Appendix D: Museum Archives and Manuscript Collections

APPENDIX D: MUSEUM ARCHIVES AND MANUSCRIPT COLLECTIONS

A.   Overview

This appendix offers guidance on non-official records, which are NPS-owned records made or acquired for purposes of reference or exhibition. Non-official museum archival and manuscript collections further the NPS mission of education, management, preservation, and research. Further guidance on non-official records is in NPS-28, *Cultural Resource Management Guideline,* Chapter 9.1

Guidance on official records, such as central files, financial, and personnel records, falls under the authority of the NPS records manager and the National Archives and Records Administration (NARA). For fuller definitions see Sections B and Y of this appendix. Guidance on official records appears in NPS-19, *Records Management Guideline.*

1.   *What are museum archival and manuscript collections?*

- An ***Archival Collection*** is an accumulation of documents that share a creator and a history of ownership. For example, the personal papers of the Abraham Lincoln family--including photographs, diaries, letters, legal records, and scrapbooks--is an archival collection.

- A ***Manuscript*** is an individual document, such as an individual Abraham Lincoln letter, diary, or speech (the Gettysburg Address).

- A ***Manuscript Collection*** is a group of documents assembled from many sources with different histories of creation and ownership. Letters and photos signed by Abraham Lincoln that are assembled from the personal papers of many people is a manuscript collection.

2.   *Who must follow this appendix?*

Park museum staff, including archivists, curators, specialists, technicians, registrars, and collateral duty park rangers, use this appendix as they manage park archival and manuscript collections. Museum staff work with NPS, advisory, or contract archivists, conservators, records managers, librarians, historians, and other discipline specialists.

3.   *What does this appendix cover?*

In this appendix you will learn how to survey, evaluate, accession, describe, catalog, rehouse and preserve NPS archival and manuscript collections. You will also learn how to manage these collections and make them available for use by the NPS and the public by:

- Developing and implementing park archival access and use policies

- Providing useful access tools, such as finding aids and indexes

- Determining collections development and action priorities

- Preparing storage, work, and reference room spaces

For descriptions of storage requirements, see the NPS *Museum Handbook*, Part I (*MH-I*), Chapter 7, Museum Collections Storage; and Appendices J, Curatorial Care of Paper Objects; and M, Curatorial Care of Cellulose Nitrate Negatives.

For guidance on how to conduct collection condition surveys and contract with conservators, see *MH-I,* Chapter 2, Scope of Museum Collections and Chapter 8, Museum Object Conservation Treatment.

Records management is covered briefly in Section C of this Appendix. For further records management guidance, see the *Records Management Guideline,* NPS-19. The procedures described here will help you follow the legal mandates for records management and meet the federal guidelines for records access and usage.

4. *Why must I keep archival and manuscript collections?*

Archives and manuscript collections form a key part of the park's resources and in many cases a crucial part of the site's original fabric. For example, without the papers of the significant individuals whom many cultural parks honor, such as Henry W. Longfellow or Thomas A. Edison, these parks would be greatly diminished. The papers give intimate details explaining the individuals' links to the site.

Archival and manuscript collections are the site's memory. They contain information essential for understanding the site's past natural and cultural interrelationships, its events, and its changes over time, as well as the human impact on the site.

You must have archives and manuscript collections to document the places, resources, activities, and events that shape the park's identity for:

- Management of cultural and natural resources over time

- Research, such as discipline-related work needing baseline data available in botanists' field notebooks

- Education/Interpretation, such as slide shows, tours, and curriculum development relating to the site's interpretive themes and history

- Outreach via publications, such as articles, books, exhibits, films, videotapes, and Internet sites including the NPS World Wide Web site

You can't always predict today the information that parks will need tomorrow—particularly information needed for new technologies or disciplines. For example, many Geographic Information System [GIS] staff find old maps increasingly useful, while newly hired park landscape architects find historical photographs and master plans valuable.

5. *What value do archival and manuscript collections have for my park?*

You will find the following six categories of archival value helpful as you determine how and why collections will be used. Later these categories will become your archival appraisal criteria.

