

THE HEARD MUSEUM LIBRARY AND ARCHIVES

DOCUMENTARY RESEARCH COLLECTIONS

PROCESSING MANUAL

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The Heard Museum
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Preface to Draft Editions

This edition of the Documentary Research Collection Processing Manual is an internal document and has not been subjected to the same level of editorial control typical of Heard Museum publications. It is released as a professional courtesy. Readers are welcome to adapt this manual for use in their collections.

The author would appreciate knowing areas that you found particularly useful, aspects you needed to modify for your institution, or any errors or other problems that you may find. Any and all comments or questions are welcome.

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Developing policies and procedures for the arrangement and description of the Heard Museum's archival collections has given me the chance to pursue a number of ideas I have been thinking about for several years. Some of those ideas include the expanded use of descriptive standards; access points to provenance and context, as well as to content; and the processing of collections as an intellectual whole, rather than fragmenting them by format. None of these ideas are particularly radical or avant-garde; much of my approach reflects thinking that is relatively current within the archival profession.

Developing an archival program at the Heard Museum provided an excellent opportunity to test those ideas. Because collections acquired over the years had received only minimal arrangement and description, I did not have to accommodate a descriptive tradition or specific existing tools.

The influence of *Archives, Personal Papers, and Manuscripts (APPM)*,¹ is obvious. Although official standards of the Society of American Archivists for more than ten years, *APPM* and the USMARC format remain controversial. Many archivists resist standards on the grounds that the unique nature of archival collections defy a uniform approach. Some reject those standards because they feel they do not meet their needs for automated access tools. Others see these standards' value limited to national, collection-level databases, while others find those descriptions and access points too broad to be practical.

The chance to "play" with these standards has given me a practical understanding of some of their possibilities. I was slow to adopt *APPM* and USMARC for many of the reasons mentioned above, but I find that the *description* of archival collections is sufficiently consistent to allow use of standards, that USMARC can serve as an extremely effective and flexible data architecture for the production of a variety of automated access tools, and that my finding aids are significantly improved by using those standards throughout all levels of description. I am now convinced that the use of standards offers significant and enormous potential to improve archival description and access.

The procedures in this manual are almost entirely a clarification of local practice within the options offered by *APPM* and USMARC. I have tried to incorporate those descriptions into a hierarchical structure, which is implied in those standards, but remains undeveloped. Lacking the software or equipment to use the USMARC format, I devised a database with a parallel field definitions.

The ramifications of providing access to collections based on tracings for provenance and context cannot be tested until a significant body of material has been cataloged. What appears to work wonderfully in small samples may prove impractical as the number of descriptions grows. More significantly, the real effectiveness of this expanded access can only be measured in terms of patron satisfaction. I look forward to following this program and reporting on it.

¹Steven L. Hensen, 2nd ed. (Chicago: Society of American Archivists, 1989).

I am personally very satisfied to see collections processed as organized wholes, rather than breaking them apart into format-based units of papers, publications, photographs, and the like. I see enormous value in the preservation of these formats in their original context and in a consistent approach to description of information, regardless of format. Further, I feel that the non-textual documents will be used more if they are not segregated from the textual records researchers are accustomed to working with; by keeping them where the researchers will run into them, I feel that those researchers will begin to see the value of those records and use them as much as they use textual records. Moreover, for those who are looking primarily for visual records, I hope that keeping the images near the text that places them in context will reduce the change of those images being misinterpreted.

This project was made possible by and begun under a generous grant under The Lila Wallace-Reader's Digest Museum Collections Accessibility Initiative, which funded my appointment at the Heard Museum as a research scholar. That appointment was possible because of the support of Sherrie Schmidt, Dean of the Arizona State University Libraries, and Edward Oetting, Head of the Libraries' Department of Archives and Manuscripts; their granting me leave from my position for professional development is greatly appreciated. Thanks are due to my colleagues in the Department, who covered many of my duties while I was on leave; this increased work was no small burden.

The entire staff of the Heard Museum has contributed to the success of this project. I cannot think of a single individual on the dynamic and delightful staff who has not helped me in some manner. Special thanks are due to Mario Nick Klimiades, Manager of the Library and Archives; his consummate professionalism, enthusiasm, and desire for the success of this project has made my time at the Heard Museum a joy.

Since I began my archival career in 1981, I have had the benefit of working with many other professionals who have graciously shared their experience and knowledge. Unfortunately, I can never thank them all. Much of what I have written here draws on what I have learned from colleagues. The Society of American Archivists has been a wealthy source of professional development through the many contacts I have made there; in particular, I'd like to mention Douglas Haller and Laurie Baty of the Visual Materials Section, and my colleagues on the Committee for Archival Information Exchange. I have had the enormous benefit of vetting many of the ideas in this manual on the LCSH-AMC and the Archives and Archivists discussion groups; in particular, I would like to thank Peter Wilkerson for beginning that discussion, Steven Hensen, Marion Matters, Kent Haworth, Richard Saunders, Peter Hirtle, Enrique Gildemeister, and all the others who have bantered my ideas about with admirable professional respect and courtesy.

Finally, I owe enormous thanks to Frank Loulan, whose love and encouragement kept the home fires burning.

The Heard Museum Library and Archives preserves and provides access to research materials of enduring value which help the Museum to achieve its mission by providing context and understanding of Native American cultures, art, and related subjects. Processing a collection includes a variety of activities to achieve the goals of preservation and access; careful arrangement maintains the intellectual integrity of the materials, housing and other preservation activities stabilizes the material for storage and use, and description provides avenues for staff and researchers to locate relevant materials. All processing activities must be oriented towards accomplishing the two goals of preservation and access.

Although archival collections are unique and often significantly different in character, a number of general principles can be applied to a wide range of collections. Following these principles results in greater consistency for improved collections management and increased access to the materials. This manual discusses those principles and describes policies and procedures for their practical application at the Heard Museum Library and Archives.

The foremost goal of this manual is to bring consistency to the manner in which collections are arranged and described by documenting the underlying rationale and methods of processing. As processing procedures are refined over time, those changes will be incorporated into this manual.

This manual can never give exact instructions as to how a specific collection is processed; effective processing requires the creativity and good judgment of the processor. Common sense, rather than strict adherence to the rules, should govern processing; but rather than suggesting that these rules be disregarded, those rules should be revised to incorporate the common sense solution for future reference.

The best approach to processing a collection depends on the character of the materials; it requires analytical thinking, strategic planning, and good judgment to choose between numerous options. The processor must be able to apply the general principles outlined in this manual to the specific situation, while knowing when an exception to those principles is required. The processor should supplement this manual by discussing its application with others working with the collections and by referring to past practice.

In every activity, the processor should consider the needs of the patrons who will be using the materials. Access tools, descriptions, and index entries should be sufficient to help patrons identify and select relevant materials. Housing should provide sensible protection for handling in the reading room.

The time and degree of processing must be based on the relative value of the collection to other collections at the museum. Time spent processing one collection necessarily takes away from time that could be spent working on unprocessed materials; spending too much time processing a collection of moderate value can slow access to unprocessed collections of greater value.

“Quality” processing does not necessarily mean extensive arrangement and description. There are many degrees of processing, each of which can be done well. The extent of the job done with each collection depends on such factors as time/cost priorities, the amount of material in each collection, and the subject matter of each collection. In most cases, the result is a compromise between the work that would be done in an ideal situation, and the minimal amount

of work necessary to make the collection usable.¹

Processing should never be done in isolation. While the procedures attempt to document all relevant information, some useful insights are best communicated in discussion. Further, because processing requires many judgment calls, decisions made in consultation benefit from additional experience and wisdom.

1.1 OVERVIEW OF PHYSICAL AND INTELLECTUAL CONTROL

The following section summarizes the activities which make a collection available to patrons, beginning with receipt of materials to the reading room. Each step is covered in greater detail in the text of the manual.

1.1.1 ACCESSIONING

Accessioning tracks materials from their receipt by the repository and links the collection with related curatorial files and any associated materials that provide additional information about the collection. The accession record notes the source of a collection, when it was received, where the collection is stored, and a brief description of the materials sufficient to ensure that the collection is complete. The accession record may also include additional curatorial notes about the history of the collection which might be lost. This information provides basic physical control over the materials.

Accession-level control includes storing all materials in standard boxes, which provide considerable protection from smoke and water damage resulting from fire, flood, or leak.

1.1.2 PROCESSING

Archival processing—the preparation of a collection for use by patrons—includes the arrangement, housing, and description of a collection. Organic collections are typically arranged according to the order established by their creator (including restoration or perfection of the creator's original order); artificial collections are often organized to facilitate description and access by bringing similar materials together. Materials are housed to protect them both during long-term storage and during use in the reading room; processing includes sleeving, foldering, and boxing materials in appropriate enclosures. Description includes the preparation of written documentation of a collection and providing access to the materials through a catalog; processing includes writing a finding aid and entering citations for the materials in the archives catalog.

1.1.3 REFERENCE AND ACCESS

Once a collection is processed, patrons may request it for reference in a secure, supervised environment. Patrons will likely begin research with the catalog to identify relevant collections, then use the finding aids for those collections to request the portions that they wish to see. The reference archivist serves as facilitator and advocate for the patron by teaching them how to use the finding aids and helping them develop a research strategy.

Many patrons using the materials may have greater expertise in interpreting the materials than the processor. As these patrons contribute additional information about a collection, the finding aid and catalog should be revised to reflect that scholarship.

¹Karen T. Lynch and Helen W. Slotkin, *Processing Manual for the Institute Archives and Special Collections* (M.I.T. Libraries: 1981), p. 9. The quote is from the Utah State University processing manual.

1.2 OVERVIEW OF DOCUMENTATION

The following summarizes the documentation kept for collections. Each series of documents and the steps for their creation and maintenance are described in greater detail in the text of this manual.

1.2.1 ACCESSION RECORD

A log recording essential information for physical and intellectual control of the materials. The accession log is used to generate the unique accession number identifying each collection. The information is linked to the acquisitions file by the source of acquisition and to the collection file by the main entry.

This record is arranged by sequential accession number, hence the files are also chronological. This record is a permanent, vital record. Any revisions to the record should be dated and initialed.

1.2.2 ACQUISITION FILES

This series includes documentation pertaining to the source of a collection, including correspondence with the source; any deeds of gift or other instruments transferring ownership or custody of the records; a copy of the accession record; and any information regarding deaccessioning at the collection level. This record is linked to the accessions record through the accession number on the accession form(s) and to the collection file through the collection number (added to this file during processing).

The acquisitions file is restricted from patrons, as it frequently contains confidential information such as the identity of an anonymous donor or amounts paid for a collection.

The series is arranged by source of acquisition; if the source is unknown, the file is arranged by main entry. This series is a permanent, vital record. Any changes or additions to the record should be dated and initialed.

1.2.3 COLLECTION FILES

This series includes documentation regarding the processing of a collection, including notes from background research, notes on changes to arrangement, restrictions on use of or access to the materials, the master copy of the finding aid, records of conservation treatment, loan forms, and documents relating to items withdrawn from a collection.

Patrons and curators may consult this record to provide additional, contextual information regarding the history of the materials.

The series is arranged by collection number. The series remains an active record as long as the collection is held by the repository. If a collection is deaccessioned, it should be disposed with the collection.

1.2.4 FINDING AIDS

This series is the principal public source for information about a collection. An abstract of administrative information kept in the collections file on restrictions on access or use, copyright, credit lines, processing notes, and the historical provenance of a collection prevents having to pull the file itself and presents the information in a consistent fashion. It also includes a description of the collection, including any administrative history or biographical note, a scope note, and a series outline; it may also include a contents section detailing the collection at the sub-series, folder, or item level. The finding aid may also contain information useful for researchers, such as related materials and useful secondary sources.

A finding aid is a dynamic document. As new information about a collection surfaces during use, that information should be recorded in the finding aid.

Both patrons and reference staff should use the finding aid as the principal source of information about a collection. The reference archivist should be familiar with the introductory information in each finding aid, especially information regarding restrictions on access, to ensure that materials are retrieved in an appropriate manner.

The finding aids in this series are arranged by main entry. Finding aids are permanent records. If a collection is deaccessioned, the museum should retain a copy of the finding aid in the acquisitions file.

