F. WHAT DO YOU DO IF YOU FIND RESTRICTED RECORDS? .................................................80
   1. Length of restrictions ................................................................................................80
   2. Handling and housing restricted material ..............................................................80

VIII. APPRAISAL AND SEPARATION ............................................................................. 81
   A. Separation and destruction ......................................................................................81
   B. Relocation of publications .......................................................................................82

IX. ENCODING AND UPLOADING THE FINDING AID ......................................... 83
   A. Using the Word Template ......................................................................................83
      1. Starting the finding aid .......................................................................................83
      2. Principles .............................................................................................................83
      3. Putting content into appropriate fields ...............................................................84
   B. Completing processing ..........................................................................................86
   C. An Overview of XML and EAD ............................................................................87
   D. Running the Word macros for EAD conversion ..................................................89
   E. Opening and editing the EAD file in JEdit ..........................................................90
   F. Testing the EAD file in OAC ................................................................................92
   G. Uploading the final file to OAC ............................................................................93

X. SHELVING THE COLLECTION.................................................................................... 93
   A. Labeling boxes .......................................................................................................93
   B. Oversized folders in miscellaneous flat boxes or map cases ................................ 94
      1. Map Cases ..........................................................................................................94
      2. Flat boxes ...........................................................................................................95
   C. Updating the Locator ..............................................................................................96

XI. APPENDICES............................................................................................................. 98
   A. Sources used in this manual .................................................................................98
   B. Measuring collections ............................................................................................99
   C. Processing University Archives Publication Series ............................................101
      1. Introduction ........................................................................................................101
      2. Gathering publications ......................................................................................101
      3. Arrangement and description ............................................................................102
      4. Genre thesaurus .................................................................................................103
   D. Placement of styles in the finding aid template ..................................................105
   E. Creating folder labels ............................................................................................109
   F. Copy negatives ......................................................................................................110
COLUMBIA UNIVERSITY
Best Practices Guide for Staff Archivists, Project Personnel, Interns, and Student Assistants

Best Practices Guide for Staff Archivists, Project Personnel, Interns, and Student Assistants

Introduction
What is Archival Processing? 2
I. Description 2
II. Arrangement 3
III. Appraisal (Removals and Discards) 4
IV. Preservation 5
V. Measurements 6
VI. Folder Titles 6
VII. Style and Consistency 8
   Naming Standards 8
   Alphabetical Arrangement within a Series/Subseries 8
   Folder Title Standards 8
   Names and Personal Titles 9
   Additional Grammar Notes 9
   Folder Labels 11
VIII. Restrictions 11
IX. Boxing Folders 12
X. Data Entry 13
XI. Box Labels 13

Appendix I: Records and Personal Papers Appraisal Guidelines
Appendix II: Handling Procedures for Photographs and Audiovisual Materials
Appendix III: Preservation Photocopy Table
Appendix IV: Separation Form
Appendix V: Restriction Flag
Appendix VI: Tiered Processing Tables

2007
Processing Worksheets
UK Archives Processing Worksheet

Collection Name:

Accession Number:

Donor:

Current Size of Collection:

Processor Name: Date:

**General survey of the collection**

Briefly explain the organization of materials, conservation issues to be addressed, whether the materials are in folders/loose in boxes, and related issues to give an overview of the collection. Estimate processing time required.

Brief description:

Current Organization:

Conservation Issues (rusting staples, newspaper, etc.):

What types of materials are in the collection? Check all that apply. If any of the materials show any sign of deterioration indicate problem. i.e. brittle paper, insect damage, rust, etc.

<table>
<thead>
<tr>
<th>Type of Material</th>
<th>Present</th>
<th>Preservation Problem</th>
</tr>
</thead>
<tbody>
<tr>
<td>Papers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Photographs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Artifacts/Ephemera</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computer discs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Films</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Albums/Scrapbooks</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Printed Materials (Books, Journals, etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Newspaper/clippings</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

General overview and comments on collection condition:
Timeframe to complete:

Proposed Processing Plan
Explain the steps/how you propose to organize/arrange or rearrange the collection, its descriptive level, physical conservation/repair/maintenance, material to transfer, and any other considerations to give an overview of the work to be performed.

