and Voices in English, French, German, Italian, Russian, and Spanish (Yale Music Library). List of standard types of composition: Final Report of the MLA Working Group on Types of Compositions (Yale Music Library)

Work titles: search LCAF by name/title, or see list of works at the end of most composer entries in Grove Music Online. See AACR2, chapters 5 and 25, for rules for identifying types of composition and distinctive titles, and for supplying uniform titles.

Item-Level Description Options for Music:

Consider noting some or all of the following:

- Work title, if not already present as a subseries or folder title.
- Type of composition and medium of performance, if not already clear from the work title.
- Incomplete work, such as excerpt, fragment, quotation.
- Version of work, such as arrangement, transposition, adaptation.
- Format of notation, such as full score, vocal score, music for solo instrument.
- Stage of the creative process, such as sketch, short score, draft, fair copy.
- Purpose, ownership, and use, such as printer's annotations, performance annotations, ownership inscription.

Generally, consult a staff member with music knowledge for assistance.

Examples

Langston Hughes Papers is an example of music present in a larger series. Series VII, Song Lyrics, is subarranged by work title, qualified by "(music)" when music notation is present. Folder titles include type of composition and stage of creative process.

Frederick R. Koch Collection is an example of detailed description. The collection is organized by composer name, most with a music subseries, and most music described at the item level.

5.8 Oversize and Other Special Storage

Material that does not fit into standard-size document boxes must be shelved apart from the main body of the collection, and therefore must be arranged and described somewhat differently in order to ensure access. This material can include oversize paper items (housed in large flat boxes, in broadside folders, or in rolls), artwork, and objects.

How this material is arranged and described depends on whether or not it constitutes an intellectual component in itself at the container level. When a container holds material from more than one component, a separate listing of material in oversize is required so that material can be described where it belongs intellectually but retrieved from its physical location.

5.8.1 Arrangement

Physical storage locations will be dictated by the format of the items. When housing items from different intellectual units in the same box, folder material from each original location separately, and arrange in series order within each size category. See the section in Chapter 4 for guidance about appropriate housing.

5.8.2 Description

When a container constitutes a discrete intellectual unit, it should be listed, with its location, at the appropriate place in the main box and folder sequence. This discrete unit can range from a single item to an entire series.

If the “container” is not a box, substitute the appropriate abbreviation for the box number:

bsd = broadside drawers

art = art and object storage

roll = rolled storage

port = portfolio

Example:

Series II. Writings

Box	Folder		Date
		Along the Wind	
30	112	Notes	1924
30	113	Drafts	1924-1925
86		Galley proofs	1925
30	114	Reviews	1925-1926
31	115	Royalty statements	1925-1980
bsd	116	Film adaptation poster	1940
art	117	Academy award statuette	1941
31	118	Book tour itinerary	1942
roll	119	Stage adaptation set designs	1956

Material that is pulled from various locations within a collection and housed together according to size must be described, in effect, twice. It is listed once where it belongs intellectually within the main box and folder sequence, at the file level appropriate to that series or subseries with a “stored in” or “also stored in” note, and then again in an oversize listing at the end of the collection.

The oversize listing is encoded as a separate <C01>, but is not considered a series. The purpose of the list is to facilitate retrieval of material that is actually described in a series elsewhere in the box and folder list. The oversize listing is not hierarchical. Unit titles may be cut and pasted directly from the associated component, but must be qualified with a series designation for clarity, as unit titles outside their hierarchical context may not be easily understood when browsing physically within a box. It is not necessary to supply unit dates.

Example:

Oversize

Box	Folder	
56	265	*Autobiography*, draft (in Series II. Writings)
56	266	Diplomas and awards (in Series III. Personal Papers)
56	267-269	Studio portraits (in Series IV. Photographs)
bsd	270	Designs for new house (in Series V. Family Papers)

Each of the folders listed in the example above contain an item or items pulled from a folder in the main box and folder sequence that contains non-oversize material.