1.2.5 CATALOG

The catalog provides a single place where patrons can begin to identify materials relevant to their research. A terse description of the material with the call number and collection name is filed under entries for provenance, related agents of responsibility, and subjects. Additional entries may be made tracing the provenance by related headings (e.g., occupation, ethnicity, or function), formal titles, and form or genre of the records.

Patrons should use the catalog in conjunction with finding aids, especially for citations at the collection or series level. Patrons may request materials from catalog citations or from citations in the finding aid for viewing in the reading room.

The archive gains its first level of physical and intellectual control by accessioning all materials added to the repository. The accession record provides an overview of what the repository owns, tracing the materials' source and its ultimate disposition.

Because the archivist, in consultation with the other curators, screen all materials before accessioning them, the materials' disposition generally includes a period in inactive storage until it is processed, then permanent storage in one or more collections. Some materials within a collection, such as duplicates or deteriorated items, may be withdrawn from a collection; record of such selective weeding is maintained in the collections file. However, should a collection as a whole be permanently removed from the repository's holdings, the accession record should be modified to reflect the collection's disposition.

2.1 ASSIGN ACCESSION NUMBER

Use the Accessions Number Log (see Appendix 1) to assign the next sequential accession number. Enter the day's date, your name, and the source of the material. Make a very terse description of the materials; this description will help distinguish two accessions from the same source. Assign the two-part accession number; the first part is the current calendar year, and the second part is a sequential acquisition number. For example:

Date	By	Description	Acc. Num.
3-1-94	R. Pearce-Moses	Dale Gilbert. San Carlos photo album	1994:6
3-2-94	S. Secakuku	R. Nixon. Sound recording, 18.5 min.	1994:7

If you make a mistake, do not erase or obliterate the information. Draw a line through the incorrect information and make the correction; date and initial any changes in the Accessions Number Log.

2.2 BEGIN ACCESSIONS WORKSHEET

Use a copy of the Accessions Form (see Appendix 1) as a worksheet to gather information before entering it into the database. Enter the accession number from the log, your name, and the date of accessioning on the worksheet.

2.3 PRIMARY HOUSING

On initial receipt of a collection, all materials should be transferred to standard archival boxes. Each box should have the accession number written on the outside and a sequential box number. If an item is too large, too heavy, or too irregular to fit in a standard archival container, tag or label it with the accession number and a sequential item number.

Primary housing is a first level of disaster preparedness. Boxes provide significant protection against water and smoke damage. Because boxes' smooth surfaces are less friable than piles of loose documents, they retard the spread of fire. Primary housing also enhances physical control by keeping the components of an accession together.

During primary housing be alert for bugs, mold, deteriorated nitrate film, or other preservation hazards. If necessary place the rehoused materials in plastic bags to isolate them from other materials. Never place materials which you suspect may be infested in the archives storage vault. Take care to stabilize fragile or brittle materials by giving them adequate support and protection from surrounding materials. Consult with the Archivist or Registrar for advice on treating infested or hazardous materials.

Collections are maintained according to the original order of the creator. When rehousing the materials, take care not to disturb any existing order. If you pull items for closer inspection, use a marker card to ensure you return those items to the correct location. Maintain any sequential order among the materials when boxing materials. Breaks in sequences that span more than one container need not be maintained if the sequence is preserved. For example:

Original sequence	Rehoused sequence
File drawer 1: A-D	Box 1: A-B
File drawer 2: E-N	Box 2: C-E
File drawer 3: O-Z	Box 3: F-K
	Box 4: L-R
	Box 5: S-Z

If a collection is received in disarray, no attempt should be made to restore or impose an order during accessioning. As you box a collection that appears to have no order, keep a close eye to "clumps" of related materials that clearly belong together and should not be separated.

A single accession may contain several collections with clearly different provenances that will be processed separately. This situation arises most frequently when several collections are purchased together from a dealer. Up to three separate collections may be described on the back of the accessions form, and additional collections may be described on an attached sheet. Each collection is referred to by the accession number plus a letter (1993:104A, 1993:104B).

The materials may be segregated during accessioning for separate storage and processing if the divisions are clear. In case there is some question as to whether the materials have been mingled, do not segregate the collections until processing.

Place the boxes on shelves in box number order with the accession number visible. Boxes should be oriented so that the edges, rather than the faces, of documents face the aisle; if a box fails because of fire, the contents of the box will not spill into the aisle and feed the flames.

Loose items should be placed with the accession number or a supplemental label visible. If possible, cover the materials with plastic to provide some protection.

If possible store each collection within an accession together. Separate collections within an accession may be stored separately. Very small accessions (less than a document box) may be foldered and kept with other small accessions in a transfer box used for their storage.

2.4 COMPLETE ACCESSIONS FORM

Complete the accessions worksheet by noting the number of each type of storage container, the storage location, and the estimated linear footage of the collection. (See Appendix 2 for standard measures of linear footage.) Note that folders are counted only for small accessions stored in the small accession file.

Complete the remainder of the information on the accessioning worksheet:

- *Source:* Note the name of the individual or agency from which the materials were acquired.
- *Provenance:* Note the name of the individual or agency responsible for the creation of the materials. Complete this field even if the source and provenance are the same.
- *Formal or distinguishing title:* If the material has a formal title, transcribe it here; if a lengthy title, transcribe at least the first five words and note the lacunas with a mark of omission (. . .).

If the material has no formal title, assign a brief descriptive title indicative of the subject of the materials to distinguish this accession from other accessions from the same source.

Generic titles distinguished with a number may be assigned to collections with common subjects; Arizona Views 1, Arizona Views 2, Arizona Views 3; Native American Portraits 1, Native American Portraits 2, Native American Portraits 3; etc.

- *Form of materials:* Note the principal formats of the materials. Typical forms include publications, papers, photographs, videotapes, and sound recordings. If more than three formats are present and none predominate, you may use the generic heading "collection." More specific genre terms, which typically imply a form of materials, may be used if appropriate; e.g., diaries, ledgers, financial records.
- *Dates:* Note the dates the materials span. If the span dates and the bulk dates are significantly different, you may include a note as to the bulk dates.

The descriptive information captured for the accession record is not expected to be precise; it should give sufficient information to identify the material and little more. Hence, you should not spend a great deal of time describing a collection at this point. The accession record will be corrected with more accurate information after processing is complete.

After you have finished writing up the Accessions worksheet, type the permanent Accession Record. Place the original Accession Record in the Accession Register. Place a copy of the accession form in the Acquisition File and in the Collection File; create these files if necessary, as described below.

2.5 CREATE ACQUISITION AND COLLECTION FILES

Acquisition files include information pertinent to the ownership of a collection. Typical records include correspondence with a source, the deed or other instruments of ownership, and copies of bills. An acquisition file may contain records pertinent to more than one collection, if an individual or agency has been the source of multiple collections.

If a collection has a clouded source of acquisition, such as a collection received a number of years ago without proper documentation, the acquisition file should be set up under the provenance or name of the collection. In these instances, the acquisition file would include records documenting ownership through the abandoned property law.

Collection files include information pertinent to the administration of the collection, including notes on processing, changes to order, withdrawal of portions of the collection, and the master copy of the finding aid. If a collection is received in

parts through several acquisitions, the documentation may be combined in a single file.

If they do not already exist, the acquisition and collection files should be created as the last step of accessioning.

Effective processing cannot be done without some understanding of a collection. Although you will not have the time to become familiar with all the nuances of the collection, you should know something about the creator of the records, how their creator used them, the subject of the records, and the history of the materials between their creation and acquisition by the archives. Finally, you should have a sense of their value to the museum and its mission, of the reason the materials were collected by the archives.

The Accession Record and Acquisitions File may contain some important information. Check the Collection File, if one already exists. Check encyclopedias, a who's who, or similar reference sources to become familiar with prominent names, places, events, and topics.

Finally, take some time to look through the collection and get an informal impression of the materials. Your observations will form a working hypothesis for the interpretation of the collection; those initial assumptions will be revised (and some may even be discarded or changed entirely) as you get to know the collection better. Get a sense of the people involved in the creation of the collection and their attitudes, the breadth and depth of subjects, the time and place the photographs were made.

At this stage, keep the materials in their current order. Place a marker when you pull items for inspection so that you can return them to their location. Changes to order may be made later in processing when you are more familiar with the collection and its organization.

3.1 BEGIN DOCUMENTATION

You should make notes throughout the processing of a collection, recording what you have learned from external sources and what you have observed in looking over the materials. Few people will have the opportunity to work with the collection as closely as you. Your notes will be incorporated into the finding aid to share your insights with researchers.

All your notes regarding the processing of the collection will be kept in the Collection File. If a Collection File was not created when the materials were accessioned, create one now.

Begin a processing checklist (see Appendix 1) to ensure that all steps have been completed. This checklist will become a part of the Collections file.

3.2 CHECK ACQUISITIONS FILE

Begin by checking the acquisitions file to ensure that the archive actually owns the collection. If no deed of gift or similar instrument transferring title is in the acquisitions file, consult with the Archivist before proceeding with processing.

Note the presence of a deed of gift or the decision to process in the absence of a deed on the processing checklist.

3.3 LOCATE ALL PORTIONS OF THE COLLECTION

Check the copy of the accession record in the collection file to ensure that you have located all the materials in the collection by comparing the description of containers with what you have located. If a portion of the materials cannot be

located, consult with the archivist before proceeding with processing.

Note that all of a collection has been found or that a portion of the collection could not be located on the processing checklist.

3.4 DETERMINE MAIN ENTRY AND TITLE

The main entry and title are the principal means of citing a collection in the catalog. The main entry is typically the provenance of the collection. If the provenance is unknown, or for artificial collections of unrelated materials assembled by the archive or a dealer, the title (formal or assigned) serves as the main entry.

A short form of the main entry may be established for labelling boxes and folders. Short forms are typically created from the distinguishing name of the provenance plus the form of the materials.

Establish the main entry and title of the collection. Refer to Appendix 4, Transcription and Orthography for the proper form of headings. Note this information on the processing checklist.

3.4.1 PROVENANCE

The provenance is the individual or agency responsible for creating the collection. In instances where a collection has a complex history and has passed through several hands, the main entry is the individual or agency principally responsible for its creation; additional individuals or agencies associated with the collection may be identified in the title. Note: Organic collections acquired from a dealer are entered under the name of the collection's creator, not the name of the dealer.

The life dates of the individual or the active dates of a corporation should be included, when known.

For families, prefer the family name. If possible avoid using only the patriarch's name (i.e., also use the matriarch's name). If a family is known by more than one lineage include both, separating the names by a hyphen. If an additional name is necessary to distinguish between families. Examples:

Griggs family
Loulan-Euing family
Esther and Otto Anderson family

For collections created by an organization or agency establish a corporate heading for the partnership. Include hierarchical relationships. Examples:

Harriman Oil Company
Phoenix Press Club
Arizona State University, University Libraries
Arizona State University, College of Architecture
Fred Harvey Company

3.4.2 ARTIFICIAL COLLECTIONS

For collections without provenance, assign a descriptive title to the materials that reflects the central topic. Standard titles may be used with incremental numbers to distinguish them; for example:

- Arizona Views [n]
- Phoenix, Ariz. Views [n]

Take the next number from the Collection Numbers Log.

3.4.3 FORMAL OR DISTINGUISHING TITLE

If the material has a formal title, if an artificial title is being used as the main entry, or if a title is required to distinguish the material from similar materials, enter the title on the Processing Checklist. Formal titles should be transcribed exactly as to wording, order, and spelling, but not necessarily as to punctuation or capitalization.

3.5 ASSIGN COLLECTION NUMBER

In the Research Collection Number Log, note the main entry and any title by the next available collection number. Transfer this collection number to the Processing Checklist.

The archival research collections are organized according to the two basic principles of archival control, provenance (*respect des fonds*) and respect for original order (*l'ordre primitif*). These two principles ensure the preservation of the full informational and evidential value of a collection.

PROVENANCE

Materials from a given source are not mingled with materials from another source. Maintaining collections by provenance preserves the archival integrity of the collections and helps ensure that a document's origin is unquestionable and that collections are complete.

Materials with no clear provenance may be interfiled into artificial subject collections created by the repository.