Proposed level of arrangement:

Identified Series/Subseries:

Proposed level of description:

Separated Materials:
### PROCESSING FORM

**Creator:**

**Title:**

<table>
<thead>
<tr>
<th>Mss. #</th>
<th>Acc. #</th>
<th>Date received:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

☐ OLAF updated  ☐ Freezer:  Date in / out

**Job type:**

☐ Preliminary processing
☐ Full processing
☐ Rehousing only
☐ Addition to processed collection
☐ Addition to unprocessed collection

**Finding aids/Cataloging:**

☐ Container list made, filename __________  ☐ filed
☐ Container list revised
☐ Full finding aid made, filename __________  ☐ filed
☐ Full finding aid revised
☐ SIRSI record no. __________

**Processed by:**

**Date:**

**Stack Location:**

**Shelved by:**

**Date:**

(State as linear ft. and/or no. of items)

**Size before processing:**

**Size after processing:**

:**Dates:** Inclusive (bulk)

Types of items:

Notes, explanations, conservation needs, etc.:

**Updates:**

☐ Accession file  ☐ Accession book  ☐ Online catalog  ☐ Finding aid  ☐ Card catalog
☐ Vault list  ☐ Vault database  ☐ Email for subject guide

**Supplies:**

Boxes, containers, folders, sleeves, photo enclosures, etc. (state type and estimate number used)

**Total hours** worked on collection (if requested by supervisor):

---

processing form 3/30/2005
**Processing the Duncan Perry Papers**

**Goal**

**Appraisal 10%**
While the student processes the archive, he will look for and remove those materials of a personal nature and/or those materials that document the administration of Radio Free Europe/Radio Liberty, as stipulated by the donor, former Executive Director, Duncan Perry. The student will also deaccession duplicate items and serial or other publications that fall outside the scope of the collection and would better serve as individually cataloged items.

The student will also perform background research on Duncan Perry and the history of Radio Free Europe/Radio Liberty in preparation for devising an appropriate arrangement and for content for the scope/content note in the finding aid.

In appraising the collection the student will learn how to define components of an archive and determine, within the scope of the donor agreement, which components make up the body and core of that specific archive.

To accomplish this goal the student will remove, after consulting the Special Collections Library’s Head of Archival Processing and Cataloging and DFE mentor, Kathleen Dow, those materials outside the scope of the collection.

**Goal**

**Arrangement 70%**
Following basic archival principles of arrangement and local practices of the Special Collections Library, and paying close attention to the specific nature of the materials, the student will arrange the archive and properly house its materials in archivally sound folders and boxes. To accomplish this goal the student will work through a series of stages that proceeds from the general to the specific.

In arranging the archive the student will learn the principles of archival arrangement and apply those principles in a manner that facilitates the archive's use.

Kathleen Dow will evaluate this portion of the work experience on a regular basis and provide guidance at the practical level and offer her insight at the theoretical level.

**Goal**

**Description 20%**
After the archive has been arranged and housed, the student will then proceed to create a finding aid and a cataloging record. The student will create a finding aid using the Special Collections Library’s template. The student will then catalog the archive using DACS, AACR2rev., LCSH, and AAT, in the MARC format for inputting into Mirlyn, the Aleph-based online database of the University of Michigan’s library system. He will then encode the finding aid using the EAD DTD, which will then be loaded onto the Digital Library Production Services server and made available on the library’s website.

In describing the archive the student will learn how to reflect the arrangement in the description. The student will also learn the technical aspects of encoding a finding aid and creating an archival MARC record.

After teaching the student how to use the encoding and delivery applications, Kathleen Dow will direct and supervise the process of description and evaluate performance based on accuracy and quality of work.
Steps for handling new collections

All tasks are done by manuscripts staff unless otherwise noted

1) Create accession record in database
2) Create collection record in database
3) Update tracking list with collection name, file name, etc
4) Create file cabinet folder
   a) Printout of accession record
   b) Copy of acquisition information
5) Inventory to required level
   a) No listing at all; in step 6) use appropriate note (“An item-level inventory has not been created for this collection.”) to finding aid OR
   b) Do quick and dirty box list; in step 6) use appropriate note (“The following is a simple BOX LIST. The collection has not yet been processed.”) to finding aid OR
   c) Process physical collection and create complete inventory
6) EAD-ify
   a) Create EAD record
      i) eadheader section should be complete with subject headings
      ii) Create inventory section to required level, converting from Word if needed and/or adding appropriate note from step 5) above
   b) EAD => HTML (also creates printer-friendly version)
   c) Check all names and subject headings using LC or AAT or similar
   d) QA (KM)
   e) Upload to website (Peter)
   f) Move HTML files to appropriate subdir on L:\SCRC\digital\guides (me)
7) Create MARC record (EAD => MARC), update database with collection number
8) File hard copy finding aid as needed
   a) file cabinet (1 copy)
   b) reading room (1 copy)
   c) collection (1 copy)
9) Determine physical location of collection (Bill/Nicolette)
10) Create cards for reading room files
    a) Name index card(s) – MS staff
    b) Locator card(s) – Bill