Chapter 6. Preservation and Conservation

6.1 General Notes

This chapter identifies routine and common preservation steps taken with manuscript material during processing, instructions for common preservation treatments, routing instructions for preservation and onservation treatments, and guidelines and routing instructions for special formats. For further information on preservation and conservation related resources, see the library's Preservation website.

Routine preservation steps include:

- Blast freezing new accessions
- Rehousing material in appropriately sized archival folders and containers (boxes, broadside cabinets, rolls)

Other common preservation steps, when processing at the file and item level, include:

- Removing staples, paper clips, pins, etc.*
- Preservation photocopying of brittle and acidic materials
- Removing frames and mats; some items may require reframing
- Flattening folded or rolled items
- Basic surface cleaning (using soft brushes)
- Removing organic material (i.e., pressed plants or flowers) with little or no artifactual value; consult the appropriate curator before discarding any material
- Boxing volumes that will sit on the open shelves
- Preparing items for creation of a digital surrogate
- Preparing negatives for cold storage
- Preparing audiovisual materials for reformatting
- Preparing computer media for preservation

*Note: For materials with creation dates before 1800, the library generally does not remove attached items, metal clasps, thread, wax, leather, or other physical features. If attached items are in fragile condition, consult with your supervisor, curator, Preservation Librarian, and/or conservator to determine if they should be removed.

The type and extent of item-level preservation should be determined within the context of the approach taken to the processing project as a whole. Anything with an immediate risk of text or image loss through handling is a candidate for preservation action. This includes in-house action, such as the production of a preservation copy/reference surrogate, and conservation treatment by the YUL Conservation Laboratory or an outside vendor, which can include repair of fragile bindings, adhesive removal where text is obscured; mending of photographs with flaking emulsions or broken cases; paper mending; disbinding; removal from acidic backings; etc. As with any processing decision, the value and anticipated use of the item plays a factor in the decision to treat.

The Library's overall preservation strategy is to review any preservation problems as soon as possible following discovery. The archivist should bring to the attention of the Preservation Unit any damaged or otherwise vulnerable items with significant research or financial value, as well as any reformatting or rehousing requirements. After completing the processing plan for a collection, the archivist sends a message to the Preservation Librarian (copying the Preservation Assistant) which contains the text of the preservation-related section(s) of the processing plan. For single items and small collections, a simple message will do in place of the processing plan excerpts. The Preservation Unit will follow up by reviewing the items, bringing in conservators or other staff as necessary to determine appropriate action and treatment priorities. Material for which treatment is deferred will be tracked by the Preservation Unit.

6.2 Preservation Treatment as Part of Processing

6.2.1 Preservation Photocopying

Preservation photocopies can be made on acid-free paper for documents on acidic or deteriorated paper, including brittle newspaper clippings and telegrams, as well as documents on facsimile (fax) paper, and other forms of duplication paper that will flake or from which the text eventually will fade away.

The decision to create preservation photocopies should be based on the archivist's judgment of the research value, anticipated use, and the current condition of the material. Considerations include the uniqueness of the item (a newspaper clipping is often available elsewhere; the originals of carbon copies or faxes may be in the collection as well, etc.); the significance of the item (is the content of a telegram substantive?); and the fragility of the material (will it disintegrate if handled more than once?). Weigh all these factors in relation to each other and to the overall approach taken with the collection, and to the time it will take to carry out the copying and tracking of the material in the finding aid.

After preservation photocopying has been completed, house the acidic or unstable papers as *Restricted Fragile*. For further information, see the section on packaging and listing *Restricted Fragile* in Chapter 4. Physical Processing.

6.2.2 Sleeving and Matting

Fragile or slightly damaged items without exceptional artifactual or research value can be enclosed in mylar or acid-free paper sleeves. Especially fragile or valuable items, including some special formats, may require matting. Mats are cut by the Conservation Laboratory.

Mylar or acid-free bond paper sleeves can also be used to isolate clippings and photos from adjacent documents, where the different make-up of the materials can cause harmful chemical reactions and interaction (e.g., clippings staining adjacent documents).

