Appendix D: Museum Archives and Manuscript Collections

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APPENDIX D: MUSEUM ARCHIVES AND MANUSCRIPT COLLECTIONS

A. Overview

1. *What information will I find in this appendix?*

This appendix gives guidance on how to manage archival materials that are accessioned into NPS museum collections. Archival materials advance the NPS mission of education, management, preservation, and research.

2. *What categories of archival materials are covered in this appendix?*

This appendix covers all categories of archival materials that may be accessioned into NPS museum collections, including:

- Records created by the park (such as associated records and other resource management records)
- Copies of records created by the park, if the park is required to transfer the originals to the National Archives
- Personal papers acquired through donation or purchase
- Organizational archives acquired through donation or purchase

3. *Where can I find further guidance on NPS archival materials?*

Further guidance on archival materials appears in:

- NPS-28, *Cultural Resources Management Guideline,* Chapter 9.1
- ANCS+ *User Manual*, Appendix F
- DOI *Museum Property Handbook*, Vol. II
- NPS-77, *Natural Resource Management Guidelines*
- DO-19, *Records Management*
- NPS-19, *Records Disposition Schedule*
- NPS *Records Management Handbook*
- NPS *Conserve-O-Grams*

Guidance on NPS records falls under the authority of the NPS records manager and the National Archives and Records Administration (NARA). Park records include materials such as central files, financial records, and personnel records. Guidance on these records appears in NPS-19, *Records Management*, and in the NPS *Records Management Handbook.*

B. General Information On Archives

1. *What types of materials are considered archives and manuscripts?*

Archives and manuscripts include all types of documents, regardless of format. See Table 1 for examples. Documents may be in hardcopy (paper), or in any kind of magnetic, electronic, digital, or film technology.

Individual documents may be loose, or they may be contained in file folders or in bound volumes. Carbon copies, photocopies, and other duplicates may be regarded as "original documents," depending on specific circumstances. For example, if an individual sent a letter to someone and kept a copy of that letter in his or her own files, then that copy would still be regarded as an original document in the individual's manuscript collection.

Examples of Archival Materials

- letters, reports, memorandums, minutes, notes, telegrams
- newspaper clippings
- maps, charts, architectural/engineering drawings
- albums, ledgers, diaries
- photographic prints, photographic negatives, slides
- motion picture film
- microfilm, microfiche
- phonograph records, sound recordings on reel-to-reel or cassette tapes, digital sound recordings
- video recordings on VHS, Beta, or other formats
- punch cards, automated data on magnetic tape, and any type of material contained on floppy disks, compact disks, and DVDs

Note: Individual documents may be loose, or they may be contained in file folders or bound volumes.

Table 1. Archival Materials

2. *Are rare books or periodicals generally considered archival/ manuscript materials?*

No. Rare books and periodicals aren't considered archival/manuscript materials unless they are part of a larger archival or manuscript collection.

If…	***Then…***
published books and periodicals are sufficiently rare to warrant accessioning into museum collections (as opposed to being managed as part of library collections),	handle them as individual museum objects, not as archival materials.

However, there are exceptions to this rule. For example:

If...	***Then…***
a collection includes a letter that discusses a particular book, and a copy of the book was sent as an attachment to the letter,	consider the book as part of the letter, and as such it's archival.
an archival collection includes the research files of an individual or organization, and magazine	the magazines would be considered archival.

articles, or even entire magazines, were included as part of those files,	
a person or organization actually published books, pamphlets, or other publications, and kept a record set of those publications,	the publications would be part of the archival collection.

Note: Ledgers, diaries, albums, and other bound materials that resemble published books are not actually books. These are unique records created by individuals or organizations. Handle them as archives.

3. *Is there a difference between "archival collections" and "manuscript collections"?*

Yes. "Archival collections" generally are groups of documents created by organizations, such as government agencies, corporations, and non-profit groups. ("Archives" can also mean the building or room where archival collections are housed and the organization responsible for managing archival collections).

"Manuscripts" are single documents or collections of documents created by individuals or families. These collections are sometimes called "Personal Papers."

"Manuscripts" may also refer to groups of individual documents that were:

- created by different persons or organizations, *and*
- assembled later from multiple sources

To avoid confusion, this appendix will call such collections "Assembled Collections."

Archival collections or manuscript collections created by a single person or organization are "organic collections," because they grow naturally as the result of the record creator's activities. They include the letters, reports, receipts, and other documents that a person or organization accumulates and files as they go about their business.

Manuscript collections that are assembled from multiple sources or created by different persons or organizations, however, are "artificial collections." These collections did not accumulate naturally as a by-product of a person or organization's activities, but were acquired and brought together artificially by a collector.

4. *What's an archival collection?*

An archival collection is a group of documents:

- created or received by a single government agency, corporation, non-profit organization, or other body, in the course of doing business, *and*
- filed together as a unit

An archival collection should include all the historically significant documents that the organization:

- actually created, such as reports, letters, memorandums, charts, photographs, and sound recordings, *and*

- received, such as letters sent to the organization by outside individuals or organizations

An archival collection should remain intact. Don't parcel it out among multiple collections. Don't mix it with other collections.

Note: For guidance on how to determine the historical significance of a collection, see Section E, Appraisal.

5. *What's a manuscript collection?*

A manuscript collection is a group of documents:

- created or received by a single individual or family, *and*

- filed together as a unit

A manuscript collection should include all the historically significant documents that the individual or family:

- actually created, such as letters, diaries, photographs, and sound recordings *and*

- received, such as letters sent to the individual or the family by other individuals or by organizations

A manuscript collection should remain intact. Don't parcel it out among multiple collections. Don't mix it with other collections.

Manuscript collections are also called "Personal Papers."

6. *What's an "assembled" collection?*

An assembled collection is:

- a group of documents created by different individuals or organizations, *and*

- compiled later from multiple sources

An assembled collection is also called an "artificial" collection because the documents bear no organic relationship to each other. That is, they were not created by a single person or organization. They didn't accumulate naturally as a record of the activities of that organization or individual.

For example, a manuscript collector draws upon a variety of sources to assemble a group of letters from African-American soldiers during the Civil War and a group of photographs on a single site taken by different photographers. The collector then sells or donates these "assembled collections" to the park.

7. *What are "park records"?*

Park records are records created or received by park staff in the course of conducting official activities. They can include letters, reports, notes, and memorandums actually written by park staff, as well as letters or other documents that they received. NPS records should be handled in accordance with NPS Directors Order 19 (see Section F).

Example: A park superintendent writes a letter to a contractor concerning an archeological monitoring project carried out at the park and keeps a copy of the letter in the park's files. The contractor responds by sending the superintendent a letter, which also goes into the park's files. Both the copy of the letter sent by the superintendent and the letter that the contractor sent to the superintendent are park records.

8. *Are personal papers or organizational archives acquired by the park through donation or purchase considered park records?*

No. Only documents created or received by the park in the course of official activities are park records.

Documents created or received by a private individual, family, corporation, or non-profit organization, retained as part of the files of that person, family, corporation, or non-profit organization, and later acquired by the park through donation or purchase are not park records. They are not a record of official activity but are simply museum property.

9. *Are there legal factors that make park records distinct from personal papers or the archives of non-NPS organizations?*

Yes. Park records are covered by the Federal Records Act and access to them is governed by the Freedom of Information Act. They generally cannot be copyrighted. The personal papers of individuals or families and the archives of corporations or non-profit organizations:

- are not covered by the Federal Records Act,
- are not subject to the Freedom of Information Act or other regulations governing access to Federal records, *and*
- may be protected by copyright—even if those collections are owned by the park.

C. Archival and Manuscript Collections Owned by NPS Museum Programs

1. *Is the NPS required to keep archival and manuscript collections?*

Yes. In accordance with law or NPS regulations, parks must keep certain types of archival materials created by the NPS. For example, NPS regulations require parks to maintain resource management records. Parks are required by statute to retain associated records (such as field notes and reports on projects carried out at the park in archeology, paleontology, biology, ethnology, and geology—regardless of whether they were carried out by NPS staff, contractors, or private researchers working under park-issued permits). Parks should also retain files on historic structures, cultural landscapes, and other mission-related activities.

2. *Can a park acquire archival and manuscript collections for the museum collection?*

Yes. Parks can acquire archival collections that fit their Scope of Collection Statements. Parks can acquire archival collections through donation, purchase, transfer, or exchange.

Archival and manuscript collections play the same vital role in a collection as three-dimensional museum objects. These collections can document, commemorate, and reflect the cultural, natural, and historical themes and events associated with a park. For example, the museum collection at Thomas Edison NHS includes Edison's personal papers and the records of the Edison Company. These materials are as important a part of the collection as Edison's first phonograph and the desk where he did his work.

3. *What purposes can archival collections serve in a collection?*

Archival collections can serve a variety of purposes. They can provide:

- baseline information essential for managing cultural and natural resources
- contextual information necessary for understanding archeological, biological, and paleontological museum objects
- research materials for use by NPS staff, as well as by non-NPS historians, archeologists, and other scholars
- information for park-based educational and interpretive activities, such as exhibits, curriculum development, publications, and websites

4. *Should I manage archival/manuscript materials in the same way that I manage museum objects?*

No. Don't manage archival/manuscript materials in the same way that you manage museum objects.

Although individual documents technically are counted as objects for reporting purposes, they are fundamentally different from objects. They are part of a larger archival collection. All of the documents within a given collection are interrelated. This affects the way documents are housed, arranged, and cataloged.

5. *What are the principal differences between archival work and curatorial work?*

There are several principal differences between archival work and curatorial work.

Cataloging by collection versus cataloging by object or lot

- Archival cataloging is fundamentally different from object cataloging. Object cataloging involves creating individual catalog records for each object or for each comparatively small lot of objects. Archival cataloging, however, involves cataloging an entire collection under a single catalog record, no matter how many documents it contains. A single archival collection can contain an infinite number of documents, and the documents themselves can cover an infinite number of projects. Lot-cataloged objects, on the other hand, relate to a single project and have the same name and provenience.
- Regardless of how many documents it contains, you should regard an archival collection as a single object. Assign a single catalog number to the collection as a whole.

  Object cataloging is a one-step process, involving completion of a catalog record in the Collections Management Module. Archival cataloging is a two-step process, involving completion of a catalog record for the collection as a whole, followed by Archives Module descriptions of the collection's various subordinate parts. (**Note:** Archives Module entries,, in turn, can provide the basis for a full finding aid—which is a critically-important tool for using any collection. See Section S "Description" and Section T "Folder Title Lists and Finding Aids".)

- Object cataloging usually is done on an object-by-object basis, but archival cataloging should *never* be done on a document-by-document basis—unless a document is not part of a larger archival collection. For individual documents on loan or of high monetary value, the park may complete individual catalog records in the Collection Management Module or item-level entries in the Archives Module—but it should still manage such documents as part of the larger archival collections to which they belong. Those individual catalog records for documents contained in larger collections would be done for accountability purposes only; since those documents would already be covered under the collection-level catalog record, they should not be counted a second time in the park's Collections Management Report. When these individually cataloged documents are returned, change the status of that document's catalog record to "Incorporated into Larger Archival Collection."

Arrangement

- An archival collection needs to be arranged in its proper order before you attempt to catalog it. You must complete this essential preliminary work before you can create a catalog record for the collection. You can't take a single document off the shelf and catalog it and move on to the next document. You must approach the collection as a whole and process and arrange the entire collection. Then you will understand what is in it and how the documents fit together. This is true whether the collection contains thousands of documents or only a handful of documents.

Multiple Accessions

- A single archival collection may be composed of multiple accessions, while a museum object is always associated with only one accession. For example, one archival collection may be composed of ten accessions from a single original source. Even though there are ten accessions, catalog the collection with one catalog record and one catalog number. The reverse is true in object collections, however, because an accession containing ten objects can result in ten catalog records and ten catalog numbers.

Classification versus Organization

- You don't classify archival collections in the same way you classify museum objects. For example, you wouldn't classify an archival collection by time period and material of manufacture or by genus and species. Instead, you analyze how each collection is organized and identify its component parts, such as series and subseries. You then base your cataloging and description on the unique internal organization of the collection.

6. *Why are archives managed on a collection-by-collection basis, rather than a document-by-document basis?*

Archives are managed on a collection-by-collection basis as opposed to a document-by-document basis for two reasons:

First, a document that is part of a collection has context and meaning in a way that an individual document cannot. A collection of documents can:

- reflect the development over time of historical themes and events
- suggest cause and effect
- show entire sequences of activities and thoughts
- help to authenticate individual documents

A single document is at best a snapshot, with little clear connection to what came before or after.

Second, as a practical matter, it's often impossible and usually unnecessary to describe each individual document in a collection. Some collections include thousands of documents. Attempting to describe each in the same detail that you would describe a three-dimensional museum object would be time-consuming and largely unnecessary. You can find individual documents more expediently in a well-organized collection than you can find individually cataloged items.

If…	***Then…***
it's necessary to provide detailed descriptions of individual documents within an archival finding aid,	it must be done within the context of the collection as a whole--and to do this, you should use the ANCS+ Archives Module.

7. *What kinds of archival and manuscript collections are likely to be accessioned into NPS museum collections?*

Archival and manuscript collections that may be accessioned into NPS museum collections include:

- personal papers and records of corporations or other organizations that meet a park's Scope of Collections Statement. (The park may acquire these through donation, purchase, transfer, or exchange.)
- resource management records created or received by the park for the purpose of managing park cultural or natural resources
- copies of certain NPS-created records

Note: Associated records are an example of resource management records. Associated records include field notes, site forms, reports, correspondence, maps, and drawings prepared in connection with studies or projects in such areas as archeology, ethnology, paleontology, geology, biology, etc. They are considered associated records because they are associated with objects and specimens that are accessioned into museum collections and with park sites where studies and surveys were conducted. It's necessary for the park to retain these records in order to understand and manage the objects, specimens, and sites (see Section M, "Handling Resource Management Records").

Other types of resource management records include maintenance files on historic structures, files on cultural landscapes, and land use files. These records provide baseline data and other information necessary for managing resources.

Apart from resource management records, original NPS files need to be handled in accordance with NPS-19. Even if you manage such records as a collateral duty, don't accession these records into the museum collection.

D. Fundamental Principles Of Archival Work

Archivists and curators have similar skill sets and interests. However, there are important differences between the underlying theories of archival and curatorial work. The most basic difference is that:

- archival work focuses mainly on *collections* of documents
- curatorial work focuses mainly on *individual* museum objects, or on object lots associated with *individual projects*

This section outlines some of the most important archival theories and procedures. You'll need to understand these before attempting to manage archival and manuscript materials. For further information, you may want to check the sources listed in the bibliography, or attend one or more of the archives classes offered by the National Archives and Records Administration, institutions of higher learning, and professional organizations (such as the Society of American Archivists).

1. *What's "provenance"?*

"Provenance" is the basis for modern archival work. It's the principle that the records of one organization or individual remain together. They must never be mixed with the records of another organization or individual.

The collection of documents that an organization accumulates in the course of doing business is a coherent whole. The collection of documents that an individual accumulates in the course of living his or her life is also a coherent whole. It's evidence of what that organization or individual did or knew. A collection shouldn't be broken up into smaller collections, and it should not be integrated with other collections. When documents from one collection are intermingled with documents from another collection, the integrity of both collections is compromised. Their research value and historical reliability are diminished. Even when collections cover the exact same subjects, themes, events, or individuals, you must maintain absolute fire walls between them.

Another meaning of "provenance" relates to the chain of custody or ownership of a collection. For example, you can trace the provenance of a park collection by starting with its current owner, the National Park Service. Then go back through any intermediate owners, to the collection's origins as the records of a particular organization or individual.

There are different options for managing associated records. Technically, you should treat associated records as series within an overall collection of the park's resource management records. Because of their special importance, it's permissible to treat all of a park's associated records for a single discipline as a stand-alone collection.

Example: All of a park's records on archeological projects may be handled as either series within the park's resource management collection or as a collection unto itself. Similarly, all of a park's records on biological projects may be handled either as a series within the park's resource management collection or as a collection unto itself (see Section M, "Handling Resource Management Records").

2. *What's "original order"?*

When organizations and individuals create records, they usually file them according to some kind of logical structure. They might keep all their correspondence together, arranged alphabetically. They might keep all their financial statements together, arranged chronologically. They might keep all their project files together, arranged according to a numerical filing code.

"Original order" refers to the way in which an organization or individual chose to maintain their records from the outset. That is, "original order" is the way in which the records were originally organized and filed.

Good archival procedure requires that a collection of records be kept in its "original order." You should avoid rearranging archival collections.

A common misconception among non-archivists is that "original order" is the order in which they found the records. This isn't necessarily true. Some collections remain in their correct, original order from the time they were created until the time they were acquired by NPS. In other cases, documents in a collection can get all mixed up before they reach NPS. When this happens, don't simply leave the collection in the order in which you found it.

When a collection has gotten out of order, you must put the collection back into its "original order." You must do this before you can proceed with further processing or cataloging. Unfortunately, there is no universal template for organizing an archival or manuscript collection. All collections are going to be unique. Section H, "Arrangement," gives tips on how to discern and re-establish the "original order" of a collection that has gotten jumbled.

There may be rare occasions when the original order of a jumbled collection is indiscernible or unusable. In such cases, an archivist may put the collection into an intelligible order. This should only be attempted if the archivist can determine that the original order cannot be re-established. For further information, see Section H, "Arrangement," Item 14.

3. *What's an archival "hierarchy"?*

The internal structure of an archival collection is called a "hierarchy." Archival collections are organized hierarchically. That is, collections are broken down into subordinate parts. These parts may in turn be broken down into subordinate parts, and so forth. You start from the top of the hierarchy with the collection as a whole. You go through the levels of the hierarchy to individual documents at the bottom of the hierarchy.

For example, suppose that a collection is composed of four parts called "series":

- Series I: Correspondence
- Series II: Financial Records

- Series III: Project Files

- Series IV: Annual Reports

Each of those series, in turn, may be subdivided into individual file units. Series III, Project Files, would be composed of individual files for each project. Each individual project file, in turn, would be composed of individual letters, memorandums, forms, or other documents.

Thus, an archival hierarchy goes from the general to the specific. Starting at the top of the hierarchy, the collection as a whole is the most general. Then the hierarchy becomes more specific as it moves down to the individual series. It then becomes even more specific as it moves down to the individual file units within those series. Finally, it reaches the most specific when it moves down to the individual documents within those file units.

Documents aren't individual museum objects or disconnected pieces of data. They're small parts of a whole. Each document will have a definite and permanent location in a larger context. Each document is related to something larger. For example, a document may be part of a file unit, which is part of a series, which is part of a full collection. This is why it's inappropriate to handle or catalog individual documents separately.

4. *What are the standard levels of an archival hierarchy?*

The standard levels of an archival hierarchy go in descending order:

- Collection Level

- Series Level (plus subseries, sub-subseries, etc., as necessary)

- File Unit Level (**Note:** A file *unit* is not the same thing as a file *folder*. A file unit is a group of documents filed together under a particular topic or title. A file folder is simply a physical device for holding those documents. It is not unusual for a single file unit to contain so many documents that it would take multiple file folders to hold all of the documents contained in that one file unit.)

- Item Level (individual documents)

5. *Must each collection follow a standard hierarchy?*

No. Each collection will have its own unique hierarchy. There's no universal template.

Some collections can have extremely simple hierarchies. A collection may be composed of a small number of individual documents that aren't organized into files or series. In that case, the hierarchy would simply involve the Collection Level and the Item Level.

At the other end of the spectrum, another collection may have an extremely complex hierarchy. It would encompass multiple series, some of which might be organized into subseries. Some of those subseries might be organized into sub-subseries. Some subseries might be made up of files that are arranged alphabetically. Some might be made up of files that are arranged chronologically. Some may be made up of bound ledgers that are arranged numerically. Some may be made up of individual documents that are not part of file folders or bound volumes.

The key is to evaluate each collection individually, by answering the questions:

- What are the collection's components (the series, subseries)?
- How are files within the various components arranged (alphabetically, chronologically, numerically)?

> ***Remember: A hierarchy can be as simple as a single group of files arranged alphabetically, or it can be as complex as a collection that is divided into 10 or more series, all of which are divided into subseries, some of which are further divied into sub-subseries.***

6. *What's an easy way to remember archival hierarchy concepts?*

Think of a collection as a multi-volume publication. Each volume would be analogous to a series. Within each volume, each chapter would be analogous to a file unit. Within each chapter, individual pages would be analogous to individual documents.

In other words, the pages of a multi-volume publication are not stand-alone objects. They follow a specific order and are arranged into chapters and volumes. Similarly, individual documents in a collection are not stand-alone objects. They follow a specific order and are arranged into file units and series.

A hierarchy is a little like an outline—you have to have two or more elements to justify going to a subordinate level. It is pointless to have an outline with just one heading (Roman Numeral I, but no Roman Numeral II), or just one subheading under a heading (Subheading II.A, but no Subheading II.B). It's the same way with archival hierarchies. You have to have at least two series to warrant organizing a collection into series. If you don't, then you just have a collection arranged into file units, with no series structure. Similarly, you should only break a series into subseries if you can identify at least two subseries.

7. *Why is it important to maintain a collection's provenance and to arrange it according to its original order?*

A collection is evidence of the knowledge, statements, and activities of the organization or individual that created the collection. If provenance and original order are protected, the collection will reflect historical development. It will show what the organization or individual knew or thought over time and document decision-making. It will also provide the context and background that are critically important to understanding the significance of each document.

For example, researchers can compare a person's diary entries with his or her outgoing letters. They can compare an organization's internal memorandums with its press releases to see if they are consistent. They can compare incoming letters with outgoing letters to determine how a person or organization responded to questions or events. They can compare documentation filed at the beginning of a project with documentation filed at the end of a project. This helps to provide a full picture of what took place.

One can evaluate the authenticity of documents more readily when they are retained in context with related documents created or received by the same organization or individual. You compromise provenance and original order by mixing documents from one collection together with another or by rearranging collections. This makes it more difficult to:

- discern an organization's or individual's actions or responses
- recreate the context for that organization's or individual's actions or decisions
- authenticate documents

8. *Why is it important to arrange a collection in a hierarchical order?*

Hierarchical organization makes archival cataloging easier and more practical. Once you establish a collection's hierarchy, it's usually sufficient to catalog or describe only the upper levels of the hierarchy. In the vast majority of cases you don't have to catalog hundreds or thousands of individual documents or file units. It's usually only necessary to:

- complete a catalog record for the collection as a whole
- write descriptions similar to catalog records for the various series and subseries that make up the collection
- prepare a folder-title list or container list for the collection, if desired

Hierarchical organization also provides for an additional and useful method of access. Word searches and searches by accession number or catalog number are the primary methods to retrieve documents from collections that were cataloged on a document-by-document basis—but this often means that a researcher needs to have a fairly clear idea of specifically what to request. Hierarchical arrangement facilitates broader and deeper research by focusing on document types, functions, and creators. You can still do word searches and searches by accession number in a hierarchically arranged collection, but hierarchical retrieval in many cases is a more rewarding method because it does not limit researchers to documents, file units, subject terms, or accessions that they already know to request.

A properly arranged archival collection can be almost self-indexing. If a series is arranged alphabetically, you can search for specific files just as easily in the records themselves as in a finding aid—without having had to take the time to enter the titles of each file into the Archives Module. On the other hand, if you need to create finding aids with titles of each file unit, the Archives Module will make it easy to do.

9. *Am I prohibited from describing archival collections at the file unit or item level?*

No. It is always an option left to your discretion—but it should only be done when necessary. In most cases, having logically-arranged and properly-described series and subseries will be sufficient to enable researchers to zero in on the 5 or 10 file units containing the documents they need. Additional description at the file unit or item level won't add enough value to make it worth the effort—especially since container lists can provide an extremely easy alternative to full file unit descriptions. But it is always *possible* to do descriptions at lower levels of the hierarchy.

In a few instances, such as situations where you are working with associated records, full file unit descriptions may be recommended (see Section M, "Handling Resource Management Records).

One example of the sort of material where file unit description should be considered would be records relating to archeological projects. All records on a specific archeological project can be handled as a file unit within the Archives Module, and you can enter information on subjects, activities, locations, findings, investigators, and any other data concerning the project into the file unit screen—along with accession numbers linking the project with any associated objects. The files on each project will thereby retain their individual identity within the hierarchy, and will be readily identifiable within the hierarchy—but it will still be possible to do word searches and searches by accession number.

10. *What are the principal functions associated with archival work?*

The principal functions of archival work are:

- appraisal, scheduling, and accessioning (determining the long-term value of archival materials; deciding whether or not to accession them)
- arrangement (putting each collection into its hierarchical original order)
- processing and preservation (foldering; boxing; labeling; removing clips, staples, and other foreign objects; separating textual from non-textual materials; placing damaged or unstable documents into protective sleeves)
- description (including cataloging and the preparation of finding aids)
- access and use (including reference, exhibits, publications, and education)

Note: Each of these functions will be discussed in detail in its own section of this appendix.

Note: Never attempt to do any of the phases listed above before learning about the person, family, or organization that created the collection, and the history or other subjects covered in the collection.

11. *Why is it necessary to carry out these archival functions in the correct sequence?*

You should perform the archival tasks in the sequence listed above for several reasons.

- Before accessioning a collection, you should appraise it to determine whether it possesses sufficient value to warrant retention.
- Trying to use a collection before the important work of arrangement and description has been completed is difficult. You wouldn't have a finding aid or an arrangement scheme that could help you find the documents you need.
- Attempting to use a collection prematurely could interfere with the work of arranging, processing, and describing it. This would be like moving furniture and inviting guests into a room that's still being painted and carpeted.

Note: On very rare occasions you may have to use a collection that's still being processed. However, you must have a strong justification for doing so.

12. *Why is the arrangement of a collection necessary before cataloging?*

There's at least one sequence of archival tasks that's mandatory. Archival collections **must** be arranged before they can be cataloged. Description always follows arrangement.

Never attempt to catalog an archival collection before it has been physically arranged.

Archival cataloging and description are based on each collection's unique hierarchical arrangement. Therefore, you cannot begin to catalog a collection until you have completed arranging it. You must also have a good general sense of what's in the collection as a whole before beginning to catalog. You need to know the:

- physical types of documents
- information contained in those documents
- functions served by those documents

The best way to acquire this knowledge is through arranging and processing the collection.

Arrangement is the necessary preliminary work before cataloging. It can take a considerable amount of time. You can spend many days or weeks organizing and processing a collection before you can write a single catalog record. However, don't attempt to catalog archival materials before that preliminary work is done.

See Sections H-M for a full discussion of arrangement.

13. *How is cataloging an archival collection different from cataloging museum objects?*

You can't catalog archival materials in the same way that you catalog museum objects. When cataloging museum objects, you catalog one object or one small lot of objects at a time. Even with scientific collections, where it is important to classify objects and to document the relationships between objects, the result is still going to be one catalog record per object or one catalog record per lot. With non-scientific collection, where there may be little or no direct relationship between objects, it is possible simply to catalog one object at a time with no reference at all to other objects.

An archival collection, however, should never be cataloged on a document-by-document basis, as object collections are cataloged on an object-by-object basis. Instead, you have to create a single catalog record for an entire collection of archival materials (which might involve many thousands of documents). Then, you must develop separate archival descriptions for all series, subseries, or sub-subseries in the collection. If necessary, you can also describe individual file units or even individual documents.

Further, the cataloging and description of archival materials is based partly on how they are filed or housed. Object cataloging is not affected by the physical placement of the objects being cataloged. Even objects that were collected as part of the same project or are otherwise related may be shelved, boxed, or stored in different locations. Apart from noting the physical location of each object or lot, a catalog record for an object will not be based on the object's physical placement. Actual physical arrangement, however, is central to archival cataloging.

Never attempt to catalog archival materials by cataloging one document, putting it back in the file or back in the box, and moving on to catalog the next document.

Archival cataloging is based largely on the physical arrangement of a collection. It is necessary to organize a collection into its hierarchical component—both physically and intellectually—so that you can describe those various components. Once the collection has been physically arranged, you will be able to describe the collection as a whole, then each of the series that make up the collection, each of the subseries that make up the series, and so forth.

Even though it can be time-consuming to complete the physical arrangement of a collection, the actual task of producing an archival catalog record can be done relatively quickly. A single catalog record may cover thousands of individual documents. These are counted as individual objects in the Collection Management Report. The time spent on cataloging and description is far less when you follow archival methods. This is true even if you complete series and subseries descriptions or container lists in the Archives Module.

Individual project files in archeology, paleontology, geology, biology, etc., can still be co-located with their associated objects at partner repositories even if the collection as a whole is arranged hierarchically. Just do a file unit description in the Archives Module, and note in the location field that the file unit is housed at another repository. If you do not already have an on-going agreement with that repository, you should also complete an Outside Loan Agreement. Even though the file unit is separated physically from the remainder of the collection, it is still part of that collection intellectually because it retains the same provenance as the remainder of the collection.

In short, don't attempt to catalog an archival collection on a document-by-document or file-by-file basis. Put all the pieces together in a hierarchical arrangement before cataloging.

E. Appraisal

This section outlines the criteria, standards, and methods you should employ to determine whether a collection is:

- historically significant, *and*
- eligible to be accessioned

1. *Why is it necessary to appraise archival and manuscript materials before accessioning them?*

For legal, professional, and practical reasons, it's unwise to accession all archival material that may be available. Just because documents are old doesn't necessarily mean they are worth keeping. NPS curators and archivists must apply specific criteria and make serious decisions about acquiring archival collections.

Federal records that must be retained by statute or because they are covered by an existing records disposition schedule don't need to be appraised. They are automatically eligible for accessioning (see Section F, "Records Schedules").

Example: Records associated with archeological projects at parks are covered by NPS-19, and Federal regulations require that they be retained. Therefore, you do not need to appraise them before accessioning them.

The Federal Records Act requires that certain types of park records be transferred to the National Archives. It would be inappropriate to accession such materials into NPS museum collections, no matter how valuable they are. The records schedule in NPS-19 provides clear guidance on this.

See Section F, "Records Schedules," for additional information on the Federal Records Act and NPS-19.

By applying good appraisal techniques, you can prevent museum collections from being inundated by:

- documents with minimal historical value that shouldn't be accessioned
- certain park records that are required to be sent by law to the National Archives

Appraisals prevent valuable NPS resources from being diverted away from legitimate museum holdings and activities.

Once archival collections are accessioned, it becomes very difficult to deaccession them. The items will be counted in the backlog and eventually will have to be processed and cataloged. The best deaccession policy is always a good accession policy.

2. *What are the two methods for determining whether a given collection of archival or manuscript materials should be accessioned?*

The two methods for determining whether you should accession archival materials are:

- Apply an *existing* "records schedule" to see if directions are already in place for handling this particular type of records. (**Note:** NPS staff apply existing records schedules to park records *only*. Records schedules don't apply to donated material.) See Section F for information on records schedules.
- Conduct an original appraisal of the materials in question. Evaluate the records according to several well-established criteria.

3. *How do I appraise donated materials?*

You can't apply existing NPS records schedules to donated materials. Appraise each collection of personal papers or organizational records offered to your park. Follow the appraisal guidelines cited below in this section. Parks can appraise these kinds of materials completely on their own authority. You don't need to get authorization from the National Archives. See Section F for specific schedules covering NPS records.

4. *What are the guidelines for appraising archival and manuscript materials?*

To qualify as a museum accession, a collection of archival or manuscript materials must:

- fit the park's Scope of Collections Statement, *and*
- demonstrate enduring value in one or more of the following areas:
  - evidential value
  - informational value
  - legal value
  - intrinsic value
  - associational value

Note: The Scope of Collections Statement (SOCS) defines the museum objects and archival/manuscript materials a park will collect. Each park is required to have one. The SOCS reflects the park's mission. It focuses on museum objects and archival/manuscript materials that:

- relate to the park's cultural resources and natural history
- relate to the site, subject, person, event, or other entity the park was established to preserve and interpret

For further information on SOCS, see the *Museum Handbook*, Part I, Chapter 2.

5. *What's "evidential value"?*

"Evidential value" documents the activities, goals, policies, programs, administration, and organization of the records creator. Such records constitute evidence of the actions taken or considered by the records creator.

A collection of personal papers that reflects the activities and thoughts of the person who created it has evidential value.

6. *What's "informational value"?*

An archival collection has "informational value" if it contains information on historical events, themes, issues, and eras apart from the organization or the person that created the records.