- *Associational Value* refers to the collection's relationship, usually by ownership or use, to an eminent site-related individual or group or its

relationship to a significant site-associated event.

- *Evidential Value* refers to the collection's ability to serve as historical or legal proof of an activity, event, procedure, or process since the record(s) are byproducts of these activities.

- *Administrative Value* refers to the collections' usefulness for park management, as in the case of architectural drawings and plans useful for building repairs, maps useful for landscaping, or other park records that indicate how the ecosystem has been affected over time.

- *Artifactual Value* refers to the collection's intrinsic value as unique or rare examples of material culture. This value relates to the items' age, format, process, media, condition, and quality. For example: an 1851 daguerreotype in good condition that has good focus and composition would have high artifactual value, while a faded and out-of-focus 1970 color slide would not--although both are photographs.

- *Informational Value* refers to the subject content of the archival collections, such as the people, groups, places, activities, events, objects, projects, and processes documented. In the NPS, collections often illustrate how the park was created, developed, or operated--serving as the park memory.

- *Monetary Value* refers to the dollar value placed on rare or collectible manuscripts such as autograph letters or photographs. Monetary value is affected by all of the other values listed above.

6. *Who uses archival and manuscript collections?*

Both NPS and outside scholars and publishers use archives for management, education, outreach, publication, and research purposes. Some users beyond the museum staff include:

NPS Users:	Non-NPS Users:
Architects	Architects
Archeologists	Archeologists
Botanists	Amateur Naturalists
Ethnographers	Book Publishers
Exhibit Preparation Staff	CD-ROM and Internet Publishers
Geologists	Contractors
GIS Specialists	Genealogists
Historians	Historians
Interpreters	Landscape Architecture Contractors
Landscape Architects	Local Area Residents and Visitors
Maintenance Staff	Paleobiologists
Managers	Producers of Television, Videos, and Films
Paleobiologists	School children
Rangers	Scholars
Zoologists	Zoologists

7. *Who is responsible for park archival and manuscript collections?*

As a museum staff member, you manage park archival and manuscript collections according to NPS standards and procedures. You will collaborate with a number of individuals, including park records managers, contract archivists, historians, librarians, and conservators. The level of training and experience you have with archival work will determine what

archival activities you may undertake. Figure D.1 defines the basic
responsibilities for each of the individuals involved.

8. *How do I use this
    appendix?*

Archival work is broken into five phases below:

Phase One:

Gain Preliminary Control Over the Park Records
Survey and describe collections; Identify official/non-official records; Appraise collections and check them against the Scope of Collection Statement (SOCS); Accession collections; Order supplies

Phase Two:

Preserve the Park Collections
Conduct the Collection Condition Survey; Write treatment or reformatting recommendations; Contract to conserve or reformat; Rehouse; Prepare storage, work, and reading room spaces

Phase Three:

Arrange and Describe the Park Collections
Arrange collections; Create folder lists; Edit and index folder lists; Update collection-level survey description; Produce finding aids; Catalog collections into the Automated National Catalog System (ANCS+)

Phase Four:

Refine the Archival Processing
Locate resources; Prepare processing plan and documentation strategy; Develop a guide to collections; Publicize collections

Phase Five:

Provide Access to Park Collections
Review restrictions; Write access and usage policies; Provide reference service

9. *What can a curator do?*

If you are a museum staff person untrained in archives, with the help of this
Appendix you may accession, catalog, rehouse and store collections; produce
folder lists; and provide reference access to collections. For a sequential list
of tasks see Figure D.1. An archival committee composed of the records
manager, interpreter, cultural and natural resource managers, and historian,
provides the curator with support and guidance. Park and regional/support
office (SO) curators trained in archives may work on or assist with almost
every phase of archival work, except arrangement. Arrangement is the job of
an experienced archivist. If in doubt, consult an archivist before beginning a
task. Parks are encouraged to identify an experienced local archivist who can
provide informal (often unpaid) guidance and feedback on archival issues.

| 10. | *Must I convert earlier archival work?* | You may convert previous archival work to meet the guidelines provided in this appendix, but immediate conversion is not required. You may upgrade existing work in a phased fashion. |

B. Understanding Definitions

1. *What definitions of archival terms must I know?*

- A *Document* is the smallest complete unit of record or manuscript material in a file (for example, a Todd Lincoln list, letter, or diary; or Abraham Lincoln's photograph). A document may consist of multiple sheets, such as a multi-page Todd Lincoln letter, a Mary Lincoln album or diary, or a lengthy Abraham Lincoln speech.