RESPECT FOR ORIGINAL ORDER

Collections with an order developed by its creator are kept in that order. Maintaining collections in their original order preserves the contextual information captured in the interrelationship between the records; that contextual information complements the information in the contents of the records. Although the processor or researchers may believe another organization might be easier to use, a different order would change the contextual relationships between materials, destroying existing meanings and creating new, artificial ones. If the original order has been disturbed, the processor should attempt to reconstruct the original order.

If the collection shows no evidence of original order, the processor may impose an order on the materials. Materials with an imposed order will typically be organized to facilitate description and access by bringing similar materials together.

Whenever the processor makes any significant changes in order, either significant reconstruction of original order or the imposition of order, a note to that effect should be included in the finding aid.

Items within a collection are numbered sequentially to reflect their intellectual order. When size or preservation needs demand that the materials be stored in a different order (e.g., nitrate negatives in a freezer, glass in special containers), sequence designations are used after the number to reflect the different location. The materials are stored in numerical order within each location.

Whenever the processor stores materials outside the original order, a note should be placed in the materials original location. A note should also be kept with the material indicating its original location, unless the original location can be determined from the call number.

Many collections contain both papers and photographs. Often the photographs form a separate series with their own internal order. Other times, the photographs have a contextual relationship to the surrounding documents. Photographs with a contextual relationship should be kept with the documents when preservation does not demand their being stored separately.

Photographs lacking contextual relationship to surrounding materials may be gathered into a separate photograph collection for that provenance without need to make individual tracing notes; make a single note in the processing file.

4.1 DETERMINE BASIS OF ARRANGEMENT

Check the collection for existence of original order. Clues include file dividers, envelopes, negative numbers, date, or file headings (e.g., names, subjects).

4.1.1 ARRANGEMENT BY ORIGINAL ORDER

Collections frequently contain several series, each with its own order. Identify the different series, and within each series identify how the materials are arranged. Typical arrangements include alphabetical by folder headings (names or topics), by date, or by a code (a sequential number or classification code).

In some instances, only fragments of original order may remain. Identify as many series as possible, and within each series identify how the materials are arranged. Note if the remaining, unordered materials can be organized into the existing series and under what headings they will be arranged; if the remaining, unordered do not fit well into the existing headings, propose a separate artificial series and the order of headings under which the materials will be arranged.

4.1.2 ARRANGEMENT BY ARTIFICIAL ORDER

If the materials appear to have no original order, draft a proposed organization of series headings. Typically, only large collections merit extensive use of series and subseries to help facilitate description and access. Arrangement of very small collections is generally considered unnecessary; an organization will not help speed a patron through ten or twenty items.

Organization should be based on an intellectual aspect of the materials, such as date, location, subject, or some combination. Date arrangement can show the development of the collection. Geographical orientation is often appropriate for regional history collections. Organization by a physical characteristic such as format is usually of greater value to the archivist than the researcher, though separate, parallel arrangements for different formats is not uncommon (e.g., collection arranged by subject but negatives and prints stored separately).

Creating a few groups of similar materials will facilitate description; writing a single group description is faster (and easier for patrons to interpret) than writing many item descriptions. The choice of groups should be based on the collection's research value to the Heard Museum. For example, organizing a collection of Native American portraits by tribe would be more useful for access here at the Heard Museum than organizing them by gender.

4.1.3 ARRANGEMENT OF PRINT/NEGATIVE PAIRS

Organizing prints and negatives is one of the biggest challenges in photographic archives. Few collections are received with prints and negatives already collocated; matching prints and negatives can take an enormous amount of time. Prints and negatives have different storage requirements. Prints from a roll-film negative with several images may not be stored in the same sequence they appear on the negative.

The most effective approach to the arrangement, numbering, and housing of a collection of prints and negatives depends on the specifics of the collection. Use your judgment in selecting one of the following strategies.

4.1.3.1 PRINTS AND NEGATIVES NUMBERED THE SAME

Using a single number to refer to both print and negative simplifies intellectual control; a letter suffix can distinguish the print (and any variants) and negative. Make a note on numbering in the finding aid. Example:

Note: Prints and their corresponding negative share the same item number; the print and negative are distinguished by a letter following the item number. Unless otherwise noted, prints and negatives are both available. Negatives housed separately in cold storage; access to negatives by appointment only.

Contents:

Sunset : photograph RC 45:1

Landscape : photograph RC 45:2

Note: Print only.

Mountain scene : photograph RC 45:3

4.1.3.2 PRINTS AND NEGATIVES NUMBERED DIFFERENTLY

Small collections or those that can be placed in order with only a moderate amount of work may be ordered and then numbered as above.

In some cases it is impossible or impractical to collocate prints and negatives; for example, the original order may differ for prints and negatives. In these cases, the prints and negatives should be numbered separately; it may be desirable to organize the prints and negatives into two series. The finding aid should contain an appendix that cross-references the call numbers for prints and negatives. Make a note explaining the organization and numbering, with reference to the cross-reference. Examples:

Prints	Negatives
RC 99 (1) : 1	RC 99 (2) : 43
RC 99 (1) : 2	RC 99 (2) : 23
RC 99 (1) : 3	RC 99 (2) : 1
RC 99 (1) : 4	RC 99 (2) : 16

Note: Prints and negatives were received and kept in separate series, each with their own order. An appendix to this finding aid cross-references call numbers for prints and negatives.

4.2 REVIEW BASIS OF ARRANGEMENT WITH ARCHIVIST

Before making any changes to the order of the materials, present your findings to the Archivist for review with recommendations to reconstruct original order or to impose order. When confronted with a collection that lacks a clear order, consult frequently with the Archivist to ensure that an existing order is not overlooked or that a system used for an unordered collection is effective.

4.3 ARRANGE THE MATERIALS

Physically arrange the materials in their proper series and in the proper order within each series. If you impose an order onto all or part of a collection, label each group of materials with the heading you have established for that group; the most effective technique is to folder the materials and write the heading on the folder.

For large collections with many series or folder headings, you may wish to create a preliminary inventory database to assist in sorting the materials. Create a database with the following fields:

Received order (box/folder or other sequence)

Folder heading

Series

Subseries, if any

Revised order

Enter the received order and folder heading for each unit, and assign the series and any subseries headings from the outline. After data entry is complete, print the database sorted by series, subseries, and folder heading. Pulling folders from the received order in this sequence should result in the correct organization. Converting the sorted database list to a word processing file can serve as the basis of the contents list when writing the finding aid.

During processing, keep boxes labeled with their contents while arranging materials to prevent confusion. Mark the contents in pencil where the permanent label will go. "Hiding" temporary marks under the permanent label preserves the box's appearance.

4.4 WEED THE MATERIALS

A collection may contain a variety of materials which do not add to its research value. Weeding can take place at several points during processing. In general, most weeding is done during between arranging and numbering the materials. Series, folders, and larger groups of materials which clearly will not be kept may be withdrawn from the collection during accessioning or before arrangement. Items are typically withdrawn as part of arrangement.

4.4.1 APPRAISAL FOR WEEDING

Weeding requires the appraisal of each item. The following gives general guidelines for appraisal of common materials. In all cases, review your appraisal of the materials with the Archivist.

- Containers which have no information may be disposed of immediately.
- Containers bearing information of value should be evaluated. Dates, folder headings, and other rudimentary information may generally be transcribed into the finding aid and the container disposed of. Notes or other information by the creator which comment on the materials should be retained. The information may be retained by including the original container (or an acid-free copy) with the materials in the archival folder. If the information is transcribed into the finding aid, the originals (or a copy) are kept with the materials as a check against errors.
- Duplicates beyond a second copy may be weeded if a significant amount of space is gained. Be sure the materials are true duplicates and not near variants.
- Blank forms and blank paper may be disposed of immediately. Keep two examples of any form.
- Badly deteriorated materials may be disposed of after the best possible copy has been made.
- Materials that clearly come from another source and have no relationship to the collection may be withdrawn from the collection and evaluated for retention in another collection or disposal.

4.4.2 DISPOSAL OF MATERIALS WEEDING FROM COLLECTION

Materials withdrawn from a collection should not be disposed of until after processing is complete. After processing, review the materials weeded from the collection; the knowledge gained during processing may result in a reappraisal. Make a brief description of the materials that are being disposed of in the finding aid.

4.5 NUMBER THE MATERIALS

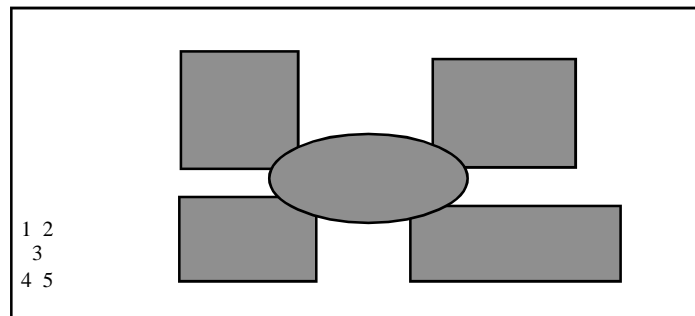
Once materials are in their correct order, materials should be numbered. See Appendix 3 for instructions on constructing call numbers.

Folders within manuscript collections are numbered as though they were items; if necessary, contents of a manuscript folder can be numbered as though it were a part. Individual photographs should be numbered as items. Albums are numbered

as items, with their contents numbered as parts. Items (and folders) are numbered sequentially within a series, not within a box.

Write the call number on each photograph using a number two pencil; use a 6B pencil for resin-coated prints that do not take a mark from a number two pencil. The call number should go on the lower left edge of the back of the print; if that space is not available, use the first available space of the following: lower right, upper left, upper right, anywhere on the back, non-image area of the front, or on the storage container. Never mark the image area.

Albums should have the collection, any series and subseries numbers, and the item number marked inside the front cover by the gutter. Part numbers should be marked in the lower gutter; if a page contains several items, diagram the numbers in the gutter.



For artifacts which cannot be marked without defacing them (negatives, transparencies), write the call number on the paper enclosure.

Without a conservator's training in specialized techniques, archivists are limited to preventing damage and deterioration by providing an appropriate storage environment and protecting the materials during use. Housing stabilizes collections for long-term storage and use in the reading room. Unfortunately, an untrained archivist can do virtually nothing to reverse existing damage.

The majority of materials require only minimal housing; photographs and fragile paper materials are sleeved in polyester (Mylar), and acidic folders and boxes are replaced with archival ones. A few types of materials, such as glass and nitrate negatives, are segregated for separate storage, but receive fundamentally the same minimal housing.

A small portion of materials require special housing, typically because they have already suffered a significant amount of deterioration or damage.

Several general principles should guide housing the collection. Materials should be supported by their housing; an object should not support its housing. Folders should not be allowed to slump in document boxes. Edges of the materials should not extend unsupported over smaller prints when stored in flat boxes. Materials should not be compressed by the weight of many other items in a large stack in a flat box or by too many items placed in a document box. Boxes should protect their contents from the weight of other boxes placed on top.

Folders and boxes may be buffered. Envelopes or other enclosures in intimate contact with photographic emulsions should be non-buffered; enclosures for manuscript materials should be buffered.

Materials smaller than 8.5 by 11 inches should be placed in letter-sized boxes. Materials may be placed in a smaller box when an entire run of call number will fit the smaller box; e.g., a collection of postcards.

The following procedures should be thought of as guidelines rather than as exact rules. Items that require special handling or storage considerations must be dealt with on a case-by-case basis. Be alert for any potential problems, and consult with the Archivist.

Generally, doing one step at a time increases efficiency and accuracy. However, you may feel that it is more appropriate for a given collection to perform some or all of these steps simultaneously. As with any exceptional situation, good judgment should prevail.

5.1 SLEEVE THE ITEMS

Photographic prints should be placed in polyester sleeves. Unmounted photographic transparencies and negatives should be sleeved in polyester and then in a paper envelope; alternately, these materials may be placed in polypropylene pages. Mounted photographic slides (35mm) should be placed in polypropylene slide pages.

Manuscripts should have any fasteners removed; multipage documents may be kept together by creating a lightweight folder of legal size, archival paper. Manuscript leaves are typically not sleeved unless they are particularly fragile or are damaged. Manuscripts requiring special housing are sleeved in polyester.