6.2.3 Labeling of Fragile Items

Following review by preservation staff, some fragile material will be routed for treatment and some will not. If treatment is deferred, the archivist should package material as well as possible to protect it from any further damage. The folder and/or package should be labeled; “FRAGILE, HANDLE WITH CARE” or “FRAGILE-RESTRICTED, for permission to use, consult the curator before circulating.” If this package is housed in a box, the box should also be labeled with “CONTAINS FRAGILE MATERIALS.”

6.3 Routing Instructions for Preservation Treatment

Preservation treatments managed by the Preservation Unit include custom housings (boxes, mats, etc.), reformatting, cold storage, microfilming, digitization, and full-scale conservation treatment. Before sending any material to the Preservation Unit, notify the Preservation Assistant so that s/he can plan for including that material when scheduling similar treatments for items coming from other Units. The same Preservation Request slip is used as the routing form for all treatments, although for some formats additional information may be required, as outlined below. Note that preservation of electronic media is handled within the Unit.

6.3.1 Preparing Items for Treatment

- Pull item(s) needing conservation.
- Flag the folder or original location of the item with a “Manuscript Item(s) Temporarily Removed” flag.
- Complete Preservation Request slip. Use one for each unit of storage (usually folder, sometimes box).
- Notify the Perservation Assistant that the items will be arriving soon, and provide any additional information required (data needed for the cold storage database or label information for audiovisual reformatting, for example).
- Route item(s) and completed Treatment Request Slip(s) to the Preservation Assistant.

6.3.2 When Items Are Returned After Treatment

- Items will be returned from treatment to the Preservation Assistant. Items will not be returned to the archivist or staff person who initiated the treatment unless specifically requested. The Preservation Assistant is responsible for checking the materials, refiling them, pulling the “Manuscript Item(s) Temporarily Removed” flag, and barcoding any new enclosures.

- The archivist is responsible for making any adjustments to finding aids and the catalog record that may be required. These might include number of boxes, overall extent, physical location pointers, etc.

- If an item returns from conservation treatment after the final housing and labeling of the collection and it is unexpectedly too large to fit in the folder intended for it, change the folder title for the folder in the original box and the folder sequence to “Material formerly located here is now in folder XX” and follow this with the standard Oversize entry (see example). Add the new folder to the Oversize sequence (see example).

- If the item needs to be returned for further treatment, a new set of records will be created. Do not simply annotate the original request: Think of it as a new transaction.

Chapter 7: Description

Introduction

This chapter provides guidance for the creators of finding aids for manuscript collections. A finding aid provides information about the contents and context of a collection. Researchers use finding aids to identify materials of probable interest and to understand the broader context of those materials. Finding aids almost always move from the general to the specific and generally describe materials in the aggregate, whether it be at the collection, series, subseries, or file level.

With only a few exceptions, the standards we use when creating finding aids and catalog records conform to *Describing Archives: A Content Standard* (DACS). This chapter, therefore, guides the processor through the elements of DACS and provides local interpretation and guidance for each descriptive element. These elements conform directly to fields used in the Finding Aid Creation Tool and our mixed-materials cataloging manual.

Levels of Description

Levels of description reflect levels of arrangement. At the Beinecke, the commonly used levels of description include: collection, series, subseries, file, and item. (The subgroup level is used rarely.) Descriptive work proceeds from the general to the specific: that is, from the collection level down to the item level. Information provided at an upper level is not generally repeated at a lower level. For example, information provided at the collection level should not be provided again at the series level, and so on. At each level, provide only information relevant to that level. For example, at the series level do not provide details about subseries or files. Archivists are not necessarily required to describe down to the file and item level, and archivists are expected to use common sense in selecting appropriate levels of description for each collection.

Tips:

- Describe from the general to the specific
- Don't repeat information
- Provide only information relevant to the level of description at hand

[what follows is an element-by-element explanation of local application of DACS]

[Subsequent chapters likewise deal with local practice regarding labelling, post-processing tasks, etc.]