- *Records* are any information in a fixed form (for example, textual, electronic, or audiovisual), created by an organization as part of its daily business, such as NPS contracts and permits. In the broadest sense, these materials include both official and non-official records, although the National Archives and Records Administration (NARA) tends to use the word "record" to refer to official records.

- An *Archives* is the sum of all archival and manuscript collections created or assembled at a site. Archives may include information in any tangible form such as:

  - Audiovisual Materials such as photographs (negatives, prints, slides, and transparencies) and other still images (drawings and plans, graphic prints, photomechanical prints), moving images (motion picture film, videotapes), sound recordings (audiotapes, phonograph records, wax cylinders) and photo albums and scrapbooks

  - Electronic Records such as diskettes, tape cartridges, or CD-ROMs

  - Textual Documents such as letters, or lists

See Sections D, E, and Y of this Appendix for more information on archival and manuscript collections. See Figure D.2 for an overview of the categories and relationships of archival and manuscript collections.

As described in the *Department of the Interior's Departmental Manual* (Museum Property Management, Part 411 DM 1-3) and the *Cultural Resource Management Guideline,* there are several categories of archival and manuscript collections found in the parks.

2. *What are official records?*

Official records are the original documents created or received in the course of performing the daily work of the NPS. By law, the National Archives and Records Administration (NARA) has responsibility for the official records of the federal government. NPS official records are managed according to the *Records Management Guideline,* NPS-19, under the guidance of the park's assigned records manager.

The records manager may use the services of the Federal Records Centers (FRC) and the NARA. Official park records include:

- audit records

- budgets

- central correspondence files

- contracting records

- legal records (such as land acquisition and law enforcement records)

- museum accessioning (such as gift forms), cataloging, and loan records

  Note: These museum records are permanently active servicewide as stated in NPS-19, *Records Management Guideline.* Museum records must remain in the park.

- personnel records

3. *What are non-official records?*

Non-official records are archives and manuscripts, including electronic, audiovisual, and textual documents, made or acquired for reference or exhibition. These materials may be referred to as non-records including the following:

- *Assembled manuscript collections* are a collector's manuscripts assembled from a variety of sources such as a group of letters from African-American soldiers during the Civil War or an assemblage of photographs on a single site assembled from the work of many photographers

- *Copies or duplicates* of any type of documentation

- *Acquired archives* of non-federal organizations are an archives of an association, club, business, church, or other group acquired by the park due to its significance to the site

- *Personal papers* are the non-official documents created or assembled during a lifetime by a person or family

- *Resource management records*, defined in the *Department of the Interior's Departmental Manual* (411 DM), are materials made or acquired by the Federal Government to record information on cultural and natural resources for reference, exhibition, or for preservation of the Nation's natural and cultural heritage. They include:

  - site forms

  - field notes

  - drawings

  - maps

  - photographic slides, prints, transparencies, and negatives

  - films

- video and audio tapes

- oral histories

- artifact inventories

- laboratory reports

- computer cards, tapes, disks, and diskettes

- printouts of computerized data

- manuscripts

- reports

4. *What are associated records?*

Associated records are a subset of non-official resource management records. You create associated records as you collect and analyze artifacts, specimens, or other resources. These materials include the types of documents listed above. Associated records are "linked to" the archeological sites, objects, and specimens, while general resource management records do not have such a direct link. Records of an archeological or paleontological excavation are associated records.