5.1.1 CULTURALLY SENSITIVE MATERIALS

Materials depicting or describing subjects of a culturally sensitive nature, such as sacred rites or funereal remains, should be sleeved in an opaque (paper) envelope to prevent casual viewing by individuals not initiated to view those subjects out of context. The enclosure should bear the notice "Culturally sensitive materials" and indicate who may appropriately view the materials or the nature of the photographs..

5.2 SUPPLEMENTAL SUPPORTS AND SPECIAL PROBLEMS

Albums combine photographs, acidic paper, adhesives, and other materials, making them some of the most difficult objects to house. Frequently the only thing to be done without a conservator is to box the album. If prints can be easily removed, do so and sleeve each print in polyester; store the empty album with the prints. If the prints cannot be removed, but the album has a string, clip, or post binding that is easily disassembled, do so and sleeve each page in polyester; store the album covers with the pages. If an album cannot be disbound, attempt to interleave the pages with polyester or interleaving tissue cut to the same size of the page, but do not add so much interleaving that the binding will be stressed. Albums are typically stored in flat boxes to reduce stress on the binding.

Photographs mounted on heavy board are frequently brittle and warped. These prints need additional support to protect them from the weight of surrounding documents pressing them flat or accidental bending during use. If they are relatively flat, the polyester sleeve may be taped directly to a board for support; the tape is on the outside of the sleeve. If the item is significantly warped, you will need to build a sink mat for it with a polyester sheet covering the image. Store only one mounted item per folder.

Passpartout mounts were commonly used by commercial portrait photographers during the first half of the twentieth century. These mounts are often designed like a folder with a window inside for the photograph; some unfold to form a stand. These mounts are made from highly acidic board; they often carry the name of the photographer and may be very ornate. When the photographs is not adhered to the mount, remove it and sleeve it. Number the mount with the same number as the print plus the letter "A" (e.g., RC 14:1 and RC 14:1A), then store it in a separate folder behind the print. If the print cannot be removed from the mount, place a sheet of polyester in front of the image to protect its surface. Do not place the mount in polyester.

Oversized materials should be stored flat. Brittle materials that have been folded or tightly curled typically need to be treated before being flattened; do not attempt to flatten these materials without consulting with the Archivist.

Photographs and fragile materials should be sleeved in polyester. A photograph that is relatively flat should also have a piece of two-ply mat board enclosed within the sleeve or the sleeved photograph should be mounted on a piece of board. Photographs with a significant degree of warping should be placed in a sink mat; the mat will protect the image from the weight of other images stored on top of it.

A variety of methods can be used to help preserve and protect materials. For example, lantern slides may be copied onto 35mm slides for patron use to minimize risk to the originals by keeping them in storage. Fragile newspaper clippings can be copied onto archival paper. If you feel materials would benefit by a procedure not described in this manual, please suggest it to the Archivist.

5.3 SEGREGATE MATERIALS FOR SPECIAL STORAGE SEQUENCES

Glass, nitrate and acetate base, and oversized materials are stored in their own sequences to accommodate their special storage requirements. The materials are stored in call number order within each sequence.

Pull any materials kept in special storage sequences. Append the sequence designation (/g, /c, /f) to the end of the call number on the item. Any materials that will not fit in one of the established sequences due to extreme size or other condition should have the call number adjusted to indicate its special storage (/odd); consult with the Archivist and Collections Manager for an appropriate storage location.

Place the item in the correct sequence.

When material is housed outside the general sequence, place a withdrawal note in the general sequence with the following information:

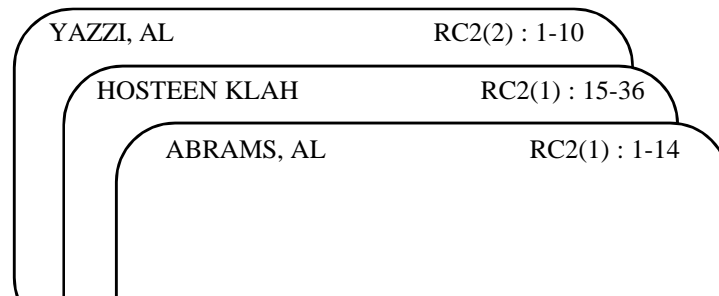
- Call number
- Materials housed in [name of sequence or exact location]

5.4 FOLDER THE MATERIALS

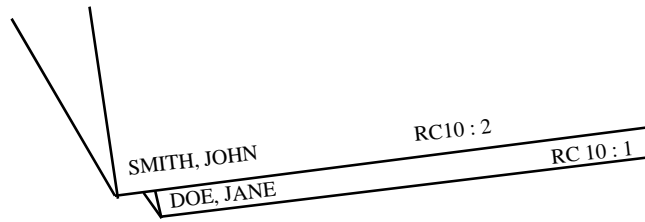
Materials should be placed in acid-neutral folders. Materials kept in cold storage are “folded” in sealed, foil-lined freezer bags; procedures referring to foldering, when applied to materials kept in cold storage, should be interpreted as sealing in freezer bags.

Folders should contain no more than a half inch of materials. If the original folder is overfull, place its contents in several folders; append a sequential number to the heading and modify the original folder’s number with a letter to indicate its parts.

Any existing heading should be transcribed exactly to the new folder in the left corner. Supplied headings used in sorting may be revised at this point, or they may revised during description. The call numbers for the contents of a folder should be noted in the upper right corner. Formal description will include form of materials and date statements; these descriptive elements need not be included in the folder headings unless it would help distinguish similar materials or add to clarity. Examples:



Folder oversize materials kept in flat boxes in folders cut to the box size. Folders for oversize materials should have any heading on the lower left and the call number written on the lower right at the crease, with the crease stored toward the drop front. This allows one to see the contents of each folder easily.



5.5 BOX THE MATERIALS

Materials smaller than 8.5 by 11 inches should be placed in letter boxes. Materials may be placed in a smaller box when a sequential run of call numbers can be more efficiently stored in the smaller box; e.g., a collection or series of postcards.

Oversize materials should be placed in the smallest standard-size possible; common sense will dictate when a few smaller prints may be stored with a larger quantity of related materials of a larger size. Unmounted oversize prints not needing any special support should be placed in a polyester sleeve; several may be placed in a single folder. Oversize items that are delicate or have fragile mounts should be placed in a polyester sleeve taped to a support board; if the item is exceptionally thick, place it in a sink matt.

5.6 SHELVES THE MATERIALS

As soon as the materials are housed, place the materials in the stacks. In the accession record, change the location from the collection's original storage location to the collection number, which indicates its current location.

Effective description enables researchers to identify materials potentially relevant to their research and to select those materials most likely to be useful. A variety of tools work together to achieve this purpose. A repository guide summarizes at the collection level the all the museum's holdings. The catalog provides access through tracings for a variety of headings. Finding aids for each collection describe the context of its creation and its organization and contents. Each of these tools may point to other indices, registers, or other tool received with the collection or developed by the repository for improved access.

Collections are described hierarchically, beginning with the collection as a whole and followed by descriptions of the series, subseries, folder headings, and finally each item. Information common to all component parts is included at the highest appropriate level. Information need not be repeated at a lower level unless that repetition adds to the clarity of the description. However, information is *traced* in the catalog (a subject heading applied) only at the highest appropriate level.

The *Guide to Documentary Research Collections at the Heard Museum* contains descriptions of every collection. These broad descriptions of the collections as a whole provide a “bird’s-eye view” of the materials. The *Guide* is intended to help researchers locate relevant collections through broad associations between their topic and the descriptions. Because the collections are so large, researchers will use a finding aid to aid in selecting those portions of a collection to view.

Finding aids provide a more detailed description of the collections in terms of their organization: series, sub-series, and folder headings; in some instances, each item may be described. After identifying potentially relevant collections based on the descriptions in the *Guide*, researchers can determine which series, subseries, or folders of a collection are likely to be relevant to their research based on the descriptions of those components in the finding aid.

For example, a researcher wanting to find a portrait of Geronimo might check Curtis' *Indians of North America*. Consulting the finding aid, the patron would find the collection organized by tribe. The patron would then ask for the portion relevant to Apache Indians.

Self-indexing collections may be summarized in abstract terms rather than repeating each heading. For example, “portraits arranged alphabetically by name of sitter.” In this case, the patron would ask the staff member for the box containing the range of headings that would include the desired subjects.

Every collection has a finding aid. In addition to aiding in the selection of materials, the finding aid may contains important information about a collection, such as credit line, restrictions, provenance, and important notes on the processing of the collection. Including this information in the finding aid precludes pulling the Acquisitions and Collections files, which may contain restricted information.

The *Documentary Research Collections Catalog* provides access by artificial headings assigned by the processor. The catalog provides access to provenance and other agents responsible for the creation of the collection (e.g., photographers within a collection), formal titles, places, and subjects within a collection. The *Catalog* also includes limited access to important genres and physical characteristics of the materials.

The *Catalog* collocates descriptions of materials relevant to the heading. The materials described under a given heading may be a collection, a series, folder, or item. Patrons should move from citations to a collection or series to the finding aid for that collection to refine their request for materials to be pulled. Patrons discovering citations for folders or items may generally skip consultation of the guide and request materials based on the catalog citation; however, consulting the finding aid should be encouraged to help the patron locate related materials and understand the context of the materials request.

Any citation in the *Catalog* must have its heading justified within the description. The description must include some information that indicates the relationship between the heading and the materials.

The decision to describe a collection at the collection, series, folder, or item level should be made jointly with the Archivist.

No list of procedures can completely capture the traditions of effective description. Look at existing finding aids as models, and discuss strategies for description with the Photograph Archivist.

These procedures are designed to be used with the Research Collections database. The database then produces different access tools: the finding aid, repository guide, and the catalog. However, the finding aid may be written manually on paper and then entered into the database; if a word processor is used to create the guide, it may be possible to import the information into the database.

6.1 ELEMENTS OF DESCRIPTION

The following elements are combined in the various parts of the finding aid, repository guide, and catalog descriptions of the research collections. The elements are based on *Archives, Personal Papers, and Manuscripts*. Unless otherwise noted, definitions are based on those found in the current edition of Anglo-American Cataloging Rules.

6.1.1. MAIN ENTRY

The main entry indicates the entities principally responsible for the materials being described. For archival collections, the main entry is the provenance of the *collection*. In choosing the main entry always consider the organic relationship of the collection as a whole, rather than the individual elements. Two examples:

- A collection of letters, reports, and records from the Fred Harvey Company may all be written by a single individual, but the company is responsible for the collection as a whole.
- In describing a *collection* of books as an organic whole, consider who created the collection rather than the authors of the books. If the key element is the creation of the collection, prefer the collector over the author.

Other entities responsible for the collection will be traced as added entries.

6.1.1.1 ENTRY UNDER PERSONAL NAME

If the responsibility for a collection is an individual, use the authority form of that individual's name as the main entry. Note: a collection of works by an individual which was not assembled by that individual would typically be placed under the name of the collector; if the collector is unknown, make the main entry under the name of the author.

If the individual is working for a corporation and the records are of that corporation, use the corporation as the main entry.

For a collection created by more than one individual working together, use the most prominent as the main entry, making an added entry for the remaining individuals. If the individuals are working together under a name (formal or informal), follow the rules for Entry under Corporate Name.

6.1.1.2 ENTRY UNDER FAMILY NAME

For a collection which consists of the papers of a family, use the family name as the main entry. Prefer the name by which the family is best known. If the family name reflects multiple lineages, combine the family names with a dash (--).

6.1.1.3 ENTRY UNDER CORPORATE NAME

For a collection which consists of the records of a group, agency, or corporation, use the name of the entity as the main entry.

6.1.1.4 ENTRY UNDER TITLE (UNIDENTIFIED PROVENANCE)

If the provenance of an organic collection is unknown, the title serves as the main entry. The main entry tags and field in the Description database is left blank.

6.1.1.5 TOPICAL AND ARTIFICIAL COLLECTIONS

Many collections are assembled by an individual other than the entity which created them, and the repository may choose to group single items together into a topical collection. These materials do not reflect an the original order of their creator, although they typically reflect an order imposed by the compiler.