Description appendix: STYLE

General

Use *The Chicago Manual of Style* for any elements of style not addressed specifically below.

Titles of Collections

Refer to a collection as a single entity, using a singular rather than plural verb. For example, in the ownership and copyright element: "The Thornton Wilder Papers is the physical property...," not "The Thornton Wilder Papers are...".

Punctuation

Use complete sentences, as appropriate, and end a complete sentence with a period.

Diacritics

Include diacritics, as appropriate, by using unicode characters.

Transliteration

Use ALA-LC Romanization Tables for transliteration of non-Roman alphabets.

Brackets

Use brackets and a question mark to indicate uncertainty about spelling, attribution, or date. For example:

- [Smyth], John *uncertain spelling*
- [Our Town?] *uncertain title attribution*
- [Otis, Harrison Gray?] *uncertain name attribution*
- [1926?] *uncertain date*

See elements definitions for more guidelines in the use of brackets.

Descriptive Terms

When describing a work in the hand of an author, prefer the use of the term "holograph," unless using standard descriptive terms such as "autograph letter, signed" (used rarely, when describing high-profile items). If an item is not known or assumed to be in the hand of the author, use "manuscript" instead of "holograph."

Abbreviations

Avoid using abbreviations, except those present in:

- Authorized headings
- Transcribed folder titles

- Other information transcribed from manuscripts

Abbreviations commonly used the past should now be spelled out. These include:

lin. ft.   linear feet

v.   volume

p.   page or pages

cm.   centimeters

incl.   including

ca.   circa

n.d.   undated

n.y.   no year

ms.   manuscript

ALS   autograph letter, signed

TLS   typed letter, signed

DS   document, signed

Other descriptive terms

Names of months

Personal and Corporate Names

Use name forms in the Library of Congress authority file (LCAF) for

- Creators
- Other names that will have 6XX or 7XX access points in the collection's catalog record
- Optionally for all listed correspondents where there are a large number of prominent names

Generally, do not include dates, unless necessary to break a conflict with another name.

For names of creators:

If Beinecke readers are likely to use a form of name that differs from LCAF, consult with the curator and your supervisor in deciding which form to use. If the authoritative form is not used in the finding aid, do use it in catalog record access points.

If no authority record exists, consider having a NACO cataloger create one. See the Mixed Materials Cataloging Manual for guidelines about when to create an authority record.

If no authority record exists, and we are not creating one, use biographical reference sources, the collection itself, and AACR2 to determine a form of name.

For other names, such as those in correspondence inventories, use judgment in deciding whether to search for authority records. Generally, search for authority records only when necessary to:

- Verify the identity of a person or corporate body
- Identify full names present only as nicknames or initials
- Break a conflict between names
- Maintain consistency for important names across finding aids
- Ensure keyword searchability

Otherwise, use the fullest form of the name that appears in the collection, observing the following guidelines:

- Initials in personal names: separate with a blank space (e.g., Lawrence, D. H.)
- Initials in corporate names: do not separate with a blank space (e.g., H.P. Kraus)
- Royal and noble titles: capitalize according to AACR2 Appendix A.13 E1, not *The Chicago Manual of Style*

Break conflicts between identical names by adding the following in parentheses:

- Personal names: dates, family relationship, or title (such as Mrs., Dr., Ph.D., Captain)
- Corporate names: places or dates

Generally, use a consistent form for each name throughout a finding aid, with the following exceptions:

- If variant name forms occur in different languages (for example "Tejas" in Spanish and "Texas" in English), clarify usage in a scope and content element at the appropriate level
- Clarify the presence of significant nicknames in a biographical/historical element, scope and content element, or family tree, as appropriate
- Use cross references in the box and folder list only for significant name variants likely to affect searching or browsing

When listing names alphabetically (e.g. as file titles):

- Names beginning with M,' Mac, and Mc are listed as spelled, but filed as Mac
- Names beginning with "St." are listed as spelled, but filed as Saint