5. *What are sub-official records?*

Sub-official records are copies of documents you keep for reference, administrative histories, interpretation, and research. These include

- desk files of copies of correspondence and policies

- copies of reports

- bibliographies of park publications

- copies of park handouts

Both official and non-official records (including associated and sub-official records) are federal property, as they were created or acquired by the parks. See Sections C, Y, and the *Records Management Guideline,* NPS-19, for more information.

C. Reviewing the Basics of Park Records Management

You are practicing records management when you determine the status and value of park records. You must also determine whether the records are official or non-official, and still in active use by the park staff or not. Records managers also help decide if records are appropriate to the park's Scope of Collection Statement (SOCS) or not, and appropriate to the NPS archival appraisal criteria or not. Read Section A.5 again for a review of the archival appraisal criteria.

1. *What do park records managers do?*

Park records managers do the following:

- Identify the park's official records, using NPS-19, the *Records Management Guideline*.

- Transfer official records to the Federal Records Center (FRC) when they are scheduled for transfer, following NPS-19, as long as they are no longer needed in the park.

- Work with the park records manager to obtain permission (certification) from the Archivist of the United States at NARA to maintain official records in the park, if they are needed longer than NPS-19 allows. Note: Museum accession, cataloging, and loan records are permanently active (in use). They **must** stay in the park.

- Recommend to the museum curator what non-official records have no permanent value to the park.

- Work with the museum curator to arrange for transferring non-official records that have permanent value to the park museum collection if they fit the park's SOCS.

See *Records Management Guideline*, NPS-19 and the publications in Section AA for more information on records management.

2. *What types of materials will I find in park records?*

Archival and manuscript collections are made up of information in a tangible form such as:

- account books

- architectural drawings, blueprints, and plans

- audiotapes

- charts and graphs

- correspondence

- computer tapes and diskettes

- diaries

- drawings

- field records

- journals

- lists

- maps

- microfilms

- motion picture film footage and completed films

- notes

- photographic prints, negatives, slides, and transparencies

- printouts and computer cards

- project records

- reports

- videotapes

All of these materials may be individually referred to as "documents" or may jointly be called "records" or "archival and manuscript collections."

3. *Where may I find archival and manuscript collections?*

- In park museum collections

- In park attics, basements, offices, libraries and outbuildings

- In the community, if park staff inappropriately remove their files upon changing jobs or retiring

- At FRC and NARA, when non-official records have been sent there mixed with official records because of poor records management

- At collaborating university, state, and local archives, when cooperative agreements are in place

See Sections E and F for more information on finding archival and manuscript collections in parks and centers.

D. Learning Archival Theory

1. *What basic principles of archival management must I follow?*

You are responsible for managing park archival and manuscript collections to support park education, management, preservation, research, and outreach. To do so effectively, you must gain both physical and intellectual control over them. You must:

- locate the collection

- survey it

- archivally appraise (evaluate) it

- obtain a title document such as a deed of gift for the collection

- accession it

- rehouse and store the collection safely in an appropriate facility

- catalog the collection at the collection-level

- prepare a finding aid to the collection

- provide reference access to the collection

Archivists view records as being the natural byproducts of the daily

activities of the records creator. Records created as the result of one activity, such as legal research, are not intermingled with those resulting from another, such as exhibition work. To do archival work you must understand the key archival concepts of **provenance, original order, and levels of description.**

2. *What is provenance?*

Provenance means that you must keep records together based upon their origins (their history of creation and ownership). **Never accession, catalog, interfile, or mix together documents created by one organization, project or person with documents created by another individual, project, or organization.** For example, don't mix or interfile records created by two separate NPS archeological contractors, even if they document the same excavation (unless they were working together on the same project, in which case the project is the provenance).

You must keep information on the ownership and physical custody of your archival and manuscript collections, such as who owned them and when and how they were acquired and used. Keep this information in your accession files. A break in custody may indicate

- losses of documents

- uncertainties about legal title or copyrights

- the loss of a document's value as evidence

- alterations of a document's informational content

If you must remove special materials—such as glass plates, audiotapes, or film—from a collection to store them for preservation purposes, you must replace them with a completed Separation Sheet. The Separation Sheet, Form 10-645 (Figure D.5a) indicates where the removed materials are currently being housed.