The archives of the Olmsted Firm at the Frederick Law Olmsted NHS are an example. They document the company's activities (evidential value), but also contain informational value about the:

- evolution of landscape architecture and urban planning in the late 19th and early 20th centuries

- cities where the Olmsted Firm designed parks and thoroughfares

The records of the Calumet and Hecla Mining Company and the Quincy Mining Company at Keweenaw NHS document the activities of those corporations. The records also contain informational value by documenting the:

- history of the mining industry and labor relations in Northern Michigan from the 1880s through the 1930s
- political and social history of mining towns in that area

7. *How do I evaluate a collection's informational value?*

Most collections will have at least some trace of informational value. However, not all collections with informational value should be accessioned.

To warrant retention on the basis of informational value, a collection must contain information that is unique, concentrated, and important.

Unique Information

Information contained in a collection is unique if:

- it's not readily available elsewhere (such as, in books, or in newspapers, or in other archival collections), *or*
- the collection contains information from a particular perspective that is not available elsewhere

Concentrated Information

Information in a collection is concentrated if it presents:

- many facts on a small number of persons, things, issues, or events; *or*
- a few facts on a large number of persons, things, issues, or events; *or*
- many facts on a large number of persons, things, issues, or events

Note: Collections that contain only a few facts about a small number of persons, things, issues, or events may not be sufficiently concentrated to justify accessioning.

Importance of the Information

The collection should have importance as a potential information source. The information should be primarily important for the NPS and secondarily for outside historians, scientists, and other researchers. Don't accession collections that are of no use as a reference tool or source of information for the NPS or outside researchers or would be readily available at public libraries or other repositories.

8. *What's "legal value"?*

Documents such as deeds, wills, articles of incorporation, and contracts may have ongoing “legal value.” Such documents may be necessary to establish ownership, authority, responsibility, or obligation in a legal sense. Documents with legal value may be important not only for historical research, but also for present-day and future activities, from title searches to litigation.

Note: For park records, most records with legal value are already scheduled in NPS-19 (Appendix B) for permanent retention. They are retained either in the museum collection or at the National Archives.

9. *What’s “intrinsic value”?*

Some documents have value not for the information they contain, but rather as artifacts. Documents that are important as artifacts have “intrinsic value.” An excellent non-NPS example would be the Declaration of Independence. Innumerable copies of the Declaration of Independence exist all over the world. The original Declaration of Independence is on permanent exhibit at the National Archives. It contains no evidence about the operations of the Continental Congress or information about the American Revolution that isn’t readily available elsewhere. However, the document itself, as a physical object, has tremendous artifactual or intrinsic value.

Intrinsic value is seldom a factor when appraising an entire collection. However, it’s an important consideration in determining how to handle individual documents. Some documents are physically unstable and may cause surrounding items to deteriorate. These include newspaper clippings or telegrams on pulp paper, nitrate-based photographic negatives, and motion pictures. If an item is exceptionally deteriorated, it’s permissible to replace the original with a surrogate archival quality copy. If the original lacks intrinsic value, you may discard it without having to formally deaccession it. If it has intrinsic value, you should keep it for as long as possible.

10. *What’s “associational value”?*

“Associational value” refers to a collection’s relationship to a person, organization, or event whose history the park preserves or interprets. For example, Golden Gate NRA preserves and interprets the history of the former U.S. Penitentiary on Alcatraz. Accordingly, that park has collected archival materials associated with Alcatraz.

Associational value alone is usually not sufficient to warrant accessioning. It’s basically the same thing as meeting the park’s Scope of Collections Statement. Collections must not only fit the Scope of Collections Statement or have associational value; they must also possess evidential, informational, or legal value.

“Associated records” are also documents generated through the collection or analyses of artifacts or specimens. They are necessary for the management and future research use of those artifacts and specimens. Examples include field notes and reports produced as part of permitted research projects at the park. These records are associated with archeological, paleontological, geological, or biological objects or specimens in the park’s museum collection. Check both the Scope of Collections Statement and NPS-19 (Appendix B) for information on associated records that should be accessioned.

11. *Are there other types of archival “values”?*

There are other types of archival “values”:

- “Monetary value” refers to the dollar value placed on rare or collectable documents. It should seldom, if ever, be regarded as a criterion for accessioning. In other words, if a collection has sufficient informational or evidential value and fits the park's Scope of Collection, but has little or no monetary value, it should still be accessioned. If, however, a collection has monetary value but does not fit the Scope of Collection or has insufficent informational or evidential value, then it probably should not be accessioned.

- "Administrative value" refers to the usefulness of a collection of park records for purposes of park management. Resource management records, as defined in NPS-19 (Appendix B), may be scheduled for permanent retention in park museum collections because of their administrative value.

Note: For further guidance on the methods and objectives of records appraisal, see "Strategic Directions: Appraisal Policy" (NARA Directive 1441), at http://www.archives.gov/records-mgmt/initiatives/appraisal.html.

12. *How should a records appraisal be conducted and documented?*

Records appraisals should be conducted and documented as follows:

If…	***Then…***
you are simply applying an existing records schedule to a collection of park records,	you should indicate the specific schedule and item number in the accession file.
you are developing a specific records schedule,	you should draft an appraisal report (in the form of a memorandum) and complete National Archives SF 115, Request for Disposition Authority.
you are considering whether to purchase or accept the donation of an archival or manuscript collection,	you should draft an appraisal report (in the form of a memorandum) stating how the collection meets the Scope of Collections Statement and has sufficient evidential, informational, or legal value to be accessioned.

Note: The appraisal report should explain how the records have sufficient evidential, informational, legal, or administrative value to be accessioned. Follow the chain-of-command and procedures at your park to get the appraisal report and SF 115 approved. Then submit them to the National Archives for a final decision.

13. *What is the collections advisory committee, and what role does it play in appraisal?*

Each park is required to have a collections advisory committee to review proposed deaccessions and make recommendations to the superintendent. The committee may also review proposed accessions, although this is not mandatory. Although this is left to the park's discretion, it might be a good idea to have the collections advisory committee review any appraisal reports prior to accessoining. The superintendent, of course, makes the final decision on both accessions and deaccessions.

14. *When is it appropriate to conduct an archival survey?*

You should initiate an archival survey of possible storage areas to locate any records eligible for accessioning if:

- your park doesn't have an active records management program in place to identify park records that should be transferred to the custody of the museum program, *and*
- it's likely that resource management records are stored at various locations throughout the park (offices, workshops, basements, garages, attics)

> ***Records surveys and records appraisals are best conducted by a qualified archivist or records manager. If one is not available at the park, you may want to hire a contractor or seek assistance from your regional office.***

15. *What kind of information do I need to gather about any records I find?*

Gather enough information to make a decision whether or not to accession any records that you locate. See **Figure D.1**. The survey should include:

- information on the physical location where the records were found
- name of the park office or park employee who created the records
- overview of materials, including the type of documents (ledgers, correspondence, invoices, press releases, photographs, reports), volume, date range, and topics
- NPS-19 file code, if applicable

16. *Should I prepare folder title lists, full collection level or series level descriptions, or catalog records?*

No. In-depth descriptive work usually can wait until after the records have been accessioned. There's no need to prepare folder title lists or other detailed description for records that aren't eligible or appropriate for accessioning.

17. *If I identify records in my survey that fall under an NPS-19 file code, how should I handle them?*

Simply follow the instructions under "Disposition,"

If…	***Then…***
NPS-19 calls for records under a given file code to be accessioned into the museum collection after a certain date,	accession them at the specified time.
the disposition instructions specify that the records are "temporary" or "non-permanent," or if they indicate that records should be transferred to the National Archives and Records Administration.	don't accession them into the museum collection.

18. *What if I find NPS records that are not covered by a file code under NPS-19?*

Consult with the servicewide Records Manager. The Records Manager will advise you whether and how to submit a "Request for Disposition Authority" to the National Archives.

19. *What if I locate non-NPS archival materials during my survey?*

Ideally, any non-NPS archival materials acquired through donation, purchase, or other means would already have been appraised and accessioned. If your survey uncovers any non-NPS materials that haven't been appraised and accessioned, you should:

- ensure that your park has legal title (one way to do this is to check the accession file to see if there is a Deed of Gift).
- appraise the materials according to the guidelines specified above to determine if they have sufficient evidential, informational, legal, administrative, or intrinsic value to warrant accessioning

F. Records Schedules

1. *What's a records schedule?*

A records schedule is a set of directions for handling certain types of records that are likely to be created on an ongoing basis. In effect, a records schedule pre-appraises certain types of records. A records schedule will set forth directions for handling all records that fit into a specific category. The directions are based on a general assessment of how valuable any records in that category would be.

A typical records schedule will list one or more types or categories of records. The records schedule provides descriptions of the sorts of documents that would be included in those categories. See Table 2 for some examples.

Examples of Records Categories
[Please note: This list is not an all-inclusive; these are only examples]

Narrative Reports and Related Correspondence
Public Relations Files
Records of Conferences and Meetings
Special Events Files
Concessions Reports
Construction Programs Files
Maintenance Program Records
Roads and Trails Files
Contract Files
Budget Formulation Files
Land Use Files
Environmental Impact Records
Official Personnel Folders
Applications for Employment
Law Enforcement Reports
Fire Management Reports

For each record category, the records schedule provides instructions on the disposition of those records. Examples of “disposition authorities” (or instructions) include:

- destroy when no longer needed
- hold for a specified time period, such as 5 years or 20 years, and then destroy
- hold for a specified time period and then transfer to the National Archives
- retain permanently at the park

Only records scheduled to be kept permanently at the park should be accessioned into NPS museum collections.

2. *What records schedules are available for use by NPS staff?*

NPS staff use the following records schedules:

- NPS-19 (Appendix B)
- General Records Schedules
- specific records schedules developed for individual categories of records at individual parks

3. *What's NPS-19 (Appendix B)?*

NPS-19 (Appendix B) is the Records Disposition Schedule for the National Park Service. It lists hundreds of categories of records in 12 general groups:

- Administration
- Concessions
- Development and Maintenance
- Fiscal
- History and Archeology
- Interpretation and Information
- Lands and Recreation
- Natural and Social Sciences
- Personnel
- Supplies, Procurement, and Property
- Laws and Legal Matters
- Fire Management

NPS-19 (Appendix B) is available on-line at: http://data2.itc.nps.gov/wapc/records/Index.html.

It's also available via InsideNPS. Go to NPS Policies, click Records Management in the Select Policy Subject drop-down menu, and choose Records Management Intranet Web Site.

4. *How should I apply NPS-19 (Appendix B) to park records?*

Apply NPS-19 (Appendix B) to park records only (see definition, question 8 below).

If…	***Then…***
the records have been filed according to the filing codes provided in NPS-19,	you should compare the actual records to the appropriate code to confirm that they were properly filed.
the records were filed under the correct filing code,	follow the directions cited under "Disposition" for that particular code. Those directions will tell you whether you should: • destroy the records after a certain period • transfer them to the National Archives • accession them into the museum collection
the records in question were not filed according to the NPS-19 filing codes, or if they were filed incorrectly,	review the filing codes to find the one that matches those records. Then follow the directions cited under "Disposition" for that particular code. Those directions will tell you whether you should: • destroy the records after a certain period • transfer them to the National Archives • accession them into the museum collection
you are unfamiliar with the NPS-19 records codes and how to apply them,	consult with the park's administrative officer, the regional curator, or the NPS records manager.

Note: Certain file units—such as project files—may contain copies of documents with different filing codes. In such cases, leave the files intact.

5. *What's the General Records Schedule?*

The General Records Schedule is a collection of records schedules. It covers more than 20 broad categories of records that are commonly produced by Federal agencies. The National Archives and Records Administration (NARA) issues the schedule. It's available on-line at http://www.archives.gov/records-mgmt.

Apply the General Records Schedule to park records in the same manner that you would apply NPS-19 (Appendix B).

Most General Records Schedules relevant to the National Park Service have already been incorporated into NPS-19 (Appendix B).

6. *What are "specific" records schedules?*

You may discover park records that don't appear to be covered by either NPS-19 (Appendix B) or the General Records Schedule. Consult with your park's administrative officer to see if a specific schedule for those records exists. If there is a specific schedule, follow the disposition instructions. If there isn't a specific schedule covering those records, you'll need to get one.

7. *How can my park get a specific records schedule?*

To get a specific records schedule:

- Appraise the records in question, following the guidelines in Section E.
- Submit a "Request for Disposition Authority" to the National Archives and Records Administration. Provide the findings of your appraisal and propose a disposition (such as, destruction, transfer to the National Archives, or permanent retention at the park).

Note: The National Archives has legal authority over the disposition of all Federal records covered by the Federal Records Act. The Federal Records Act includes all NPS records. If you need assistance preparing a Request for Disposition Authority:

- check the National Archives website (http://www.archives.gov/records-mgmt.), *or*
- consult with the NPS records manager

8. *Should NPS-19 (Appendix B), the General Records Schedule, or specific records schedules be applied to any kind of archival or manuscript materials?*

No. Records schedules can only be applied to records produced by the National Park Service.

NPS records include all materials such as reports, letters, memorandums, photographs, sound recordings, films, floppy disks, CDs, maps, blueprints, videotapes, and any other kind of document filed in the course of official business. NPS records also include materials from outside sources that a park receives in the course of doing business. Some examples are letters written to park officials and contract proposals sent to the procurement office.

9. *Should NPS-19 (Appendix B), the General Records Schedule, or specific records schedules be applied to donated or purchased materials?*

No. Donated or purchased materials, such as personal papers and the records of non-federal organizations are not Federal records. Federal records schedules don't apply to them.

G. Accessioning Archival Materials

1. *When should I accession a collection of archival or manuscript materials?*

As detailed in Section E, you should accession archival or manuscript materials only after determining that the materials in question:

- meet the Scope of Collections Statement, *and*
- have sufficient historical value to justify permanent retention

Use one of the following methods to determine whether you should accession collections:

- For park records: Follow guidelines contained in NPS-19 (Appendix B).
- For park-generated documents that aren't considered official records: Appraise the materials to determine if they have evidential value, informational value, legal value, or administrative value. Include findings in a written appraisal report.
- For donated or purchased materials: Appraise the materials to determine if they have evidential value, informational value, or legal value. Include findings in a written appraisal report. **Note:** Only a qualified archivist or records manager should attempt to do an appraisal report.

2. *What steps should I take to accession an archival collection?*

Take the following steps to accession an archival collection:

> ***Follow the accessioning procedures outlined in* Museum Handbook II*, Chapter 2, Accessioning. The same basic procedures and rules for accessioning museum objects also apply to accessioning archival collections.***

- For donated materials: Have the owner sign a Deed of Gift (Form 10-830). Always ask for all copyrights when conveying title to the NPS, and get signed release forms.
- For purchases: Have an appropriate purchase document and statement of ownership. Always ask for all copyrights when purchasing collections for the NPS, and get signed release forms. **NPS policy states that donations or purchases of archival materials should be made without restrictions** (although exceptions may be made in certain cases).

- For materials from another park or Federal agency: Complete a Transfer of Property Form (DI-104).

- For records associated with field collections (such as field notebooks of archeologists, paleontologists, geologists, and biologists conducting research under NPS permit): Complete a Receipt for Property Form (DI-105).

- For materials acquired via loans: Complete an Incoming Loan Agreement and Receipt for Property (DI-105).

Note: It's permissible to accept copies of field notes and similar materials produced by outside researchers. See *Museum Handbook III*, Chapter 2 for information on copyright issues for field notes.

3. *Does each document have to have an accession number?*

No. Archival materials generally are accessioned in bulk. However, under certain circumstances it's possible for accession numbers to be assigned to individual items within a collection.

4. *Does each collection have to have a single and unique accession number?*

This is ***preferred***, but isn't mandatory. There may be occasions where a single accession can contain materials from multiple collections. There may be occasions when a single collection may be acquired in multiple accessions. It's simpler and more efficient to handle archival materials when a single accession represents a single collection in its entirety, if at all possible. In defining an archival collection, however, the overriding factor is provenance—not the accession.

You should never intentionally combine multiple collections in a single accession – but sometimes this can happen by mistake. Example 3, below, provides guideance on what to do if you should encounter an accession combining two or more collections.

Example 1: The personal papers of a particular individual are donated to the park by that person's descendants,and receive an accession number. Then the family discovers an additional cache of that person's papers, and donates them, too. Because the park didn't receive these papers until many years after the initial accession, the new donation receives its own accession number. But the two accessions should be combined under a single catalog record because they are two parts of a whole: the personal papers of the individual who created them.

Example 2: All Resource Management Records for the park are being handled as a single collection (see Section M for more information on how and why this should be done). This collection contains several "recurring series," which are on-going series of records that will grow over time with the addition of new file units. New file units for these various series, such as "Grazing Records" or "Fire Management Records," should be given new accession numbers as they are received, but they should simply be added to the existing collection. Therefore, this collection of Resource Management Records may receive an infinite number of accessions over the years, but it will remain a single collection.

Example 3: The park receives a donation of archival materials as a single accession. Upon further examination, it appears that the accession contains the personal papers of two different individuals. The accession therefore contains two distinct collections and should be split between two catalog records—one for each collection.

5. *Can accessions be divided?*

Yes. It's conceivable that multiple collections can get mixed together in a single accession. For example, a park may acquire two or more collections from a single donor and handle the donation as a single accession. When that happens, it's necessary to separate the different collections and then catalog and shelve each of them separately. If an accession contains three different collections, enter them into the ANCS+ Collections Management Module as three different catalog records. The same accession number should be cited in all three catalog records.

> ***The most important unit in archives and manuscripts is the collection, not the accession or the individual document.***

6. *Can multiple accessions form a single archival collection?*

Yes. It's not uncommon for a collection to be acquired by a park in two or more accessions. Sometimes collections can be acquired through many small accessions over a period of many years. This is particularly true for ongoing or recurring series, such as Resource Management Records, which will be produced as long as the park continues to exist. Although *cataloged* Resource Management Records will always have an end date, that end date will always be subject to change as you accession more recent records. (See next question, "What's an 'accretion,'?" for more information on adding new accessions to existing collections.

When a single collection is broken out among multiple accessions, the collection needs to be reassembled. It's necessary to combine all of the accessions and handle the collection as a single item. Enter the collection into the ANCS+ Collections Management Module as a single catalog record. All of the accession numbers for that collection, however, should be cited in that catalog record.

7. *What's an "accretion"?*

"Accretion" is another name for an accession that is added to an existing collection that has already been cataloged.

It's not unusual to receive additional materials belonging to a collection after the collection has been arranged, shelved, and cataloged. For example, a donor could transfer all the papers of a famous ancestor to the park. Years later, he or she discovers another portion of that collection. In such cases, the donor might transfer the remainder of the papers to the park long after the original accession had been cataloged.

In another example, most parks accession field notes and other associated records relating to permitted research. The associated records for archeology or geology might each constitute a collection. They might also each constitute a series within a larger collection of Resource Management records. Unless parks discontinue permitted research, associated records will continue to be accessioned. In most cases, treat these records as accretions to the existing series or collections. Don't treat each new accession as a new collection.

8. *How should I handle accretions to a collection?*

Interfile accretions with existing materials or add them to the collections as a new series, depending on the arrangement of the collection. See Sections H, I, and J for additional information on how to arrange collections.

Update the existing catalog record by:

- adding an additional accession number for the accretion
- updating the volume of the accretion to the volume of the collection as a whole
- updating the date range for the collection if the accretion covers years beyond those covered in the existing collection
- revising the description field if the accretion covers subjects not noted previously and types of documents not previously listed
- revising the organization/arrangement field to show an additional series if the accretion is being handled as a new series within the collection (Remember to complete a new series screen in the Archives Module.)

H. Arrangement

Once you have accessioned a collection, the next step is to arrange it in its proper order. There's no universal template that can be used when arranging a collection. However, there are clear and fairly simple rules and standards that you must follow.

1. *What's arrangement?*

Arrangement is perhaps the most important step in managing an archival or manuscript collection. Arrangement is the process by which a collection of any size is brought under both intellectual and physical control. The way in which a collection is organized becomes the basis for all subsequent activities or uses in connection with that collection. Effective cataloging and access is possible only if a collection has been arranged. An unarranged collection cannot be cataloged properly or used efficiently.

> ***Never attempt to catalog a collection until it has been arranged.***

2. *Why is it necessary to arrange a collection before cataloging or using it?*

The "collection," not the individual document or file, is the basic unit of control in archives. A collection, regardless of size, represents a single grouping of items that's documented on a single catalog record.

> ***Although an entire collection should be cataloged in a single catalog record in the Collection Management Module, you cannot stop there. For most archival collections, proper documentation requires description of the lower levels of the collection's hierarchy—such as the individual series and subseries—in the Archives Module. These descriptions are based on the actual arrangement of the collection. The catalog record, therefore, documents only*** **part** ***of a collection. For full documentation of a collection, you need to enter descriptions in the Archives Module.***

Remember that a collection contains *ALL* historically significant documents in the park's custody that were created or received by a particular organization or individual. If the park has 100 folders of documents created or received by an organization (such as a corporatin, a non-profit foundation, or a government agency), then treat all 100 folders as part of a single collection. Do not handle each folder as an individual collection.

To make sense of a collection, it must be arranged. All but the smallest collections typically are subdivided into series. The series may be further subdivided into subseries and sub-subseries, which typically are subdivided into file units. Each document has a permanent location in this structure of series, subseries, and file units. The structure is similar to a book in which each page has a permanent location within a chapter. Otherwise, a collection would be nothing but a chaotic jumble of disconnected documents. There would be no logical order, no context, and no way of locating information except to search each document, one at a time. It would be like a book that is bound without regard for pagination.

Put another way, an unarranged collection is like a disassembled puzzle. To make the collection manageable and useful, you have to put the pieces together. Only then will the full picture become apparent. Trying to catalog a collection before arranging it would be like trying to describe the picture before assembling the puzzle. Trying to do reference in an unarranged collection is equally inefficient. It's like trying to find a particular scene in a thousand-piece puzzle by sorting through the loose pieces.

Fortunately, most collections will be in at least rough order when they are accessioned. Some collections may have been mixed up between the time they were created and the time they were accessioned. However, there are many clues and guidelines to help you put a collection back into its original order.

3. *What are the two key steps that I have to take in order to arrange a collection?*

The two key steps to arranging a collection are:

- *Define the Collection*. Clearly identify what materials are in the collection. In most cases, a single collection would include all documents created or received by a particular person or organization. Make sure the collection remains intact and is not mixed with any other collections.

- *Establish the Internal Organization of the Collection*. Determine if the collection is ordered correctly, or if you need to put it back into its correct order.

4. *How do I handle items that pertain to more than one collection?*

A collection consists of all documents created *or received* by a particular person or organization. Although some documents may pertain to other collections, all documents must be kept as part of that person's or organization's collection.

For example, you have a collection of George Washington's papers and a collection of Thomas Jefferson's papers. The Thomas Jefferson papers include an original letter that George Washington sent to Thomas Jefferson. Even though Washington wrote the letter, he sent it to Jefferson, who kept it in his own collection. Therefore, the letter becomes part of Jefferson's records, not Washington's. If Washington kept a copy of the letter for his own collection, however, that copy would properly be part of the Washington Collection.

5. *May I combine similar or related collections?*

No. Never mix one collection with another collection, no matter how closely related they might appear to be. Two collections of records that cover exactly the same topics created by two different organizations are two separate collections.

6. *May I break collections up into multiple collections if they are very large or cover different topics?*

No. You should never break up a collection. You may subdivide the collection into series and subseries and thereby address questions of size and subject. Those are internal or organizational divisions. The collection as a whole should remain intact and should be handled as a single catalog record.

> ***One exception to the rule against breaking up collections into smaller collections involves associated records. You may treat <u>all</u> project files for a particular discipline as a collection, rather than as a series within a larger collection of park resource management records. Do not, however, treat individual project files as separate collections.***

7. *Should I combine archival materials created by an individual while he or she was working for an organization into a collection with materials created by that same individual in his or her spare time?*

No. It's best to keep an individual's personal papers separate from documents he or she created while working for an organization or agency. For example, your park has the archives of an organization that includes the speeches and business correspondence of the organization's president. In addition, your park has that individual's personal correspondence and diaries. You should keep the documents created by that person in his or her official capacity as president of the organization with the organization's archives, and you should manage that person's private papers as a separate collection.

8. *Should each accession be regarded as a collection?*

Not necessarily. It's possible that:

- a park could acquire an entire collection as a single accession
- a park could acquire an entire collection through multiple accessions, sometimes spread out over several years
- a single accession may contain more than one collection, or portions of more than one collection
- the park may acquire a portion of a collection in an accession that is received *after* that collection has been cataloged (In such cases, add the new accession to the rest of the collection and revise the catalog record accordingly.)

Note: See Section G for a more detailed explanation of how to accession archival collections.

9. *What's meant by "archival arrangement"?*

Any collection of archives or manuscripts is going to be arranged in some manner. The arrangement patterns of larger collections may be fairly complex, but the overall concept of archival arrangement is a simple one.

As individuals or organizations create and save records, they seldom do so in a random manner. They usually don't keep loose documents in boxes or drawers without some kind of logical arrangement or filing system. Instead, they place documents into folders. Then they may group the folders based on subject, function, source, or document type.

For example, staff members in an office start working on a particular project. They are likely to open a file on that project. All of the letters, reports, notes, meeting minutes, and reference documents concerning the project would go into that file. The file, in turn, would be kept together with files on all of the office's other projects. These project files would be kept together in the same file drawer. There would be some kind of logical scheme for arranging them. They might be arranged alphabetically by the official title of the project or numerically according to an established filing code.

The office might also keep "reading files" containing copies of all outgoing correspondence. One way of handling these documents would be to open a new reading file every month. Staff would place copies of outgoing letters into that file as they are completed. All the monthly files would be kept together in the same file drawer. Similarly, as invoices are received from vendors, all of the invoices would be filed together. They could be filed in alphabetical order, by the name of the vendor, or in chronological order, by the date received.

An archival arrangement usually is nothing more than the basic structure that a person or organization adopted when filing records.

You could walk into almost any NPS office and quickly see that certain types of files are kept in one drawer. Other types of files are kept in other drawers. Those varying groups of records in the different drawers are like series in an archival collection. Each series—the project files, the reading files, the invoices, etc.—consolidates a group of files by type or function, and arranges them in a consistent pattern (alphabetically, numerically, chronologically, etc.).

10. *Should all archival or manuscript collections follow the same arrangement patterns?*

No. Each archival or manuscript collection will have a unique structure. All archival collections, however, follow the same "bigger to smaller" format. The goal is to keep the order in which the collection was originally kept. But the actual components and filing schemes will vary from collection to collection.

Some collections may be nothing more than a group of individual documents or individual file units. More commonly, however, individual documents or file units are organized into series or subseries. The file units or individual documents in some series or subseries may be arranged chronologically, whereas file units or individual documents in other series or subseries may be arranged alphabetically. There is no standard template. It all depends upon the specific collection because each collection will have its own unique organizational structure. For examples of variations in hierarchical structures for one category (park resource management records), see **Figure D.4a-D.4g**.

Arrangement patterns will vary based on any number of factors, such as:

- the work a person or organization does
- the size and complexity of the organization that created a collection of records
- individual preference for types of filing schemes and formats (certain

organizations or individuals may produce certain physical types of records that they choose to file together.)

Example: Type of Work

The records of the Thomas Edison Corp. at Edison NHP, include laboratory notes. The notes reflect the fact that the corporation was engaged in original research. The records of American President Lines at San Francisco Maritime NHP include ships' logs. The logs reflect that company's activities as a shipping line. A person or organization's specific activities or functions help determine the kinds of records they create. The activities and functions also determine the internal structure or arrangement of their archival collections.

Example: Size and Complexity

A small company may have one central filing system. It would keep all of its correspondence files together, all of its project files together, and all of its purchasing files together. A very large organization may be broken down into several components. Each component would have its own filing scheme. The arrangement of that organization's archival collection might therefore be broken out by the various organizational units. It would then be further broken out by the specific types of records that those units maintained.

Example: Individual Preference

Some individuals or organizations may keep financial records in bound ledgers. Others may keep financial records on loose sheets in file folders. Some may choose to arrange a particular type of material alphabetically. Others may choose to arrange a similar type of material chronologically or according to an alpha-numeric code.

Example: Types of Records

An organization may choose to file physical types of records together, such as architectural drawings, engineering drawings, maps, photographs, sound recordings, or motion pictures.

One of the most critically important responsibilities of the archivist or curator is to examine each individual archival or manuscript collection very carefully. The archivist or curator must be able to:

- ***discern a collection's specific and unique arrangement scheme***
- ***figure out how a collection was <u>originally filed</u> by the person or organization that created it***

11. *How can I determine original order if the collection has gotten out of order over the years?*

Use common sense, ordinary logic, and a basic familiarity with archival principles to determine the original order. See Section D for the archival principles that you will need to understand.

There are two key points to keep in mind:

- First, many collections will still be in their proper, original order when they're accessioned. All you have to do is identify that order and then maintain it. What are the main groupings of records? How are the files arranged within those groupings? If a file from one obvious grouping has gotten misplaced in another grouping, put that file back where it belongs. Draw up a "hierarchy" based on the order that you have identified (see Sections C and I for an explanation of a hierarchy.) Base your processing and cataloging of the collection on the way in which the collection is ordered.

- Second, there are many clues and guidelines that can easily help you put a mixed-up collection back into its original order (see item H-13, below, for examples).

You have to put the collection back together before you can proceed with any other tasks related to that collection. It's almost impossible to process, catalog, or use a collection effectively if it's not properly arranged.

12. *Is it okay to alter original order to suit current needs?*

No. If you can establish a collection's original order, then you must keep it. Even if there may seem to be a better way of organizing the collection, you must maintain the original order. There are several reasons for this.

The "original order" reflects how the records were filed. It also reflects the historical events and the historical contexts that they document. The original order is evidence of what actually happened, just as much as the documents themselves. Keeping a collection in its original order can help researchers discern:

- causes and effects
- responses to events
- the mindset of individuals at the time those events occurred
- the flow and patterns of history

By reordering a collection into what might seem like a more useful arrangement, such as topics that seem important at the time, you're imposing a subjective order on the records. This could make it more difficult for others to use the records in the future.

13. *Is it possible to arrange a collection that's no longer in its original order?*

Yes. Even if a collection gets all mixed up before it's accessioned or processed, it's usually possible to put it back into its original order. For example, mix up 26 volumes of an encyclopedia (arranged alphabetically), a ten-year run of a weekly magazine (arranged chronologically), and a set of financial ledgers (arranged by volume number). No matter how mixed up they are, it's easy to see that the encyclopedias belong together. The magazines belong together, and the ledgers belong together. It's equally easy to see that the encyclopedias should be in alphabetical order. The magazines should be in chronological order, and the ledgers belong in numerical order. Putting a disarranged archival collection back together is similar.

To determine original order, look closely at:

- arrangement schemes
- physical formats
- subject matter and function
- time frame
- source
- titles on file folders and bound volumes

For example, suppose you have 26 big bound volumes scattered throughout a collection. The volumes all carry the same title. Each volume is marked with a letter from A to Z (with none of the letters being repeated). The volumes all contain the same kinds of documents and information. Bring all of those volumes together as a series or subseries, and arrange them alphabetically. See Section J for information on series and subseries.

Similarly, suppose that hundreds of file folders labeled "Outgoing Correspondence" are also scattered throughout that collection. Each file folder is marked with a month and a year between 1937 and 1952. No month or year is repeated. The content of these file folders matches. All of the folders contain carbon copies of outgoing letters. The folders may be badly scattered through the collection. They may be jumbled with file folders containing different titles and are no longer in chronological order. However, they all appear to be part of one series. You should consolidate them and arrange them chronologically.

Figure D.2a is an example of a collection whose individual file units have gotten out of series order. **Figure D.2b** shows the hierarchy for that same collection upon being reassembled into its original order.

14. *What if the original order is hopelessly lost, and there is no way of re-establishing it?*

You must do everything you can to understand and preserve a collection's original order. If the original order cannot be discerned, or if the original order was purely random, then the archivist may impose an order to make the collection useable. This should not be attempted except in extreme situations. If you have to impose an order on a collection, you should observe the following guidelines:

- Retain the provenance—that is, make sure that you are working with a single collection. Do not mix the collection with materials produced by another records creator, and do not divide the collection into multiple collections.
- Exert every effort to discern the original order. Do not attempt to impose an order unless you are certain that the original order cannot be ascertained or cannot be used even if it were ascertained.
- If at all possible, retain series and subseries structures. Confine yourself to reordering file units or documents within the original series organization.

Note: The decision on whether to impose order on a collection whose original order cannot be established should be made by a qualified archivist or records manager.

If a collection is out of order, it's not acceptable to leave it that way. Don't box, shelve, or catalog it in that condition.