6.1.2 TITLE AND STATEMENT OF RESPONSIBILITY

The title and statement of responsibility functions principally as a formal citation to the materials. In an archival catalog the title and statement of responsibility is also the first and most basic level of description of the materials; it should capture the most essential aspects of a collection so that a patron has some sense of the materials independent of other notes.

The title and statement of responsibility should indicate the entity responsible for the creation of the materials as a whole or whom the materials center around; a "descriptive modifying term or phrase (e.g., reflecting function, activity, subject area, location, or theme);"² and the dates of the materials. Because the extent is reproduced in citations, including the form of materials in the title is generally redundant.

In general, follow the order provenance, title, other title information, dates, and nature and agent of responsibility. Rather than relying on a rigid formula into which descriptive elements are inserted, consider the most effective strategy to capture the information in a terse expression. For example, if the provenance is used as a descriptive title of a collection, a statement of responsibility naming the

²APPM, 1.1B4.

provenance may be dropped; or the provenance may be dropped from a descriptive title if it makes more sense as a statement of responsibility.

6.1.2.1 TITLE PROPER

The title proper is the chief name by which a work is known, including any alternative title, but exclusive of parallel and other title information.

The majority of archival materials do not have formal titles, especially at the collection and series level. Many individual and collections of art works as well as published images have formal titles, and folders headings may be considered a formal title.

Any existing title should be transcribed exactly as to wording, order, and spelling, but not necessarily to capitalization or punctuation. See Appendix 4 for rules regarding transcription and interpolation of existing titles.

In the absence of a formal title, the cataloger should supply a terse, descriptive title which indicates the character of the materials.

Transcribed titles or headings may be augmented with additional information supplied by the processor. Build on any existing title or heading, supplying information about subjects and dates of the records and the individual or agency responsible for the creation of the records.

- Personal and family papers often have no clearly defined topical subject, but reflect the many events and activities of their creators' lives. The records provide indirect information about the creator, and thus the provenance is fundamentally the subject.
- Corporate records, like personal and family papers, often contain diverse information resulting from the corporation's many activities. However, a corporation may have a clear function that should be brought out in the title. Example: Fred Harvey Company sales and management records, 1898 - 1957.
- Correspondence may be letters to or from a specific, or a combination. Titles should indicate both the sender and the recipient, either by name (for individuals) or by class (for many individuals). Example: Fred Harvey Indian Department : customer and internal correspondence, 1901-1910.

Examples:

- Native American portraits, 1938 - 1967 / by Barry M. Goldwater.
- Fred Harvey Company Indian Department : general correspondence, 1910.
- Fred Harvey Company corporate records, 1898 - 1957.

6.1.2.2 OTHER TITLE INFORMATION

Follow the title proper with any supplemental information indicative of the character, contents, etc. of the material being described, or the motives for, or occasion of, its production or publication. The term includes subtitles, but does not include variations on the title proper found elsewhere.

Other title information may follow folder titles; however, do not treat series or subseries as titles with the folder heading as other title information.

Transcribe other title information as to wording, order, and spelling, but not necessarily as to capitalization or spelling. Other title information is separated from the preceding title proper by a space-colon-space.

6.1.2.3 DATES

Note the date of the materials' creation. Separate the inclusive dates from the preceding title or other title information with a comma-space.

If the material has a known date of copyright, note that date after the date of creation; separate the two elements with a comma. Use a lower-case 'c' with no intervening space to indicate the date is a copyright.

If the majority of materials date from a significantly smaller period of time, indicate the bulk dates in parentheses after the inclusive date. Always precede the bulk dates with word or phrase indicating the nature of that date.

If no date exists, attempt to supply a meaningful estimate of the date of creation. Use the subject matter, physical characteristics, and context as clues for dates. If a date can be estimated between plus-or-minus five years, indicate the estimated with the prefix “ca.”

Represent the en dash between dates with a space-hyphen-space.

Examples:

- 1912.
- 1905, c1907.
- 1889 - 1920.
- 1876 - 1954 (bulk 1920 - 1934).
- 1880 - 1922 (most dated 1919).
- ca. 1925.
- 1918 - ca. 1930.

6.1.2.4 NATURE AND AGENTS OF RESPONSIBILITY

The statement of responsibility is a terse phrase indicating the role of individuals or agencies principally responsible for the creation of the whole of the materials at hand, including its intellectual or artistic content, its collection, or from whom the materials emanate. Do not attempt to list every creator associated with a collection, but indicate only those who are significantly responsible for the creation of the collection itself.

Like titles, most archival collections do not have a statement of responsibility; however, a statement of responsibility frequently appears on individual and runs of art works or published images. Transcribe any existing statement of responsibility. If the nature of the agent’s relationship to the material is unclear, supply a word or short phrase indicating this relationship.

In the absence of a statement of responsibility, supply one indicating the principal agents with a word or phrase indicating the nature of their relationship to the materials. Supplied statements of responsibility should be terse; if a collection has many agents, use an abstract concept describing the group and make a detailed note listing the agents.

Statements of responsibility should be transcribed exactly as to wording, order, and spelling, but not necessarily as to capitalization or punctuation. Precede the statement of responsibility with a space-slash-space. Place any supplied information within square brackets.³

6.1.3 STATEMENT OF EXTENT

The primary statement of extent describes the number of items within the collection and the shelf space occupied by the collection. An item is intellectually discrete, although it may be made up of several physically discrete pieces; e.g., a multi-page letter, an album of photographs, a scrapbook containing clippings and ephemera. Follow the number of items with the shelf space occupied by the materials measured in linear feet; collections larger than one foot may rounded to the nearest foot, and those smaller than a foot should be expressed in tenths of a foot. Note an estimated number of items or volume with the abbreviation “approx.”

Optionally, the primary statement of extent may include other physical details common to the majority of materials described. Other physical details includes

³The use of a supplied statement of responsibility is not supported by AACR2 or its related standards, and this rule may be revised to conform with AACR such that the information regarding responsibility would be entered into a specially formatted local note so that it can be displayed with the title as a complete bibliographic citation.

aspects the media (type of material or process); the presence of illustrations, maps, or other graphic items within a textual collection.

Optionally, the primary statement of extent may describe the dimensions of the materials. If the materials are more than one size, note the predominant size or the maximum size. Moving image materials are described in terms of time. Measure height before width. Measure materials in centimeters, unless the materials are a standard size typically expressed in inches.

For complex collections make a note expanding on the primary statement of extent, providing a more complete description of the physical characteristics of the materials.

Examples:

- 631 photographic prints (3 l.f.) ; 8 x 10 inches or smaller.
- Approx. 1,700 items (4 l.f.) : typescripts, maps ; 8.5 x 11 inches.
- 24 v. (2 l.f.) : holograph diaries ; most 12 x 8 cm.
- 1 videotape (.1 l.f.) : VHS ; 60 minutes.

6.1.4 NOTES

Although this section lists a wide variety of notes, a collection would seldom require each note; the few notes that are required are indicated in the description of the note. Consult *Notes for Catalogers: A Sourcebook for Use with AACR2*,⁴ APPM, and *Graphic Materials* for examples of a wide variety of notes. Instructions for notes stressed in description at The Heard Museum follow.

A note should be made only when it documents important information about a collection, when it clarifies the description of the materials, or when use of the materials deviates from standard procedure.

A note should be made at the highest level of description which applies to all descendant components.

Begin each note with a label indicating the content of the note. Consistent use of note labels will allow the contents of the note to be mapped to the appropriate USMARC tag.

Notes several functions: they provide expanded description of the materials, they document policy on use of the materials, and they record important collections management information. Descriptive notes are entered into the scope, contents, and general note fields in the descriptive database. Notes regarding use of the collection are entered into the access field of the descriptive database. Notes containing collection management information are entered into the curatorial notes field. Only the curatorial notes field is restricted from public view; all confidential notes should be entered into that field.

6.1.4.1 BIOGRAPHICAL NOTE/ADMINISTRATIVE HISTORY

Make a brief note about the creator of the records which will aid in their interpretation. This note should not record every aspect of an individual's life, but only those aspects relevant to the materials held by the museum. Notes need not repeat information about an individual which is common knowledge; in judging what is common knowledge, remember that individuals outside the state and unfamiliar with Native American culture will be reading these records.

Information to consider including in a note on an individual include variant forms of name, place of birth, places of residence, occupations, significant accomplishments, and profession. For Native Americans, always attempt to record their tribal affiliation. For corporate bodies, considering including the organization's

⁴Florence A. Salinger and Eileen Zagon (White Plains, N.Y. and London: Knowledge Industry Publications, 1985).

mission or function, dates of formation and name changes, and administrative hierarchy with names of prominent administrators.

The note may include references to more complete biographies.

6.1.4.2 SCOPE

Make a note describing the general nature of the materials, indicating their general contents (the range of subjects), their scope (the depth to which those subjects are covered), and any genre of the materials.

In general, the scope note should describe those aspects that are common to all the materials being described; descriptions of aspects limited to only some of the components will be brought out in descriptions of those components. However, if the components are not to be described at a lower level, prominent details may be included in the scope note.

Note agents of responsibility not mentioned in the title area of the material being described or the title of any larger division (series, subseries, folder) to which the material belongs. Specifically name photographers, artists, and correspondents, especially Native Americans. If the list is long, attempt to describe those agents in terms of an abstract concept.

Note names of individuals who are described or whose activities are the subject of the records. Note the activity or action of the agents or of subjects, the object of their action, and the results of their action.

Note the dates of the subject matter. Word the information carefully to distinguish this information for the dates of the creation of the materials at hand; do not assume patrons will know that dates before 1826 cannot be the date of the photograph's creation. The dates may be a named period of history or specific dates. For example, Photographs of Civil War battle sites or Jurassic period fossils.

Indicate the principal locations described. If many locales are represented, name the larger political or regional body; if a few places predominate among the many locations, those places should be named as well.

6.1.4.3 CONTENTS

Descendent components may be described tersely within a contents note. A contents note is often more effective than making a separate description for each component. The component descriptions generally are not exhaustive, but bring out only essential information; they may be a list of titles or photographers or may record particular information about a specific component.

A contents note may include a complete or a partial listing of the components. Begin with the call number for the components being described, a full stop, space, and the description. Separate each description with a space, dash, space. End the note with a period.

Examples:

Dixon family : photographic prints, ca. 1900.

Contents: 202. William, Jr. -- 203. Mrs. Dixon -- 207. Buster.

Hays County : photographic prints, 1896-ca. 1950.

Contents: 23. County courthouse, 1890, San Marcos -- 24. Buda city hall, ca. 1800 / by Paul Montgomery.

6.1.4.4 EDITION

Copies of the same item from the production sharing similar physical characteristics and date of creation. Distinguish if the item is a facsimile edition, a re-strike, a reprint, or a later print. Note if the item is from a numbered edition, including the number and the size of the run. Note:

- Carbon copies are considered the same edition of the typescript master.

- Photographic prints made from the same negative are considered different editions if made at significantly different times. Prints made at approximately the same time as the negative are called “vintage” prints; prints made significantly after the negative are called “later” prints.

6.1.4.5 EXTENT

For complex collections containing many types of materials, make a note expanding on the Statement of Extent. Specifically, note the following processes and formats:

- stereographs
- cartes-de-visite
- cabinet prints
- Cirkut panoramas
- mosaic panoramas
- mammoth prints
- daguerreotypes
- cyanotypes
- ambrotypes
- tintypes

Examples:

- Hand-colored gelatin silver photographic print.
- In gilt, gutta percha frame.

6.1.4.6 RELATED MATERIALS

Cite published works, collections, or other materials which pertain to this collection or would be useful to researchers. Make any explanatory note necessary. Examples:

- Ryder Ridgway Photographs, Department of Manuscripts, Arizona State University Libraries. Contains extensive mining photographs.
- Barry Goldwater Photographs, Center for Creative Photography, University of Arizona.

6.1.4.7 PROVENANCE / IMMEDIATE SOURCE OF ACQUISITION

Make a note tracing the ownership of the materials from their creation to their receipt by the repository. Use a phrase describing the role of a donor who requests anonymity; e.g., “private collector” or “dealer.” Include the accession number in this note. Examples:

- Assembled as a private collection by Tom Southall and donated to the Heard Museum on his death by his children. Accession RC94-1260.
- An artificial collection purchased from a dealer. Accession RC92-1035.