3. *What is original order?*

Original order refers to the original filing arrangement used by the collection creator. If carefully examined, a collection's original order may help you date and place documents, as well as indicate when they were received, who else saw them, and what written sources were available to the collection creator.

> *Don't reorganize an archival or manuscript collection by any principle, filing scheme, or classification system (including subject) except that of the material's original order as established by the collection creator.*

If a collection's original order is clear, but not useful for research, develop an index to the collection for research use. Do not rearrange the collection itself.

If you rearrange a collection or interfile it with another collection, the collection's value may be lost. Such collections are said to have lost their **integrity.** Collections may lose their integrity as a result of:

- disaster

- poor research practices
- inappropriate arrangement

- poor collections management

- moving collections without maintaining provenance and original order

In each case, much of the information inherent in the document arrangement and provenance is lost. If this happens or there is no discernible order, the collection must be arranged by a professional archivist in an attempt to reestablish the original order. Work with your regional or support office to obtain the services of an archivist.

4. *What are the levels of archival description?*

Levels of archival description refers to the archival practice of describing all materials at a broad level (collection) and then refining that description over time to provide more detailed access. Describe archival material first at the archival collection level, before beginning any more detailed description.

Don't begin with item-level descriptions of archival materials as this is not efficient or cost-effective, nor does it follow archival descriptive techniques. To learn how to survey archival materials at the collection-level, read Sections E.1 and E.2 below.

E. Locating and Identifying Park Archival and Manuscript Collections

To gain control of an archival or manuscript collection, your first step should be a survey to determine what the collection consists of and whether or not it is appropriate for addition to the park museum collection. Consult or work with an archivist or archivally-trained park curator. The park librarian and records manager also may be able to help locate materials. See Section F.2 to learn how to link this activity to the Collection Management Plan (CMP).

1. *Why must I survey records throughout the park?*

When you survey, you will rapidly discover the basic information you need for future archival activities such as:

- what official records the park contains

- what non-official records the park holds

- what the status of records management is in your park

- what materials are needed by the park staff for day-to-day business

- what non-official records have permanent value to the park

- how many rehousing supplies you will need to order

- how much space you will need to house the collections

2. *How must I survey records throughout the park?*

Survey park buildings looking for archival collections in three stages:

- First, locate all of the park's records, accessioned and unaccessioned,

no matter where they are found, so that you may evaluate them.

- Work with a park map so that you check all buildings from attic to basement. Add to the map as you work through a building, noting room-by-room the storage units and collections found.

- Don't forget storage areas, administrative spaces, and affiliated institutions.

- Work systematically from wall to wall through all areas as if excavating an archeological site. Keep a master list of all locations where you found boxes from a particular collection. For example: "Park Red Shouldered Hawk Project Records were found in: Building 1, Room 9, Wall 1, Unit 1, Shelf 1, Position 3; and in Building 2, Room 3, Wall 3, Unit 4, Shelf 5, Position 1."

- Don't move or rearrange materials except to get to the items underneath or behind them.

- Second, identify groups of materials that have the same provenance but which are located in separate areas and survey them together so that they may be evaluated as a collection.

  - Discover what office, project, or individual created or assembled each box or group of records by talking to current and former staff and by looking at the materials.

  - Once you have discovered the contents, label the exterior of each box with the collection name and (if known) the box sequence (for example: box 5 of 38).

  - If you can't resolve a provenance problem or determine who created a collection, you must gather information on a container-by-container basis until you can determine which materials belong together as a collection.

- Third, gather standardized information on each collection for use in records management, Collections Management Plans, preservation and description planning, finding aid production, and other collections management activities.

  Use the Survey Form, Figure D.3a, and additional blank sheets as necessary to collect this information. See Figure D.3b for a completed example of a survey form.