I. Hierarchical Structure

1. *What's a "hierarchy"?*

The "hierarchy" is the internal structure of a collection. It shows how a collection is organized into its subordinate parts (series). It shows how series are organized into their subordinate parts (subseries). It shows how file units in series or subseries are arranged. It is like an outline of the collection or a table of contents. By surveying and arranging a collection, the collection's archival "hierarchy" will be identified. See Section D for additional information on hierarchies.

2. *Why is hierarchical structure the key to arranging a collection?*

The key to arranging an archival collection is to build from the top down. Begin with bigger elements and move down to their smaller components.

In other words, an archival collection should be arranged *hierarchically*. The top level of the hierarchy is the largest part of the hierarchy. This is the collection as a whole, which is all-encompassing. The bottom of the hierarchy is made up of the smallest parts of the collection or the individual documents themselves. In between, in descending order, would be the series, subseries, and file units.

The vast majority of collections are broken up into *groups* of archival materials. These groups are called "series." Each series, in turn, is broken down into components. In some cases, a series is broken down into smaller groups, called "subseries." In other cases, series are broken down into individual file units. Following the same pattern, these subseries may be broken down into yet smaller groups called "sub-subseries." They may also be broken down into individual file units. Each file unit, meanwhile, will contain one or more individual documents (or "items").

Looked at from the bottom up, this means that each document will belong to a file unit. Each file unit will belong to a subseries. Each subseries will belong to a series, and each series will belong to a collection.

The internal structure of an archival collection is not unlike the internal structure of the *Museum Handbook*. For example:

- An archival collection may be divided into *series.* The *Museum Handbook* is divided into *volumes*.

- An archival series may be divided into *file units*. Each volume of the *Museum Handbook* is divided into *chapters* and *appendices.*

- An archival file unit is divided into individual documents, or *"items."* The chapters and appendices in the *Museum Handbook* are divided into *sections.*

You can take the *Museum Handbook* out of its binders and shuffle the pages.

However, you can still put it back together in its original order. Similarly, if individual documents and file units in an archival collection get shuffled, it's still possible to put them back in their original order.

3. *What should a hierarchy look like?*

Figure D.3a shows a sample hierarchy for a collection of organizational archives. **Figure D.3b** shows a sample hierarchy for a collection of personal papers. Both hierarchies show how collections may be subdivided into series. They also show how some of those series, but not all of them, may be further subdivided into subseries and sub-subseries. The sample hierarchies show how subdividing into series, subseries, and sub-subseries may be based on:

- differences in the physical format of documents
- the type of documents
- the content or function of documents
- the origin of documents
- the filing or arrangement schemes

Most importantly, the sample hierarchies show how the different components in a collection relate to each other. Every element in a collection is part of a larger element. An item is part of a file unit, a file unit is part of a series, and so forth.

It's important to remember that these hierarchies are only examples, not templates. You should not simply try to force collections in your custody into these sample hierarchies. Each collection will have its own hierarchy, based on what the collection actually contains and how it's actually structured.

Identifying a hierarchy is not like classifying an object. You are not trying to place each document or each file within a taxonomic structure. Instead, you need to identify a collection's unique components. Identifying a hierarchy is nothing more than identifying a collection's internal structure. It all depends on how a collection is organized and how the documents are filed, which will be as different for each collection as the table of contents is different for every book.

4. *How should the various elements in the hierarchy (such as series, subseries, file units) be titled?*

Each element should have a unique title.

- No two collections among your holdings should have the same title. Never use generic titles when naming collections, such as "Associated Project Documentation." Indicate the creator of the records and the type of materials, such as: "Thomas E. Edison Papers" (the records creator is Thomas E. Edison, and the materials themselves are personal papers) or "Records Associated with Archeological Projects at Andersonville NHS" (the records creator is Andersonville NHS, and the materials themselves are archeological project files).
- Within a particular collection, no two series should have the same title.

If you have two very similar series, find some way to differentiate between them. For example, if you have a series of subject files covering the years 1920-1940 and a series of subject files covering the years 1941-1960, you can differentiate them in the titles as follows: "Subject Files, 1920-1940" and "Subject Files, 1941-1960." Do not just put "Subject Files" in the title fields for both series. (Of course, it is all right to have a series entitled "Subject Files" in one collection and a series entitled "Subject Files" in another collection. Because the two series are in different collections, there is no conflict).

- Within a particular series, no two subseries should have the same title.

- Within a particular series or subseries, no two file units should have the same title. (Very large files can be contained in multiple folders, all of which would have the same title, but they are still all part of the same file unit. Example: You have a series of "Accounts Receivable" files that are arranged chronologically. The file unit for "Accounts Receivable – March 1938" is so voluminous, however, that it needs to be broken out into three separate folders. But these three folders all are part of a single file unit, so it is okay to put "Accounts Receivable – March 1938" on each of them. In such cases, they should be numbered "1 of 3," "2 of 3," etc.)

- Within a particular file unit, each document should have a unique title. If you are doing item level description—which is strongly discouraged—do not just identify individual items with a generic title such as "Letter" or "Memorandum." Indicate what the document actually is, such as "Final Report of the Planning Committee, August 13, 1905" or "Letter, Smith to Jones, December 5, 1915."

- Through a hierachical approach, every series, every subseries, every file unit, and even every item will have a unique and permanent intellectual address. This is essential for managing, retrieving, and citing documents. For example, there can be only one document with the following intellectual address: "Fred Smith Papers: Correspondence: Outgoing Letters: December 1915: Smith to Jones, December 5, 1915." This intellectual address clearly identifies the item ("Smith to Jones, December 5, 1915"), the file unit ("December 1915"), the subseries ("Outgoing Letters"), the series ("Correspondence") and the collection ("Fred Smith Papers").

Note: This unique hierarchical address method works, even if you only describe a collection down to the series or subseries level. If someone requests a copy of the letter from Smith to Jones, December 5, 1915, you do not need to have that individual letter described in the Archives Module in order to find it. If you have the series and subseries descriptions entered into the Archives Module, however, you will know where to find the letters that Mr. Smith sent out. You can just go to the box containing the outgoing letters for 1915. Thumb through the files until you come to the "December 1915" file, and flip through the letters until you come to the one you want. It is like looking up an article in an encyclopedia. You don't need to know the exact page where the article is printed. All you need to know is the alphabet and where the set of encyclopedias is located.

> ***For further information on naming conventions and other standards for archival description, you may want to consult the Society of American Archivists' publication* Describing Archives: A Content Standard (DACS) *(2007), or its predecessor volume,* Archives, Personal Papers, and Manuscripts *(1989), by Steven L. Hansen.***

5. *How should a hierarchy be used?*

Once you have established a hierarchy, you have a blueprint for all future work involving that collection.

Processing and Arrangement Phase

As you process and arrange a collection, the hierarchy serves as your guide for putting documents and files into their proper order. The physical storage of the collection will reflect the hierarchical structure. Box and shelve series and subseries in the same order as they appear in the hierarchy.

Cataloging Phase

As you catalog a collection, you base your descriptions on the different levels of the hierarchy. You write a brief overall description of the collection as a whole. You then write similarly brief descriptions of each series, subseries, sub-subseries, and so forth. Generally, you should avoid individual descriptions of file units and items. See Sections R and S for further discussion on how to catalog archival and manuscript collections.

Reference and Document Search

As you conduct reference and search for documents in a collection, the hierarchy serves as the roadmap. It's the basis for the development of finding aids.

J. Organization—Series And Subseries

1. *What's a "series"?*

A "series" is a "natural" grouping of records. It's natural in the sense that the person or organization that created the records devised the groupings. The creator grouped the records mainly for ease of retrieval.

2. *How are series grouped?*

Series are grouped based on one or more of the following elements:

- *Arrangement Scheme:* A series should reflect a single arrangement scheme throughout. All the files, volumes, or documents within a series should be arranged alphabetically, chronologically, numerically, or according to some other consistent pattern.

- *Physical Type of Document:* The creator of a particular collection of records may have filed all the photographs together, or all the architectural drawings, or all the maps together. If so, these groupings by physical type might each constitute a series--but only if that is the way in which they were originally filed. If the records creator filed photographs together with letters and reports in a single series, then those photographs must remain part of that series—even if you have to separate them physically for preservation purposes (see Sections P and Q for more information on the physical removal of oversized documents and photographs from textual series; also see the "If-Then" table under item 8, below).

- *Subject Matter or Function:* The records creator may have filed all the personnel files together. All the project files or all the financial records may be filed together. Series breakdowns typically reflect this kind of division.

- *Time Frame:* Certain types of records may be broken down into series by time periods. For example, a collection of correspondence may be arranged alphabetically by the name of the correspondent and grouped into blocks of 10 or 15 years. It may make sense to leave those blocks of correspondence intact as separate series. Grouping the records by time period might be better than attempting to interfile them with alphabetized correspondence from a subsequent 10-year period.

- *Source:* It's conceivable that a group of documents received from a particular source could constitute a series. For example, a collection of financial records may consist of account statements, financial reports, correspondence, and cancelled checks received from different banks. These materials could be organized into one series per bank.

Note: People and organizations that create collections of records usually file their documents in a logical format. They keep certain types of documents together in a consistent filing scheme. For example, a filing cabinet may have one file drawer containing Project Files. A second file drawer could contain Correspondence Files, and a third file drawer might contain Invoice Files. Each of those components would be a series. Identifying the various series in an archival or manuscript collection should be as simple as identifying the drawers in the filing cabinet.

3. *What's a "subseries"?*

A "subseries" is a series within a series. Sometimes it's appropriate to break a series up into smaller groups called subseries.

4. *When is it appropriate to have a subseries?*

There are many reasons why it may be appropriate to break up a series into two or more subseries. Here are the most common reasons:

- different arrangement patterns
- different time periods
- different physical formats
- different sources or different types of records

Different Arrangement Patterns Example

Suppose all the correspondence files for a particular collection are kept together. This would constitute a single series. Within this series of correspondence files, however, the incoming letters are arranged alphabetically by name of correspondent. The copies of outgoing letters are arranged chronologically. You cannot have a series in which some of the file units are arranged alphabetically and some are arranged chronologically. Subdivide this series into two subseries. One subseries is for the alphabetically-arranged incoming letters. The other subseries is for the chronologically-arranged copies of outgoing letters.

Different Time Periods Example

Suppose the records-creator filed incoming and outgoing letters together, arranged alphabetically. Then suppose that the person or organization that created the records stopped adding to this body of correspondence after 10 years. The individual placed it in storage and then started a new batch of alphabetically arranged correspondence that would run for the next 10 years. The archival collection would have two separate 10-year blocks of alphabetically arranged correspondence files. All of these correspondence files properly constitute a single series. However, it wouldn't be practical to try to integrate them into a single alphabetized group of files. Instead, break the series into two subseries--one for each 10-year block of records. To avoid confusion, be sure to include the beginning and ending dates of these subseries. Enter the dates in the date fields when you catalog the records. You should also incorporate the dates into the formal titles of the subseries: "Correspondence Files, 1960-1969" and "Correspondence Files, 1970-1979."

Different Physical Formats Example

It's not unusual for a group of photographs to constitute a series within a collection. But good records preservation practice calls for prints and negatives to be housed separately. Moreover, it's not unusual for prints and negatives to have different arrangement schemes. Prints are likely to be filed by subject and negatives by image number. In such cases, it's appropriate to subdivide a series of photographs into two subseries. Create a subseries of prints and a subseries of negatives.

Different Sources or Different Types of Records Example

An organization that creates a collection of archival materials may do so along administrative lines. It may file all of the correspondence together. It may file all of the personnel records together and all of the project files together. It would then subdivide them according to the division of the organization that created them. The Correspondence Files could be broken down into groupings such as the President's Office, the Research Division, and the Publications Division. In this case, the basic types of records--Correspondence Files, Personnel Files, and Project Files--would all be handled as series. Then each of them would be sub-divided into subseries for each of the organizational units. Alternatively, all of the records of each organizational unit could be filed together. There would be three series: President's Office Records, Research Division Records, and Publications Division Records. Those series, in turn, would be subdivided into subseries for each records type. For example, the series of Research Division Records would be broken down into subseries. There would be three subseries: Correspondence Files, Personnel Files, and Project Files.

5. *What's a sub-subseries?*

Just as a subseries is a series within a series, a sub-subseries is a series within a subseries. Not all collections in NPS custody will reach that level of complexity. However, it can happen, and it's just as easy to identify a sub-subseries as it is to identify a subseries.

Suppose the records of an organization were divided by administrative unit.

The records of the Research Division would constitute a series. The series would be subdivided according to type of records. The series might include a subseries of photographs. That subseries of photographs would likely be subdivided into a sub-subseries of negatives and a sub-subseries of prints.

It's even possible to go down to the sub-sub-subseries level. Suppose the sub-subseries of prints in the preceding example were subdivided. One group of prints is arranged by subject. A second group of prints is arranged by the name of the photographer. Each of those subdivisions would constitute a sub-sub-subseries.

6. *Why is it necessary to keep dividing and subdividing archival collections?*

You need to subdivide a collection until you have consistent bodies of records. A consistent body of records is the same kind of records arranged according to a single arrangement scheme.

7. *When should I stop subdividing?*

When a series or subseries or a sub-subseries consists of chronologically arranged correspondence files, you can stop subdividing, or when you have a series or subseries of personnel files that are arranged alphabetically, you can stop subdividing. If you have a group containing any other mismatches of record types or arrangements, then you need to continue subdividing. For example, if you have a series of alphabetically-arranged project files and numerically arranged ledgers, you should divide it into two subseries.

In most cases, you will not have to subdivide beyond the series or subseries level. In some cases, you will not have to subdivide. All of the files in a collection may contain the same type of material and follow a single arrangement pattern. Subdivide collections into series and subseries (and additional lower levels) only as necessary. Subdivide only to group bodies of like records in a single arrangement scheme.

8. *Should all items in a particular physical format be consolidated into a single series or subseries?*

Not necessarily. Only consolidate items of a particular format into a single series or subseries if the records creator originally filed them that way.

If…	***Then…***
the records creator kept all photographs in a set of albums,	those albums would constitute a single series or subseries.
the person or organization that created the records filed photographs with other types of materials, such as attachments to letters, or as illustrations for reports,	they are a permanent part of those letters or reports and would not constitute a separate series. Even though they should be separated *physically* for preservation purposes (see Section Q), *intellectually* they remain part of the file in which they originally were kept.

Don't store records with different formats together because they can damage each other.

Photographs that are kept next to letters, for example, can damage the fibers and inks in the letters. The fibers and inks in the letters can also damage the photographs. In such cases, you have two options. First, you may place the photographs into protective sleeves, and leave them in their original location. If this is impractical (because of the photographs' sizes, volume, or condition), then they should be physically removed and stored separately from the letters. Place a separation sheet where the photographs were initially located, indicating that the photos were moved (see **Figure D.5**). If possible, put a photocopy of the removed photograph with the separation sheet. Even though the photographs will be stored elsewhere, they technically remain part of the letters. They should still be considered part of the file units and series in which the records creator originally filed them. They don't constitute a separate series or subseries.

For further guidance on removing certain types of documents from their original locations for preservation purposes, see Sections N-Q.

9. *What's the difference between a "closed" series or collection and an "open" or "recurring" series or collection?*

A "closed" collection or series has been accessioned and cataloged. There is no expectation that additional materials will be accessioned later for addition to that collection or series. Closed collections and series tend to be those that were created many years ago by individuals or organizations that are no longer producing records. It's possible that supplementary accessions (or "accretions") can be added to closed collections or series. This typically occurs when some historical material is overlooked when the bulk of the collection was first transferred to NPS. When such material is discovered, it may be restored to the existing collection in the form of an accretion. Ordinarily, however, accretions of new material are not added to closed collections.

An "open" or "recurring" collection or series is one where additional accessions are expected routinely. The collections or series are still being created on an ongoing basis. You can keep adding new accessions to these series and collections even after they have been cataloged. All you have to do is add the new material (as a file unit within an existing series, or as a new series within an existing collection). Modify the collection level desciption in the catalog record to reflect the addition of the new material (for example, the volume and date range could change and the hierarchical structure could change if there is a new series). Contact the Park Museum Management Program in the Washington Office to adjust your Collections Management Report when you make your annual National Catalog submission. (The "new" cataloging will show up under previously Cataloged Part I and Total Cataloged Part III.)

The various categories of park records are the most prevalent type of open collections or series likely to be maintained by NPS museum programs. This is because the same kinds of park records are being produced on an ongoing basis by the parks.

Example: Associated Records are a textbook example of recurring series. A park is likely to accession new project files in archeology, paleontology, biology, or geology on an ongoing basis—perhaps annually, for some parks. Once you have established a collection or a series for project files in a particular discipline, you only have to add the new project files to that existing collection or series and then update the catalog record.

As noted in Sections E and F, only certain types of park records may be accessioned into museum collections. Park records should be disposed of in accordance with NPS-19 and the Federal Records Act. It's permissible for museum programs to accession resource management records, as defined by NPS-19. Most other park records should either be destroyed or transferred to the National Archives and Records Administration.

10. *How should I arrange an open or recurring series or collection?*

There are two ways of handling additional accessions for an open or recurring collection or series:

- Newly accessioned file units can be added to the end of an existing series if minute interfiling is not required. For example, suppose an existing series consists of reports that are arranged chronologically from 1940 to 1960. The accretion contains the same kind of reports arranged chronologically from 1961 to 1970. The accretion can be added seamlessly to the previously accessioned materials as part of the same series. Adjust the collection level catalog record and the collection and series level archives records to reflect the additional material.

- Newly accessioned file units that can't be added easily to an existing series may be added to the existing collection as a new series. For example, suppose the accretion contains the same kinds of material, but the material is arranged differently. Create a new series record in the ANCS+ Archives Module. Adjust the collection level catalog record and collection level archives record to reflect the existence of a new series.

Note: Accretions to open or recurring collections or series shouldn't be handled as new collections. They shouldn't receive separate catalog records. For example, your resource management records include a series of plant surveys covering the years 1985-1989. You accession additional plant surveys covering the years 1991-1995. Those new plant surveys should be added to the existing series. They shouldn't be cataloged as a new collection.

K. Organization, File Units And Items

1. *What's a "file unit"?*

A "file unit" is the basic means by which individual documents are physically consolidated and arranged. File units are the building blocks of the series (or subseries). A series that doesn't need to be subdivided into subseries (or a subseries that doesn't need to be divided into sub-subseries) is typically a body of records that is made up of one or more file units, arranged in a consistent pattern.

When records creators start accumulating records, they usually do so by setting up file units. The file units hold documents relating to particular projects, or topics, or individuals, or functions. The file unit, therefore, is the component of the series (or sub-series) that contains all of the documents relating to a project, individual, or function, that were filed together.

2. *Is a file unit the same thing as a file folder?*

No. It's important to understand that the file *unit* is not the same thing as a file *folder*. A file unit is a grouping of related documents. A file folder, however, is merely a physical device for holding those documents. There is no limit to the size of a file unit. If a project is especially complicated or protracted, the project file may grow. It may encompass hundreds of pages, held in dozens of file folders. The project file constitutes just one file *unit*, no matter how many file *folders* it requires.

3. *How are file units arranged?*

File units are arranged in several ways.

If…	*Then…*
the title on a file unit contains names or words,	the files probably will be arranged alphabetically.
the title of a file unit is a number,	the files probably will be arranged numerically (or by filing code).
the title on a file unit is a year or date,	the files probably will be arranged chronologically.

4. *Should I subdivide file units?*

No. File units should remain intact, even if they contain a mix of documents. For example, suppose a records creator routinely places all of his or her records each month into a single file unit. These may include reports, invoices, correspondence, newspaper clippings, and transcripts of speeches. You would not subdivide this group of material. Each file unit would contain the same sort of thing (that is, everything). The file units could be placed into a consistent arrangement pattern (arranged chronologically by month).

Leaving a file unit intact, however, is not the same thing as leaving everything in one folder. If a single file unit contains many pages, it may be necessary to use several folders to contain all the pages, but doing so does not mean you are creating new file units. Instead, you are just using more than one folder to contain a single file unit. Also, a file unit may contain oversized maps that should be removed and flattened, but doing so does not mean you are creating a new file unit for those maps. The maps are still part of the file unit intellectually, even if they have been separated from the rest of the file unit physically.

Remember: a file unit is not the same thing as a file folder. A file unit would contain all of the documents filed together by the records creator on a particular topic, or project, or individual, regardless of how many documents there might be. The file unit might cover many folders, depending on how many documents it contains.

Note: If a folder is so full that it is bulging, you may divide it into enough folders so that everything fits comfortably. Dividing a file unit into multiple folders is like slicing a pizza. You can cut it into four pieces or six pieces or eight pieces, but it is still a single pizza. You cannot cut it into halfs, however, and sell it to customers as two separate pizzas.

5. *What are some types of file units that are not contained in folders?*

Although the majority of documents are placed into file folders, there are other types of file units that don't use file folders, such as:

- *Volumes and Binders*. Some records creators place documents into loose-leaf binders or bind them into volumes. A file unit might constitute all of the documents:

– in the binder

– under one tab in the binder

– in multiple binders

In such cases, you have to look carefully at the titles on binders and tabs to make sure you are able to identify file units properly.

Note: If you are able to remove documents safely from binders or volumes, you should transfer them to regular file folders. See Section O, "Processing and Preservation—Paper-Based Documents," for information on preservation.

- *Ledgers, Logbooks, and Diaries*. Whether identified by number, date, or name, individual financial ledgers, logbooks, or diaries tend to be regarded as individual file units.

- *Drawers and Divided Drawers*. Oversized maps and charts may be placed into map cases. In such cases, it's possible that the records creator treated individual drawers as file units. Note the tabs or labels on the drawers and scrutinize the contents closely. This will help you to determine if file units were handled on a drawer-by-drawer basis. Similarly, a records creator may have placed photographs or index cards into rows within filing cabinet drawers. He or she separated the rows with dividers noting name, subject, or some other kind of file unit identifier. All of the photographs or index cards between two dividers might be regarded as file units.

- *Electronic File Folders*. Records creators may keep all of their documents electronically, grouped into electronic files. Retain the electronic arrangement of documents as the file units. In many cases, it may be advisable to print all the documents. Then place them into file units that replicate the electronic arrangement. See Sections N-Q for information on preservation and processing.

6. *What's an "item"?*

An "item" is a single document. Most collections are made up of series, and most series are made up of file units. File units are made up of items.

"Item" and "document" are not synonymous with "page" or "sheet."

An item may only be a one-page note, or it may be a report extending to hundreds of pages. Whether one page or hundreds of pages, it would still be just one item. An item might also be a single magazine, or a photograph, or a reel of audio tape, or even a roll of film.

An item may include attachments. If a letter is received with other documents as enclosures, those enclosures should be regarded as part of the letter. The letter and the enclosures together would constitute a single item.

Remember, archival and manuscript collections should be organized hierarchically, from the general to the specific. The collection level is at the top of the hierarchy because it's the most general (the collection as a whole). The item is at the bottom of the hierarchy because it's the most specific (individual documents). In between are the intermediate levels of series, subseries, sub-subseries, and file units. These become increasingly specific as you move down the hierarchy.

L. Step-By-Step Arrangement

1. *What's the first step in arranging a collection?*

Step 1: Review the collection in its entirety.

You may do this as part of a formal archival survey, or you may do this informally. In either case, you need to become generally familiar with all parts of the collection. You need to understand the full scope of the collection before you can start arranging the collection. You can't start arranging a multi-box collection simply by opening the first box, taking out a handful of documents, and putting them into some kind of order. You need to have a basic idea of what's in the collection as a whole. You'll then have a basic idea of how everything will fit together. Avoid moving or rearranging anything until you have completed this review. As you conduct our review, be sure to take notes that will help you carry out subsequent phases of the arrangement process.

2. *What sorts of things should I look for in a review?*

Review or survey the collection and conduct additional background research to determine the following:

- What types of records does the collection contain?
- What subjects, functions, and years are covered in the collection? (This shouldn't be an exhaustive and comprehensive list. All you need is a very basic sense of what's in the collection.)
- What is the history of the organization (or the biography of the person) who created the collection?
- Most importantly, can the collection be subdivided into multiple groupings (or series) of records? Does it appear that the person or organization that created the records filed all of the following together:
  - correspondence
  - financial records
  - project files
  - photographs

Note: Not all collections need to be subdivided into series. A collection that consists of one type of material arranged in a consistent fashion doesn't need a series organization. For example, a collection may consist entirely of letters received from various sources. If you can incorporate all of them into a single alphabetical, numerical, or chronological arrangement scheme, then series breakdowns are inappropriate.

3. *What's the second step in arranging a collection?*

Step 2: Identify each of the broad, basic groupings of records within the collection. These are the series.

The series provide the overall organizational structure for the collection. This is critically important because this is the structure you'll have to follow when arranging the collection.

4. *What's the third step in arranging a collection?*

Step 3: Carefully review *each* series you have identified to determine if it needs to be subdivided into subseries.

If so, then identify those subseries, just as you identified the series within the collection as a whole. If there are no series, then skip to Step 7. (Remember that the theory behind breaking series down into subseries is exactly the same as the theory behind breaking collections down into series.)

5. *What's the fourth step in arranging a collection?*

Step 4: If a particular series should be broken down into subseries, then review *each* subseries.

Determine if the subseries need to be divided into sub-subseries. If so, then identify those sub-subseries, just as you identified the series and subseries. If there are no sub-subseries, then proceed to Step 7.

6. *What's the fifth step in arranging a collection?*

Step 5: If a particular subseries should be broken down into sub-subseries, then review *each* sub-subseries.

Determine if the sub-subseries need to be divided into sub-sub-subseries.

7. *When do I stop subdividing a collection?*

Don't get carried away when identifying groupings of records such as series or subseries. Follow the pattern of subdividing until you have identified a body of records that consists only of:

- file units or items, *and*
- the file units or items don't need to be subdivided into groupings

For example, suppose you have properly identified a series of correspondence files. These correspondence files are arranged alphabetically by name of correspondent. Then suppose that there are multiple file units for several of the correspondents. There might be five letters from Mr. Smith, seven letters from Mrs. Bell, and eight letters from Mr. Jones. All of the letters are filed separately. Don't break these out as a subseries of letters for each person. Handle them all as individual file units within the series, arranged according to the series-wide alphabetical arrangement scheme. Be sure to include the date of the letter and the correspondent's name as part of the file unit title. Then arrange the file units for each individual correspondent chronologically. The series would be arranged alphabetically by name of correspondent. The alphabetized file units would be arranged by date.

Note: Such decisions often rely on judgment calls and common sense. A series of correspondence files that includes hundreds of letters from several sources might be appropriately broken out as subseries.

8. *What's the sixth step in arranging a collection?*

Step 6: Identify the arrangement scheme for the file units in the series (or subseries, or sub-subseries, and so forth).

Are these file units arranged chronologically, alphabetically, numerically, or according to some kind of filing code?

9. *What's the seventh step in arranging a collection?*

Step 7: Physically arrange the collection. Make sure all of the:

- items are in their proper file units
- file units are arranged according to the applicable filing scheme
- series, subseries, sub-subseries, sub-sub-subseries are properly grouped

Remember that if a collection is divided into series, then everything in that collection should be contained in one of those series. The collection shouldn't be organized into 10 series plus a few stray documents or file units. If you've identified 10 series for that collection, then every item must be contained in one of those series. You'll have to create new series to accommodate stray documents that don't logically fit within an existing series.

If a series is broken down into subseries, then everything in that series must be contained in one of those subseries. The same principle applies for sub-subseries and for additional levels below that.

If a series or subseries is organized by file unit, then everything should be part of a file unit. If you have a series made up of 100 file units, you cannot also have an individual document included as part of that series. Either locate the file unit where it belongs or create a new file unit for that one document.

10. *How should I arrange an assembled collection?*

An assembled collection is a body of documents selected from multiple sources. The documents have no organic connection to each other. Any order they might have would reflect the activity of the collector, rather than reflecting the activities of the individuals or organizations that created the documents. Therefore, there is no "original order" to an assembled collection and no true hierarchy.

Because an assembled collection is completely artificial, you are free to arrange it in whatever manner seems most efficient. A few suggestions:

Assembled Collection of the Same Kind of Documents

Catalog a collection level record. In the ANCS+ Archives Module, ignore the series, subseries, and file unit levels, and go straight to the item level. Arrange the individual items chronologically, or alphabetically, or any other way that seems to work.

Assembled Collection of Different Types of Documents

Catalog a collection level record. In the ANCS+ Archives Module, create series for each of the different formats, such as letters, diaries, and maps.

Assembled Collection of Small Groups of Documents from Different Sources

Organize the assembled collection into series according to the sources. The U.S.S. Arizona Memorial, for example, includes groups of 5-20 documents that various individuals donated. Most of the documents were collected rather than created by those individuals. The individual groups of documents don't really rise to the level of a true collection. Organizing them each as series within an assembled collection is a way of managing them efficiently, while retaining their provenance.

Assembled Collection Compiled and Arranged by a Private Collector, and Later Donated or Sold to the Park

Catalog as a single collection, retain in the order established by the collector, and provide series, filie unit, or item level entries—as appropriate—in the Archives Module.

M. Handling Resource Management Records

1. *What are resource management records?*

Resource management records are park files. They include baseline and other types of information that the park needs to manage its cultural and natural resources effectively. Depending on the park, resource management records might include files on:

- land use
- wildlife management
- construction and maintenance
- research projects in archeology, paleontology, biology, and geology

2. *What are the two acceptable methods for handling resource management records?*

One method is to handle all resource management records for a park as a single collection, covered by a single catalog record and a single catalog number. This collection, of course, will expand as new resource management records are created and accessioned. This means that the catalog record will have to be modified as the collection grows.

The second method is to handle associated records separately from other resource management records. Under this method, all associated records for a specific discipline would constitute an individual collection, with one catalog record and one catalog number. Thus, all records associated with archeological projects would constitute a collection, all records associated with paleontological projects would constitute a collection, and so forth. These collections of discipline-specific project files would also expand over time, necessitating updates to the catalog records.

3. *What commonly used method of handling resource management records should I avoid?*

Many park museum programs have treated files associated with specific projects, studies, or maintenance jobs as individual projects. As a result, parks have many tiny "collections" that in reality are nothing more than file units. This method of handling resource management records is ineffective and fails to meet archival standards.

Handling project files as separate collections is not consistent with standard archival practice. Archival management is based on provenance (the records creator), not on individual projects. All Resource Management project files are records made or received by the park—regardless of whether they were authored by park staff, regional/center staff, contractors, or outside researchers. Therefore, all resource management records are official records of the park, and that is the basis for defining the collection. Individual project files, rather than constituting individual collections, would be part of a larger series or collection of resource management records.

Example 1: Five different archeological projects took place at a park. One project was initiated by the park and carried out by the park archeologist in order to locate foundations of a historic house that can be highlighted in interpretive programs. Another project was initiated by the regional archeological center and carried out by staff members at the center in order to comply with Section 106 requirements. The third project was carried out by a contractor hired by the park to monitor the impact of new construction on one of the park's archeological resources. Another two projects were carried out under park permits by local university professors working on separate research projects. Associated records for each five projects were accessioned separately, but they should not be cataloged separately. Even though the five projects were conducted by different archeologists, for different organizations, and for different purposes, **they are all park records relating to one type of activity—archeology.** Instead of each accession being cataloged separately, they should all be cataloged as:

- part of a single series of archeological project files within the park's collection of resource management records, *or*

- as a single collection of the park's records associated with archeological projects.

Example 2: A park-owned historic structure is painted in 1960 and again in 1968, 1975, 1982, 1990, and 1995. It is legitimate to keep the documents as resource management records. But these slender files on individual paint jobs down through the years should not be handled and cataloged as separate collections. Instead, they should be handled as simple file units, within a subseries relating to the painting of historic structures, within an overall series relating to construction and maintenance, within a collection of general resource management records.

4. *How is it possible to find individual files if all resource management records or all records associated with the projects in a specific discipline are covered in only one catalog record?*

It is easy to locate files ***if you use archival methods instead of curatorial methods***. This means:

- organizing files according to standard, hierarchical archival principles

- entering collection-level information into the catalog record and entering series and subseries descriptions (as appropriate) into the Archives Module, taking special care to explain how the files are arranged in each series or subseries. If more information is needed in order to locate individual files, you may either do file-unit level descriptions or container lists in the Archives Module.

It is never enough simply to provide a general description in the catalog record. Proper archival management requires that series descriptions and other information be entered in the Archives Module.

5. *How should I arrange a collection containing all of a park's resource management records, including the associated records?*

They should be organized into series according to discipline or function, such as:

- Land Records
- Wildlife Management Records
- Construction and Maintenance Records
- Archeology Records
- Paleontology Records
- Biology Records

The file codes in the NPS-19 (Appendix B) may help to identify appropriate ongoing resource management series. The various series, in turn, may be broken down into subseries and sub-subseries. These subdivisions depend on the nature of the records and the way in which they have been filed. Within each series or subseries, be careful to note how the files are arranged—alphabetically? chronologically? numerically?