6.1.4.8 ARRANGEMENT

Always make a note indicating if the materials were organized by the repository or if the order has been significantly revised during processing. Examples:

- Materials were received with no apparent order; they were organized in subject-date order during processing.
- Materials were received in poor order; a large portion of the files were in not in the existing subject series. When possible records were placed in existing series; the remaining records were placed in series devised by the archivist during processing and are noted as archivist’s series.

If appropriate, make a note describing the organization of the materials (the principle which defines the components) and their arrangement (the order of those components). This note can be used in lieu of an extensive contents note for self-indexed collections to expedite processing. Examples:

- Arranged alphabetically by name of sitter; include names in request for materials.
- Arranged chronologically; include dates in request for materials.

6.1.4.9 RESTRICTIONS

The restrictions note describes limitations on access, use, or other special conditions; restrictions due to copyright, including publication, reproduction, or exhibition are included in the copyright note.

The section for Restrictions always includes the following standard note at the collection level in the finding aid:

Patrons must obtain written permission from The Heard Museum to reproduce or publish reproductions of its holdings. Images must be reproduced in their entirety; images may not be cropped, overprinted, printed on colored stock, or bleed off the page. The Heard Museum reserves the right to examine proofs and captions for accuracy and sensitivity prior to publication with the right to revise if necessary. The Heard Museum reserves the right to refuse any request and to impose such conditions as it may deem advisable in the best interests of the Museum.

A complete statement of restrictions is contained on the Conditions for Photographic Services Request. A signed copy of these conditions must be on file when orders for reproductions are taken.

Collections which contain culturally sensitive materials (reproductions of sacred rituals or objects, funeral remains) should contain the following note:

This collection contains culturally sensitive materials. These materials are housed in opaque enclosures to prevent their casual viewing; the housing has a note identifying the materials as culturally sensitive.

These materials were frequently made without the informed consent of the individual or groups represented. Many native peoples feel these materials are an invasion of their privacy and a violation of their tradition.

The Heard Museum encourages patrons to respect the cultural traditions and to comply with the guidelines for viewing these materials. The Heard Museum reviews all requests to reproduce these images and may refuse such requests if the museum feels it is in the institution's best interests.

6.1.4.10 COPYRIGHT AND REPRODUCTION

Copyright and reproduction restrictions are some of the most complex issues in an repository. Copyright law requires the permission of the owner of copyright when publishing a photograph or document. In addition, the museum requires that its permission be obtained before publications of photographs or documents in its holdings. The rights of copyright owners are based in copyright law; the rights of the museum as owners of the document are based in property law. Patrons may need two separate permissions to reproduce a work.

Few collections are clear-cut, because few collections have a single owner of copyright. For instance, a collection of family photographs may contain photographs from many studios; technically, each studio may hold copyright to its photographs in the collection. Similarly, in a collection of correspondence the copyright belongs to the authors of each letter, not to the owner (recipient) of the letters. Although a deed of gift may transfer the copyright of a collection to the Heard Museum, the donor cannot give copyright to materials if he/she does not own that copyright.

The intent of this note is to indicate who patrons must contact when publishing or reproducing the Heard Museum's holdings and to give information which will facilitate contacting those who may grant permission. Always indicate permissions which must be obtained from the Heard Museum. Identify and indicate how to contact any other known individual or agency whose permission the Heard Museum would require to release a reproduction. If another individual's or agency's permission may be required, but their identity is not known, make a generic statement that the burden of contacting the owner of copyright is the patron's responsibility.

Always include the following standard note:

The patron agrees to indemnify and hold harmless the Heard Museum for any violation of copyright, invasion of privacy, or any other improper or illegal use that may arise from the use of reproductions as detailed in the Request for Reproductions/Application for Permission to Publish form. In the case of works by living artists and/or works subject to the 1976 Copyright Law or the 1991 Visual Artists Rights Act, written permission must be secured by the patron from the artist, his/her agent, or the copyright owner and provided to the Heard Museum before a photograph of the work will be released.

Examples:

- Copyright to the Ansel Adams photographs belongs to the Friends of Photography, Carmel CA 92001. The Heard Museum does not own copyright to other materials in the collection; copyright typically belongs to their respective creators, their estates, or assignees. The Heard Museum advises researchers that it is their responsibility to procure permission to publish reproductions from the collection from the owner of copyright.

[Standard note as given above.]

In addition to the permission of the owner of copyright, any publication, exhibition, or other reproduction of materials held by the Heard Museum requires its permission. Address requests to the Archivist.

- Copyright to the Cliff Bahnimptewa Kachina Doll Drawing belongs to the Heard Museum. Requests to publish, exhibit, or otherwise reproduce these images should be directed to the Archivist.

The Heard Museum does not own copyright to materials in this collection created by other individuals or organizations; copyright typically belongs to the creators, their estates, or assignees. In addition to the permission of the Heard Museum, researchers are advised that it is their responsibility to procure separate permission from the owner of copyright when publishing, exhibiting, or otherwise reproducing these materials.

[Standard note as given above.]

6.1.4.11 ALTERNATE PHYSICAL FORM AVAILABLE

Note if the materials have been reproduced in another medium that is available for consultant in lieu of the original materials; for example, collections which have been microfilmed. Note if access is limited to the alternate form. Examples:

- Full text and all photographs reproduced in accompanying catalog. Access restricted to catalog, except by permission of the Archivist.
- Collection available on microfilm. Access to originals restricted, except by permission of the Archivist.

6.1.4.12 LOCATION OF ORIGINALS

For copy photographs of works held by another individual or repository, make a note of the owner here to facilitate requests for permission to reproduce the copy.

If the donor has requested anonymity, use the note "From a private collection." Make a second location of original note in the curatorial note field (which is restricted from the public) containing the name of the owner.

6.1.4.13 GENERAL NOTES

Make notes, as is appropriate to the material being described, as to the language of the material; the interpolation, transcription, or source of information; variations in title; or other formats available. Make any other note containing useful or descriptive information.

6.2 PRODUCE THE FINDING AID

Production of the finding aid begins with the lowest level of description, the contents list. After each level is written, it is summarized at the next highest level, proceeding in this fashion until the top level (the collection level) is reached.

The finding aid uses an outline format to indicate the hierarchical organization of the collection. Follow the style sheet for finding aids (Appendix 5) in addition to these instructions. Also, check other guides for examples of formatting.

6.2.1 CONTENTS LIST

The contents list contains a terse description of each component of the collection organized in outline form. Note the range of call numbers of the materials described and the component heading. Component headings assigned during arrangement may be revised to ensure that they adequately indicate the contents.

Write a scope note for the component if its contents are unclear from the heading. Make any other notes appropriate for the component; however, notes that would apply to the majority of components should be made once in the note at the higher level.

The contents list follows the format:

call number Title : other title information : form of materials, inclusive dates,
bulk dates / statement of responsibility.
Notes.

The beginning of the title and paragraph wrap should be set to the smallest space necessary to accommodate the longest call number. Subsequent paragraphs for notes should be indented a third of an inch. Series and subseries headings are set in bold. Examples:

RC 19: 226 /f Mary Juan, Maricopa: photographic print, ca. 1955.
RC 19: 227 /f Navajos, Sheep in Snow Storm: photographic print, ca. 1946.
A black-and-white variant of the color image used on the cover of the December 1946 issue of *Arizona Highways*.
Reproduced in *People and Places*.

RC 21 (1) Santa Fe, New Mexico and Vicinity : lantern slides, 1926.
RC 21 (1) : 23 /g Bishop's Lodge.
RC 21 (1) : 24 /g Entry of General de Vargas into Santa Fe, Santa Fe Fiesta.
RC 21 (1) : 25 /g Hotel Green.
Fragile: Broken slide.

6.2.1.1 SCOPE NOTE

Write a scope note for the collection. The collection-level scope note is entered into the Scope field of the Collections area of the Finding aids database.

6.2.2 SUPPLEMENTAL COLLECTION-LEVEL NOTES

Follow the scope note with any collection-level notes as to edition, organization and arrangement, alternate physical form available, or other general note. Enter these notes into the Public Notes field (PubNote) of the Collections area of the Finding aids database.

6.2.3 CONTENTS/SERIES OUTLINE NOTE

Optionally, for complex collections with many series or subseries, make a note summarizing these headings. Enter this note into the Contents field of the Collections area of the Finding aids database.

6.2.4 BIOGRAPHICAL/ADMINISTRATIVE HISTORY NOTE

Enter this note into the Biographical/Administrative Notes field (Bio_Admin) of the Provenance area of the Finding aids database.

6.2.5 COVER SHEET

The cover sheet contains several elements separated by headings. The call number and extent are entered into their respective fields in the Collections area of the Finding aids database; enter the remaining elements into the Cover field of the Collection area of the Finding aids database.

Each of the following sections begins with the heading for that section in bold face, mixed case, and followed with a colon. The note itself begins a new line.

6.2.5.1 CALL NUMBER

Note the call number and collection number (without any indication of the range of parts).

6.2.5.1 EXTENT

Note the primary statement of extent.

6.2.5.2 PRELIMINARY GUIDE BY/PROCESSED BY

Public documentation of the collection made available before a collection is completely processed should use the heading "Preliminary Guide by;" this heading is changed to "Processed by" on completion of processing.

Note your name and title. On the following line, note the date processing was completed. If a collection is reprocessed, make an explanatory note for each processor and the date each stage of processing was completed. Examples:

- Richard Pearce-Moses, Photographic Archivist, January 1994

- Mary Anne Laugharn, Photographic Archivist, January 1992
Additions to collection and description revised Richard Pearce-Moses,
Documentary Collections Archivist, January 1996

6.2.5.4 PROVENANCE

Note the collection's provenance.

6.2.5.5 RESTRICTIONS

Include the standard collection-level restrictions note. Note any other restrictions on access or use of the collection, other than reproduction or copyright.

6.2.5.6 REPRODUCTION AND COPYRIGHT

Include the standard collection-level note on reproduction of materials. Make any additional notes regarding ownership of copyright or reproduction of the materials.

6.2.5.7 CREDIT LINE

Note the credit line.

6.2.5.8 RELATED MATERIALS

Note any materials related to the collection as a whole, citations of materials which were particularly useful when processing the collection, or citations of works which a patron would want to be aware of when working with the collection.

6.3 FILE GUIDES

Place completed copies of the guide in the Collection File and in the Reference Collection in Reading Room.

While the individual finding aids provide a surrogate for searching collections, a patron often has no idea which guide to begin with. In some instances, a title may suggest the broad subject matter or the patron may get a clue from the provenance. However, the provenance and title provide very limited access to the wealth of materials within collection.

The catalog serves as an index to the collections, containing headings for the collection as well as the components of the collections. The catalog points researchers to those collections that may have materials relevant to the heading. While the catalog also points to the location of those materials, it is not intended as a means to side step the use of finding aids. The guides contain significantly more information to aid in the selection of materials than can be captured in the catalog description.

LIMITS OF INDEXING

No catalog can attempt to trace all the information within the repository. A library does not trace every entry in a book's index; an archive does not trace every name or subject in the collections. The catalog is merely a first step. Even when the catalog contains references to a research topic, the catalog cannot be presumed to contain every reference to all materials pertinent to that topic.

Many patrons have the background knowledge and research skills to determine related headings. When the archivist determines that a patron lacks basic information about a topic, the archivist may find it more appropriate to direct the patron to published sources before pulling primary sources. Many patrons are expert in their subject area, but are unfamiliar with use of a catalog or finding aids; in these cases, the archivist becomes an advocate for the patron—combining the expertise of the patron's knowledge and with his/her own skills in using the access tools.

The research collections are indexed along a number of access points, which are described below. A heading within one of these access points is assigned only when the material contains significant information related to that heading.

HIERARCHICAL INDEXING

Collection descriptions are organized to bring out aspects common to the majority of descendent components. While those aspects may be mentioned in descriptions of the components, they are traced at the highest level they are mentioned and not below. Researchers will then use a collection's finding aid to further refine their search.

JUSTIFICATION

Headings may not be applied to a description unless that heading is justified in the description; the heading must have an overt reference in either the formal description or in the notes.

The portion of the description which justifies the heading need not be in the same form as the heading. The best example is a transcribed name which differs

from the authority form used as a heading. In describing a collection, try to choose the authority form when you have a choice of synonyms to make justification more apparent; e.g., prefer the term automobiles rather than cars.