3. *What information must I gather during an archival survey of a park?*

When you survey a park's records, whether official or non-official, you will gather the following information on the survey form for each collection you discover: collection title; dates; provenance; physical description (quantity/document types); subjects; arrangement; restrictions; locations; evaluation; condition, and other (notes).

4. *What is the collection title?*

If the collection does not already have a title, list the full name of the collection creator or donor and the type of documents. If the entire collection is one document type, such as photographs, use that document

type in the title. During surveys, list the accession/catalog numbers (if any) as part of the collection title. For example:

The Wapiti Project Records, GIGL-43

The Parkins Family Diaries, GIGL-56

The Bekins Company Records, GIGL-9987

The Marmoset Photograph Collection, GIGL-8765

The Ronald Smith Papers, GIGL-239

- *Family Names*: Use the names of both the female and male heads of the household, such as the "Tom and Susan Jacobs Papers" or use the "Jacobs Family Papers."

- *Organizational Names*: Use the name most commonly found in the collection on the survey form. Variant names may be placed in parentheses, for example, the "Frog Island Company Records (Ribbit Company Records)."

See the discussion of collection title in Section 0.11. Include here the collection's control numbers, such as accession or catalog numbers.

5. *What are the collection dates?*

List the inclusive dates of the materials found in the collection on the survey form (Figure D.3a). Inclusive dates, such as 1923-1956, tell you that the earliest document dates from the first date and the latest document dates from the latter date. They do not alert you to the fact that the bulk of the collection falls between, for example, 1930-1932, referred to as the "bulk dates." Identify bulk dates separately, as in Figure D.3b.

6. *What are the collection provenance and ownership and usage histories?*

These fields are described below. The provenance statement will differ depending upon whether it is an individual/family or organization/ corporation. The provenance statement must include the history of creation, ownership, and usage:

- *Personal or family papers*: The provenance statement should contain

  - individual's full name

  - pseudonyms, aliases, and maiden names

  - life dates

  - places of birth and death

  - education history

  - occupation and/or avocation(s)

  - significant accomplishments

  - names of immediate family

For examples, see Figures D.3b and D.4 under "Provenance."

- ***Corporate or Organizational Records Collections***: The provenance statement will include:

  - full name of the organization

  - alternate organizational names

  - sibling and parent organizations

  - dates of incorporation and dissolution

  - corporate functions, activities, and products

  - brief administrative history

  - locations of operations

- ***Ownership Histories***: List the names and dates of ownership of all individuals who have owned the collection, if known. If copyrights are held separately, indicate how. If portions of the collection are physically held elsewhere, indicate where.

- ***Usage Histories***: Wherever possible, list a bibliographic citation for any major publications or exhibitions that have featured this collection.

7. *What is the collection physical description?*

Include the following in your description of the physical description of the collection:

- the collection's size in linear feet

- the collection's item count (Optional. To obtain this figure multiply the linear feet by 1,600 to get the item count)

- document types:

  - formats (for example, stereographs or panoramas)

  - processes (for example, photography or blueprints)

  - media (for example, ink, pencil, or magnetic media)

  - genres (for example, cartoons, advertisements, portraits)

8. *What is the collection subject matter?*

Include a description of the collection's subject matter (the topics [who, what, where, why, and when] described or shown in the collection) summarizing any of the following categories:

- objects (including structures)

- people, cultures, groups, corporations, and organizations

- activities and events

- places

- animals and plants

- subject genres (landscape, seascape, still life, portrait, abstract)

- associated symbolism or iconography

- subject-related date terminology (Civil War era, Victorian)

9. *What is the collection arrangement?*	Describe the collection arrangement by using the concept of "series." A series is a natural group of documents arranged and maintained as a unit within a file system because of the group's shared creation, receipt, format, or function.	