6. *How should I arrange associated records at the park that are handled as separate collections?*

All files for a particular discipline for a particular park should be handled as a single collection (even if some of the files are held at the park, some at a regional center, or some in non-Federal repositories) because they are all park records, regardless of where they are housed.

A collection of associated records may be organized into series, depending on a variety of factors. **There is no universal template that you can follow when organizing any collection. The way in which the collection is organized depends on the type of material, the nature of the projects, how the documents are filed, and other considerations.**

See the "If-Then" Box for suggestions on how a collection of associated records might be organized. See **Figure D.4** for several examples of how to organize collections of associated records into archival hierarchies.

If…	*Then…*
you have to determine whether or not to accession Resource Management Records,	consult the NPS-19, Appendix B, to identify which types of Resource Management Records are appropriate for accessioning into the park museum collection, which types should be transferred to the National Archives, and which types should be destroyed.
you have accessioned Resource Management Records into your park museum collection,	handle them as a single collection, with one catalog number, and organize them into series and subseries approximating the various categories in the NPS-19, Appendix B. Carefully describe each series and subseries in the Archives Module, and prepare container lists as desired.
you receive *additional* accessions of Resource Management Records *after* you have already cataloged a body of Resource Management Records under one catalog record,	add the new accessions under the existing catalog record. If the new accessions fit under existing series, then simply modify the series descriptions to reflect the new material, and amend the container lists. Otherwise, add new series as necessary. Then update the catalog record to reflect the additional volume, the new date range (if applicable), and the added series (if applicable). Copy the revised catalog record over to the Archives Module. Contact PMMP to adjust your CMR when you make your NCS submissions. (The "new" cataloging will show up under previously Cataloged Part I and total Cataloged Part III.)
there are Associated Records included among your Resource Management Records,	you may handle all the files for a particular discipline (archeology, paleontology, biology, or geology) as a series within the overall collection of Resource Management Records, or you may handle all the files for a particular discipline as a collection unto itself (e.g., Records Associated with Archeological Projects, Records Associated with Biological Projects, etc.)
Associated Records in a particular discipline were originally filed	retain that basic structure by organizing the collection into

according to document type (for example, all the reports, correspondence, and other textual materials together; all the photographs together; all the maps together),	series by type; if the Associated Records for that discipline are being handled as a series within an overall collection of Resource Management Records, then organize the series into subseries by type.
maps, photos, and textual material for a collection or a series of Associated Records originally were all filed together in the same folders,	do not organize the collection into series by type (or the series into subseries by type). Instead, retain the simple file unit arrangement, but remove photos and maps for separate housing. Even though the photos and maps are housed separately, they would not constitute separate series or subseries because technically they will remain part of the file units from which they were removed.
Associated Records for a particular discipline include files relating to projects initiated by the park, by a center, or by private researchers working under permits,	either maintain a single arrangement scheme for all the files, according to the accession number, *or* organize the collection into series (or subseries) according to who initiated the project: one series for records of projects initiated by the park; one series for records of projects initiated by a center; and one series for records of projects initiated by private researchers.
your park is the lead park for multi-park projects in biology, and therefore receives accessions both for park-specific biological projects and multi-park biological projects,	organize your collection of Associated Records Related to Biological Projects into two series: one for park-specific projects, and one for multi-park projects.
Associated Records for a particular discipline include files for park projects, center projects, and private (permitted) projects, *and* were originally filed by record type (textual materials, maps, photos, etc.)	first, organize the collection into series according to who initiated the project (one series for the park, one series for the center, and one series for private researchers). Second, organize the series into subseries by record type.

7. *If all project files for a discipline are brought together into a single collection, isn't that like mixing collections or creating an artificial collection?*

No. Most associated records are simply the records of individual projects. Individual project files are not collections.

Archival management is based on the concept of "provenance," which refers to the person or organization that maintained a set of files. Project files in archeology, paleontology, geology, and biology may be authored by different people and organizations (NPS staff, contractors, outside researchers, consulting firms, universities). However, the actual copies that were submitted to and retained by the park are park records. That is, they are records created or received by the park in the course of conducting official activities. One records creator (the park) plus one type of material (project files in a specific discipline) equals one collection. Therefore, individual project files simply are part of that single collection.

The concept of "non-mixing," however, still prevails. Just as you should not mix collections, you should not mix project files or file units within collections. The file for each project needs to remain intact and distinct from files for other projects, even as they are contained within a single collection or series.

8. *How should I catalog a collection of associated records?*

Enter collection-level information into the catalog record in the Collections Management Module. Then, copy that information over to the collection-level screen in the Archives Module. Then, enter series-level and subseries-level data into the Archives Module, as appropriate. Within the series or subseries, the associated records should fall into natural groupings of one or more folders that relate to a single research project (and any objects or specimens associated with that project). Each folder or group of folders relating to one project would represent one file unit (or project file). You may arrange these file units within their series or subseries in any scheme that works for your park. One option is to use accession numbers as the organizing principle. The accession number would also serve as the file unit number, and you would be able to arrange the project files by accession number. Provide a file-unit level description for each project, under the appropriate series. Include all the information you will need to locate it—such as name of project, name of project director, subject, dates, location of project. If a project file has multiple folders, you may list the titles of each folder in the container list (which can be found in the Supplemental Information attached to the collection-level screen in the Archives Module). See **Figure D.6** for an example of a finding aid based on this model.

Remember that the physical arrangement should mirror the intellectual arrangement. Project files should follow the same order in the Archives Module as they do on the shelves. Thus, if you identify individual project files by their accession numbers in the Archives Module, then they should be boxed and shelved in the same order. The primary exception to this rule is for project files that must be co-located at another repository so that they can remain with their associated objects (See Items 9 and 11 below).

9. *What if project files are held at different locations—with some at the park, some at a regional archeological center, and some at a partner repository?*

Because all the project files would be records of the park, they should all be described under a single catalog number as part of a single collection **regardless of their storage locations**. If the records relating to a specific project must be loaned or transferred off-site, all you have to do is complete the necessary Outgoing Loan documentation and indicate in the location field of the file unit screen where the file unit is housed. Provenance—not storage location—is what defines a collection.

10. *How should I arrange and catalog new project files that are accessioned after I have finished cataloging a collection of associated records?*

Since the files should be in accession order (or some other equally easy-to-administer arrangement), simply add new accessions to the end of the collection. Then, add a new file unit record in the Archives Module describing the new accession. List folder titles as necessary in the container list. Modify the catalog record to reflect changes in the collection's volume and date range. Make sure these updates also appear in the collection level screen of the Archives Module. At National Catalog submission time, ask the Park Museum Management Program to adjust your Collections Management Report to reflect the new cataloging. New accessions can be added this way indefinitely and in a very short time.

11. *Do these methods for arranging records satisfy the Code of Federal Regulations requirement for keeping archeological objects together with their associated records?*

Yes. The regulation specifies that objects and their associated records be held in the same repository, so that the documentation can be retrieved easily to provide context and background for the objects.

The requirement is met by:

- accessioning both the associated records and the objects into the park's museum collection

- ensuring that the documentation shows the link between the objects and the associated records

- co-locating project files with their associated objects, as necessary

The regulations do not specify that any specific filing schemes be followed, so the park is not required to follow such non-standard archival methods as cataloging each accession as a separate collection. Proper archival methods will not interfere with regulatory requirements and should make it even easier to locate project files and associate them with objects—even if they are housed at off-site repositories. Describing a project file within a single collection of park records will not prevent the park from loaning or co-locating that project file.

12. *Without a unique catalog number, how can associated records be cross-referenced to the objects?*

The file unit description for each project will contain its accession number, which should be the same as the accession number for the objects. Even if the objects and associated records are accessioned under different numbers, those numbers can be cross-referenced in the Associated Accessions field in the file unit screen of the Archives Module.

Project files can be cross-referenced just as easily to catalog records for specific objects. For example, suppose a natural history specimen is collected for one project, cataloged separately, and subsequently used for research in connection with another project. The catalog number for that specimen should be noted in the Summary Note for that project's associated records.

13. *How can I loan individual documents or files if they don't have unique collection numbers?*

Associated records can be tracked with the unique archival collection number, series number, and file unit number in the ANCS+ Archives Module. A series, subseries, or file unit remains in the same place in a collection's archival hierarchy, even if the records are on loan. You can also create an individual catalog record in the Collection Management Module for a document or file unit that you send out on loan, and cite the catalog number in the Outgoing Loan Agreement. When the loaned document is returned, you return it to its proper place in the collection's hierarchy, and change the status in the catalog record to "Incorporated into Larger Archival Collection."

N. Processing And Preservation

1. *When should I process an archival or manuscript collection?*

It often makes sense to process a collection at the same time you're arranging it. This may be the only time you will need to handle virtually every document in the collection individually. It's efficient to use the opportunity to:

- refolder, rebox, and label the collection
- cull extraneous material
- take basic steps to protect damaged or fragile documents

Processing a collection in this way can serve as the first line of defense in preserving a collection.

2. *What supplies and equipment will I need to process an archival or manuscript collection?*

Examples of the supplies and equipment you may need to process a collection appear below. You probably won't need all of these supplies for every project, so you don't need to keep stockpiles of everything. It is probably advisable, though, to have supplies of boxes, folders, polyester sleeves, spacer boards, white gloves, and other most commonly used supplies readily available.

- acid-free document storage boxes (flip-top archives boxes) in letter-size and legal-size
- acid-free flat storage, newspaper storage, and drop-front storage boxes in various oversized dimensions, as appropriate
- acid-free records storage boxes (also called "records center cartons") in one-cubic-foot size
- acid-free photographic print and negative boxes
- acid-free slide storage boxes and slide storage cases (for holding the boxes)
- acid-free file folders in letter-size, legal-size, and various oversized dimensions, as required
- buffered photographic print and negative envelopes and sleeves (for black and white images)
- unbuffered photographic print and negative envelopes and sleeves (for color images) **Note:** Recent research suggests that high quality buffered paper may be better for color images than unbuffered.
- unbuffered, four-flap enclosures (for glass plate negatives)
- polypropylene sheets and sleeves for photographic prints, negatives

and slides

- archival-quality polyester sleeves (Mylar D) in legal-sized and letter-sized
- acid-free spacer boards
- white, acid-free, high tack neutral pH acrylic adhesive box labels
- soft lead pencils
- bond paper, interleaving sheets, and rolls of archival-quality interleaving and wrapping paper
- soft, unbleached cotton tying tape
- plastic or stainless steel paper clips
- micro-spatulas
- flat-blade staple removers (not standard office supply staple removers, which can damage documents)
- pH testing pens
- cotton gloves

In addition, refer to the *Museum Handbook*, Part I, the *Conserve O Gram* series, and the *Tools of the Trade*. They contain information on storage equipment, such as cabinets and shelving.

Depending on the archival materials already available to you, you may not need all of the supplies and equipment listed above. You may need additional items. For example, there are specialized boxes, sleeves, envelopes, and wrappings for microfilm, microfiche, compact disks, videotapes, motion picture film, and the diverse formats of sound recordings.

For additional materials you may need, consult the NPS *Tools of the Trade* or any of the various commercial archival supply catalogs.

3. *What are textual and non-textual materials?*

Textual materials are traditional, paper-based documents, such as letters, reports, notes, clippings, telegrams, and memorandums.

Non-textual materials are records in a variety of specialized formats. These include:

- cartographic records (maps)
- architectural/engineering drawings
- photographs (prints and negatives)
- motion picture film

- videotapes

- audio recordings (reel-to-reel tapes, tape cassettes, compact disks, wax disks, wax cylinders, and wire recordings)

- microforms, including roll film, sheet fiche, and aperture cards

- computer punch cards

- electronic records in all storage media (floppy disks, compact disks, magnetic tape, and even hard drives)

4. *Should I process textual and non-textual records differently?*

Yes. Process textual and non-textual records differently because specialized records require specialized handling. Records in different formats shouldn't be kept together in the same folders or the same boxes because they can damage each other.

5. *What should be done if a collection contains documents that are folded?*

Unfold them. Fold lines can cause damage to both standard-sized and oversized materials. See Section P for information on oversized materials.

For example, it's not unusual for letters to be filed as they were received folded into thirds. Unfold them and file them flat.

6. *How should I handle paper records that are acidic?*

If…	***Then…***
an acidic document has intrinsic value,	place it in a protective sleeve in order to keep it from damaging other documents. Also place a sheet of alkaline buffered paper in the sleeve, to keep the document from damaging itself with its own acidity.
acidic documents (such as telegrams and newspaper clippings) don't have intrinsic value,	replace them with copies made on acid-free paper and destroy the originals.
If you are in doubt about an acidic document's intrinsic value,	Don't throw it out; retain the document, but isolate it to prevent damage to other materials.

7. *How should I handle paper records that are fragile?*

If…	***Then…***
records are fragile but stable (such as letters typed on onionskin paper),	place them in Protective sleeves.

records are fragile and unstable (such as "Thermofax" copies, which become illegible over time and become so brittle that they can break into pieces),	copy them onto acid-free paper, and destroy the originals.

8. *How should I handle paper records that are damaged?*

If…	*Then…*
documents are moderately damaged (slight tears, holes),	place them in protective sleeves (avoid attempting to repair them yourself with adhesives).
documents are severely damaged (mold, burn marks, major tearing or shredding),	consult with a professional paper conservator to determine what treatment is necessary.

9. *When should I make "preservation copies"?*

Preservation copies are photocopies, microform copies, or digital copies of documents. They are produced so that researchers don't have to handle the originals. Having preservation copies helps prevent theft and damage to collections that can occur from overuse.

Note: Preservation copies are different from "surrogate" copies, which literally replace the originals.

It never hurts to have a set of preservation copies for any collection. However, the cost of making them is so high that preservation copying should be done on a very selective basis. Only those collections that are the most important and receive the heaviest use should be considered for preservation copying.

Light-sensitive items, such as albumen prints, should not be photocopied. For further guidance on preservation copying, see* Conserve-O-Grams *no. 19/4, 19/10, and 19/11.

10. *May I cull materials during processing?*

Yes. Materials ordinarily are identified for disposal during the appraisal process (see Section E, "Appraisal"). However, duplicates and extraneous material may be identified during the processing phase. Those materials may be culled from the collection. Consider the materials to have been accessioned in error. Thoroughly document the removal of the materials and place the documentation in the accession folder. This action is not a deaccession. Don't follow the standard deaccessioning procedures.

It's not unusual for a collection to contain multiple copies of the same document. Unless these duplicates have some kind of intrinsic value, it's permissible to keep just two or three copies. Dispose of the rest.

Follow the disposal procedures for permanent park records. Consult with the park's administrative officer to see how the park handles the disposal of such records. Remember, however, that culling is an option – it is not mandatory.

Also, be cautious about culling materials from pre-20th century collections. It is all right to cull recent photocopies of documents that have found their way into the colleciton—but rare handwritten ("fair") copies or "press" copies dating from the same time period as the documents they duplicate might be worth keeping.

Culling collections during processing is not a substitute for the adequate appraisal of records.

11. *What are some examples of the types of materials that can be culled?*

Types of materials that can be culled include:

- blank sheets of stationery
- inconsequential notes
- unannotated slips of paper used long ago as bookmarks within file folders
- empty and unmarked envelopes
- empty binders
- general publications with no associational value
- documents with privacy information that contributes no value to the collection

Note: It is conceivable that material culled from archival collections may have artifactual value. A ream of blank stationery that got filed with an archival collection may not have any archival value and should be culled. However, depending on its age, if it has a particularly unusual or interesting letterhead, it may have artifactual value. In that case, it may be appropriate to retain one or two sheets in the collection and recatalog the remainder as a non-archival history object.

O. Processing And Preservation—Paper-Based Documents

1. *How should I refolder and rebox paper-based documents?*

Unless a collection is accessioned in pristine condition, it's usually advisable to:

- transfer documents from their original file folders
- place them in acid-free file folders
- house the files in acid-free archives boxes
- remove oversized and non-textual records (see Section O)
- take steps to preserve any damaged or fragile documents that you encounter (see Section N)

Don't number the documents. Don't write on the documents for any reason.

2. *What size folders or boxes should I use?*

Use either letter-sized or legal-sized acid-free folders and boxes, depending on the nature of the collection. Collections often contain a mix of letter-sized and legal-sized documents. You should avoid folding legal-sized documents to make them fit into letter-sized folders and boxes. For this reason, legal-sized folders and boxes are preferred—even if a collection is composed predominantly of letter-sized documents. The snug fit of a letter-sized box can cause damage to the documents. Letter-sized storage materials, however, are less expensive than legal-sized materials.

3. *Should I remove paper clips, staples, and other fasteners?*

If at all possible, try to remove metal paper clips, binder clips, pins, brads, Acco fasteners, staples, and rubber bands from documents as you process collections—especially if they are rusty or doing obvious damage.

Take great care when removing staples. To avoid damaging the document, don't rip a staple out from the front by using a standard office staple remover. Instead, turn the document over. Use a flat-bladed archival staple remover. Fold back the ends of the staple so they are sticking straight up. Then turn the document back over. Slide the blade under the staple and gently slide it out of the document.

4. *Should I remove documents from binders?*

Yes. If it's practical to do so, remove documents from three-ring binders, and place them in file folders. Examine the binders carefully to determine if:

- the title on the binder as a whole represents the file unit title, *or*
- various tabs in the binder represent file units, *or*
- the binder is actually part of a larger file unit

5. *How should I handle multi-page documents?*

If multi-page documents are contained in a folder with other documents, they may need to be fastened in some way. If they aren't paginated, they can easily get mixed up with other documents in the folder. You can fold a sheet of bond paper in half (like a mini-file folder) and slip the document in that, or use interleaving sheets to separate documents. Alternatively, you may fold a very small piece of bond paper over one corner of the multi-page document as protection. Then place a stainless steel paper clip over top of the bond paper. You should only do this, however, if the document is not so thick that a clip would create impressions in the document.

6. *Can I break materials into multiple folders if the original file folder is too full?*

Yes. If the original file folder is overstuffed, don't transfer the entire contents to a single new folder. Instead, break up the contents into multiple folders that don't exceed 1 inch in thickness. As explained in Section K, this is still just one file unit. It doesn't matter how many file folders are needed to contain the materials. For example, a file unit entitled "Correspondence, July 1928" has to be broken up among three folders. It remains a single file unit even though it is contained in three folders. The titles on the folders should indicate that the file unit is foldered in sequence:

- "Correspondence, July 1928 (Folder 1 of 3)"

- "Correspondence, July 1928 (Folder 2 of 3)"
- "Correspondence, July 1928 (Folder 3 of 3)"

7. *How should I label file folders?*

Write the folder title on the upper flap of the folder, using a soft lead pencil. Titles should contain the following information:

- catalog number (from ANCS+ Collection Management Module catalog record) or local collection number (from ANCS+ Archives Module entry)
- collection title
- series title (if applicable)
- subseries title (if applicable)
- file unit title (if the file units are arranged under an alpha-numeric or other type of code, then that code designation is the file unit title; if the file unit title is a personal name, then put the last name first)
- the sequence of the folders (Folder 1 of 3, Folder 2 of 3) if the file unit is broken down into two or more file folders
- a consecutive number (acceptable but not necessary)

File units that are arranged properly, according to a clear filing scheme (alphabetical, chronological), don't require consecutive numbering. The number is superfluous. Moreover, the number of file folders is liable to change. For example, documents in a particular folder may become brittle and worn with time and use. It may be necessary to insert them into protective polyester sleeves. These will expand folders and may make it necessary to divide file units into multiple folders. This, in turn, would necessitate re-numbering all subsequent folders. Collection titles, series title, and file unit titles are permanent and immutable. However, the number of file folders can change for a variety of practical reasons. Thus, numbering all folders as a matter of routine can be an unnecessary exercise.

It's permissible to abbreviate titles, if that is necessary to fit all recommended information onto the folder label. The George Washington Carver Papers, for example, could be abbreviated as the "Carver Papers." This abbreviation is appropriate only in the pencil titles on the folders themselves. Enter only full, official titles into ANCS+.

8. *Should I copy everything written on the original folder?*

Not necessarily. Enter only the information that pertains to the actual title of the file unit. File folders often have little personal notes, names, telephone numbers, and other jottings. These have nothing to do with the title of the file unit or the content of the folder. Don't attempt to copy or preserve such extraneous information.

Notes may appear on the folder that seem to be connected with the content of the file unit. These would be like marginalia, only on the folder as opposed to the margins of the documents themselves. You may copy or save the part of the folder containing that writing. If you save a portion of an acidic folder for this reason, place it in a protective Mylar sleeve. Keep it as part of the file unit.

9. *How many file folders should I place in a box?*

Only put the number of folders in a box that will sit vertically, comfortably resting on the bottom fold. There should be enough folders in the box to keep the folders from sagging, but not so many that the box will bulge.

If you don't have enough folders to fill a box completely, insert a spacer board to keep the folders upright. (A spacer board is a length of acid-free corrugated board. It can be folded to the desired size and inserted in a box to create a false back, against which folders can rest.) Spacer boards—also called "document support spacers"—are available through archival supply catalogs.

10. *May I mix files from different collections in the same archives box?*

No. Even if you don't have enough files from a particular collection to fill an archives box, don't mix collections. Never box different collections together.

If you're working with a very small collection, you may not have enough folders to fill a box. You may also have boxed all but the last two or three folders of a larger collection. In these cases, you have two options:

- Use a spacer board, as described above.
- Use a smaller box. Archives boxes with a depth of only 2.5 inches are available through archival supply catalogs.

11. *How should I label the boxes?*

As arrangement and processing are underway, you may label boxes temporarily. Write the:

- catalog or local collection number
- series title
- box number

Write lightly in pencil on the part of the box that eventually will be covered by the permanent label. For flip-top archives boxes, this would be on the narrow side that would be shelved facing out. This is the side where the top will flip from left to right. The label itself should be on the bottom half of the box. Place it beneath the flip top but above the finger hole or pull string. For records center cartons, the label should be in the center of the side that faces out when shelved.

After processing has been completed, go back and put permanent labels on all the boxes. Print or type the labels onto archival quality, self-adhesive labels. Include the following information:

- park name
- catalog number or local collection number
- collection title
- series, subseries, sub-subseries, sub-sub-subseries title, as appropriate

- title of first file unit in the box
- title of last file unit in the box
- box number

Note: Number boxes consecutively from the first box to the last box in the collection as a whole, regardless of series. Number each collection separately.

12. *Should I keep the original folders, binders, and boxes?*

No. After a collection has been refoldered and reboxed, throw them away or recycle them. They have no archival value.

The only exception would be for boxes, binders, or folders that contain information, such as notes that the records creator made.

If…	***Then…***
the notes have intrinsic value because they were written by a notable historic figure,	keep the relevant portion of the folder, binder, or box as part of the collection. It may be necessary to enclose that portion of the folder, binder, or box in a polyster sleeve.
the notes have informational or evidential value but no intrinsic value,	copy the relevant portion onto acid-free bond paper, keep the copy, and discard the original.

P. Processing And Preservation — Oversized Materials

1. *How should I handle oversized materials?*

Legal-sized or letter-sized textual records frequently will contain oversized documents. These typically have been folded to fit into a legal-sized or letter-sized folder or rolled and placed in tubes. Examples include:

- maps
- charts
- diplomas
- certificates
- posters
- newspapers
- bound volumes

- petitions
- architectural drawings
- engineering drawings

Ideally, oversized documents should be:

- removed from smaller folders
- flattened (unfolded); if folded documents are too brittle to be flattened safely, consult with a paper conservator
- placed in appropriate-sized folders and storage boxes

If they're so large that no folders or boxes can accommodate them, place them in map drawers. Separate them with interleaving sheets. (Because interleaving sheets can add weight and bulk, be careful not to overload drawers.) You may also place them onto acid-free rolling tubes.

Be sure to separate oversized materials by type. Store oversized blueprints separately, for example, from newspapers or oversized photographs.

2. *How do I show the removal of oversized materials?*

Whenever you remove an oversized item, you must replace it with a "separation sheet." See **Figure D.5**. The separation sheet should show the name of the document. For documents that don't have a formal title, give a short but meaningful description, such as "Map of Gettysburg, 1863," "Architectural Drawing, Park Visitor Center, 1968." The separation sheet should also show the title of the collection. As applicable, include the title of the series, subseries, and file unit.

Place the separation sheet in the exact location where the oversized item initially belonged. In addition, keep a copy of the separation sheet with the oversized document in its new location. It's necessary to have separation sheets in both places. Researchers going through the files will then know that a document has been removed. The original location will also be clear to anyone looking at the oversized document.

3. *Why do oversized documents have to be removed?*

Oversized documents often don't fit into legal-sized or letter-sized folders and boxes. Attempting to do so usually means folding the documents one or more times. Folding, unfolding, and refolding documents can cause damage. Documents become brittle and weak along fold lines and can easily break apart. Oversized documents can also become frayed and torn if edges stick out from file folders. Therefore, removal and flattening of oversized documents is a basic preservation action.

4. *How should I file oversized items after they're removed from their original locations?*

Typically, place oversized documents at the end of the collection from which they were pulled. Organize them by type—textual documents (documents on plain paper), architectural drawings, posters, bound volumes, and so forth. Arrange them in the same order as the collection as a whole.

For example, two oversized documents were removed from file A in Series I of a collection. Another oversized document was removed from file D of that same series and another from file W of that same series. Three oversized documents were removed from Series II. The documents from Series I, file A would be filed first. The documents from Series I, file D and Series I, file W would be filed next. The documents from Series II would be filed last.

5. *Should I handle a group of oversized materials at the end of a collection as a series (or subseries or sub-subseries)?*

No. A group of oversized documents that has been separated from the original file doesn't constitute a series. The documents have no separate place in the collection's hierarchy. They are *housed* separately, but only as a practical measure, to help preserve them. Technically, they remain part of the file unit and series from which they came.

A group of oversized documents separated from the original files shouldn't be identified in the hierarchy. The documents shouldn't be regarded as a series or subseries. They shouldn't be described as any kind of unit within the ANCS+ Archives Module.

Such documents would be described specifically in the Archives Module only if the entire collection were being described down to the item level. This is almost never done. Even then, the item level description for each oversized document would be subordinate to its original file unit and series.

For further information on how to catalog and describe archival collections, see Sections R and S.

Q. Processing And Preservation — Photographs

When handling photographic materials of any type, it's important to wear white cotton gloves. The gloves protect the images from dirt and skin oils.

1. *How should I handle photographs that are part of standard textual files?*

Inks and papers in standard textual file units can damage photographs. Emulsions and chemicals from photographs can harm textual documents. If you encounter photographs in folders containing textual records, you should either remove the photographs (in the same manner as you would remove oversized documents) and replace them with separation sheets, or place them in protective sleeves and leave them in their original locations.

If you separate photos from the textual reocrds, you should organize them by type (prints, negatives, slides) and arrange them in the same order in which they appeared in their original textual locations. When a photograph is removed from a textual file, replace it with a separation sheet (see **Figure D.5)**. If possible, place a photocopy of the separated image with the separation sheet. Also be sure to keep a copy of the separation sheet with the photograph at its new location.

2. *What if photographs are attached to pages in a textual document?*

Unless they are doing damage or being damaged, leave them where they are. Place interleaving sheets between the pages. If you should note any damage being caused by the photographs, by the pages to which they are attached, or by the adhesives, you should consult with a conservator. (Also see Item 6, below, concerning procedures for handling photograph albums.)

3. *Should I add photographs that were separated from textual records to a series consisting exclusively of photographs?*

No. Some collections have series consisting exclusively of photographs. Ordinarily, this is because the person or organization that created the collection established a separate series of photos. For example, the records creator may have created albums of sequentially numbered images. Or the creator may have set up a working file of photos arranged by subject. That series should not be disturbed by adding photos that weren't there before.

Photographs located in textual files, for example, wouldn't have been part of that photo series. An individual photo may have been attached to an incoming letter and kept with that letter in a correspondence file. The photo is part of that letter. As such, it's part of the file unit and part of the series to which the letter belongs. Just because it's a photograph, doesn't mean it should be moved to a collection of photos that the records creator set up.

The reason for this goes back to the principle of original order. Separating a photograph or an oversized document from its original file unit doesn't alter the original file arrangement or series organization. Photographs and oversized documents are still part of their original file units and series in a technical or intellectual sense. Housing them separately is for preservation purposes only. It doesn't affect the archival hierarchy in any way.

4. *How should I house photographs?*

Separate photographic materials by type (prints, negatives, slides). Place them in protective envelopes or sleeves and store them in archival-quality photograph boxes. Slide storage boxes are small and narrow and should be placed into slide storage cases. The cases hold up to six boxes.

Place images in uncoated, inert, polyester (Mylar D) sleeves. The sleeves are expensive, but they allow you to view images without actually handling them.

You may also use paper envelopes and sleeves. Images have to be removed to be seen, but they are less expensive than polyester sleeves. They also do a better job of preventing the buildup of moisture and gasses because they are porous. Use unbuffered papers for color images. Use buffered papers for black-and-white images.

Store images less than 10" x 12" on edge. Don't stuff them so tightly into boxes that the boxes bulge. Don't store them so loosely that the photographs sag. Store oversized, fragile, or damaged images flat.

Place glass plate negatives into seamless, four-flap enclosures. Store them upright in document storage boxes lined on the bottom with Ethafoam. Nitrate negatives should be placed in cold storage. If possible, replace nitrate negatives with safety-base surrogates. Unless they have intrinsic value, destroy them after replacement—*especially if they are in poor and potentially unstable condition.* They should be handled as hazardous waste.

When nitrate negatives are replaced, the surrogate becomes the new object. You can destroy the original without having to deaccession it unless it has intrinsic value.

5. *Should I place loose photographs in albums?*

No. Envelopes and boxes are the appropriate storage media for prints, negatives, and slides.

6. *How should I process photographic albums?*

Ordinarily, photograph albums and scrapbooks are left intact. Trying to remove photographs that have been glued onto album leaves may damage the photographs. The albums may also have intrinsic value. This is especially true if they were compiled by a noted individual. The leaves may also contain captions, notes, and marginalia. Many of these old albums are quite stable; if they are, leave them intact and monitor for deterioration.

Photographs that were mounted in albums made of acidic paper may be in danger of being damaged. Consider the following steps:

- Make photocopies of each page of the album on acid-free paper.
- Make duplicate negatives and new prints of each of the photographs.
- Make digital scans of each of the photographs.
- Remove photographs from albums if this can be done without damaging the photographs. It may be necessary to consult with a professional photographic conservator to determine if the photographs can be removed safely.

R. Cataloging

1. *What's "cataloging"?*

Cataloging refers to the creation of a catalog record for archival collections. The catalog record should focus on the collection as a whole. Enter the catalog record in the ANCS+ Collection Management Module. The catalog record contains both collections management and basic descriptive data about the collection. It also serves as the principal accountability record for the collection.

> ***Don't attempt to catalog a collection before it's arranged. Arrangement establishes a collection's hierarchy, and the cataloging of a collection is based on that hierarchy.***

See Sections H and I for information about arrangement and hierarchical structure.

Note: Refer to Chapter 2, Section II of the *ANCS+ User Manual* for instructions on completing the fields on the collection level catalog record.

2. *Should there be a catalog record for each document in a collection?*

No. Don't catalog individual documents or "items." There should be only one catalog record for the collection as a whole. You may describe individual items in the Archives Module, but this is seldom necessary. In fact, avoid item level description if at all possible.

3. *What if a document is pulled from a collection to go on loan?*

To loan a document to another institution, the document will need to have a unique identification number. You can assign a unique identification number to a document for purposes of loaning it. Create an individual catalog record for that document, or create an item-level entry for that document in the Archives Module. Item level cataloging or description in this situation is done only to facilitate the loan process. It doesn't change the status of the document in any way. The document is still part of a larger collection, not a stand-alone museum object. Upon being returned at the end of the loan period, file it in its original location.

4. *Should there be a catalog record for each file unit in a collection?*

No. Don't catalog individual file units. There should be only one catalog record for the collection as a whole. You may describe individual file units in the Archives Module, but this is seldom necessary. As a time-saving alternative to full descriptions on each file unit, develop "folder title lists" or "container lists" in the Archives Module (see Section T).

5. *Should there be a catalog record for each series or subseries in a collection?*

No. There should be only one catalog record for the collection as a whole. There's only one catalog record regardless of the size of the collection or the number of series it contains.

Fully describe all series, subseries, sub-subseries, and sub-sub-subseries in the Archives Module (see Section S).