RELATORS

Relators are terms added after a heading which indicate the relationship between the heading and the materials. Relators are typically applied to headings for individuals and corporations, reflecting the role the individual played in the creation of the materials. The use of relators aids in the organization of the catalog by grouping into functional categories the materials associated with the individual or corporation.

See Appendix 6 for a complete list of relators.

CHOICE OF HEADINGS

In general, follow AACR2r and Library of Congress Subject Headings for the form and cross-references for the headings described below. Because of the specialized nature of the research collections, the broad headings developed for the Library of Congress may not be narrow enough to provide appropriate access to the collections. Follow existing local headings, and add new local headings as necessary in consultation with the Archivist.

FORM OF HEADINGS

The most notable exception are geographical headings, which are formed hierarchically, with cross-references from LCNA forms. See Form of Headings in Appendix 4 for local rules on form and cross-references.

7.1 PROVENANCE

Make an entry for the provenance, the individual, individuals, or corporations principally responsible for the creation of the materials. Apply a relator which describes the role of the creator.

If the provenance of a collection is unknown or the collection is artificial, the title serves as the main entry; follow the rules for tracing the title.

In addition make cross-references, if they do not already exist, based on characteristics of the provenance which are justified in the biographical or administrative history note. Such characteristics include occupation, associations, and ethnicity.

Headings for provenance should be considered to be both by and about the provenance; the creation of a collection of work reflects something of the creator's nature.

7.2 OTHER AGENTS OF RESPONSIBILITY

Make an entry for other individuals or corporations responsible for the creation of the materials. Apply a relator which describes the role of the creator.

7.3 TITLE

The majority of archival collections have no title. However, published works and art works frequently do have titles which are useful access points.

7.3.1 FORMAL TITLES

Make an entry for any formal title. Do not make an entry for a supplied title, unless that title is the main entry.

Rare: Make an entry for any name by which the materials are commonly known, even if that title is not a formal title. For example, Paul Strand's *Mexican Portfolio*

7.3.2 TITLE TRACED DIFFERENTLY

Make a heading for any form or variant of a formal title that a researcher might reasonably look under.

7.4 TOPICAL HEADINGS

Topical headings provide access to the information contained in a collection. In book cataloging topical headings are considered to be the subject of the work, what the book is “about.” Within archival cataloging, headings must provide access to more than the subject of a collection. The enduring value of an archival collection may not be limited to its subject, but may include some other aspects. To provide effective links between researchers and the collections, the catalog must provide headings that reflect those aspects.

In selecting headings, looking at the materials from different points of view can be useful. The following questions may be used as a guide. Different collections yield answers to different questions; some questions will overlap. These questions are not intended as a formula to produce headings for every aspect.

- × Agent: Who or what is the motivating force behind the actions described in the materials?
- × Action: What is the agent’s action? What is the agent doing?
- × Object: Who or what is the object of the agent’s action? To whom or what is the agent’s action directed?
- × Result: What has changed as a result of the agent’s actions?

The agent, action, object, or result may not be overtly described or represented in the materials. Rather, their significance may be implied in the materials, which may be the evidence of previous events.

For example, in a photograph of the Great Crush Collision, the agents include William George Crush, a ticket agent for the Katy Line, and the railroad itself. Their action was staging a locomotive wreck as a publicity stunt. The object of their action was the sale of tickets to the some 40,000 people who attended. The result was a disaster, in which two people were killed and many more—including the photographer—were seriously injured.

Not every item of information within a collection can be traced. A diary may recount hundreds of individuals and activities; a photograph may capture in its detail hundreds of objects and places. In selecting headings, consider the potential research value of the materials in relationship to that heading. Similarly, consider the mission of the repository and the needs of its patrons; providing extensive access to the automobiles in a streetscene is outside the mission of The Heard Museum, and, because few patrons would come to The Heard Museum to research automobiles, those headings are inappropriate.

7.4.1 INDIVIDUALS

Make a heading for any persons or family whose lives are documented in a collection in a substantial fashion; e.g., Carl Sandberg’s collection of research materials on Lincoln would trace Lincoln.

Do not attempt to trace every individual named or identified in a collection; trace only those prominent in the collection. When possible, find a broader heading for some characteristics that unify the disparate individuals; e.g., Tempe Union High School Graduates. You may trace an individual not prominent in the collection if the material pertaining to that individual or the individual him/herself is of particular significance.

If the collection reflects the life of the individual or family who created it, e.g. Trustrim Connell’s family photographs, it is not necessary to make a topical heading that effectively duplicates the provenance.

7.4.2 CORPORATE BODIES

Make a heading for any corporation which is documented in the collection, either as the subject of the collection or the records of the company; e.g., the publicity files of the Fred Harvey Company.

Do not attempt to trace every corporation mentioned in a collection. When possible, trace the individual corporations through a broader heading which applies to some unifying characteristic; e.g., oil companies.

A collection created by an organization is assumed to be about that corporation. Do not make a topical heading that effectively duplicates the provenance of a collection.

7.4.3 LOCALE

Documents often contain significant information about a specific place. Although this information may be incidental to a collection's primary value, it has enormous research value.

Although every document is made in some specific place, not every document created at that place is useful for studying the place. The business records of Boston-based Click and Clack's Used Cars may suggest locale preferences in automobiles or they may be limited to corporate finances. Use judgment in tracing locales in a collection.

Do not attempt to trace every locale in a collection. Trace the locales of a collection in terms of the scope of places represented, using the narrowest term that includes all those places. A collection containing information on many places throughout the state of Arizona would be traced for the state rather than for each place. However, if that collection contained extensive information on a few of the many areas, those areas may be traced individually.

Because geographical headings are formed hierarchically, the catalog provides access to the region in which a locale is situated. Entries for works dealing with Arizona as a whole are collocated with narrower for Globe, Flagstaff, Bisbee, Apache Junction, and the Grand Canyon.

Headings for locale may be subdivided by the dates covered by the materials.

7.4.3.1 COUNTRIES, CONTINENTS, AND TRANS-NATIONAL AREAS

If the work pertains to a continent or trans-national region as a whole, make an entry for the continent. If the materials also include substantial information on a country within that continent, make a separate entry for the country. Headings for countries other than the United States begin with the country, not the continent.

Trace the United States of America only if the work pertains to the country as a whole. Headings for locales within the United States begin with the state or region.

Examples:

- × Europe
- × Atlantic Ocean
- × Micronesia
- × United States
- × Mexico -- 1911

7.4.3.2 STATES AND REGIONS

States or regions begin the hierarchy for the United States. If the materials cover the state or region generally, make no subdivision. If the materials contain substantial information on specific locales within the state or region, make a separate tracing for that locale.

States or regions (areas which cover more than one state) form part of the hierarchical heading for countries other than the United States.

Examples:

- × Arizona
- × Mexico -- Sonora
- × Canada -- Ottawa
- × Permian Basin

7.4.3.3 COUNTIES AND DISTRICTS

Counties and districts (areas within a state) are traced only if the work pertains to the county or district. Counties and districts are not included in the hierarchical heading.

Examples:

- × Texas -- Harris County
- × Arizona -- Salt River Valley
- × Arizona -- Grand Canyon National Park
- × Germany -- Bavaria -- Black Forest

7.4.3.4 CITIES

If the materials contain information on the city generally, make no subdivision. If the materials contain substantial information on areas within the city, make a separate heading for those areas.

Examples:

- × Arizona -- Phoenix
- × Texas -- Lamarque

7.4.3.5 NEIGHBORHOODS, INTRA-CITY AREAS, AND BUILDINGS

If the materials contain information on a specific area within a city, such as a neighborhood, a street, or a building, make an entry.

Examples:

- × Arizona -- Phoenix -- Coronado Neighborhood
- × Texas -- Houston -- Spring Branch -- Westview 9622

7.4.4 CHRONOLOGICAL PERIOD

If the materials pertain to a named chronological period, make an entry for that period. The period refers to the date of the materials themselves or the date of the material's subject. For example, a Civil War diary would receive a heading for its period, but recent photographs of Pre-Columbian pottery would receive a heading for the pottery's period.

If the materials do not pertain to a named period, subdivide other headings with the dates of the materials as appropriate.

Examples:

Pre-Columbian.
Colonial Period (United States).
Nineteenth Century.
Twentieth Century.

7.4.5 ASSOCIATED TOPICS

If a collection contains information which points to an associated topic not overtly represented or mentioned in the materials, trace that associated topic.

For example, a collection of portraits of the Apache who moved from Mexico to the San Carlos Reservation after General Crook's expedition into Mexico may

not contain a portrait of Crook or images made during his expedition.

7.4.6 POINT OF VIEW/PERSPECTIVE
[Not yet written.]

7.4.7 PHYSICAL CHARACTERISTICS

If materials have significant or unusual physical characteristic, trace the physical characteristics. Specifically, trace the following formats and processes:

- × stereographs
- × panoramas
- × daguerreotypes
- × cyanotypes
- × ambrotypes

7.4.8 GENRE

If materials exemplify significant or unusual genres, trace the genre. Specifically, always trace the following:

- × Diaries
- × Correspondence
- × Business records

1. Accessions Number Log
2. Accession Register
3. Processing Checklist
4. Standard Measures for Linear Footage
5. Call Numbers
6. Transcription and Orthography

Year of Acquisition:

Accession Date:

Accessioned by:

Accession Number:

Source:

Provenance:

Formal or distinguishing title:

Dates:

Brief description of contents (principal persons, subjects, locales):

Storage containers:

The count of each type of contain and any notes should be sufficient to ensure that all the pieces of an accession have been located. Include additional description for any irregular material that must be stored "loose;" each loose item described is assumed to be single unless it includes a count.

___ (___ lf) folders

___ (___ lf) document boxes

___ (___ lf) record center boxes

___ (___ lf) flat boxes

___ loose items (unboxed items, describe below)

Storage location(s)

Collection Number(s)

Assigned during processing.

This checklist is an aid to memory to ensure that all the steps of processing have either been completed or that a conscious decision to skip or modify that step was made. The completed checklist should be kept in the collection file.

Date and initial each step when completed. Make any additional notes regarding additional actions you take, decisions you make, or information you discover that explains processing decisions. This informal record of your actions may serve as the basis for processing notes in the finding guide.

PRELIMINARIES

- ____ ____ Pull any existing collection file; if none exists, begin one.
 ____ ____ Check the acquisitions file for documents indicating the collection is owned by The Heard Museum. If no record of ownership is discovered, confer with the Archivist before proceeding. Note here any decision with justification to process the collection in the absence of ownership (e.g., long term long agreement).
 ____ ____ Locate all portions of the collection.
 ____ ____ Determine Main Entry and Title:
 ____ ____ Assign collection number:

ARRANGEMENT

- ____ ____ Determine basis of arrangement; review with Archivist.
 ____ ____ Physically arrange the materials.
 ____ ____ Weed the materials; review with Archivist.
 ____ ____ Number the materials.

HOUSING

- ____ ____ Sleeve the materials; make any special housings for fragile items.
 ____ ____ Folder and box the materials.
 ____ ____ Shelf materials in stacks; update location in accession record.

DESCRIPTION

- ____ ____ Create contents list.
 ____ ____ Write subseries, series, and collection level notes.
 ____ ____ Review finding guide for errors, typos.
 ____ ____ File master copy of the finding guide in the Collection File; file copies in binders kept in the reading room and in the stacks.
 ____ ____ Apply catalog headings to description. Update catalog.

1 shoe box (5x7x10 inches)	.3 linear feet
1 half-size document box	.25 linear foot
1 document box	.5 linear foot
1 record center box	1.0 linear foot
14 x 18 x 3 inch box	1.0 linear foot

To calculate the linear footage of boxes that can be stacked, divide the shelf space they occupy by the number of boxes that can be stacked in a standard shelf.

For example, a shoe box that measures 5 x 7 x 10 inches (height, width, depth) can be stored on a shelf with the small side facing the aisle, taking seven inches (.6 linear feet) of shelf space. Because two boxes can be stored one on top of the other, the shelf space is $.6 / 2$, or .3 linear feet.