In general, a series is a related group of materials composed of many folders or boxes. Different series tend to have different alphabetical, chronological, or numerical filing schemes. Examples might include administrative records, an individual's files related to a specific project or activity or the following:

- "Into three series by topic: 1. Fish, 2. Nematodes, and 3. Puma"

- "Into 10 series by decade from 1800-1900"

- "Into two series by correspondent: 1. Morgan Morgan; and 2. George Washington"

- "Into five series by date of the photographic project: 1. 1899; 2. 1902; 3. 1903; 4. 1912; and 5. 1925"

10. *What are the collection restrictions?*

List all restrictions on access or use of the materials, for example:

- copyright

- privacy restrictions

- donor-imposed restrictions

See Sections T, U, V, and W for further guidance.

11. *What is the collection location?*

List the location of all parts of the collection, for example:

"Collection X, Series 1, boxes 1-34 in the Martin Building, Room 5, Shelving Units 6-8; while Collection X, Series 2, boxes 35-40 are in the Jasmar Building, Room 3, Shelving Units 1-2."

12.	*What is the collection evaluation?*	Consult or work with an archivist and/or records manager to determine if the collection is official or non-official. Then, determine whether the collection fits the park's approved SOCS or not, and whether it has permanent value to the park and the park's museum collection or not. See Section A.5 for an overview of archival appraisal criteria and Section G below for a full description of how to evaluate collections.
13.	*What is the collection condition?*	Finally, list here the condition of the collection, for example:
		"Boxes 1-6 have foxing and active mold; boxes 7-8 have some insect infestations; boxes 5-10 have rodent infestations." You may list preservation or conservation needs if they are known at this time.
14.	*What goes into the "Other" category?*	Place any additional notes or comments under "Other."

F. Summarizing Survey Findings

Consider consulting informally with your state or university archivist on how to survey and summarize your survey findings in a collection-level survey description, as well as for other description and planning issues. Most archivists are pleased to offer general advice without charge. This non-binding advice can help prevent or mitigate methodological errors that can damage collections or lead to lawsuits. If you need help, your regional/SO curator can help you find a NPS, advisory, or contract archivist.

An archivist can provide feedback as you summarize the survey findings (expressed initially as notes on the survey form) into a written report, called the collection-level survey description. After the survey process you will fact- and spell-check, research, edit, summarize, and abstract the rough survey form notes into a clear summary. This collection-level survey description, provides the first overview of what the collection contains and what work you must do with the collection.

1.	*What is a collection-level survey description?*	A collection-level survey description is a brief report on a collection that has been surveyed. This report includes all eleven data fields described above in Section E of this Appendix. The record serves as a preliminary finding aid. The collection-level survey description can become the basis of your Automated National Catalog System (ANCS+) catalog record.
2.	*Why must I write a collection-level survey description?*	Write a collection-level survey description to summarize and record all the information you discovered about park records during the survey. Without such a description, you would need to re-survey each time staff changed or forgot facts or you would have to go back to your notes on the survey form. Don't try to carry this information in your head, as you will rapidly lose it.
		Systematically record any new information you discover on the collection on a survey form and blank attached sheets as soon as you discover it. Once you get back to your office, check all spellings, names, and dates on the survey forms with other park staff and publications. Don't assume that the notes you made on the survey form will suffice as a report, as you will soon forget the context that makes them coherent now. Instead write the

collection-level survey description.

Complete your survey of all park collections and the resulting survey descriptions before or during the park's CMP. The CMP team will need the survey descriptions to prepare recommendations.

If the CMP team won't contain an archivist, ask a regional/SO curator or local university, state, or federal archivist to review the team's draft recommendations on the park's archival evaluation, preservation, description, arrangement, legal status, and access policies for the CMP for ommissions and errors before it is finalized. Also review specific short term and long term recommendations for action before you finalize text. If the CMP was written before the park's collections were thoroughly surveyed and the survey descriptions were written, prepare an addendum to the CMP to address the needs of the newly identified collections.

See *MH-I,* Chapter 3, Preservation-Getting Started, Section C for more information on this process.

3. *What does a collection-level survey description look like?*

See Figure D.4, the sample collection-level survey description.