6. *What's the connection between archival hierarchies and archival cataloging/description?*

As explained in Sections H and I of this appendix, archival and manuscript collections are arranged *hierarchically*. They should be cataloged and described in the same fashion.

Hierarchical *arrangement* means that a collection is organized into subordinate groups. These groups are in turn broken out into subordinate groups, which in turn are broken out into individual items. The "top" of the hierarchy is the most general level: the collection as a whole. The "bottom" of the hierarchy is the most specific level: each individual document. In between the top level of the hierarchy and the bottom level may be groups of documents called "series." These are somewhat more specific than the full collection, but are still fairly general. Just as a collection may be organized into series, individual series may be organized into subseries. These are more specific than series, but more general than file units or individual documents. Subseries may be made up of individual file units, which are very specific. The file units are made up of individual documents or items, which are the most specific parts of the hierarchy.

Hierarchical *description* means that collections should be cataloged and described hierarchically, just as they are arranged. **Figure D.3a** shows a sample hierarchy for the Records of the XYZ Corporation. Description begins with a catalog record (in the Collection Management Module) for the records of the XYZ Corporation as a whole. Descriptions of the series and subseries can then be completed in the Archives Module. In other words, *the cataloging and descriptions proceed from the general to the specific, following the arrangement scheme*. The hierarchy serves as a sort of outline or table of contents.

You should describe each element in the hierarchy above the file unit level. You may draw up lists for file units. However, descriptions on individual file units and items is optional (and usually discouraged).

7. *What is the process for cataloging an archival collection?*

Follow these steps to catalog an archival collection:

- Enter a brief description of the collection as a whole into the ANCS+ Collections Management Module. This is the only catalog record for the collection that you should enter into the Collections Management Module.

- Copy your entry in the ANCS+ Collections Management Module over to the collection level screen of the Archives Module.

- Enter descriptions of each series in the collection, using as many series level screens as necessary. Each series gets its own screen.

- Enter descriptions of each subseries (or sub-subseries), if there are any. Each subseries gets its own screen.

- If you absolutely have to do it, enter descriptions for each file unit in the File Unit Level. Each file unit gets its own screen.

- If you absolutely have to do it, enter descriptions for each document in the Item Level.

Usually it's okay to stop at the series level. You need to describe most collections only at the collection and series/subseries levels. Going beyond that usually involves a lot of work and little gain.

8. *Do I have to enter the information from the top down?*

Yes. You have to go from the general to the specific. That is, you have to do your Collection Level description first. This is followed by Series Level descriptions, followed by Subseries Level descriptions, followed by File Unit descriptions (if necessary), and so forth.

Note: You can always go back and revise Collection or Series Level entries even after you have moved on to the Subseries or File Unit Levels. In other words, you have to *start* at the top and work your way down, but you can always go back up to the top to make revisions.

9. *Why must I enter information from the top down?*

Because the system is hierarchical, you have to enter information hierarchically. You enter the Collection Level description first, the Series Level descriptions second, and so forth. Your entries will be numbered so that all entries from the Collection Level down to the Item Level are linked. You have to do the Collection Level first because it will be the parent screen for all of the Series Level descriptions. You have to do your Series Level descriptions before you do subseries descriptions. This is because the Series Level screens are the parents for the Subseries Level screens. The same principle applies as you move down the hierarchy to the File Unit and Item Levels.

S. Description

1. *What's description?*

Description refers to written summaries of a collection and its series, subseries, and other components. You enter these descriptions in the ANCS+ Archives Module. The collection level description also appears in the catalog record, but the descriptions of series, subseries, and other components appear only in the Archives Module.

2. *How do I write a Collection Level description?*

To write a Collection Level description, you need to focus on three critically important fields:

- organization/arrangement

- scope

- history

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the other fields on the Collection Level record.

Organization/Arrangement (Collection Level)

List the series that make up the collection. Some small collections consist of file units that aren't organized into series. Indicate whether the file units are arranged alphabetically, numerically, chronologically, or according to some other filing scheme.

Scope (Collection Level)

First, list examples of the types of documents that appear most frequently in the collection. Examples include correspondence, reports, maps, architectural drawings, engineering drawings, photographs, newspaper clippings, and sound recordings. Second, provide a one paragraph overview of the collection. Cite the sorts of activities that are documented and examples of specific topics and highlights.

History (Collection Level)

For organizations, provide a brief history of the organization that created the records. For personal papers, provide a biography of the person that created the records. For example, provide a brief biography of Thomas Edison for a collection of Thomas Edison's personal papers. Provide a brief corporate history of the Thomas Edison Company for a collection of the company's records. Ordinarily, the histories or biographies should be no more than one to four paragraphs. In addition, you may want to include a time-line of dates and events pertaining to the records creator—perhaps as an appendix—but this is optional.

3. *How do I write a Series Level description?*

Follow the same basic procedure used for writing a Collection Level description. Treat each series as if it were a mini-collection (with some slight variations). Focus on three critically important fields:

- organization/arrangement
- scope
- history

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the other fields on the Series Level record.

Organization/Arrangement (Series Level)

List the subseries that make up the series. Some series consist of file units that aren't organized into subseries. Indicate whether the file units are arranged alphabetically, numerically, chronologically, or according to some other filing scheme.

Scope (Series Level)

First, list examples of the types of documents that appear most frequently in the series. Examples include correspondence, reports, maps, architectural drawings, photographs, newspaper clippings, and sound recordings. Second, provide a one paragraph overview of the series. Cite the sorts of activities that are documented and examples of specific topics and highlights.

History (Series Level)

You only need to complete the history field in the Series Level screen under certain circumstances. Provide historical information if series are based on specific functional units or events.

For example, suppose the records of a corporation are broken out by series for the various divisions of that company. There's a series for the Research Division, a series for the Manufacturing Division, and so forth. In such cases, it's appropriate to provide a one or two paragraph history of that division.

Another example would be the personal papers of an individual. These could contain series based on specific events or eras in that individual's life. There could be a series of papers on the person's military service, or exploration of the South Pole. Then it's appropriate to provide a paragraph detailing those phases of that person's life.

Don't provide historical information if the series are based simply on the types of documents. A series of correspondence, a series of reports, or a series of photographs doesn't require a history.

> ***Remember: You must use unique titles. No collections among your holdings should have the same title. Within a given collection, no two series should have the same title. Within a given series, no two subseries should have the same title. See Section I, Question 4 for further information. For further information on standards, see the Society of American Archivists' publication*** **Describing Archives: A Content Standard (DACS).**

4. *Should I enter descriptions in the Archives Module for all series, subseries, sub-subseries, and sub-sub-subseries in a particular collection's hierarchy?*

Yes. You must individually describe, in the Archives Module, every series, subseries, sub-subseries, and sub-sub-subseries identified in a collection's hierarchy.

> ***For the Subseries, Sub-Subseries, and Sub-Sub-Subseries Levels, follow the same descriptive procedures as for the Series Level.***

5. *How do I write a File Unit Level description?*

Complete the basic fields (title of file unit, file unit number). The only other information needed is a one-or-two line overview of the content of the documents contained in the file unit.

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the other fields on the File Unit Level record.

6. *Are File Unit Level descriptions required?*

No. File unit description may be done at the discretion of the individual curator or archivist, but most of the time it's unnecessary to provide full descriptions of each file unit. Researchers should be able to find the files they need if:

- a series (or subseries) is well described, *and*
- the file units are clearly arranged

It's extremely inefficient to describe each file unit. For all but the smallest collections, it involves an enormous amount of time-consuming, labor-intensive effort. This effort only produces minutely detailed descriptions that provide little added value.

Instead of describing each file unit, prepare folder title lists or container lists (see Section T). These are a much more efficient alternative to full file unit description.

7. *Are there situations where file unit description is recommended?*

Yes. Associated records include project files in such fields as archeology, paleontology, geology, and biology. The records for each project should be treated as a single file unit, regardless of the number of folders it might contain. File unit descriptions for each of these projects may note the title of the project, the subject or purpose of the project, the location where the project took place, the project dates, the principal investigators, etc. It should also note the accession number (which will link the file unit to any associated objects) and the storage location (if the file unit is co-located with the objects at an off-site repository). For further information, see Section M, "Handling Resource Management Records." For an example of a finding aid describing archeological records down to the file unit level, see **Figure D.6.**

8. *How do I write an Item Level description?*

An "item" is an individual document (a letter, report, photograph, architectural drawing, memorandum, etc.) regardless of the number of pages. Complete the basic fields (title of document, item number). The only other information needed is a one or two line overview of the document's content. For example, list the subjects covered in the document.

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the other fields on the Item Level record.

If a document doesn't have a formal title, enter a brief, functional title. A letter "title" should include the names of the sender and recipient, plus the date. Example: "Jones to Smith, October 1, 1908."

9. *Is Item Level description required?*

No. In most cases, it's unnecessary. Like File Unit Level description, Item Level description is time-consuming and labor-intensive. It's always an option, but you should choose it carefully. Having a finding aid that can direct a researcher to the proper file unit (or group of file units) may be sufficient.

10. *Is it more appropriate to do Item Level description of certain types of documents than others?*

Yes. Photographs, maps, and architectural drawings typically are more appropriate for Item Level description than regular textual materials. However, Item Level description is still optional. Only do Item Level description for photographs, maps, and architectural drawings when there's a real need for it.

If you choose to describe such materials to the Item Level, be succinct. Enter a short sentence fragment, citing only the most essential elements.

Then move on to the next image.

For example, "Franklin Roosevelt and Eleanor Roosevelt sitting on a mule," is an adequate photo description. Include the date (if known) and the photographer (if important). You don't need to describe what they are wearing, which way the mule is facing, and what the background scenery is like.

Note: If you do Item Level description of photographic prints, it's unnecessary to do Item Level descriptions of the associated negatives (provided there is some way of connecting the prints to the negatives).

Generally, Item Level description is appropriate only for collections of the greatest historical significance. Very few collections in NPS custody rise to that level. The best candidates for item level description would be unusually rare or valuable documents—such as letters written by George Washington..

11. *Can Item Level description help preserve collections by reducing the need to search through the files?*

Not necessarily. There are two reasons why Item Level description isn't a good strategy for preserving collections.

- "Heavy use" is a subjective term, but there are probably very few collections in NPS custody that are used so much that Item Level description would reduce the handling of individual documents in a meaningful way. Therefore, providing Item Level description for the purpose of reducing the need to open boxes and physically retrieve documents may not be worth the effort. The costs to reduce a collection's use from 30 times a year to 25 times a year would vastly outweigh the benefits.

- Even when collections have been described to the Item Level, they still have to be handled. You should not assume that a researcher will decide not to see a document based on an Item Level description. A researcher is also likely to want to see other documents in that particular file unit. The materials will still be handled despite the Item Level description.

12. *Should I make Item Level entries in the ANCS+ Item Level-Only directory?*

No. The ANCS+ Archives Module includes both a hierarchical Archives directory and an Item Level-Only directory. The Item Level-Only directory was included in the Archives Module to accommodate Item Level-Only entries that were made in the past. Assuming that Item Level description for a particular collection is absolutely necessary, use the hierarchical Archives directory.

Don't use the Item Level directory for any new Item Level descriptions. Enter Item Level descriptions into Item Level screens in the hierarchical Archives directory. In cases where a "collection" consists of one document, you should catalog that documenet individually in the Collection Management Module.

Use of the Item Level directory is not good archival practice. Item Level-only descriptions aren't grouped logically under the appropriate file unit, series, and collection level descriptions. Instead, they are disconnected from each other and from their parent levels.

If you have Item Level entries in the Item Level directory, determine the collections to which those items belong. Transfer the descriptions to the hierarchical Archives directory as soon as possible.

13. *Why is it so important to enter Item Level descriptions in the hierarchically organized Archives directory and not the item level-only directory?*

Item Level entries in the hierarchically organized Archives directory are linked to the file units, subseries, series, and collections to which they belong. These entries reflect the actual physical organization and the provenance of the collection. The hierarchy also provides context for each document. This makes each item easier to understand and easier to find and retrieve.

Item Level entries in the Item Level directory exist in isolation, with no context, no provenance, and no organization. It's very difficult to find and retrieve items that are entered into the Item Level directory. You must know exactly what document you are seeking and exactly what keywords to use.

T. Folder Title Lists And Finding Aids

1. *What's a "folder title list"?*

A folder title list is also called a "container list." It's a list of all file units in a collection (or in an individual series, subseries, and so forth).

Preparing a folder title list is a highly-recommended alternative to entering a full description for each file unit in a collection. It takes much less time to do a folder title list than to do full file unit descriptions. Folder title lists also provide enough information to be very helpful to users.

You can enter folder title lists at either the Collection Level or the Series Level in the ANCS+ Archives Module. Enter them in the Container List supplemental record.

> ***For technical and practical reasons, it's much better to provide a single folder title list for an entire collection. Use the Container List supplemental record at the Collection Level screen. If you include the folder title list as part of the Collection Level, it will automatically appear in printed finding aids. Folder title lists entered at the Series Level won't appear in printed finding aids.***

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the Container List supplemental record.

2. *What are the two methods for preparing folder title lists?*

One method is to list the titles of every single file unit in each box. For example:

BOX 1: Aardvarks
Bears
Kangaroos
Leopards

BOX 2: Ocelots
Orangutans
Puffins
Zebras

The other method is to list the first and last file units in each box. For example:

BOX 1: Aardvarks to Leopards
BOX 2: Ocelots to Zebras

3. *Are folder title lists mandatory?*

No. Folder title lists aren't mandatory.

4. *When is it appropriate to do a folder title list?*

Doing folder title lists is a judgment call. Only do them when they can provide information that's not already covered in the basic collection, series, subseries, sub-subseries, or sub-sub-subseries descriptions.

A good candidate for a folder title list is a series of "Subject Files." Subject Files are files containing correspondence, memorandums, research papers, notes, and clippings. The material is on particular topics that were of interest to whoever created the records. Because a series might include dozens or hundreds of individual files, it's impractical to list every topic in the series description. Folder title lists are the most efficient and useful way of informing users of the specific subjects. Users can scan the list of subjects and select desired file units.

5. *When is it unnecessary to do a folder title list?*

In some situations folder title lists are superfluous. For example, suppose a series of memos is arranged in file units by year. All of the memos for a particular year are filed together. The title of each file unit is simply the year. There's no need to list each of the years if the user knows that the series contains one file unit for each year. The title of each file unit, in other words, is implied by the series description. At the most, a folder title list could facilitate retrieval by indicating the first and last file in each box. However, even that's not necessary.

6. *What's a "finding aid"?*

"Finding Aids" are reference tools. They can help NPS staff and outside researchers locate the files and documents they need in an archival collection. They are like a table of contents to an archival collection and can be in either hard copy or digital formats.

A finding aid is the basic tool for navigating through a collection. It should provide an overview of the structure and content of the collection. The standard elements of a finding aid are:

- history
- collection level description
- series and subseries level descriptions
- folder title lists

See Sections R and S for information on history and descriptions. See the beginning of Section T for information on folder title lists.

7. *Does NPS have a template for producing finding aids?*

Yes. A finding aid template exists in the ANCS+ Archives Module. You can generate finding aids from information entered into the ANCS+ Archives Module as part of the description process. Finding aids generated in this way require no additional keying of information. They are produced from completed fields in the Archives Module.

You don't need to know anything about what a finding aid should look like or what it should contain. Just complete the various fields in the Archives Module as part of your cataloging and description activities. Include folder title lists in the Container List supplemental record on the Collection Level screen. Then choose the FindingAid/SGML function to automatically create a finding aid for the collection.

ANCS+ will copy data from the various fields into a finding aid that has been fully laid out and paginated. It includes a cover sheet, table of contents, and restrictions statement. The ANCS+ finding aid will be in Microsoft Word. You can send electronic copies of the finding aid to users. You can also print hard copy versions or post the finding aid on the Web Catalog.

An example of an ANCS+-generated finding aid appears in **Figure D.6.**

Refer to Appendix F of the *ANCS+ User Manual* for information on completing the fields in the Archives Module. This appendix also contains complete instructions for producing the ANCS+ finding aid.

8. *What are EAD and MARC-AMC?*

EAD stands for Encoded Archival Description. MARC-AMC stands for Machine Readable Cataloging Record – Archival and Manuscripts Control Format.

EAD and MARC-AMC are methods of coding catalog information about archival collections. They are used for posting to national, on-line bibliographic networks.

ANCS+ is capable of automatically putting data about NPS archival and manuscript collections into EAD and MARC-AMC codes. However, your park must have agreements with on-line bibliographical networks in order to post information about park collections. For further information, see the ANCS+ *User Manual,* Appendix F.

9. *Is it mandatory to use EAD or MARC-AMC?*

No. Coding ANCS+ data according to EAD or MARC-AMC format for submission to on-line catalogs is completely optional.

U. Access

This section focuses on access guidelines relating specifically to archives and manuscript collections in NPS custody. General guidance on access to NPS museum collections appears in the *Museum Handbook*, Part III, Museum Collections Use.

1. *Are staff members at my park permitted access to park archival and manuscript materials?*

Yes. Park staff can access park archival and manuscript materials but only for work-related activities. Curatorial staff don't need to withhold any documents from non-curatorial staff who are working on official assignments. Staff members who wish to conduct their own, personal research, however, shouldn't be granted special access. Instead, they should receive the same level of access as a member of the public.

Non-curatorial staff members should follow the same general rules as members of the public when handling archival or manuscript collections. These rules apply whether they're working on an official project or conducting personal research:

- review original materials only in the museum program's research room
- have only one folder open at a time
- don't disturb the order of documents
- don't remove, add, write on, or otherwise mishandle documents

2. *Are non-NPS staff members permitted access to park archival and manuscript materials?*

Yes. Non-NPS staff members, including members of the public and employees of other Federal agencies, may access park archival and manuscript materials. They must follow certain rules regarding access and certain procedures regarding use. See Section W for information on use of collections.

3. *Is there one set of rules to follow when deciding whether members of the public are allowed to see certain documents?*

No. There are different sets of rules for different types of documents.

- For Federal Records (including NPS records), follow the rules set forth in the Freedom of Information Act. See Section V.
- For donated and purchased personal papers and private sector archives, there may be special restrictions established by the park.

4. *What are the rules for determining public access to a collection of personal papers, private sector corporate archives, or other non-NPS documents?*

Restrictions on access should be outlined in the donor agreement or deed of gift. Accepting donations with restrictions, however, should be avoided. Donated and purchased archival collections that weren't created by a Federal agency aren't subject to FOIA. FOIA exemptions don't apply to such collections. See Section V.

5. *What kinds of "personal privacy" information may I withhold from researchers?*

Personal privacy information in Federal/NPS records may be withheld under the Freedom of Information Act (FOIA). See Section V. Personal privacy information in donated or purchased materials may be withheld under the terms of the donor agreement. It may also be withheld under the park's policy for protecting personal information.

Parks are legally required under FOIA to withhold NPS records that "would constitute a clearly unwarranted invasion of personal privacy."

Not every mention of an individual rises to this threshold. The sorts of information serious enough to be considered an "unwarranted invasion of personal privacy" would include:

- medical, psychiatric, employment, and religious counseling information on an identifiable individual or individuals
- information that places an individual in a false light
- information (including photographs) that could cause embarrassment (such as nude images)

6. *Can these types of personal privacy restrictions be placed on non-Federal records as well as Federal records?*

As a matter of discretionary policy, parks may handle personal privacy information in non-Federal/non-NPS records, such as personal papers, in the same manner in which they handle personal privacy information in Federal/NPS records. However, these restrictions aren't required by law. Exemptions under FOIA don't apply to personal papers or other non-Federal archival materials.

7. *What types of restrictions may I place on "culturally sensitive" archival materials?*

NPS-owned archival collections may contain "culturally sensitive" archival materials such as photographs, motion pictures, maps, location information, or other depictions of American Indians:

- burial sites
- sacred sites
- human remains
- religious ceremonies

Federal records can be withheld only if they are covered by one of the exemptions in FOIA. However, these materials may be withheld from researchers in the following cases if the materials are:

- Federal records/NPS records, and restriction is authorized by an existing Federal law (such as the American Indian Religious Freedom Act or the Native American Graves Protection and Repatriation Act)
- donated (and non-Federal), and the donor agreement or deed-of-gift specifies that culturally sensitive documentation should be restricted
- donated or purchased (and non-Federal), and the park determines that their release would violate the standards of the affected group

Note: For further information on restrictions made at the park's discretion, you should consult with DOI solicitors.

8. *How should sensitive information in personal papers or private sector records be withheld from researchers?*

Follow the same basic procedures outlined in Section V for withholding FOIA-exempt information from Federal/NPS records.

9. *Should I withhold copyrighted materials from researchers?*

No. You shouldn't withhold documents from researchers based on their copyright status. Copyright status may have an affect, however, on making copies of documents for researchers to keep. See Section X.

10. *Is it permissible to restrict or withhold Federal records that have previously been released?*

Ordinarily, once a Federal record has been released, especially if it has been published, it becomes part of the "public domain." Materials in the public domain are open to everyone. In very rare cases, however, Federal records identified as "Records of Concern" may be withheld for national security reasons.

11. *What's the principle of "Equality of Access"?*

The principle of "Equality of Access" gives the same level of access to all.

If…	***Then…***
you grant one member of the public access to a particular collection of documents,	you have to grant the same level of access to all members of the public.

Parks are legally obligated under FOIA to provide an equal level of access to everyone requesting to see Federal records. If Federal records aren't exempt from disclosure, then they are open to everyone. If Federal records are exempt from disclosure, then they are closed to everyone.

Follow the same principle with regard to non-Federal records in NPS museum collections.

12. *Can I restrict access to archival or manuscript materials if the purposes or methods of a person's research is questionable?*

No. It's not ethical to censor, judge, influence, or endorse anyone's research, arguments, or interpretations. Access must be granted on an equal basis to all researchers. You cannot withhold publicly available documents from individuals because you don't approve of their research. Neither can you give special access to individuals whose research you support.

For Federal/NPS records, it's illegal to withhold or release a document based on the intentions of the researcher. Instead, you are required by law to make your decision based solely on the content of the documents. Documents that are exempt from disclosure under FOIA guidelines must be withheld from everybody. Documents that aren't exempt from disclosure must be open to everybody regardless of the purpose, nature, or methodology of their research.

V. Freedom Of Information Act (FOIA)

1. *What are the rules for determining public access to NPS or other Federal records that are part of the museum collection?*

NPS records that have been accessioned into park museum collections, such as resource management records, are subject to the Freedom of Information Act (FOIA).

Federal agencies are required to release all information that's not specifically exempted under the Freedom of Information Act.

The Freedom of Information Act applies only to Federal records. Donated personal papers, corporate archives, or other non-Federal archival materials in your custody are not subject to FOIA review.

See **Figure D.7** for a copy of the Freedom of Information Act.

2. *What are some FOIA exemptions?*

FOIA exemptions include:

- security-classified information relating to national defense or foreign policy
- privileged or confidential trade secrets and commercial or financial information

- personnel files, personal medical files, or other materials, but only if disclosure of those records "would constitute a clearly unwarranted invasion of personal privacy"

- law enforcement records, but only if disclosure of those records would:

  – interfere with enforcement proceedings

  – deprive a person of a fair trial

  – reveal a confidential source

  – reveal investigative or prosecutorial techniques

  – endanger the life or physical safety of an individual

- records related solely to a Federal agency's internal personnel rules and practices

- records of financial institutions

- privileged inter-agency or intra-agency memorandums or letters (for example, concerning management decisions that are under consideration but not yet made)

- records specifically exempted by statute, including records on:

  – protected archeological sites, including shipwrecks

  – caves

  – wells

  – endangered species

Note: FOIA exemptions include records already shielded by existing Federal laws. The Archeological Resources Protection Act of 1979, for example, presents disclosure of protected archeological sites.

3. *What are the procedures for responding to a FOIA request?*

Follow these procedures for responding to a FOIA request:

- Provide written response within 10 working days of receiving a FOIA request.

- If more than 10 days are needed to respond, notify the public affairs and FOIA officers at your park's regional office immediately. Request an extension.

- The denial of all or part of a FOIA request must be signed by the Regional Director or by the regional FOIA officer or public affairs officer.

- Parks may recover costs (based on fee schedules established by the Department of the Interior) from the requestor if the response:
  - requires more than two hours of research, or
  - entails copying more than 100 pages
- Researchers are entitled to appeal negative decisions. They should file their appeals with the FOIA officer in the Washington Office. If a researcher's appeal is denied, the researcher may appeal that decision in the appropriate United States District Court.

For further information, consult the FOIA officer at your park's regional office or read 383 *Department Manual* 15.

4. *How can FOIA-exempt information be removed from files or withheld from researchers?*

There are two ways to withhold documents or information from release:

- If an entire document is exempt, you may remove the document from its original file location. Place it in an acid-free file folder, labeled "Restricted Documents from [file name from which document was removed]." Put a separation sheet in the document's original file location (see **Figure D.5**). Give the name and date of the document and the FOIA exemption that required the document's removal. Place a copy of the separation sheet with the document itself. Place the folder containing the withdrawn document behind the original folder.
- If only a portion of a particular document is exempt, then provide the researcher with a "redacted" copy. To do this, make a copy of the original document. Then either obscure the exempted information with a heavy black marker or cut out the exempted information. Copy the redacted copy (so that it's impossible to see the original information through the black lines). Indicate the FOIA exemption in the margin next to the area that was blacked out or cut out. Provide this copy—not the original document—to the researcher.

Always redact a COPY of the original document. Never cut out or black out information on the original document.

5. *Do I have to conduct a new FOIA review every time a member of the public asks for a particular file or document?*

No. Once a file or document has been reviewed and released, it becomes permanently available to anyone who requests it. There's no need to conduct additional FOIA reviews for materials that have already been released.

6. *Should I handle all requests for information from archival and manuscript collections as if they are FOIA requests?*

No. Follow FOIA procedures only when responding to requests that are formally identified in writing as FOIA requests. Other letters, e-mails, or telephone calls that you receive may be handled as routine inquiries. See Section U.

Even when responding to a routine request for information, **you must always follow FOIA guidelines when deciding what records can be released and what records should be withheld.**

Never release Federal records that are exempt from disclosure.

7. *Should I review research proposals to determine if it's appropriate to grant access to the records?*

No. FOIA is the only basis for determining whether or not a member of the public can see NPS records.

If…	***Then …***
a document or file isn't exempt from disclosure under the FOIA,	release it to everyone who wishes to see it.
a document or file is exempt from disclosure,	withhold it from everyone.

The purposes of the requestor's research, the nature of the requestor's research proposal, and the requestor's research methodologies are irrelevant. The exemptions set forth in FOIA are the sole factor for determining release.

NPS records may never be withheld from an individual because of the nature of his or her research.

8. *Does FOIA apply to all archival and manuscript materials in NPS museum collections?*

No. FOIA is extremely limited. It applies only to certain types of Federal records—records created by Executive Branch agencies. Even within the Executive Branch, it doesn't apply to those offices that are actually part of the White House. This means that the records of all Executive Branch Departments, such as the Department of the Interior, are covered by FOIA. White House records, Congressional records, and Supreme Court records are not covered.

FOIA also doesn't cover:

- records of private sector corporations, non-profit foundations, or clubs
- personal papers of private individuals or families

Therefore, the only records in NPS museum collections that are likely to be covered by FOIA are NPS records.

9. *Are personal papers "records received by the Federal government" and therefore subject to FOIA?*

No. A collection of records may be owned by the Federal government, but that doesn't necessarily mean that they're Federal records. The papers of a private individual or the archives of a private sector corporation may be considered records. If they're accessioned into an NPS museum collection, they're the property of the Federal government, but they are not Federal records.

Federal records are records *created* by the Federal government, and they are records of Federal activity.

When a park accessions a collection of personal papers or corporation archives that it has acquired through donation or purchase, it's not creating records. Instead, it's acquiring property. They're the papers of a private individual or the records of a private sector company, not the records of the Federal government even though the Federal government owns them.

The fact that this property happens to be a collection of records doesn't make it a collection of Federal records.

W. Use-Reference

This section focuses on guidelines relating specifically to the use of archives and manuscript collections in NPS custody. General guidance on use of NPS museum collections appears in the *Museum Handbook*, Part III: Museum Collections Use.

1. *Are researchers subject to any restrictions on using archival and manuscript collections?*

Yes. There are many restrictions that you may place on the use of archival and manuscript materials. These restrictions are outlined below. Researchers who fail to observe those restrictions may be prohibited from doing research in park facilities with original documents. They would still be entitled to purchase copies of publicly available materials.

2. *When members of the public come to the park to conduct archival research, where should they work?*

Designate a separate room or clearly defined area for use by researchers. Don't place researchers at a staff member's desk or at a vacant table in the collections storage area.

3. *May researchers be permitted to "check out" files, in the manner that someone would check a book out from a library?*

No. Original archival materials should never be checked out. They may be placed on loan, following the same rules that govern loans of all NPS museum objects. An archival repository is not a lending library and researchers should never be allowed to check out original documents.

4. *How should I configure a research room or research area?*

Follow these guidelines to set up a research room or research area.

Location of Research Rooms

- Research rooms or research areas may be adjacent to collection storage areas, but they must be separate from collection storage areas.

- Research areas should be close to collection storage areas. This minimizes the distance that archival materials will need to be transported for use. It also facilitates their quick and easy return to their regular storage locations.

- Research areas must be separate from collection storage areas to ensure proper security. This prevents researchers from having access to any archival materials other than those that they have specifically been permitted to use.

Contents of Research Rooms

- Research areas should be "clean." There should be no books, papers, files or other materials besides the documents that researchers have been authorized to use. This prevents archival materials that are brought to researchers from getting mixed up with other documents.

- Provide one or more worktables for researchers. Two or more researchers can be seated at the same table if they're working together as a team. The team should be using the exact same documents at the exact same time. Otherwise only one researcher should be seated at a table at one time. Having two or more researchers at a single table runs the risk of getting papers from different collections mixed up. There are specially designed research tables with dividers to separate researchers (and the files they are using) from each other. These allow several researchers to work at the same table.

- Don't allow waste paper baskets or other trash receptacles near researchers. This prevents documents from being discarded by accident or through malice.

Environmental Conditions for Research Rooms

- Environmental conditions in research areas (heat, light, humidity) should be comparable to environmental conditions in collection storage areas.

- No food or beverages may be brought into research areas. Integrated Pest Management procedures should be implemented in research areas, just as they are in collection storage areas.

Security for Research Rooms

- Place lockers outside the research area, where researchers can store coats, hats, and briefcases. This is a security measure rather than a convenience for the researchers. It's intended to reduce opportunities for researchers to hide documents in their belongings and sneak them out of the research area.

- There must be a counter or desk for staff use in the research room. Situate it in such a way that staff can monitor all researchers at all times.

- Research areas should be secure. Grant entry only to authorized staff and authorized researchers. If a research area should abut a collection storage area, keep the doors locked between the two areas. This is especially important when researchers are present. Keep research areas locked or otherwise secured to prevent park visitors (other than authorized researchers) from gaining access to archival materials. This also prevents researchers from smuggling documents to someone outside the research room.

5. *What procedures should staff follow when working with on-site researchers?*

Staff are responsible for enforcing the research room rules and guidelines.

Retrieving Materials

Staff are responsible for retrieving and refiling all materials requested by researchers. Never allow researchers into the collection storage area to retrieve the papers they'll be using. Staff may pull several boxes of materials for a researcher at a time. However, the researcher may only use one box—and one folder out of that box—at a time. The researcher must put a folder back into the box before pulling another folder out. He or she must return everything to the first box and close it before opening the next box.

Monitoring

At least one staff member should remain in the research area at all times to monitor researcher activities. Staff should ensure that researchers are following the rules. In particular, staff should watch for any actions by researchers that might result in damage or rearrangement of documents. They should also be alert to any attempts by researchers to conceal documents on their persons or among their effects.

Inspecting

Staff should inspect all notes or other objects removed from the research room. Make certain that no documents are included among them.

6. *What procedures should researchers follow when they're in the research area?*

Researchers must follow these procedures when they're in the research area. Prohibit researchers from the research room if they fail to observe these rules:

- A researcher should use only one box at a time. No matter how many boxes of archival materials have been brought to a researcher, only one box may be opened at a time. Only one file folder from that box may be used at a time.

- Researchers must keep documents in the same order in which they found them. They should never move a document from one folder to another, or folders from one box to another. If researchers discover a file or document that has been misfiled, they shouldn't attempt to correct the situation themselves. They should report it to staff.

- Researchers should never write on archival materials.

- Researchers must handle individual documents carefully. If they're handling photographs or documents that are damaged or fragile, staff may require them to use gloves. The park should provide gloves to reduce the risk of damage. If researchers damage a document in the course of doing their research, they should report it to staff immediately.