Call numbers serve the principal function of identifying the storage location of materials within the collection. A secondary function is to indicate the intellectual order of the materials within a collection.

This policy applies to collections of archival records and research collections. A separate call number scheme covers pamphlets, the slide library, and the book collections.

COLLECTION NUMBERS

Callmarks for research collections begin with the code "RC," followed by the number of the collection. Each collection is numbered sequentially, beginning with one. Examples:

RC 1 Fred Harvey: photographs.

RC 2 Fred Harvey: association photographs.

A single large collection, or a collection received and processed in several sections may be assigned several collection numbers to facilitate processing. The catalog will collate these collection numbers. Examples:

Curtis, Edward Sheriff.

RC 19 The North American Indian (folio) : photographs.

RC 12 Portraits of Native Americans : photographs

Shared Visions (exhibition).

RC 44 Curatorial records: correspondence.

RC 32 Exhibition Installation.

RC 24 Object photographs.

RC 29 Press and publicity photographs.

INTRA-COLLECTION NUMBERING

Large collections may be organized into series. Series are typically numbered sequentially, beginning with one. Series follow the collection number and are placed in parentheses. If a collection consists of a single series, no series number is used in the callmark. Examples:

RC 19 (1) Barry Goldwater. Hopi portraits: photographs..

RC 19 (2) Barry Goldwater. Landscapes: photographs.

RC 19 (3) Barry Goldwater. Vacations: photographs.

Series may be "Cuttered" to permit interfiling in an alphabetical order. Follow the Library of Congress rules for creating Cutter numbers:

1. After initial vowels, for the second letter

	b	d	l,m	n	p	r	s,t	u-y
Use	2	3	4	5	6	7	8	9

2. After the initial letter S, for the second letter

	a	c	e	h,i	m-p	t	u
Use	2	3	4	5	6	7-8	9

3. After the initial letters Qu, for the second letter

	a	e	i	o	r	y
Use	3	4	5	6	7	8

For names beginning Qa-Qt use 2-29

4. After other initial consonants, for the second letter

	a	e	i	o	r	u	y
Use	3	4	5	6	7	8	9

5. When an additional consonant is needed, for the third letter

	a-d	e-h	I-l	m	n-q	r-t	u-w	x-z
Use	2	3	4	5	6	7	8	9

Examples:

RC 21 (A26)	Ethnology files: Acoma Pueblo: photographs.
RC 21 (H76)	Ethnology files: Hopi Indians: photographs.
RC 21 (H766)	Ethnology files: Hopi Pueblo: photographs.
RC 21 (Z86)	Ethnology files: Zuni: photographs.

Should a collection require subseries, the series precedes the subseries within the parentheses; the series and subseries are separated by a slash. Examples:

RC 33 (1/A32)	Collection 33, series 1, subseries A32
RC 33 (1/A5)	Collection 33, series 1, subseries A5
RC 33 (1/T227)	Collection 33, series 1, subseries T227
RC 33 (2/1)	Collection 33, series 2, subseries 1
RC 33 (2/2)	Collection 33, series 2, subseries 2
RC 33 (2/3)	Collection 33, series 2, subseries 3

For manuscript collections, folders are treated as though they were a single item and numbered sequentially, beginning with one within each series. For photograph collections, each physically discrete item is typically numbered sequentially within each series, beginning with one. Examples:

R. Brownell McGrew Papers

RC 34 (1):1	Collection 34, series 1, folder 1
RC 34 (1):2	Collection 34, series 1, folder 2
RC 34 (2):1	Collection 34, series 1, folder 1

A. F. Randall Photographs

RC 6:1	Collection 6, item 1
RC 6:2	Collection 6, item 2
RC 6:3	Collection 6, item 3
RC 6:4	Collection 6, item 4

Heard Family Glass Lantern Slides

Series 1. Native American subjects

RC 11 (1): 1-75	Acoma Pueblo
RC 11 (1): 101-137	Havasupai
RC 11 (1): 226-231	Isleta Pueblo
RC 11 (1): 232-251	Laguna Pueblo

Series 2. Vacations

RC 11 (2): 138-311	Egypt, Nubia, and the Holy Lands
RC 11 (2): 312-578	Arizona and New Mexico

For manuscript collections, items within a folder are typically not numbered; if the contents of a manuscript folder need to be numbered, they will be treated as parts. For photographic collections, components within an indivisible object are typically assigned an internal part number. Internal part numbers are sequential, beginning with one for each item. Example:

McCandless Papers

RC 93:1	Collection 93, folder 1
RC 93:2	Collection 93, folder 2
RC 93:3.1	Collection 93, folder 3, item 1
RC 93:3.2	Collection 93, folder 3, item 2

Note: An album within a collection would typically receive an item number with the images given internal part numbers. However, a collection that exists en-

tirely of a single item, the internal images may be numbered as though they were separate items.

Some collections may be received with an existing numbering scheme. That scheme may be incorporated into the callmark; this strategy can not only preserve existing links to records, it may save time numbering the items. While the numbering scheme should not contain any duplicate numbers, the scheme may have gaps. If an original numbering scheme is kept, make a note in the finding guide; explain gaps and other irregularities in numbering, any system underlying the scheme, or other information necessary to understanding the scheme.

The existing number typically takes the place of the item number, with the collection numbers and any series numbers assigned by the archive. If the existing numbering scheme exists points to small groups of photographs, the group number may be subdivided may be subdivided as parts.

Errors in sequential numbering are inevitable. Numbering all the materials as a single step in processing can minimize errors; duplicate and missing numbers are more likely to occur when numbering is done at the same time as housing or some other step. Some errors must be corrected, even that correction means renumbering all the items in a collection. Duplicate collection or series numbers require renumbering; a skipped collection number may be left blank and used for the next collection. Duplicate series or subseries numbers must be corrected; skipped series or subseries numbers should be corrected, but if renumbering is prohibitive a note may be made in the finding guide.

Duplicate item or part numbers should be corrected if possible. If the work to renumber is prohibitive, a letter may be appended at the end.

STORAGE SEQUENCES

Collections are assumed to be stored in the “stacks,” the primary run of materials. Materials may be stored in any size box that fits on shelving for the stacks sequence.

If materials are too large to be stored in the stacks sequence or require special storage for their preservation, they are stored in special sequences. Items stored in these sequences are numbered so that they reflect the proper intellectual order of the collection; these materials will appear in the proper place when doing a callmark sort. Materials are stored in callmark order within each sequence. To indicate that they are stored separately the storage sequence follows the callmark, separated by a slash. The storage sequences are:

/f Flat boxes
/m Map cases.
/g Glass materials
/odd Special storage location noted in finding guide

Examples:

RC 11:1-5 Grand Canyon
RC 11:6-22/o Monument Valley
RC 12:23-56 Portraits of Native Americans
RC 12:57-62/f Portraits of Native Americans
RC 12:63-96 Travelogue
RC 12:97-320 Vacation mementos

NOTING RANGES OF CALLNUMBERS

To indicate a range of materials, a dash may be used. Dashes should be used only for ranges within the same type of number; e.g., a range of collection numbers, a range of series, a range of items within the same series. Examples:

Ranges of Collections

RC 1-12

Ranges of Series and subseries

RC 7 (1-5)

RC 16 (22/1-5)

RC 22 (C257-N42)

Ranges of folders/items and components

RC 3:34-56

RC 22 (1):19-76

RC 15 (1/22):4.1-22

TRANSCRIPTION

Because the vast majority of archival description is supplied by the cataloger, virtually all information would be placed in square brackets. Archival apocrypha recounts a former head of the Library of Congress' manuscript division refusing to adopt the convention of square brackets on the grounds that it would be like reading through a picket fence.

If material has a formal title and statement of responsibility, they should be transcribed exactly as to wording, order, and spelling, but not necessarily as to capitalization and spelling. Supplied information will not be bracketed on the assumption that a thorough researcher will consult the materials, where the distinction between transcribed and supplied information will be apparent, rather than relying on the catalog. If appropriate make a processing note indicating if information has been transcribed or supplied.

If it is necessary to distinguish a portion of an area of description which is transcribed from that supplied by the cataloger, the transcribed portion may be placed in quotation marks or the supplied portion of that area may be placed in square brackets.

MISSING INFORMATION

When transcribing information in a description or a quoted note, a word that is illegible should be transcribed as completely as possible and the illegible portion represented by a question mark in square brackets. If you can make a reasonable guess as to the illegible portion, you may supply it within square brackets followed by a question mark. Use only one set of square brackets for a word. Examples:

Bas[?]
Basketba[ll?]
[?ix?]

INCORRECT INFORMATION

Errors in information within formal titles and within quotes should be copied as its stands. Follow the error with [sic]. Errors of fact should be noted only to clarify that no error was made by the cataloger; "[sic]" must never stand as an editorial clearing of the throat.

Errors and archaic forms of spelling in other areas may silently corrected. Accents and other diacritical marks should match contemporary usage in the language.

Geographical names contemporaneous with the material but which have changed over time should be retained, although the modern name may be added in square brackets. If a place name no longer exists, the name of the modern region the incorporates that area may be added in square brackets.

SHORT FORMS OF TRANSCRIBED TITLES

Very long titles may be shortened. Include at least the first ten words of the title, but include as many more as necessary to capture the sense of the whole. Indicate the omission of information with [. . .].

PUNCTUATION

Precede each area of description, other than the first area or standard numbers with a full stop, space, dash, space (. —) unless the area begins a new paragraph. Each notes always begins a new paragraph.

Precede and follow each mark of proscribed punctuation with a space, except for the comma, hyphen, full stop, parentheses, or brackets.

If transcribed information include an ellipsis (. . .) or square bracket ([]), replace them with a dash (—) or parentheses, respectively.

ABBREVIATIONS

Avoid abbreviations, except those for states modifying place names. Examples:

Arizona.
but Tempe, Ariz.

FORM OF HEADINGS AND CROSS-REFERENCES

In general, use the form of a name in the Library of Congress Name Authority. In the absence of a name in the LCNA, establish the name according to the principles of ACCR2r. Make the following exceptions:

Individuals: For collections created by an individual, prefer the fullest form of the name by which the individual is commonly known. Include nicknames parenthetically. Include appellation only when necessary to distinguish the individuals from others with a similar name. Note: Organic collections acquired from a dealer are entered under the name of the creator, not the name of the dealer.

You may include modifiers to clarify questionable or type of date. Examples:

Phil N. DeBlank. (No dates known.)
Kay Pasa, 1910-1975 (birth and death date known)
John Smith, b. 1909 (date of death unknown, or still living)
Willa B. Single, d. 1965 (date of birth unknown)
Royal McCoy, ca. 1922-1945 (probable year of birth)
Fred Thomas, 1936-ca. 1991 (probable year of death)
est. 1976 (date firm established)
fl. (flourished)
active
Mrs. William Jones [prefer her first name, if known]

Family names: When possible, include the name of both the matriarch and patriarch. Prefer the spelling of the name used by the family. Examples:

George and Betty Loulan family.
[not George Loulan family or Loulan family]
Griggs family.
[not Gregg family]

Married couples: A single heading may be used for a married couple sharing the same surname. Include the wife's given name, when known. Make a cross-reference from their individual names, if known. Example:

Dwight and Mae Heard
RT Dwight Heard

RT Mae Heard
Mr. and Mrs. William Striker.
RT William Striker
[but not RT Mrs. William Striker]

Corporate names: Prefer the form of the name that predominates in the materials being described. Make cross-references from later names by which the company is known.

The headings for an individual or a corporation should be followed by a relator, a term indicating the relationship between the individual or organization and the materials. If an individual has multiple relationships to the materials, applied a heading for each relationship. Relators include collector, photographer, artist, illustrator, compiler, and editor.

CROSS-REFERENCES

In general, follow AARC2 in forming cross-references. In addition, make the following cross-references.

Whenever a heading differs from the LCNA or LCSH form, make a cross-reference from the LC heading.

If an individual is associated with a stylistic movement or similar group, trace the identity of that group. Examples:

Pictorialist photographers

[for a work on Rejlander and Robinson.]

f/64 Group

[for a work on Adams, Weston, Cunningham, et al.]

If an individual is associated with a Native American people, make a reference from the heading for that people to the individual. If an individual has served in a prominent governmental or tribal office, make a reference from the heading for that office to the individual.