- French names preceded by a preposition (e.g. Alfred de Musset) are listed and filed under the name (e.g. Musset); however in other descriptive elements, the preposition is included for single syllable names (e.g. de Goy) or names beginning with a vowel (e.g. d'Alembert), while multisyllabic names stand alone (e.g. Vilmorin)

[Above example very confusing. Rule: default to LC where authority file exists. If there is none, use AACR2 and the Chicago Manual of Style to determine how to file? ED]

Titles of Works

Form

Use uniform titles in LCAF, if available, for titles that will have 6XX or 7XX access points in the collection's catalog record. For other titles, use judgment in deciding whether to search for authority records. Generally, search for authority records only when needed to:

- Verify the identity of a work
- Break a conflict between names of works
- Maintain consistency for important titles across finding aids
- Ensure keyword searchability

If no uniform title authority record exists, or if you are not searching for authority records, use the fullest form of the name that appears in the collection.

- For plays, include only bibliographically significant subtitles (e.g. The Orange Tree or The Orange Tree: Life Under the Sun, but not The Orange Tree: A Play in 3 Acts)
- Differentiate between newspaper/journal titles and corporate names of publishers (e.g. The New York Times (title), but New York Times Company (publisher))

In all cases:

- Use initial articles in finding aids, even though initial articles will be omitted in catalog record headings
- Capitalize titles in finding aids as indicated below, even though capitalization follows AACR2 rules in catalog records

Punctuation

Follow *The Chicago Manual of Style*.

Use italics for:

- Books
- Operas

- Long poems published separately
- Pamphlets
- Movies
- Periodicals
- Newspapers
- Plays
- Sections of newspapers published separately (*The New York Times Book Review*)

Use quotation marks around titles of:

- Articles and features in periodicals and newspapers
- Chapter titles
- Essays, Short poems, Short stories
- Television and radio programs
- Manuscripts of completed, unpublished writings of all kinds (i.e., books, articles, etc.)

Capitalization

For titles in English, follow *The Chicago Manual of Style* (Headline Style: 8.167, 15th edition).

For titles in other languages, follow the convention of the language of the work, as defined in AACR2 (Appendix A); see also *The Chicago Manual of Style* (10.3, 15th edition).

- English: capitalize all significant words

  Five Months in the Argentine, from a Woman's Point of View

- French: lower case all but proper names

  L'émigration espagnole au Mexique

- German: capitalize all nouns

  Die Affirmation des Chaos: zur Uberwindung des Nihilismus in der Metaphysik Friedrich Nietzsches

- Italian: lower case all but proper names

  La commedia: raffermata nel testo giusta la ragione e l'arte dell'autore da Giambattista Giuliani

- Russian: lower case all but proper names

Kliuch" k Gogoliu: opyt khudozhestvennogo chteniia

- Spanish: lower case all but proper names

  Los caballeros de la Casa Rosada

Transliteration

Use quotation marks around transliterated titles, and explain the use of transliteration at the series level.

Example:

File title: "Varshe" (Warsaw), part II, chapters 1-17, holograph, corrected with additions in another hand

Series Arrangement: Writings are arranged alphabetically by transliterated title, with the English translation in parentheses.

Citing Reference Sources

Printed Sources

Use MLA citation rules.

WWW Sources

Use *The Chicago Manual of Style.*

Examples:

Victorian Women Writers Project. Ed. Perry Willett. May 2000. Indiana U. 26 June 2002 <http://www.indiana.edu/~letrs/vwwp/>.

Thomas: Legislative Information on the Internet. 19 June 2001. Lib. of Congress, Washington. 18 May 2002 <http://thomas.loc.gov/>.

Youakim, Sami. "Work-Related Asthma." American Family Physician 64 (2001): 1839-52. Health Reference Center. InfoTrac. Bergen County

Cooperative Lib. System, NJ. 12 Jan. 2002 <http://www.galegroup.com/>.