- Researchers must never attempt to remove documents from the research room, unless museum staff give them permission to do so.

- If researchers are taking notes, they should use their own laptop computers. They can also write notes down on paper using *pencils* only. Never permit pens in the research area. Researchers must never use pens in the vicinity of original documents.

- Researchers are not permitted to have food, beverages, or smoking materials in the research area.

- Researchers should refrain from using cell phones or the Internet while in the research room. This is to avoid disturbing other researchers.

7. *What forms should I require researchers to complete?*

Require each researcher to complete the following forms:

Registration Form

Each researcher should complete a registration form before being permitted to use archival materials at the park. The form should include name, address, institutional address, research project, and publication plans. See **Figure D.8.** Upon completing the form, researchers should present both the form and a government-issued photo ID to a staff member. Write the type of ID and the ID's control number on the form.

Request Form

Require each researcher to complete a request form for all materials he or she wishes to view. The form should indicate the researcher's name, the date of the request, and the specific boxes, series, or files being requested. Retain request forms indefinitely, to identify individuals who had access to particular materials. This is in case you discover any missing documents. A "paper trail" of research use can deter theft. It can also serve as evidence in court cases seeking to recover lost or stolen items.

Copyright and Privacy Restrictions

Each researcher should read and sign the Copyright and Privacy Restrictions form before being permitted to use archival materials at the park. See **Figure D.9**.

Access Policies and Rules Governing Use

Each park should prepare and post its own Access Policies and Rules Governing Use for researchers to read. See the sample list of rules, **Figure D.10**.

8. *Do researchers need to meet any age restrictions?*

Archival repositories commonly prohibit individuals under the age of 21 from entering research areas and using original archival materials. Sometimes repositories make exceptions for college students working on class projects that require the use of primary sources.

9. *Should researchers make appointments before arriving to do archival research?*

Appointments are recommended but not required. Researchers should contact museum staff before they visit in order to make sure that the:

- papers they are seeking are actually in park custody
- papers in question contain the sort of information they are seeking
- materials they wish to see are available to researchers and are not exempt from disclosure

In addition, space constraints may make it advisable for researchers to make appointments to use the research area. Parks with limited space may be able to accommodate only two or three researchers at a time. Parks can handle researchers on a "first come, first served" basis. However, it may be fairer and more efficient for parks to schedule researchers in advance for specific blocks of time.

10. *What other scheduling and logistical arrangements should parks make in order to protect and facilitate the use of archival materials by outside researchers?*

Parks may make additional scheduling and logistical arrangements to facilitate researchers and protect the collections:

Pull Schedules or Retrieval Schedules

- Parks may establish "pull schedules" or "retrieval schedules," especially if there is heavy demand for archival materials. These schedules set certain times during the day as deadlines for researchers to submit requests for archival materials. The times are usually at least once in the morning and once in the afternoon. Requests received by those times ordinarily should be filled within the next one or two hours, depending upon demand. Researchers missing a deadline would have to submit their requests for the next deadline.

Supplies

- To protect the documents, parks should have supplies of white cotton gloves and pencils. Make these available for researchers to use when working with original documents.

- As a security measure, parks may also wish to provide researchers with notepaper or note cards. These should have holes punched in the upper right corner. When researchers are leaving the research room, staff can suspend a sheaf of pages or cards by inserting a pencil through the hole. Any original documents that might have been hidden among the notes would then drop out.

Use Copies; Reference Copies

Particular collections (or portions of collections) may be damaged, fragile, or receive exceptionally heavy use. Parks may choose to make photocopies, microform copies, or scanned digital copies of those materials. Researchers could then use those "reference copies" instead of the originals. (**Note:** If you make reference copies of accessioned archival materials, you should not catalog them. They are just copies, and are not part of the collection itself).

11. *How should parks provide copies of documents to private researchers?*

If at all possible, parks should provide facilities for making copies of documents, preferably at the researcher's expense.

Don't allow researchers to make copies themselves. They should indicate to staff which documents they wish to have copied. No matter what type of copies a researcher requests, he or she should complete a Researcher Duplication Form. See **Figure D.11**.

The park may adopt various procedures for making copies.

Small Numbers of Copies

Researchers may bring individual documents or files to staff in the research area for immediate copying. This depends on the availability of staff and photocopy machines. Preferably, the park should set up a cost-recovery program, so that researchers will bear the expense of copying. It might be possible to set up such a cost-recovery program through the park's cooperating association or through the park's budget office. The park may waive fees, however, for very small numbers of copies that incur negligible costs.

Large Numbers of Copies

Researchers may need more than one or two documents photocopied during their visits. In these cases, it's advisable for them to use strips of white paper as "bookmarks." The paper indicates the location of specific documents or files that they wish to have photocopied. The staff makes the copies at a time that's convenient. These "bookmarks" should be placed so that they stick up above the file folders as they sit in a box. They're then readily apparent to staff. Researchers should write the title of the document or file unit on the bookmark (in pencil). This prevents confusion over what they want to have photocopied. The park should have cost-recovery procedures in place so that researchers pay for the photocopies themselves. The park may choose to withhold copies until full payment is received.

Photographic Copies

Researchers may desire actual photographs of textual documents, duplicate negatives of photographs, or copies of motion pictures or videotapes. In such cases, the park may set up agreements with commercial photo labs or video labs to make these copies. The park would transport the items to the lab and retrieve them after the copying is completed. The lab would then be responsible for collecting payment from the researcher. Alternatively, the park could pay the vendor and then charge the researcher through its cost-recovery program.

Note: Do not charge park staff for copies made in connection with official work assignments. If a park staff member wishes to conduct personal research while off duty, however, he or she should be subject to the same cost-recovery provisions as members of the public.

12. *What are the procedures for responding to researchers who aren't on-site?*

Instead of actually visiting the park, researchers may contact the park via regular mail, e-mail, or telephone. They may request information from or access to archival or manuscript materials in the park museum collection. Follow the procedures listed below when responding to those requests.

Response Format

- Responding by letter is always acceptable, but you may respond in whatever format the request was made. For example, you may respond to e-mail requests by e-mail and to telephone requests by telephone.

Response Time

- Respond as quickly as possible. Remember that FOIA responses must be sent within 10 working days.

- If providing a full answer would take a great deal of time, send an interim response. Provide as much information as possible and indicate that additional information will be contained in a follow-up response.

- If a researcher requests a few easily-provided facts, it's acceptable to provide those facts. In general, however, you shouldn't do the researcher's work. Focus on the availability of archival materials and on their general content. Provide finding aids for researchers to review. As a general rule, don't research questions that will take more than an hour or two to answer. Instead, advise the researcher to review the archival materials at the park, or purchase copies of relevant files.

FOIA Requests

- For formal FOIA requests for Federal/NPS records that are covered by FOIA, follow the procedures outlined in Section V. Withhold restricted information by applying the exemptions listed in Section V.

- If a researcher doesn't formally identify the request as a FOIA request, you don't have to follow the procedures outlined in Section V. This rule applies even if the request is for Federal/NPS records that are covered by FOIA. You should still respond, and you should still withhold restricted information by applying the exemptions listed in Section V.

Non-Federal Records Requests

- A researcher may request personal papers or private sector records that aren't Federal records. Apply whatever restrictions are contained in the donor agreement or in discretionary park policy.

- A researcher may submit a formal FOIA request for personal papers or private sector records that aren't Federal records. Advise the researcher that the materials in question are not covered by FOIA. Then respond as you would to any non-FOIA request for non-Federal archival materials.

- If you identify any archival materials that may relate to a researcher's request, provide a very brief description of those records. Include estimated page counts. Then, unless the materials are restricted, offer to make them available to the researcher in the park's research room. Explain to the researcher how he or she can order copies of the materials. When sending copies to off-site researchers, include a copy of the "Copyright and Privacy Restrictions" form. See **Figure D.9**.

Fees for Research Requests

- As noted in Section V, "Freedom of Information Requests," your park could establish a cost-recovery program that would require researchers to pay for research services, based on fee schedules established by the Department of the Interior. See *Museum Handbook III*, Chapter 4.

Tracking Research Requests

- Keep paper copies of incoming and outgoing letters and e-mails involving substantive information on archival holdings at your park.

- Keep track of all responses, regardless of format (letters, e-mail, telephone, face-to-face). Report the number of inquiries in your park's annual CMR submission.

X. Copyright

1. *May I give researchers copies of copyrighted materials?*

You may provide single copies of copyrighted documents to individual researchers if the:

- copyright holder has granted permission, *or*
- copies are made under the "Fair Use" provision of the copyright law

"Fair Use" permits the copying of documents without the approval or even the knowledge of the copyright holder. Fair Use covers such purposes as:

- research and scholarship
- news reporting
- criticism, parody, or commentary
- preservation of original documents (for example, making reference copies of a document for researchers to use in order to avoid wear-and-tear on the original)
- deposit of a copy in another research institution for scholarly purposes

2. *Are materials in NPS-owned archival and manuscript collections copyrighted?*

Sometimes they are. It depends on the type of material and the stipulations of donor agreements.

Federal records (such as NPS records) generally are not copyrighted. Letters, memorandums, speeches, notes, or other documents prepared by Federal employees as part of their official duties are *never* copyrighted. Those documents are in the public domain unless they are exempt from disclosure under FOIA. Documents received from other sources and incorporated into official files, however, may have copyright protection.

Personal papers, the records of private sector corporations or non-profit associations, and other donated or purchased materials may have copyright protection.

3. *How will I know if a document has been copyrighted?*

In many cases you won't know. Here are some useful indicators:

- Documents written by government employees as part of their official duties aren't copyrighted.
- Donors of personal papers or other non-Federal archival collections may assign all copyrights to the NPS. This should be documented in the donor agreement or deed of gift.
- Published documents usually include a copyright statement. Unpublished documents usually don't, but that doesn't mean they don't have copyright protection.

- Photographs may be stamped on the back with copyright information.

- Copyright protection may have expired on older documents. However, there are many variations, and it may be necessary to consult with a copyright lawyer before making a final determination. Generally, copyright protection has expired on:

  – published works that are more than 75 years old

  – unpublished works that are more than 100 years old

4. *Who's responsible for determining if a document has copyright protection?*

The researcher—not the park—is responsible for determining the copyright status of documents.

The only time a park needs to determine the copyright status of a document is if it plans to include the document in an official NPS publication.

5. *When should parks grant permission to publish copyrighted materials?*

Parks should only grant permission when they are certain they hold the copyright on a particular document. The NPS Deed of Gift form explicitly states that copyrights are being turned over to the NPS. If there is a signed deed of gift that includes the copyright transfer, then it's acceptable to grant permission to publish.

In other cases, however, you should avoid either giving permission or withholding permission:

- No permission is needed to publish Federal records because Federal records cannot be copyrighted.

- No permission is needed to publish documents whose copyrights have lapsed, because they are in the public domain.

- The NPS doesn't have the authority to grant or refuse permission if the NPS:

  – knows that another party owns the copyright on a particular document

  – doesn't know if a document is copyrighted

6. *What warnings or guidance should I give to researchers regarding the use of copyrighted materials?*

Unless you're certain that a document is in the public domain, or that the NPS owns the copyright on a document, you should do the following:

- Warn the researcher that the document may have copyright protection.

- Advise the researcher that he or she is responsible for determining copyright status.

- Advise the researcher that he or she is responsible for obtaining permission to publish from the copyright holder.

- Ask the researcher to sign the NPS "Copyright and Privacy Restrictions" form (see **Figure D.9**)

- Refer the researcher to the Copyright Search System of the U.S. Copyright Office: http://www.copyright.gov/records/.

- Refer the researcher to the National Archives Source and Permission Contact List: http://www.archives/gov/research/.

7. *Where may I find guidelines for determining if materials are likely to be in the public domain?*

Consult "Copyright Term and the Public Domain in the United States" at http://www.copyright.cornel.edu/public_domain/.

Y. Use—Publications, Exhibits, Loans

1. *How should researchers cite NPS-owned archival materials that they have used?*

The standard method for citing documents in scholarly works is to go from the specific to the general (that is, from the individual document to the repository or agency). Under this formula, citations for NPS archival and manuscript collections should indicate the:

- title and date of the document
- title of the file unit
- title of the series/subseries/sub-subseries
- title of the collection
- name of the park
- National Park Service

NPS has also recommended providing citations that start with the general and move to the specific. Under that method, the order of the elements listed above would be reversed. Either method is acceptable.

Citations, however, are entirely the responsibility of the researcher, and researchers are under no obligation to follow NPS recommendations.

Note: A researcher's willingness to follow NPS citation recommendations must never be a factor in deciding whether to provide or withhold archival materials.

2. *May the park request a complimentary copy of publications based on NPS-owned archival or manuscript collections?*

The park may *request* a courtesy copy, but cannot require one. A researcher's willingness to provide a courtesy copy must never be a factor in deciding whether to provide or withhold archival materials.

Previous guidance recommended two complimentary copies—one for the park library and another for the museum collection. This may tax both the researcher's generosity and the ability of museum staff to handle additional materials. A single library copy is sufficient.

3. *Can I loan archival materials?*

Yes. Parks are permitted to loan documents to museums and other institutions. Parks may not loan archives to individuals. Loans of documents must follow the same procedures as loans of other types of museum objects. Follow the procedures outlined in the *Museum Handbook,* Part II, Chapter 5.

Although it's inappropriate to catalog each document individually, it's permissible to catalog individual documents for a loan. You'll then have a unique catalog number to cite in the loan agreement. Alternatively, you can complete an Item Level record in the Archives Module. You would use the local collection number (which would include the item number) on the loan agreement.

4. *May archival materials be used in park museum exhibits and in park interpretive programs?*

Yes, but only if strict guidelines are observed.

- Exhibit-quality color photographs can be taken of documents, for inclusion in displays. For both preservation and security purposes, this usually is preferable to displaying original documents.

- Original documents may be displayed, but only if they are protected by UV filters. The documents must be housed in conditions that meet all security and environmental standards. It's preferable to display photographs of documents rather than original documents. Documents placed on exhibit must have either a unique catalog number or a unique Archives Module number (see item 3, above).

- Documents can be published for general distribution only if:

  – they're Federal records

  – they're in the public domain

  – donor agreement/deed of gift has relinquished copyright ownership to the NPS

- Original documents and photographs of documents cannot be published or placed on exhibit if they're:

  – exempt from disclosure under FOIA

  – restricted under donor agreement/deed of gift

- Never allow visitors to handle original documents, unless they're authorized researchers working in the research area.

Z. Understanding the Language: A Glossary

Acquired archives: Organic collections created by a non-NPS organization as a routine part of doing business but removed from the physical custody of the originating institution and now in the physical custody of the NPS. These intact organic collections maintain their provenance and original order and are still referred to as archives, although legally severed from their non-NPS creator.

Active records: Official records needed and used for current business by NPS staff.

Administrative value: Refers to the archival material's usefulness for park management, as in the case of architectural drawings and plans useful for building repairs, maps necessary for landscaping or rescue, or other park records that indicate how an ecosystem has been affected over time.

Appraisal: (1) The act of assessing an archival or manuscript collection's value--including informational value, artifactual or intrinsic value, evidential value, associational value, and monetary value--using criteria such as age, subject content, contextual documentation, condition, quality, quantity, legal restrictions, organizational problems, public relations concerns, and associational nature. (2) The act of determining if a collection contains official (i.e., appropriate for disposition by NARA) or non-official (i.e., appropriate for park retention) records by consulting guidance such as *Cultural Resource Management Guideline*, Chapter 9; *Museum Handbook*, Part II, Appendix D, Section D; and *NPS-19, Records Management Guideline*. (3) Used in NPS museums to refer strictly to establishing monetary value.

Archival assessment: Evaluation of a park's total archival and manuscript collection management needs incorporating collection surveys, the production of collection-level survey descriptions, collections evaluations, and recommendations for action. Professional assessments facilitate records management and the care of archival collections in parks that have little previous experience with these issues.

Archival collections: (1) An organic accumulation of records created by an organization as a natural part of conducting business. Archival collections have a common provenance and a shared internal order original to the collection. See **collection**. (2) The total archival and manuscript holdings of a park. See **holdings**.

Archival quality: Permanent, durable, and non-destructive storage or copying materials or equipment suitable for use with archives. Also refers to long-lived (100-year-plus) documentation formats such as silver gelatin emulsions.

Archives: (1) The non-current records of an organization, with their original order and provenance intact, maintained by the original organization. (2) The organization that created and holds the records. (3) The physical building/room in which the records are held.

Archivist: A professional knowledgeable in archival theory and practice, who is responsible for the administration or management of archival and manuscript collections.

Artifactual value: refers to the collection or item's intrinsic value as unique or rare examples of material culture. This value relates to the age, format, process, media, condition, and quality of the material.

Artificial collections: See **non-organic collections** and **assembled collections.**

Assembled collections: Accumulations of documents, most often gathered from multiple sources by a collector, generally unrelated by provenance. The documents frequently are in the same format or related to the same topic. Assembled collections are sometimes referred to as “manuscript collections.”

Associated records: All documentation generated by the activity of collecting or analyzing artifacts or specimens needed to effectively manage those related objects within museum property collections. (If there is no object or specimen, the record may not be "associated" but is instead a resource management record.) See also the definition in 36 CFR Part 79 and **resource management records**.

Associational value: Refers to the archival material's relationship, usually by ownership or use, to an eminent site-related individual or group or the material's relationship to a significant site-associated event.

Authority files: Published or unpublished lists of subject terms or names selected by a park for use in description. The lists may provide definitions, occupations, cross-references from variant versions of names or terms, and dates. Every park museum collection with archival holdings should have authority files for use in creating folder lists.

Cellulose nitrate film: A flexible film base used for motion picture film and photographic negatives between about 1890 and 1955. This film base self-destructs over time going through five stages of deterioration. The film should be handled with gloves, foldered in buffered sleeves, boxed, placed in Ziplock bags and removed to off-site (non-museum storage) storage in a freezer. See MH-I, Appendix M, Care of Cellulose Nitrate Film.

Collections: (1) An accumulation of manuscripts, archival documents, or papers having a shared origin or provenance, if organic; or having been assembled around a common topic, format of record, or association (e.g., presidential autographs), if non-organic. A collection may be any of the types of records described in section D (e.g., personal papers, organizational records, assembled collections, resource management collections, or sub-official records). (2) The total archival and manuscript holdings of a park.

Context: The circumstances of creation, history of ownership and usage, and original order of an archival or manuscript collection. A clear context gives a collection enhanced research value. See also **original order**, **organic collection**, and **provenance**.

Document: (1) Also called an "item," the smallest complete unit of record or manuscript material accumulated to form a file (e.g., a letter, photograph, or report). A document may consist of multiple sheets or may have a recto (front) and verso (back), both of which carry information. Documents are also referred to as archival collections, papers, records, and manuscripts. Documents are most clearly described when referred to by their specific formats and processes (document types), such as albumen stereographs, outgoing correspondence, diaries, ink drawings, or field notebooks. (2) Any information in a fixed format, regardless of type.

Ephemera: A broad category of documents originally created for temporary or short-term use, such as advertisements, broadsides, invitations, packaging, posters, programs, schedules, and tickets.

Evidential value: Refers to the collection's ability to serve as historical or legal proof of an activity, event, procedure, or process since the record(s) are byproducts of these activities.

Federal Records Centers (FRC): Regional repositories that serve as official records centers for the National Archives.

File unit. The second-lowest level of archival arrangement, immediately above individual items or documents. File units contain all of the documents that the records creator filed together under a particular heading, classification, or topic. "File units" are not to be confused with "file folders," which are merely physical containers for holding documents. A single file unit, in fact, may be so large that it requires multiple file folders.

Finding aid: (1) A broader term for any format of textual or electronic tool that assists researchers in locating or using archival and manuscript collections. Basic finding aids include guides (for example, repository, collection, and subject guides), descriptive inventories, accession registers, card catalogs, special lists (for example, shelf and box lists), indexes, and (for machine-readable records) software documentation. (2) The file guides, indexes, registers, and filing system aids produced by the records creator, usually referred to as "control records" or "contemporaneous finding aids."

Format: Refers to the document type or form, such as the document's size and shape or the configuration of the media and support. For a fuller description of document types or formats see the Getty Art History Information Program's *Art and Architecture Thesaurus,* 2nd edition, (Oxford, England: Oxford University Press, 1994) for a full hierarchical list of terms.

Genre: Refers to the document's style, content, and form, including the document's purpose (advertisements, presentation album), the document's viewpoint (panoramic view), broad topical category (landscape, still life, portrait, or street scene), method of representation (abstract, figurative), circumstances of creation (amateur works, student works), or function (dance cards, cigarette cards, death certificates). For a full list consult the *Thesaurus for Graphic Material II: Genre and Physical Characteristic Terms*, 2nd ed., 1993, Library of Congress Cataloging Distribution Service, Washington, DC 20541.

Holdings: The sum total of all archival and manuscript collections held in physical custody by a park. See also **archives**, **collections**, **physical custody**, and **repository**.

Holographic documents: Documents written in the handwriting (i.e., script) of the individual who created or signed them.

Informational value: Refers to the subject content of the archival collections, such as the people, groups, places, eras, activities, events, objects, projects, and processes documented.

Integrity: Refers to collections whose provenance and original order are intact and whose documentary context is complete.

Intellectual control: The mastery or command established over the informational and contextual content of archival and manuscript collections resulting from discovering and describing their provenance and original order and from the processes of arrangement and description.

Intrinsic value: See **artifactual value**.

Inventory: (1) A structured guide to an archival or manuscript collection that includes a brief history of the collection and a list of the materials arranged in series that functions as a type of finding aid. (2) A physical count of a collection conducted for accountability purposes. See MH-II, Chapter 4, Section A, Annual and Spot-Check Inventories and Audits. See also **survey**.

Items: Refers to individual documents or manuscripts. An item may be composed of multiple sheets or may have both a recto (front) and a verso (back) with writing or images on both sides.

Leaves: See **sheets**.

Lot: A group of related records cataloged with a single ANCS catalog record.

Manuscript collections: Groups of documents that have been assembled due to their individual literary or historical values. Manuscript collections are frequently contrasted with archives, which have a shared creator, a shared history of ownership, and a shared original order. See also **manuscripts**.

Manuscripts: Individual documents, primarily textual, that have literary or historical value. Manuscripts include a wide range of document types from correspondence, book drafts, and diaries to personal papers and resource management records. Manuscripts are often paper-based textual records.

Monetary value: Refers to the dollar value placed on rare or collectible manuscripts such as autograph letters or photographs. Monetary value is affected by all of the other values listed above.

Museum records: Official records generated by the museum property system to manage museum property, such as accession, catalog, inventory, and loan records. These records are appraised through NPS record schedule procedures (NPS-19). NPS-19 states that they are maintained in the parks as active official records for which the NPS is accountable to the National Archives and Records Administration.

Non-organic collections: A synonym for "assembled or artificial collections."

Non-records: Documents not covered under the Federal Records Act; documents that are not considered records created or received by the Federal Government. (**Note:** Do not confuse archival collections received by the park through purchase or donation as "record material" by virtue of their having been "received" by the park. Such materials in fact "non-record" because they are not received as a record of Federal activity; rather, they are acquired as museum property).

Organic collections: Files routinely created as part of the day-to-day activities of a person, group, or organization. The records have a systematic relationship to each other that reflects their function and the activities and viewpoint of their creator. Organic collections are sometimes referred to as "archives." They are said to exhibit integrity (their provenance and original order has been retained). Personal papers, organizational records (acquired archives), resources management records (including associated records), active records (including museum records), and inactive records may be organic. See **original order**, **provenance**, and **non-organic collections**.

Organizational records: See **acquired archives.**

Original order: The functional filing arrangement imposed on a document collection by its creator. The original order of collections can provide information not found elsewhere, such as when the creator received a communication, who reviewed a document, or what the sequence of an administrative activity was. Original order should be preserved or reconstructed in a collection as it allows for rapid arrangement, accurate contextual research, and additional insight into the record creator's methods and activities. If a collection has no order because of mismanagement or disaster, a decision to impose an order may be made only by an experienced archivist.

Personal papers: The records created or accumulated during a lifetime by an individual or family. They have an intact provenance and an original order. Personal papers differ from archives in that they are routinely removed from the custody of the collection creators and placed in external archival repositories, but they function as the archives of individuals and must be treated with the same respect as all organic collections. Parks may collect the personal papers of individuals related to the park, such as founding fathers, formative staff, or eminent individuals associated with the history of the site.

Photographs: A fundamental document type found in all categories of records from museum records to assembled collections. Photographs come in many formats (for example, from cartes-de-visites to stereographs), in a wide variety of vantage points (for example, bird's-eye-view, microscope images, satellite images), genres (for example, landscapes, still lifes, portraits), and processes (for example, silver gelatin, carbon). Photographs are formed by the action of radiation (usually light) upon a sensitized surface. While often thought of as a single process, photography is many hundreds of related chemical processes on a variety of supports, such as metal, paper, plastic, or glass.

Photomechanicals: Multiple copies of images made in ink from photographic printing plates. These permanent images include chromolithographs, duotones, halftones, offsets, photolithographs, photogravures, photoengravings, silkscreens, and Woodburytypes. Photomechanical reproductions were most commonly used for postcards and for illustrations in books, magazines, and newspapers.

Physical custody: Either temporary or permanent custody of an archival or manuscript collection. Physical custody does not entail intellectual control or copyright (the right to exhibit, publish, or prepare derivative works). This is particularly true for previously unpublished personal papers, organizational papers, or other historic manuscript collections. In general, the creator of the records holds the copyright. Nor does physical custody entail the right to dispose of portions of the collection without appropriate permission.

Provenance: (1) The entity (for example, person, family, organization, or office) that either created the records or accumulated them in the natural course of activity. (2) The history of physical custody of a collection or item. Note: Museum curators and archeologists use the related term "provenience" to refer to the source or origins of objects and to the exact location where the object was found or made.

Provenience: See **provenance**, definition 2.

Records: (1) All information fixed in a tangible (textual, electronic, audiovisual, or visual) form that was created by an organization as part of its daily business. (2) Two or more data fields that are grouped as a unit in machine-readable records. (3) Official NPS records, as defined by the Federal Record Act and described in DO-19 and NPS-19. These NPS records are organic collections of documentary materials created by the National Park Service to document the creation, development, organization, functions, policies, decisions, procedures, operations, or other routine activities of the NPS. They are made or received by NPS offices as a part of transacting business and preserved as evidence of the offices' actions or functions or because of the records' informational value. They may be active, in which case they are retained by the NPS, or inactive, in which case they are appraised via NARA records schedules and either disposed of or sent to a federal records center.

Records management: The process of determining the status, value, and disposition of park records throughout their lifetime (for example, official or non-official; active or inactive; appropriate to the park's scope of collections statement or not; relevant to the site's history or not; appropriate to the archival appraisal criteria or not; and appropriate for shipment to the FRC and NARA or not as listed on the records schedule). Records management also involves scheduling records for their ultimate disposition.

Recto: The facing page (front) of a single sheet of text or images.

Reformatting: Preservation duplication of original archival materials through the use of long-lived copy technology such as silver halide microfilms or large format digital files and computer output microfilms.

Separation Sheet: A form used to indicate the location of removed items within a collection and the reason for the removal.

Series: A group of documents arranged, file units, or volumes maintained together as a unit within an archival or manuscript collection because of their shared circumstances of creation, receipt, or use. Examples of series would include: 1) incoming correspondence, 2) outgoing correspondence, 3) project files, 4) annual reports, and 5) fiscal records. File units within a series usually conform to a single, consistent arrangement scheme (alphabetical; numerical; chronological, etc.). A series containing records arranged under two or more filing schemes should be divided into subseries, with each group of file units sharing a given filing scheme making up a subseries. Also see **subseries**. **Note:** If a collection is to be organized into series, there must be two or more of them. There is no such thing as a collection that is "organized" into one series. A collection may be made up of file units or individual documents that are not organized into series. If a collection is organized into series, however, then all file units or documents must fit into one of those series – even if a separate series must be established for a single item.

Sheets: Individual leaves of paper, for example a 5-page letter. An individual sheet may have both a recto (front) and verso (back).

Special collections: (1) Non-official collections of manuscripts, personal papers, non-federal corporate records, magnetic media, audio-visual materials, and other documents. (2) Non-textual records, such as magnetic or audio-visual materials.

Sub-series: A group of documents subordinate to a series, and maintained together because of their shared circumstances of creation, receipt, or use. It may be necessary to break a series up into two or more subseries because records created under the same circumstances serve different functions, cover different topics, or are arranged according to different filing schemes. See **series.**

Survey: A comprehensive and systematic review of a collection conducted either to obtain a brief overview of a collection or a park's holdings or to gain knowledge on a particular point, such as the amount of cellulose nitrate-based negatives and film in a repository, or the physical condition of a group of collections, or the level of conservation treatment needed by specific items. Surveys may be conducted on any level (item to repository) and on any topic (for example, the amount of stereographs in a repository or the level of documentation on women in the NPS).

Textual records: A broad category of written record including holographic, typed, word-processed, and mechanically printed documents, manuscripts, records, and archives.

Verso: The reverse side (back) of a single sheet of text or images.

Visual records: A broad category of records containing images including graphic, photographic, and photomechanical prints (in all formats from negative, interpositive transparency, and slide, to print); drawings; paintings; and watercolors. Visual materials may be found in all categories of records from official museum records to resource management records.

AA. Identifying Further Sources of Archival Training and Guidance

Seek further training through NPS archival training, your local universities, the National Archives and Records Administration’s Modern Archives Institute, the Society of American Archivists’ training courses, and through your regional archival organizations.

The Society of American Archivists offers regular training courses. Contact them at tel: 312-922-0140; e-mail at <info@SAA.mhs.compuserve.com> or @cserve<internet:archives@miamiu.acs.muohio.edu> or via fax at 312-347-1452. Their address follows in the bibliography section.

For further guidance read Federal regulations governing document creation, use, and management including the following: the *Records Disposal Act of July 7, 1943, as amended (44 USC 366-376, 378-380); the Federal Property and Administrative Services Act of 1949, as amended (44 USC 391-401); Federal Property Management Regulations, Subchapter B, Archives and Records, Part 101-11, Records Management;* Department of the Interior *Departmental Manual*, Parts 380-384, Records Creation and Disposition and Part 411, Official Records; and the Federal Property Management Regulations, Subchapter B, Archives and Records.

BB. Readings: A Bibliography

Source Key:

Items marked with an ***** are available from: the Society of American Archivists, 600 South Federal, Suite 504, Chicago, Illinois 60605, tel: 312-922-0140.

Items marked with a ^ are available from: the American Library Association, 50 East Huron Street, Chicago, Illinois 60611, tel: 312-944-6780.

Items marked with an **@** are available from: the Library of Congress Customer Services Section, Cataloging Distribution Service, Washington, DC 20541-5017, tel: 202-707-9797.

Items marked with a **#** are available from: the National Archives and Records Administration, 7th & Pennsylvania Ave., NW, Washington, DC 20408, tel: 202-707-5240.

Items marked with a **>** are available from: the Commission on Preservation and Access, 1400 16th Street, NW, Suite 740, Washington, DC 20036-2217, tel: 202-939-3400.

Items marked with a **%** are available from: the Smithsonian Institution Press, 955 L'Enfant Plaza, Room 7100, Washington, DC 20560, tel: 202-287-3738.

Items marked with a **+** are available (free) from: UNESCO, Place de Fontenoy, 75700, Paris, France.

Items marked with a $ are available from: the American National Standards Institute, 11 West 42nd Street, N.Y., N.Y. 10018; tel: 212-642-4900 or via the Association for Information and Image Management at 1100 Wayne Ave., Suite 1100, Silver Spring, MD 20910; tel: 301-587-8202.

Unmarked items may be borrowed via interlibrary loan from your local public or university library. Articles only may be requested via interlibrary loan from the DOI Library.

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CC. List Of Figures

US Department of the Interior
National Park Service

Archival and Manuscript Collections Survey Form

COLLECTION TITLE (Creator/Format/Alternate Names/Accession/Catalog #s):

DATES (Inclusive & Bulk):

PROVENANCE (Creator/Function/Ownership & Usage history/Related collections/Language):

PHYSICAL DESCRIPTION (Linear feet/Item count/Document Processes/Formats/Genres):

SUBJECTS (Personal, Group, Taxonomic, and Place Names/Eras/Activities/Events/Objects/Structures/Genres):

ARRANGEMENT (Series/Principle of Arrangement/Finding Aid):

RESTRICTIONS (Check and Describe) Donor_____ Privacy/Publicity _____ Copyright_____ Libel_____ No Release Forms_____ Archeological, Cave, or Well Site_____ Endangered Species Site _____ Sensitive_____ Classified_____ Fragile _____ Health Hazard_____ Other_____

LOCATIONS Building(s), Room(s), Wall(s), Shelf Unit(s), Position(s), Box(es):

EVALUATION (Check and Describe Status) Official Records __ Non-Official Records __ Fits Park SOCS __ Outside SOCS __ (Rate Collection Value: 1=Low; 3= Average; 6= High) Informational __ Artifactual __ Associational __ Evidential __ Administrative __ Monetary _

CONDITION (Check and Describe) Excellent_____ Good_____ Fair_____ Poor_____ Mold_____
Rodents_____ Insects_____ Nitrate_____ Asbestos_____
Water Damage_____ Other___________________

OTHER (Please Describe)

Figure D.1 Archival and Manuscript Collections Survey Form (Sample) [Optional]

UNARRANGED RECORDS

a. Financial Ledger, Vol. C
b. Correspondence File, May-July 1910
c. Financial Ledger, Vol. A
d. Financial Ledger, Vol. B
e. Diary, 1909
f. Correspondence File, February-April 1910
g. Diary 1912
h. Financial Ledger, Vol. E
i. Box of Cancelled Checks, 1911
j. Diary, 1907
k. Diary, 1908
l. Correspondence File, August-October 1910
m. Correspondence File, November 1909-January 1910
n. Financial Ledger, Vol. D
o. Diary, 1906
p. Correspondence File, November 1910-January 1911
q. Box of Cancelled Checks, 1910
r. Correspondence File, August-October 1909
s. Diary, 1911

Figure D.2a. Example of an Archival Collection That is Out of Order

HIERARCHY, AFTER RESTABLISHING ORIGINAL ORDER

SERIES I: CORRESPONDENCE, August 1909 to January 1911, with gaps
(arranged chronologically)

SERIES II: FINANCIAL LEDGERS
(arranged alphabetically by volume)

SERIES III: DIARIES, 1906-1912, with gaps
(arranged chronologically)

SERIES IV: CANCELLED CHECKS, 1910-1911
(arranged chronologically)

Figure D.2b. Unarranged Materials from D.2a Restored to Original Order

RECORDS OF THE XYZ CORPORATION

SERIES I: RECORDS OF THE PRESIDENT'S OFFICE

SUBSERIES I: Correspondence (arranged alphabetically by correspondent, and thereunder chronologically)

SUBSERIES 2: Policy Directives (arranged by year, and thereunder numerically)

SUBSERIES 3: Speech Files (arranged chronologically)

SERIES II: RECORDS OF THE MANUFACTURING DIVISION

SUBSERIES 1: Correspondence

SUB-SUBSERIES A: Incoming Correspondence (arranged alphabetically by correspondent)
SUB-SUBSERIES B: Outgoing Correspondence (arranged chronologically)

SUBSERIES 2: Production Records (arranged by department, and thereunder by shift)

SUBSERIES 3: Supply Records (arranged alphabetically by vendor)

SERIES III: ADMINISTRATION DIVISION

SUBSERIES 1: Personnel Records

SUB-SUBSERIES A: Employee Files (arranged alphabetically by name of employee)
SUB-SUBSERIES B: Correspondence (arranged alphabetically by name of correspondent)

SUBSERIES 2: Sales Records

SUB-SUBSERIES A: Sales Agents' Reports (arranged chronologically, and thereunder alphabetically by name of sales agent)
SUB-SUBSERIES B: Advertising Files (arranged by media type, and thereunder by market)

SUBSERIES 3: Research and Development Records (arranged by project number)

SUBSERIES 4: Accounting Records

SUB-SUBSERIES A: Ledgers (arranged by volume number)
SUB-SUBSERIES B: Financial Reports (arranged by fiscal year)

Figure D.3a Sample Hierarchy for a Collection of Organizational Archives

FRED SMITH PAPERS

SERIES I: CORRESPONDENCE (arranged alphabetically by name of correspondent, and thereunder chronologically)

SERIES II: DIARIES (arranged by year)

SERIES III: RESEARCH FILES (arranged alphabetically by subject)

SERIES IV: FINANCIAL RECORDS

SUBSERIES I: Bank Statements (arranged alphabetically by bank, and thereunder chronologically)

SUBSERIES 2: Canceled Checks (arranged alphabetically by bank, and thereunder numerically)

SERIES V: STILL PICTURES

SUBSERIES 1: Albums (unarranged)

SUBSERIES 2: Prints (arranged alphabetically by subject)

SUBSERIES 3: Negatives (arranged numerically)

SERIES VI: SOUND RECORDINGS (arranged by type, and thereunder chronologically)

Figure D.3 b Sample Hierarchy for a Collection of Personal Papers

SAMPLE HIERARCHIES/FILING SCHEMES FOR ASSOCIATED RECORDS

Most parks make or receive records relating to cultural history or natural history projects that occur in the park and recover objects or specimens that are accessioned into the park's museum collection. These are called "associated records."

These records are park records, regardlss of whether they were actually produced by park staff, other NPS staff, contractors, or outside researchers working under park research permits. **Records for a particular project do not represent a stand-alone collection.** Project files should not be cataloged individually as separate collectoins, but should be managed as file units within larger collections.

Note: Even though project files should not be cataloged as separate collections, they may still be described individually at the File Unit Level in the Archives Module.

Note: Even though project files should be managed as part of larger collections, individual files may still be co-located at partner repositories with their associated objects. For files that are co-located, complete an outgoing loan agrement and indicate in the location field of the File Unit Level screen that the file is housed off site.

Associated records for a given discipline may be handled either as a collection or as a series within a larger collection encompassing all of the park's resource management records. Within the collection or series, however, parks will have to identify appropriate hierarchies and filing schemes based on particular circumstances. **Figures D.4b-D.4g** provide sample hierarchies and filing schemes that may be adopted.

There are only a few absolutes among the proposed hierarchical structures:

1. Associated records for any given project should be handled as project files—not as collections or series. Those files should be arranged within a single series or a single collection according to a uniform filing scheme. The recommended format would be to use accession numbers as file numbers, but the park may develop its own file designations.

2. If a park accessions associated records generated by its own staff or contractors, by the regional center, or by permitted researchers, it may create separate series reflecting this (as is shown in Figures D.4c and D.4d).

3. If a park accessions associated records produced exclusively in the park, as well as records produced through multi-park permits, it may create separate series reflecting this (as is shown in Figure D.4e).

Beyond these basics, parks will have to improvise and develop hierarchies based on what kinds of records are actually present. For example:

1. Suppose a park implements the hierarchy in Figure D.4c, to the extent of having one series for park-generated records and one series for center-generated records. There is no need for the park series to maintain the same subseries structure as the center series. The park series may be broken out into subseries and sub-subseries, but the series of center records may have nothing more than a simple file unit organization (as is shown in Figure D.4a).

2. Associated records accessioned by a park may fall into a series structure completely different from the "Reports Notes and Correspondence; Still Pictures; Maps" organization used in some of the samples. There may be additional series or subseries, fewer series or subseries, or completely different series or subseries. There is no universal template.

Figure D.4a Sample Hierarchies/Filing Schemes for Associated Records

SIMPLE FILE UNIT ARRANGEMENT

It is possible that a collection of associated records would be made up of file units that are not organized into series. This is the most basic hierarchy there is:

Local Coll. No. 5001: Records Associated with Archeological Projects at XYZ National Park

File Units no. 001 to ?: Individual file units, arranged numerically by accession number (or by any other arrangement scheme the park chooses).

Figure D.4b Simple File Unit Arrangement

BASIC SERIES ORGANIZATION

The series organization outlined below is just a suggestion. An actual series organization could take different forms, depending on the actual records and how they are maintained. Within this proposed structure, all of the park's projects files for a particular discipline are handled as a collection and are organized into series by physical type. Thereunder, the documentation on each project is kept intact, and should be described individually in separate File Unit Level screens in the Archives Module. In other words, the records are managed by project, but within a hierarchical structure.

Local Coll. No. 5002: Records Associated with Archeological Projects at ABC National Park

Series I: Reports, Notes, and Correspondence

File Units 001 to ?: Individual file units, arranged numerically by accession number.

Series II: Still Pictures

Subseries A: Prints:
File Units 001 to ?: Arranged by accession number.
Subseries B: Negatives
File Units 001 to ?: Arranged by accession number.
Subseries C: Slides
File Units 001 to ?: Arranged by accession number.

Series III: Maps

File Units 001 to ?: Arranged by accession number.

Figure D.4c Basic Series Organization

<u>SEPARATE SERIES FOR PARK-GENERATED ACCESSIONS AND CENTER-GENERATED COLLECTIONS</u>

In some cases, associated records may be managed partly at a center and partly at a park—but all of the materials, of course, remain park property. Since parks manage the assignment of accession numbers, it should be possible to coordinate between the parks and the centers using the park accession numbers, and thus maintain a single arrangement scheme for everything (regardless of location). That is, Accessions 00123 through 00129 could be at the park, Accessions 00130-00140 at the center, Accession 00141 at the park, and so forth. This could be reflected in that same order within a single run of file unit numbers in the Archives Module.

If it proves too difficult for parks and centers to keep track of accessions in this way, then collections could be organized into series based on whether park staff or park contractors carried out a project, or whether center staff or center contractors carried out a project. Assuming that both park-generated and center-generated records are organized in the same fashion as the materials in **Figure 4.c**, a collection divided into park- and center-generated archives would look like this:

Local Coll. No. 5003: Records Associated with Archeological Projects at XYZ National Park

Series I: Regional Center Projects

- Subseries A: Reports, Notes, and Correspondence
  - File Units 001 to ?: Individual file units, arranged by accession number
- Subseries B: Still Pictures
  - Sub-subseries 1: Prints (arranged. by accession number)
  - Sub-subseries 2: Negatives (arranged by accession number)
  - Sub-subseries 3: Slides (arranged by accession number)
- Subseries C: Maps (arranged by accession number)

Series II: Park Projects

- Subseries A: Reports, Notes, and Correspondence
  - File Units 001 to ?: Individual file units, arranged by accession number
- Subseries B: Still Pictures
  - Sub-subseries 1: Prints (arranged by accession number)
  - Sub-subseries 2: Negatives (arranged by accession number)
  - Sub-subseries 3: Slides (arranged by accession number)
- Subseries C: Maps (arranged by accession number)

REMEMBER: Within this hierarchical structure, project files may still be described individually—but at the File Unit Level of the Archives Module, not as separate catalog records.

NOTE: The proposed series/subseries/sub-subseries structure is just an example of how a collection broken up into Regional Center projects and Park projects would work; it is not meant to be an immutable template. Also, because the breakdown would be based on park- or center-generated records (as opposed to managed), the hierarchy would not have to change if records were sent from the park to the center, or from the center to the park.

Figure D.4d Separate Series for Park-Generated Accessions and Center-Generated Collections

SEPARATE SERIES FOR PARK-GENERATED, CENTER-GENERATED, AND PERMITTED PROJECTS

It should be possible to use the park-assigned accession numbers to keep all associated records for a given discipline in serial order in the Archives Module. However, the fact that associated records for permitted research not always arrive in a timely fashion may complicate the coordination process. Just as parks might divide collections into series according to whether the work was done by center staff/contractors or park staff/contractors, they might also maintain a separate series for associated records generated through the permit process. It may be necessary to use placeholders to reserve space and maintain proper sequencing in the Archives Module if parks assign accession numbers before receiving records. The sample hierarchy below would be for a park that has assigned accession numbers to park, center, and permitted projects alike, and finds it easier to file/track them separately:

Local Coll. No. 5004: Records Associated with Archeological Projects at ABC National Park

Series I: Regional Center Projects

- Subseries A: Reports, Notes, and Correspondence
  - File Units 001 to ?: Individual file units, arranged by accession number
- Subseries B: Still Pictures
  - Sub-subseries 1: Prints (arranged by accession number)
  - Sub-subseries 2: Negatives (arranged by accession number)
  - Sub-subseries 3: Slides (arranged by accession number)
- Subseries C: Maps (arranged by accession number)

Series II: Park Projects

- Subseries A: Reports, Notes, and Correspondence
  - File Units 001 to ?: Individual file units, arranged by accession number
- Subseries B: Still Pictures
  - Sub-subseries 1: Prints (arranged by accession number)
  - Sub-subseries 2: Negatives (arranged by accession number)
  - Sub-subseries 3: Slides (arranged by accession number)
- Subseries C: Maps (arranged by accession number)

Series III: Permitted Research Projects

- Subseries A: Reports, Notes, and Correspondence
  - File Units 001 to ?: Individual file units, arranged by accession number
- Subseries B: Still Pictures
  - Sub-subseries 1: Prints (arranged by accession number)
  - Sub-subseries 2: Negatives (arranged by accession number)
  - Sub-subseries 3: Slides (arranged by accession number)
- Subseries C: Maps (arranged by accession number)

Figure D.4e Separate Series for Park-Generated, Center-Generated, and Permitted Projects

SEPARATE SERIES FOR RECORDS GENERATED VIA MULTI-PARK PERMITS

Many natural history projects in NPS now involve multiple parks. In such cases, each park involved in a multi-park permitted project would get a copy of the final report, but the lead park would receive a full set of the project's records. Thus, a single park may have biological project files relating just to that park itself. A lead park could have records generated by one or more multi-park projects, involving numerous parks. To avoid confusion over park-only projects and multi-park projects, natural history collections could follow a hierarchy such as this:

Local Coll. No. 5005: Records Associated with Biological Projects at XYZ National Park

Series I: Park Projects

- Subseries A: Reports, Notes, and Correspondence
  - File Units 001 to ?: Individual file units, arranged by accession number
- Subseries B: Still Pictures
  - Sub-subseries 1: Prints (arranged by accession number)
  - Sub-subseries 2: Negatives (arranged by accession number)
  - Sub-subseries 3: Slides (arranged by accession number)
- Subseries C: Maps (arranged by accession number)

Series II: Multi-Park Projects

- Subseries A: Reports, Notes, and Correspondence
  - File Units 001 to ?: Individual file units, arranged by accession number
- Subseries B: Still Pictures
  - Sub-subseries 1: Prints (arranged by accession number)
  - Sub-subseries 2: Negatives (arranged by accession number)
  - Sub-subseries 3: Slides (arranged by accession number)
- Subseries C: Maps (arranged by accession number)

NOTE: These series structures are just suggestions. Actual organizational schemes would depend on what records are actually present and how they are actually arranged. Still, the basic division into series by Park Projects and Multi-Park Projects would be retained.

Figure D.4f Separate Series for Records Generated Via Multi-Park Permits

ASSOCIATED RECORDS FOR A GIVEN DISCIPLINE AS A SERIES WITHIN THE PARK'S COLLECTION OF RESOURCE MANAGEMENT RECORDS

Records associated with archeology projects at a particular park can be handled as a series within the Resource Management collection. Using the complex organizational scheme outlined in **Figure D.4d,** here is how a series of archeological records would fit into the hierarchy for a park's Resource Management Records:

Local Coll. No. 5006: Resource Management Records at ABC National Park

Series I: Land Records

- Subseries A: General Records
- Subseries B: General Grazing Files
- Subseries C: Family Grazing Allotment Records

Series II: Records Relating to Fires and Fire Management

- Subseries A: General Records
- Subseries B: Records Relating to Fires
- Subseries C: Fire Effects Studies

Series III: Construction and Maintenance Records

- Subseries A: Roads and Trails
- Subseries B: Buildings
- Subseries C: Grounds
- Subseries D: Water and Sewer
- Subseries E: Signs, Markers, and Memorials

Series IV: Records Associated with Archeological Projects

- Subseries A: Regional Center Projects
  - Sub-subseries 1: Reports, Notes, and Correspondence
    - File Units 001 to ?: Individual file units, arranged by accession number
  - Sub-subseries 2: Still Pictures
    - Sub-sub-subseries a: Prints (arranged by accession number)
    - Sub-sub-subseries b: Negatives (arranged by accession number)
    - Sub-sub-subseries c: Slides (arranged by accession number)
  - Sub-subseries 3: Maps (arranged by accession number)

- Subseries B: Park Projects
  - Sub-subseries 1: Reports, Notes, and Correspondence
    - File Units 001 to ?: Individual file units, arranged by accession number
  - Sub-subseries 2: Still Pictures
    - Sub-sub-subseries a: Prints (arranged by accession number)
    - Sub-sub-subseries b: Negatives (arranged by accession number)
    - Sub-sub-subseries c: Slides (arranged by accession number)
  - Sub-subseries 3: Maps (arranged by accession number)

Figure D.4g Associated Records for a Given Discipline as a Series Within the Park's Collection of Resource Management Records

Subseries C: Permitted Research Projects
  Sub-subseries 1: Reports, Notes, and Correspondence
    File Units 001 to ?: Individual file units, arranged by accession number
  Sub-subseries 2: Still Pictures
    Sub-sub-subseries a: Prints (arranged by accession number)
    Sub-sub-subseries b: Negatives (arranged by accession number)
    Sub-sub-subseries c: Slides (arranged by accession number)
  Sub-subseries 3: Maps (arranged by accession number)

Figure D.4g continued

US Department of the Interior
National Park Service

Archives and Manuscript Collections Separation Sheet

Document Type (map, newspaper clipping, photograph, etc.) Catalog/Accession Numbers

Document Description (Include collection name; dates; group organizational, personal, and place names; and topics [who, what, where, why, when, and how], etc.)

Item Originally Filed (Collection identifier: specific location, box #, folder #, drawer #, sequence in unit, etc.)

Item Now Filed (Specific location: room #, shelf #, box #, folder #, drawer #, sequence in unit, etc.)

Separated By: Separation Date:

NPS Form 10-645
July 1995

Figure D.5 Separation Sheet (Form 10-645) [Optional]

National Park Service
U.S. Department of the Interior

FINDING AID

RECORDS ASSOCIATED WITH ARCHEOLOGICAL PROJECTS AT ANDERSONVILLE NHS

1970-1997

SAMPLE FINDING AID
DO NOT USE FOR REQUESTING RECORDS

National Park Service

Catalog Number: ANDE 9804

Figure D.6 Sample Finding Aid

TABLE OF CONTENTS

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HISTORY

Andersonville National Historic Site, located 10 miles northeast of Americus, in southwest Georgia, was established as a unit of the National Park Service on October 16, 1970, under Public Law 91-465. Its mission, as specified in the enabling legislation, is to "provide an understanding of the Civil War prisoner of war story, to interpret the role of prisoner of war camps in history, and to commemorate the sacrifice of Americans who lost their lives in such camps."

Included within the boundaries of the 515-acre park is the former site of Andersonville Prison, which was the most notorious prisoner of war camp during the American Civil War. Known officially during the Civil War as Camp Sumter, it was one of the Confederate Government's largest military prisons. Operating for 14 months in 1864 and 1865, Andersonville held more than 45,000 Union prisoners-of-war -- nearly 13,000 of whom perished because of disease, starvation, overcrowding, poor sanitation, or exposure. The harsh conditions at Andersonville -- while scarcely more severe than other prisoner of war camps operated by the Union and Confederacy alike -- excited such outrage after the war that its superintendent, Captain Henry Wirz, was court-martialed by the United States Army. Wirz was found guilty of war crimes, and executed in November 1865.

In addition to the prison camp, the park also includes the prison camp's burial ground (which was designated as a National Cemetery in July 1865, and which continues to inter the remains of deceased veterans), as well as the site of the camp hospital, the adjacent Confederate fort, and a National Park Service visitors center. Since 1998, the National Park Service has also maintained the National Prisoner of War Museum at Andersonville NHS; this museum tells the story of American prisoners of war throughout the Nation's history, starting with the Revolutionary War.

Archeological projects at Andersonville National Historic Site serve several academic, interpretive, and administrative purposes. They identify the existence of archeological resources, to help ensure their preservation and to prevent construction or other activity from damaging them. They provide data to help the park comply with Section 106 of the National Historical Preservation Act of 1966, which requires Federal agencies to consider the impact of their activities on historic places. They provide information on historic configurations of the prison camp, the fort, and the hospital, that can be used in interpretation and reconstructions. And they can yield artifacts that are accessioned into the park's museum collection and may be used for exhibits and research.

These archeological projects, therefore, add to the body of scholarship on Andersonville, for use by other archeologists, historians, teachers, students, and others. In addition, they contribute to a clearer understanding of the prison camp's history, and enhance the experience of those who visit the park. And they facilitate proper management of archeological resources, in order to minimize any impairment and to promote their preservation for future generations.

Notable projects include a series of studies conducted by the NPS Southeast Archeological Center between 1987 and 1990 to determine the nature, construction techniques, and location of the prison's stockade walls and gates, and to document prison conditions. The park used the findings of these studies to develop new or improved exhibits for the benefit of visitors, and to reconstruct a portion of the stockade walls.

SCOPE AND CONTENT

RECORDS ASSOCIATED WITH ARCHEOLOGICAL PROJECTS AT
ANDERSONVILLE NHS
1970-1997

CATALOG NUMBER	ANDE 9804
VOLUME	12 LF
DESCRIPTION	Field notes, reports, correspondence, photographs, and maps relating to archeological projects carried out at Andersonville National Historic Site. Included are records produced by non-NPS archeologists conducting permitted research and submitted to the park under the terms of the permit, as well as records produced by NPS archeologists working on official projects. Most records are associated with accessioned objects. Records and objects associated with a single project will have the same park accession number.
ORGANIZATION	Organized into 3 series: Series I, Reports, Notes, and Correspondence; Series II, Still Pictures; Series III, Maps.
PROVENANCE	
RESTRICTIONS	NO
ASSOCIATED MATERIALS	

HIERARCHY

I. SERIES I: REPORTS, NOTES, AND CORRESPONDENCE

II. SERIES II: STILL PICTURES

III. SERIES III: MAPS

SERIES DESCRIPTIONS

I. *SERIES I: REPORTS, NOTES, AND CORRESPONDENCE, 1970-1997 (bulk dates: 1970-1997)*

Arranged numerically, with file numbers corresponding to park accession numbers, and thereunder arranged by subject.

Correspondence, final reports, draft reports, progress reports, trip reports, field notes, inventories, worksheets, photo logs, specimen logs, budgets, contracts, artifact analysis forms, stratigraphic profiles, and other papers relating to archeological projects at Andersonville NHS. Included are project files on surveys and tests prior to proposed construction activities, 106 compliance surveys, archeological monitoring, test excavations, and investigations of various locations throughout the park.

II. *SERIES II: STILL PICTURES, 1970-1997 (bulk dates: 1970-1997)*

Arranged by type (negatives, prints, slides), and thereunder by park accession number.

Black & white and color negatives, prints, and slides, relating to excavations, surveys, and other archeological projects at Andersonville NHS.

III. *SERIES III: MAPS, 1970-1997 (bulk dates: 1970-1997)*

Arranged by park accession number.

Maps, topographic maps, base maps, sketch maps, field maps, site plans, feature plans, grids, drawings, and tables showing artifact distribution by unit and level, relating to archeological surveys, excavations, and investigations at Andersonville NHS.

FILE UNIT DESCRIPTIONS

SERIES I: REPORTS, NOTES, AND CORRESPONDENCE

0001. ANDE 00062: SURVEY AND TESTING, 1977-1990

Cultural Resources inventory, conducted between January and June 1978, to locate and identify archeological features associated with Andersonville Prison and prehistoric sites on ANDE property. Survey carried out preparatory to proposed improvements to maintenance facilities and visitor support facilities outlined in General Management Plan, and other proposed development outlined in the Development Concept plan. Areas tested: Aboriginal site, Inner Stockade, North Gate, Middle Stockade, South Gate, Shed Hospital, Bake House, and development areas. Principal investigator: Ellen Ehrenhard, SEAC.

0002. ANDE 00166: SOIL RESISTIVITY STUDY OF THE HOSPITAL SITE, 1985-1992

Soil resistivity survey conducted at the Hospital Site by Rochelle Marrinan (Florida State University) and Kenneth S. Wild, Jr. (SEAC), July 1985.

0003. ANDE 00276: INVESTIGATIONS OF NORTHEAST CORNER FOR RECONSTRUCTION OF STOCKADE AND DEADLINE (WALKER 1987), 1986-1992

Archeological investigations of the Northeast Corner of the Stockade and Deadline, to determine the impact of reconstruction on the Stockade, conducted by John W. Walker of SEAC.

0004. ANDE 00322: INVESTIGATIONS OF NORTH GATE, 1989-1991

Archeological investigations of North Gate area, conducted in May-June 1989 by Guy Prentice, SEAC.

0005. ANDE 00355: INVESTIGATION OF SOUTHEAST CORNER OF THE INNER STOCKADE, 1990

Archeological investigation of Southeast Corner of the Inner Stockade, conducted by Guy Prentice (SEAC). The study located the Southeast Corner and an escape tunnel, and investigated units CC and DD (both of which were excavated previously by Ellen Ehrenhard).

0006. ANDE 00378: SURVEY FOR VISITOR CENTER AND ROAD, 1990-1991

Archeological survey for a visitor center and road, conducted February 1990 and September 1990 by Elizabeth A. Horvath (SEAC). Included shovel testing in area of proposed visitor center and parking lot, shovel testing in Pecan Lane area, and test trenches for entrance road.

0007. ANDE 00379: COOKHOUSE LOCATION STUDY, 1989-1994

Investigation to determine location of cookhouse, prior to construction of Visitors Center. Initial walkover conducted by Richard Faust of SEAC; full investigation conducted by Elizabeth Horvath of SEAC. Study failed to reveal the location of the cookhouse.

0008. ANDE 00409: INVESTIGATION FOR A NEW DRAIN LINE, 1991-1992

Archeological investigation for new drain line in area of North Gate, to replace 1930s era drain line installed by Civilian Conservation Corps. Project conducted by John E. Cornelison (SEAC).

0009. ANDE 00429: SECTION 106 COMPLIANCE SURVEY FOR MAINTENANCE BUILDING, 1976

Survey conducted as part of Section 106 compliance for maintenance building. The clearance effort concentrated on park property beyond boundaries of the fort, and revealed the location of a prehistoric site. Principal investigator: R. Faust, SEAC.

0010. ANDE 00430: TEST EXCAVATIONS AT STOCKADE, 1973-1977

Archeological testing in the stockade area by Lewis H. Larson, Jr., and Morgan Ray Crook, Jr., of West Georgia College, under NPS contract no. CX500031635. Objectives of the investigation were to locate and record prison features and to provide preliminary details of construction techniques.

0011. ANDE 00431: HISTORIC STRUCTURES REPORT, 1970

Historic Structures Report by Andersonville Superintendent Edwin S. Bearss.

0012. ANDE 00432: GUNBOAT STREET AND CEMETERY SECTION "P" CLEARANCE PROJECT, 1981

Archeological Clearance Project at Gunboat Street and Cemetery Section "P," conducted by Ellen Ehrenhard (SEAC).

0013. ANDE 00433: SURVEY OF TRACT 01-142 (1983), 1981-1985
Archeological survey of surplus parcel (Tract 01-142), conducted in August 1983 by Teresa Paglione and Richard Johnson of SEAC. The survey revealed the Civil War era Old Dixie Highway, the entrance road to the National Cemetery (ca. 1870-1932), and the Civilian Conservation Corps camp (1934-36).

0014. ANDE 00434: MONITORING OF PROVIDENCE SPRING PARKING AREA, 1986
Monitoring of Providence Spring Parking Area, overseen by John W. Walker (SEAC).

0015. ANDE 00435: MONITORING OF SEPTIC TANK AND DRAIN FIELD AT P.O.W. MUSEUM, 1986
Monitoring of septic tank and drain field area at Prisoner of War Museum. Project archeologist: Allen Cooper, SEAC.

0016. ANDE 00436: MONITORING OF HANDICAP ACCESS RAMPS AT SEXTANT'S HOUSE, 1988
Archeological monitoring of Handicap Access Ramps at the Sextant's House (also referred to as the Cemetery Lodge), conducted in November 1988 by Andrea C. Repp of SEAC.

0017. ANDE 00481: INVESTIGATIONS FOR NEW ENTRANCE ROAD AND VISITORS CENTER, 1993, 1993-1994
Archeological investigations for new entrance road and visitors center, involving shovel tests carried out in December 1993. Principal investigator: John Cornelison (SEAC).

0018. ANDE 00542: CEMETERY EXPANSION (SECTION "J"), 1996-1997
Archeological testing in area of proposed cemetery expansion (Cemetery, Section "J"). Principal investigator: John Cornelison, SEAC.

SERIES II: STILL PICTURES

0001. ANDE 00062
Negatives and prints.
0002. ANDE 00276
Negatives and prints.
0003. ANDE 00322
Negatives, prints, and slides.
0004. ANDE 00355
Negatives, prints, and slides.

0005. ANDE 00378
Negatives and prints.
0006. ANDE 00379
Negatives and prints.
0007. ANDE 00409
Negatives and slides.
0008. ANDE 00430
Negatives, prints, and slides.
0009. ANDE 00432
Negatives.
0010. ANDE 00433
Negatives and prints.
0011. ANDE 00481
Negatives and prints.
0012. ANDE 00542
Negatives.

SERIES III: MAPS

0001. ANDE 00062

0002. ANDE 00166

0003. ANDE 00276

0004. ANDE 00322

0005. ANDE 00355

0006. ANDE 00378

0007. ANDE 00409

0008. ANDE 00430

0009. ANDE 00432

0010. ANDE 00433

0011. ANDE 00435

CONTAINER LIST

Box 1

SERIES I: REPORTS, NOTES, AND CORRESPONDENCE

Folder 1: ANDE 62 -- Ceramic Inventory by Unit
Folder 2: ANDE 62 -- Lithics Inventory by Unit
Folder 3: ANDE 62 -- Artifact Inventory by Unit
Folder 4: ANDE 62 -- Map Inventory by Provenience
Folder 5: ANDE 166 -- Correspondence
Folder 6: ANDE 166 -- Research Design-Planning, 1984
Folder 7: ANDE 166 -- Research Design-Planning, 1985
Folder 8: ANDE 166 -- Final Report
Folder 9: ANDE 166 -- Field Notes
Folder 10: ANDE 166 -- Resistivity Survey Worksheets

Box 2
Folder 11: ANDE 276 -- General Correspondence
Folder 12: ANDE 276 -- Trip Report (Faust)
Folder 13: ANDE 276 -- Research Design (Compliance)
Folder 14: ANDE 276 -- Research Design (Planning)
Folder 15: ANDE 276 -- Draft Report (Figures, Tables, Notes)
Folder 16: ANDE 276 -- Draft Report (Partials of Final)
Folder 17: ANDE 276 -- Draft Report (Complete Final)
Folder 18: ANDE 276 -- Final Report
Folder 19: ANDE 276 -- Identification of Wood Samples
Folder 20: ANDE 276 -- Management Plan/Environmental Assessment
Folder 21: ANDE 276 -- Newspaper Article
Folder 22: ANDE 276 -- RFP and Related Correspondence
Folder 23: ANDE 276 -- Budget Expenses
Folder 24: ANDE 276 -- Field Specimen Log
Folder 25: ANDE 276 -- Photographic Log (Camera 17894)
Folder 26: ANDE 276 -- Photographic Log (Camera 17897)

Box 3
Folder 27: ANDE 276 -- Journal Recording Notes (Prentice)
Folder 28: ANDE 276 -- Loose Recording Notes (Walker)
Folder 29: ANDE 276 -- Loose Recording Notes (Crew)
Folder 30: ANDE 276 -- Transit Recording Notes
Folder 31: ANDE 276 -- Excavation Unit Forms
Folder 32: ANDE 276 -- Feature Forms
Folder 33: ANDE 276 -- Post Hole Forms

Folder 34: ANDE 276 -- Radiocarbon Assay Reports
Folder 35: ANDE 276 -- Miscellaneous Work Notes
Folder 36: ANDE 276 -- Catalog Worksheets/Analysis Forms
Folder 37: ANDE 322 -- General Correspondence
Folder 38: ANDE 322 -- Research Design

Box 4
Folder 39: ANDE 322 -- Final Report
Folder 40: ANDE 322 -- Field Specimen Provenience Form
Folder 41: ANDE 322 -- Photographic Log
Folder 42: ANDE 322 -- Field Journal Notes (Horvath)
Folder 43: ANDE 322 -- Transit Information Forms
Folder 44: ANDE 322 -- Excavation Unit Forms
Folder 45: ANDE 322 -- Artifact Inventory Forms
Folder 46: ANDE 322 -- Artifacts by Field Specimen Numbers
Folder 47: ANDE 322 -- Conservation Information/Artifact Processing Record
Folder 48: ANDE 355 -- Research Design
Folder 49: ANDE 355 -- Final Report
Folder 50: ANDE 355 -- Photo Logs
Folder 51: ANDE 355 -- Field Forms

Box 5
Folder 52: ANDE 378 -- General Artifact Inventory Phase I
Folder 53: ANDE 378 -- General Artifact Inventory Phase II
Folder 54: ANDE 378 -- Ceramic Analysis Forms
Folder 55: ANDE 378 -- CAT Worksheets/Analysis Forms
Folder 56: ANDE 379 -- Trip Reports
Folder 57: ANDE 379 -- Field Specimen Log
Folder 58: ANDE 379 -- Photo Log
Folder 59: ANDE 379 -- Field Notes (Faust)
Folder 60: ANDE 379 -- Field Notebook (Horvath)
Folder 61: ANDE 379 -- Site Plan
Folder 62: ANDE 379 -- Analysis Worksheets
Folder 63: ANDE 379 -- Catalog Worksheets

Box 6
Folder 64: ANDE 379 -- General Artifact Inventory Forms
Folder 65: ANDE 379 -- Proofing Sheets
Folder 66: ANDE 409 -- Correspondence
Folder 67: ANDE 409 -- Trip Report (Cornelison)
Folder 68: ANDE 409 -- Research Design (Cornelison)_
Folder 69: ANDE 409 -- Field Specimen Log
Folder 70: ANDE 409 -- Journal Recording Notes/Photo Log

Folder 71: ANDE 409 -- Feature Forms
Folder 72: ANDE 409 -- Artifact Analysis Forms
Folder 73: ANDE 429 -- Trip Report
Folder 74: ANDE 430 -- Correspondence
Folder 75: ANDE 430 -- 106 Compliance
Folder 76: ANDE 430 -- Research Design/Scope of Project

Box 7
Folder 77: ANDE 430 -- Project Proposal
Folder 78: ANDE 430 -- Criteria
Folder 79: ANDE 430 -- Progress Reports
Folder 80: ANDE 430 -- Research/Rough Draft for Final Report
Folder 81: ANDE 430 -- Final Report
Folder 82: ANDE 430 -- Contracts and Correspondence
Folder 83: ANDE 430 -- Bound Field Notes
Folder 84: ANDE 430 -- Loose Recording Notes/Field Journal
Folder 85: ANDE 430 -- Loose Feature Notes and Forms
Folder 86: ANDE 430 -- Transit Notes/Elevation Log
Folder 87: ANDE 430 -- Stratigraphic Profile (North Gate Feature)
Folder 88: ANDE 430 -- Illustrations

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Folder 89: ANDE 430 -- Artifact Inventory
Folder 90: ANDE 430 -- Artifact Cards
Folder 91: ANDE 431 -- Report
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Folder 96: ANDE 433 -- Correspondence
Folder 97: ANDE 433 -- Final Report
Folder 98: ANDE 433 -- Photographic Log
Folder 99: ANDE 433 -- Field Notes
Folder 100: ANDE 434 -- Correspondence

Box 9
Folder 101: ANDE 435 -- Antiquities Act Permit and Related Correspondence
Folder 102: ANDE 435 -- General Correspondence
Folder 103: ANDE 435 -- Trip Report
Folder 104: ANDE 435 -- Research Design-Planning
Folder 105: ANDE 435 -- Journal Recording Notes
Folder 106: ANDE 435 -- Shovel/Posthole Test Forms
Folder 107: ANDE 435 -- Analytical Notes/Posthole Tests

Folder 108: ANDE 436 -- General Correspondence
Folder 109: ANDE 436 -- Trip Report
Folder 110: ANDE 436 -- Research Design-Planning
Folder 111: ANDE 436 -- Publication Plates

Box 10
Folder 112: ANDE 436 -- Journal Recording Notes
Folder 113: ANDE 436 -- General Artifact Inventory Form
Folder 114: ANDE 481 -- General Correspondence
Folder 115: ANDE 481 -- Trip Report
Folders 116-17: ANDE 481 -- Research Design
Folder 118: ANDE 481 -- State Site Form
Folder 119: ANDE 481 -- Field Specimen Log
Folder 120: ANDE 481 -- Journal Recording Notes
Folder 121: ANDE 481 -- Artifact Analysis Form
Folder 122: ANDE 542 -- Section 106 Compliance
Folder 124: ANDE 542 -- Trip Report

Box 11
Folder 125: ANDE 542 -- Research Design
Folder 126: ANDE 542 -- Field Specimen Log
Folder 127: ANDE 542 -- Photo Log
Folder 128: ANDE 542 -- Journal Recording Notes
Folder 129: ANDE 542 -- Shovel Test Forms
Folder 130: ANDE 542 -- Plan Maps
Folder 131: ANDE 542 -- Analysis Forms

Box 12
SERIES II: STILL PICTURES

Negatives, ANDE 62 to ANDE 378

Box 13
Negatives, ANDE 379 to ANDE 542

Box 14
Prints, ANDE 62 to ANDE 322

Box 15
Prints, ANDE 355 to ANDE 430

Box 16
Prints, ANDE 433 to ANDE 481

Box 17
Slides, ANDE 322 to ANDE 409

Box 18
Slides, ANDE 430

Drawer A
SERIES III: MAPS

ANDE 62 to ANDE 322

Drawer B
ANDE 355 to ANDE 430

Drawer C
ANDE 432 to ANDE 435

THE FREEDOM OF INFORMATION ACT

5 U.S.C. § 552

As Amended in 2002

§ 552. Public information; agency rules, opinions, orders, records, and proceedings

(a) Each agency shall make available to the public information as follows:

(1) Each agency shall separately state and currently publish in the Federal Register for the guidance of the public--

(A) descriptions of its central and field organization and the established places at which, the employees (and in the case of a uniformed service, the members) from whom, and the methods whereby, the public may obtain information, make submittals or requests, or obtain decisions;

(B) statements of the general course and method by which its functions are channeled and determined, including the nature and requirements of all formal and informal procedures available;

(C) rules of procedure, descriptions of forms available or the places at which forms may be obtained, and instructions as to the scope and contents of all papers, reports, or examinations;

(D) substantive rules of general applicability adopted as authorized by law, and statements of general policy or interpretations of general applicability formulated and adopted by the agency; and

(E) each amendment, revision, or repeal of the foregoing

Except to the extent that a person has actual and timely notice of the terms thereof, a person may not in any manner be required to resort to, or be adversely affected by, a matter required to be published in the Federal Register and not so published. For the purpose of this paragraph, matter reasonably available to the class of persons affected thereby is deemed published in the Federal Register when incorporated by reference therein with the approval of the Director of the Federal Register.

(2) Each agency, in accordance with published rules, shall make available for public inspection and copying--

(A) final opinions, including concurring and dissenting opinions, as well as orders, made in the adjudication of cases;

(B) those statements of policy and interpretations which have been adopted by the agency and are not published in the Federal Register;

(C) administrative staff manuals and instructions to staff that affect a member of the public;

(D) copies of all records, regardless of form or format, which have been released to any person under paragraph (3) and which, because of the nature of their subject matter, the agency determines have become or are likely to become the subject of subsequent requests for substantially the same records; and

Figure D.7 Freedom of Information Act

unless the materials are promptly published and copies offered for sale. For records created on or after November 1, 1996, within one year after such date, each agency shall make such records available, including by computer telecommunications or, if computer telecommunications means have not been established by the agency, by other electronic means. To the extent required to prevent a clearly unwarranted invasion of personal privacy, an agency may delete identifying details when it makes available or publishes an opinion, statement of policy, interpretation, staff manual, instruction, or copies of records referred to in subparagraph (D). However, in each case the justification for the deletion shall be explained fully in writing, and the extent of such deletion shall be indicated on the portion of the record which is made available or published, unless including that indication would harm an interest protected by the exemption in subsection (b) under which the deletion is made. If technically feasible, the extent of the deletion shall be indicated at the place in the record where the deletion was made. Each agency shall also maintain and make available for public inspection and copying current indexes providing identifying information for the public as to any matter issued, adopted, or promulgated after July 4, 1967, and required by this paragraph to be made available or published. Each agency shall promptly publish, quarterly or more frequently, and distribute (by sale or otherwise) copies of each index or supplements thereto unless it determines by order published in the Federal Register that the publication would be unnecessary and impracticable, in which case the agency shall nonetheless provide copies of an index on request at a cost not to exceed the direct cost of duplication. Each agency shall make the index referred to in subparagraph (E) available by computer telecommunications by December 31, 1999. A final order, opinion, statement of policy, interpretation, or staff manual or instruction that affects a member of the public may be relied on, used, or cited as precedent by an agency against a party other than an agency only if--

(i) it has been indexed and either made available or published as provided by this paragraph; or

(ii) the party has actual and timely notice of the terms thereof.

(3)(A) Except with respect to the records made available under paragraphs (1) and (2) of this subsection, and except as provided in subparagraph (E), each agency, upon any request for records which (i) reasonably describes such records and (ii) is made in accordance with published rules stating the time, place, fees (if any), and procedures to be followed, shall make the records promptly available to any person.

(B) In making any record available to a person under this paragraph, an agency shall provide the record in any form or format requested by the person if the record is readily reproducible by the agency in that form or format. Each agency shall make reasonable efforts to maintain its records in forms or formats that are reproducible for purposes of this section.

(C) In responding under this paragraph to a request for records, an agency shall make reasonable efforts to search for the records in electronic form or format, except when such efforts would significantly interfere with the operation of the agency's automated information system.

(D) For purposes of this paragraph, the term "search" means to review, manually or by automated means, agency records for the purpose of locating those records which are responsive to a request.

(E) An agency, or part of an agency, that is an element of the intelligence community (as that term is defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 401a(4))) shall not make any record available under this paragraph to--

Figure D.7 continued

(i) any government entity, other than a State, territory, commonwealth, or district of the United States, or any subdivision thereof; or

(ii) a representative of a government entity described in clause (i).

(4)(A)(i) In order to carry out the provisions of this section, each agency shall promulgate regulations, pursuant to notice and receipt of public comment, specifying the schedule of fees applicable to the processing of requests under this section and establishing procedures and guidelines for determining when such fees should be waived or reduced. Such schedule shall conform to the guidelines which shall be promulgated, pursuant to notice and receipt of public comment, by the Director of the Office of Management and Budget and which shall provide for a uniform schedule of fees for all agencies.

(ii) Such agency regulations shall provide that--

(I) fees shall be limited to reasonable standard charges for document search, duplication, and review, when records are requested for commercial use;

(II) fees shall be limited to reasonable standard charges for document duplication when records are not sought for commercial use and the request is made by an educational or noncommercial scientific institution, whose purpose is scholarly or scientific research; or a representative of the news media; and

(III) for any request not described in (I) or (II), fees shall be limited to reasonable standard charges for document search and duplication.

(iii) Documents shall be furnished without any charge or at a charge reduced below the fees established under clause (ii) if disclosure of the information is in the public interest because it is likely to contribute significantly to public understanding of the operations or activities of the government and is not primarily in the commercial interest of the requester.

(iv) Fee schedules shall provide for the recovery of only the direct costs of search, duplication, or review. Review costs shall include only the direct costs incurred during the initial examination of a document for the purposes of determining whether the documents must be disclosed under this section and for the purposes of withholding any portions exempt from disclosure under this section. Review costs may not include any costs incurred in resolving issues of law or policy that may be raised in the course of processing a request under this section. No fee may be charged by any agency under this section--

(I) if the costs of routine collection and processing of the fee are likely to equal or exceed the amount of the fee; or

(II) for any request described in clause (ii)(II) or (III) of this subparagraph for the first two hours of search time or for the first one hundred pages of duplication.

(v) No agency may require advance payment of any fee unless the requester has previously failed to pay fees in a timely fashion, or the agency has determined that the fee will exceed $250.

(vi) Nothing in this subparagraph shall supersede fees chargeable under a statute specifically providing for setting the level of fees for particular types of records.

Figure D.7 continued

(vii) In any action by a requester regarding the waiver of fees under this section, the court shall determine the matter de novo, provided that the court's review of the matter shall be limited to the record before the agency.

(B) On complaint, the district court of the United States in the district in which the complainant resides, or has his principal place of business, or in which the agency records are situated, or in the District of Columbia, has jurisdiction to enjoin the agency from withholding agency records and to order the production of any agency records improperly withheld from the complainant. In such a case the court shall determine the matter de novo, and may examine the contents of such agency records in camera to determine whether such records or any part thereof shall be withheld under any of the exemptions set forth in subsection (b) of this section, and the burden is on the agency to sustain its action. In addition to any other matters to which a court accords substantial weight, a court shall accord substantial weight to an affidavit of an agency concerning the agency's determination as to technical feasibility under paragraph (2)(C) and subsection (b) and reproducibility under paragraph (3)(B).

(C) Notwithstanding any other provision of law, the defendant shall serve an answer or otherwise plead to any complaint made under this subsection within thirty days after service upon the defendant of the pleading in which such complaint is made, unless the court other wise directs for good cause is shown.

(D) Repealed by Pub. L. 98-620, Title IV, 402(2), Nov. 8, 1984, 98 Stat. 3335, 3357.

(E) The court may assess against the United States reasonable attorney fees and other litigation costs reasonably incurred in any case under this section in which the complainant has substantially prevailed.

(F) Whenever the court orders the production of any agency records improperly withheld from the complainant and assesses against the United States reasonable attorney fees and other litigation costs, and the court additionally issues a written finding that the circumstances surrounding the withholding raise questions whether agency personnel acted arbitrarily or capriciously with respect to the withholding, the Special Counsel shall promptly initiate a proceeding to determine whether disciplinary action is warranted against the officer or employee who was primarily responsible for the withholding. The Special Counsel, after investigation and consideration of the evidence submitted, shall submit his findings and recommendations to the administrative authority of the agency concerned and shall send copies of the findings and recommendations to the officer or employee or his representative. The administrative authority shall take the corrective action that the Special Counsel recommends.

(G) In the event of noncompliance with the order of the court, the district court may punish for contempt the responsible employee, and in the case of a uniformed service, the responsible member.

(5) Each agency having more than one member shall maintain and make available for public inspection a record of the final votes of each member in every agency proceeding.

(6)(A) Each agency, upon any request for records made under paragraph (1), (2), or (3) of this subsection, shall--

Figure D.7 continued

(i) determine within twenty days (excepting Saturdays, Sundays, and legal public holidays) after the receipt of any such request whether to comply with such request and shall immediately notify the person making such request of such determination and the reasons therefor, and of the right of such person to appeal to the head of the agency any adverse determination; and

(ii) make a determination with respect to any appeal within twenty days (excepting Saturdays, Sundays, and legal public holidays) after the receipt of such appeal. If on appeal the denial of the request for records is in whole or in part upheld, the agency shall notify the person making such request of the provisions for judicial review of that determination under paragraph (4) of this subsection.

(B)(i) In unusual circumstances as specified in this subparagraph, the time limits prescribed in either clause (i) or clause (ii) of subparagraph (A) may be extended by written notice to the person making such request setting forth the unusual circumstances for such extension and the date on which a determination is expected to be dispatched. No such notice shall specify a date that would result in an extension for more than ten working days, except as provided in clause (ii) of this subparagraph.

(ii) With respect to a request for which a written notice under clause (i) extends the time limits prescribed under clause (i) of subparagraph (A), the agency shall notify the person making the request if the request cannot be processed within the time limit specified in that clause and shall provide the person an opportunity to limit the scope of the request so that it may be processed within that time limit or an opportunity to arrange with the agency an alternative time frame for processing the request or a modified request. Refusal by the person to reasonably modify the request or arrange such an alternative time frame shall be considered as a factor in determining whether exceptional circumstances exist for purposes of subparagraph (C).

(iii) As used in this subparagraph, "unusual circumstances" means, but only to the extent reasonably necessary to the proper processing of the particular requests--

(I) the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request;

(II) the need to search for, collect, and appropriately examine a voluminous amount of separate and distinct records which are demanded in a single request; or

(III) the need for consultation, which shall be conducted with all practicable speed, with another agency having a substantial interest in the determination of the request or among two or more components of the agency having substantial subject matter interest therein.

(iv) Each agency may promulgate regulations, pursuant to notice and receipt of public comment, providing for the aggregation of certain requests by the same requestor, or by a group of requestors acting in concert, if the agency reasonably believes that such requests actually constitute a single request, which would otherwise satisfy the unusual circumstances specified in this subparagraph, and the requests involve clearly related matters. Multiple requests involving unrelated matters shall not be aggregated.

Figure D.7 continued

(C)(i) Any person making a request to any agency for records under paragraph (1), (2), or (3) of this subsection shall be deemed to have exhausted his administrative remedies with respect to such request if the agency fails to comply with the applicable time limit provisions of this paragraph. If the Government can show exceptional circumstances exist and that the agency is exercising due diligence in responding to the request, the court may retain jurisdiction and allow the agency additional time to complete its review of the records. Upon any determination by an agency to comply with a request for records, the records shall be made promptly available to such person making such request. Any notification of denial of any request for records under this subsection shall set forth the names and titles or positions of each person responsible for the denial of such request.

(ii) For purposes of this subparagraph, the term "exceptional circumstances" does not include a delay that results from a predictable agency workload of requests under this section, unless the agency demonstrates reasonable progress in reducing its backlog of pending requests.

(iii) Refusal by a person to reasonably modify the scope of a request or arrange an alternative time frame for processing the request (or a modified request) under clause (ii) after being given an opportunity to do so by the agency to whom the person made the request shall be considered as a factor in determining whether exceptional circumstances exist for purposes of this subparagraph.

(D)(i) Each agency may promulgate regulations, pursuant to notice and receipt of public comment, providing for multitrack processing of requests for records based on the amount of work or time (or both) involved in processing requests.

(ii) Regulations under this subparagraph may provide a person making a request that does not qualify for the fastest multitrack processing an opportunity to limit the scope of the request in order to qualify for faster processing.

(iii) This subparagraph shall not be considered to affect the requirement under subparagraph (C) to exercise due diligence.

(E)(i) Each agency shall promulgate regulations, pursuant to notice and receipt of public comment, providing for expedited processing of requests for records—

(I) in cases in which the person requesting the records demonstrates a compelling need; and

(II) in other cases determined by the agency.

(ii) Notwithstanding clause (i), regulations under this subparagraph must ensure--

(I) that a determination of whether to provide expedited processing shall be made, and notice of the determination shall be provided to the person making the request, within 10 days after the date of the request; and

(II) expeditious consideration of administrative appeals of such determinations of whether to provide expedited processing.

(iii) An agency shall process as soon as practicable any request for records to which the agency has granted expedited processing under this subparagraph. Agency action to deny or affirm denial of a request for expedited processing pursuant to this subparagraph, and failure by an agency to respond in a timely manner to such a request shall be subject to judicial review under paragraph (4), except that the judicial review shall be based on the record before the agency at the time of the determination.

Figure D.7 continued

(iv) A district court of the United States shall not have jurisdiction to review an agency denial of expedited processing of a request for records after the agency has provided a complete response to the request.

(v) For purposes of this subparagraph, the term "compelling need" means--

(I) that a failure to obtain requested records on an expedited basis under this paragraph could reasonably be expected to pose an imminent threat to the life or physical safety of an individual; or

(II) with respect to a request made by a person primarily engaged in disseminating information, urgency to inform the public concerning actual or alleged Federal Government activity.

(vi) A demonstration of a compelling need by a person making a request for expedited processing shall be made by a statement certified by such person to be true and correct to the best of such person's knowledge and belief.

(F) In denying a request for records, in whole or in part, an agency shall make a reasonable effort to estimate the volume of any requested matter the provision of which is denied, and shall provide any such estimate to the person making the request, unless providing such estimate would harm an interest protected by the exemption in subsection (b) pursuant to which the denial is made.

(b) This section does not apply to matters that are--

(1)(A) specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy and (B) are in fact properly classified pursuant to such Executive order;

(2) related solely to the internal personnel rules and practices of an agency;

(3) specifically exempted from disclosure by statute (other than section 552b of this title), provided that such statute (A) requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue, or (B) establishes particular criteria for withholding or refers to particular types of matters to be withheld;

(4) trade secrets and commercial or financial information obtained from a person and privileged or confidential;

(5) inter-agency or intra-agency memorandums or letters which would not be available by law to a party other than an agency in litigation with the agency;

(6) personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy;

Figure D.7 continued

(7) records or information compiled for law enforcement purposes, but only to the extent that the production of such law enforcement records or information (A) could reasonably be expected to interfere with enforcement proceedings, (B) would deprive a person of a right to a fair trial or an impartial adjudication, (C) could reasonably be expected to constitute an unwarranted invasion of personal privacy, (D) could reasonably be expected to disclose the identity of a confidential source, including a State, local, or foreign agency or authority or any private institution which furnished information on a confidential basis, and, in the case of a record or information compiled by a criminal law enforcement authority in the course of a criminal investigation or by an agency conducting a lawful national security intelligence investigation, information furnished by a confidential source, (E) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law, or (F) could reasonably be expected to endanger the life or physical safety of any individual;

(8) contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions; or

(9) geological and geophysical information and data, including maps, concerning wells.

Any reasonably segregable portion of a record shall be provided to any person requesting such record after deletion of the portions which are exempt under this subsection. The amount of information deleted shall be indicated on the released portion of the record, unless including that indication would harm an interest protected by the exemption in this subsection under which the deletion is made. If technically feasible, the amount of the information deleted shall be indicated at the place in the record where such deletion is made.

(c)(1) Whenever a request is made which involves access to records described in subsection (b)(7)(A) and--

(A) the investigation or proceeding involves a possible violation of criminal law; and

(B) there is reason to believe that (i) the subject of the investigation or proceeding is not aware of its pendency, and (ii) disclosure of the existence of the records could reasonably be expected to interfere with enforcement proceedings, the agency may, during only such time as that circumstance continues, treat the records as not subject to the requirements of this section.

(2) Whenever informant records maintained by a criminal law enforcement agency under an informant's name or personal identifier are requested by a third party according to the informant's name or personal identifier, the agency may treat the records as not subject to the requirements of this section unless the informant's status as an informant has been officially confirmed.

(3) Whenever a request is made which involves access to records maintained by the Federal Bureau of Investigation pertaining to foreign intelligence or counterintelligence, or international terrorism, and the existence of the records is classified information as provided in subsection (b)(1), the Bureau may, as long as the existence of the records remains classified information, treat the records as not subject to the requirements of this section.

(d) This section does not authorize the withholding of information or limit the availability of records to the public, except as specifically stated in this section. This section is not authority to withhold information from Congress.

Figure D. 7 continued

(e)(1) On or before February 1 of each year, each agency shall submit to the Attorney General of the United States a report which shall cover the preceding fiscal year and which shall include--

(A) the number of determinations made by the agency not to comply with requests for records made to such agency under subsection (a) and the reasons for each such determination;

(B)(i) the number of appeals made by persons under subsection (a)(6), the result of such appeals, and the reason for the action upon each appeal that results in a denial of information; and

(ii) a complete list of all statutes that the agency relies upon to authorize the agency to withhold information under subsection (b)(3), a description of whether a court has upheld the decision of the agency to withhold information under each such statute, and a concise description of the scope of any information withheld;

(C) the number of requests for records pending before the agency as of September 30 of the preceding year, and the median number of days that such requests had been pending before the agency as of that date;

(D) the number of requests for records received by the agency and the number of requests which the agency processed;

(E) the median number of days taken by the agency to process different types of requests;

(F) the total amount of fees collected by the agency for processing requests; and

(G) the number of full-time staff of the agency devoted to processing requests for records under this section, and the total amount expended by the agency for processing such requests.

(2) Each agency shall make each such report available to the public including by computer telecommunications, or if computer telecommunications means have not been established by the agency, by other electronic means.

(3) The Attorney General of the United States shall make each report which has been made available by electronic means available at a single electronic access point. The Attorney General of the United States shall notify the Chairman and ranking minority member of the Committee on Government Reform and Oversight of the House of Representatives and the Chairman and ranking minority member of the Committees on Governmental Affairs and the Judiciary of the Senate, no later than April 1 of the year in which each such report is issued, that such reports are available by electronic means.

(4) The Attorney General of the United States, in consultation with the Director of the Office of Management and Budget, shall develop reporting and performance guidelines in connection with reports required by this subsection by October 1, 1997, and may establish additional requirements for such reports as the Attorney General determines may be useful.

Figure D.7 continued

(5) The Attorney General of the United States shall submit an annual report on or before April 1 of each calendar year which shall include for the prior calendar year a listing of the number of cases arising under this section, the exemption involved in each case, the disposition of such case, and the cost, fees, and penalties assessed under subparagraphs (E), (F), and (G) of subsection (a)(4). Such report shall also include a description of the efforts undertaken by the Department of Justice to encourage agency compliance with this section.

(f) For purposes of this section, the term--

(1) "agency" as defined in section 551(1) of this title includes any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency; and

(2) "record" and any other term used in this section in reference to information includes any information that would be an agency record subject to the requirements of this section when maintained by an agency in any format, including an electronic format.

(g) The head of each agency shall prepare and make publicly available upon request, reference material or a guide for requesting records or information from the agency, subject to the exemptions in subsection (b), including--

(1) an index of all major information systems of the agency;

(2) a description of major information and record locator systems maintained by the agency; and

(3) a handbook for obtaining various types and categories of public information from the agency pursuant to chapter 35 of title 44, and under this section.

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usdoj/jmd/ls/caf

Figure D.7 continued

US Department of the Interior
National Park Service

Researcher Registration Form

Name: ______________________________ Date: ______________________________

Picture ID card type, State Control Number: ______________________________

Institutional affiliation: ______________________________

Work address: ______________________________

____

Phone:_____________ FAX: _____________ E-Mail: _____________

Home address: ______________________________

____

Phone:_____________ FAX: _____________ E-Mail: _____________

Contacted Park through:

Visit____ Letter____ Phone call____ FAX____ E-mail____ FOIA____ Subpoena____________

Research project summary: ______________________________

____

____

Publication plans (publisher, type of publication and date): ______________________________

____

Researcher Duplication Form Numbers: ______________________________

Other special requirements: ______________________________

Collections used (Name and box number; Use reverse): ______________________________

Figure D.8 Researcher Registration Form

US Department of the Interior
National Park Service

Copyright and Privacy Restrictions

The copyright law of the United States (Title 17, *United States Code*) governs the making of photocopies or other reproductions of copyrighted materials. The various state privacy acts govern the use of materials that document private individuals, groups, and corporations.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a reproduction if the document does not infringe the privacy rights of an individual, group, or corporation. These specified conditions of authorized use include:

- non-commercial and non-profit study, scholarship, or research, or teaching
- criticism, commentary, or news reporting
- as a NPS preservation or security copy
- as a research copy for deposit in another institution

If I, the researcher, later use a copy or reproduction for purposes in excess of "fair use," I, the researcher, am personally liable for copyright, privacy, or publicity infringement and agrees to indemnify the NPS from any legal action as a result of the error. The [Park's] permission to obtain a photographic, xerographic, digital, or other copy of a document **doesn't** indicate permission to publish, exhibit, perform, reproduce, sell, distribute, or prepare derivative works from this document without first obtaining permission from the copyright holder and from any private individual, group, or corporation shown or otherwise recorded.

Permission to publish, exhibit, perform, reproduce, prepare derivative works from, sell, or otherwise distribute the item must be obtained by the researcher separately in writing from the holder of the original copyright (or if the creator is dead from his/her heirs) as well as from any individual(s), groups, or corporations whose name, image, recorded words, or private information (e.g., employment information) may be reproduced in the source material. The holder of the original copyright **isn't** necessarily the National Park Service. The National Park Service is not legally liable for copyright, privacy, or publicity infringement when materials are wrongfully used after being provided to researchers for "fair use."

This institution reserves the right to refuse to accept a copying order if fulfillment of the order is judged in violation of copyright or federal or state privacy or publicity law. This institution also places restrictions on the use of cameras, photocopiers, and scanners in the research room.

I, the researcher, understand and agree to the above terms and will indemnify, defend, save, and hold the National Park Service harmless from all claims, demands, losses, or damages (including attorney's fees and expenses) arising out of any legal action, settlement, or adjustment resulting from my not having followed the guidelines provided above.

Printed Name	Signature	Date

Figure D.9 Copyright and Privacy Restrictions

US Department of the Interior
National Park Service (NPS)

Access Policies and Rules Governing Use
[Name of Park]

Availability
Researchers are encouraged to complete their preliminary research at archives and libraries with a broader topical focus before approaching the holdings of the [Park]. NPS has limited reference staff and research resources that must be made available to researchers whose work focuses on materials available only at the [Park]. Access to materials is dependent upon their physical condition and the level of processing to-date by the NPS. All research must be done on-site in the research room.

Access
- Researchers should submit a written request to the curatorial office, detailing their research project to the curatorial staff.
- Requests for materials should be submitted with enough lead time to allow for the evaluation of the request and the scheduling of curatorial staff to oversee the research.
- All research requests should be addressed to:
  Curatorial Office, [Park], [Street Address]
- Approval of all requests will be based on availability of curatorial staff to supervise researchers.
- The curatorial staff at [Park] requests that the researcher read the abstracts in the archival guide or finding aids before requesting to view any collection of documents.
- To ensure the conservation and security of this resource, browsing is not permitted.

Citations

- When crediting the park, list "National Park Service"; the full park name; collection title; the catalog, box, folder, and image numbers; and credit the creator of the item (e.g., photographer).

Reading Room Rules
- Only lead pencils, not pens or markers, may be used for note taking.
- Scanners, portable photocopy machines, and cameras (including digital cameras) are pro hibited to avoid damage to materials and copyright infringement.
- Use of tape recorders, typewriters, and portable computers is subject to security procedures. Use of any equipment must not bother other researchers.
- No food, beverages, or smoking will be allowed in the reading room area.
- No coats, packages, containers, folders, cases (including briefcases), or bags (including handbags larger than wallets) are permitted in the reading room area.
- Copying is available within reasonable limits at 25 cents per page.
- The reading room will close if no supervisory staff is available.
- Researchers must maintain quiet in the reading room.
- Researchers register annually and must sign in and out each time they enter or leave.

Figure D.10 Access Policies and Rules Governing Use (Sample)

Access Policies and Rules Governing Use
[Name of Park]

Reading Room Rules (continued)

- Researchers may not remove any archival or manuscript materials from the reading room.
- Researchers may work with archival or manuscript materials only in the reading room, not in museum storage or staff work spaces.
- Researchers must submit prepaid written requests for copies or duplicates.
- Researchers must submit for inspection all materials carried into and out of the reading room.
- The park reserves the right to limit access to fragile or restricted collections.
- The park archives is not a lending library. All materials must be used in the reading room.
- Researchers will work with only one document from one folder from one box of materials at a time to avoid damaging a collection's original order.
- Researchers who disregard these rules or endanger the records or the work of others will be denied access.

Permission to obtain a copy for scholarly purposes does not constitute permission to publish

[See Copyright and Privacy Restrictions Statement.]

Handling

- When handling the archival and manuscript materials, only one folder may be removed from a box at a time, and folders must be laid flat on the table.
- Documents should be handled with utmost care and viewed only one at a time.
- Manuscripts and books may not be leaned on, written on, folded, traced over, or handled in any manner that may damage them.
- Researchers must maintain the original order of documents within their folders. Attending staff should be contacted if there is any sign of damage or if items appear to be out of order.
- No attempt should be made to reorder or rearrange the documents or folders or to repair any physical damage.
- Cotton gloves must be used when handling photographic images.
- Only one box or volume of material will be issued at one time.
- Latex gloves must be worn when working with materials that may pose a health hazard.

I understand the rules listed above and will abide by them.

______________________________	____________________________________	__________
Printed Name of Researcher	Signature of Researcher	Date

Figure D.10 continued

US Department of the Interior
National Park Service

Researcher Duplication Form

Name: ____

ID type and number ______________________ Type/Amount of deposit: _____________________

Affiliation _____________________ Date order was filled: _______ Who filled it: _______________

Reason for copies: _____Publication _____Research _____Exhibit _____Product development

_____Teaching _____Criticism _____Other (Describe): ___________________________________

Please describe any special duplication needs, such as blow-ups or rush job (extra cost):

____

____

____

Collection Title	Location: Box, Folder, and Item Numbers (ex.-B35, F18, I44)	Describe Item (e.g., 3x5 color photo of X, Letter by Y)	Number & Type of Copy wanted (1-8 x 10" b/w glossy photo, 1-30K gif file on 3.5" diskette, 5-photocopies)

I understand, that unless authorized elsewhere by Park staff in writing, that the copies provided here are for non-commercial and non-profit research, news reporting, criticism, and commentary purposes only. The provision of copies does not authorize me to publish, exhibit, distribute, sell, perform, reproduce, or prepare derivative works from the copies I receive. I indemnify the park from any legal liability resulting from my use of these copies.

Signature: ____ Date: ________________

Figure D.11 Researcher Duplication Form