G. Appraising and Evaluating Collections

During the survey you appraise and evaluate the collections. This information goes into the collection-level survey description. Confirm this preliminary information during archival appraisal, when you must:

- Identify the official and the non-official records

- Identify which collections are still being actively used

- Determine if the non-official collections fit within the park's SOCS

- Determine which collections have permanent value for the park based on their associational, evidential, administrative, artifactual, informational, and monetary value, as described in Section A.5.

1. *How do I determine if the collection is official or not?*

After consulting with an archivist, work with a records manager to determine if the collection is official or non-official. Official records are the original documents created or received while you perform your daily work. Non-official records are copies or duplicates of federal records, materials (historical documents) acquired from outside of the federal government, or resource management records such as archeological field notes. See Sections B and Y for definitions.

2. *What must I do with official records?*

See chart below.

How to Manage Official Records	
If...	*Then...*
the collection is official, (see Section B.2)	you may not acquire it for the museum collection but must instead dispose of it according to NPS-19, *Records Management Guideline*
official material is scheduled for destruction or shipping to federal records center, but is still actively needed in the park,	you must certify it to the archivist of the U.S. (at NARA) that it is needed for current use. For example: museum accession, cataloging, and loan records are permanently active.

For more information consult with the park records manager. See the disposition schedule in *NPS-19, Records Management Guideline* and Sections C, Y, and AA of this Appendix for more information.

3. *What must I do with non-official records?*

See the chart below and Section B.3 of this Appendix.

How to Manage Non-Official Records	
If...	*Then...*
the collection is non-official,	compare it to the park's Scope of
it fits the park's SOCS and has permanent value to the park,	add it to the park's museum collection.
the collection is in good shape without mold, insects, or vermin,	take the collection into the museum work space for accessioning.
the collection is in bad shape, such as infested with mold, insects, or vermin,	don't bring it into the museum work or storage space as you may spread the infestation.
	Instead, have the collection stabilized via freezing or treatment by a conservator before moving it into the museum.

4. *How do I know if the collection is still being actively used?*

Ask the park staff who normally work with these records. Note: Museum accession, catalog, and loan records are permanently active (in use) and therefore must stay in the park as described in NPS-19.

5. *How do I match the non-official collections against the park's Scope of Collection Statement?*	Compare the collection to the park's approved SOCS and indicate if it may be added to the museum collection. If it matches the materials allowed in the SOCS, you may add the collection to the park museum collection; otherwise you may not add it to the museum collection **unless you revise the SOCS**. If confused, consult with an archivist or archivally trained park curator during appraisal. See *MH-I*, Chapter 2, Scope of Museum Collections, Sections A-C, for more information.
6. *How do I determine if the collection has value for the park?*	Archival appraisal is a complex process that requires training, experience, imagination, and informed judgement. If you are uncertain whether the collection has value for the park, consult with an archivist or trained curator to evaluate the collection's associational, evidential, administrative, artifactual, informational, and monetary values. See Section A.5 of this appendix for definitions of these terms.
7. *How do I rate the values of the collection?*	See *COG* 19/10, "Reformatting for Preservation and Access: Prioritizing Materials for Duplication" for instructions on how to assign point ratings to collections for prioritization and evaluation purposes.

H. Accessioning Collections

Accession appropriate collections into the NPS museum system in order to establish accountability within the museum program for the collections. Basic accountability comes from following the museum registration procedures outlined in the *MH-II*, Chapter 2, Accessioning. You will follow the same procedures and rules for accessioning archival collections as for other museum objects.

1. *When and how must I accession archival collections?*	Accession a collection when you determine that the materials belong in the museum system. Obtain legal title to the collection by preparing and maintaining museum title transfer and accession records. Always ask for "all copyrights" when transferring title to the NPS. For non-official records found in the park that are to be added to the museum collection, complete either a Transfer of Property (Form DI-104) or, for records associated with field collections a Receipt for Property (Form DI-105).

Before moving collections into the museum storage or work space, label each box clearly with both the collection name and the box number (for example, X Collection, Box 1 of 5). Assign the collection a temporary storage location until you can rehouse it. |
| 2. *What do I do with collections acquired over a period of years?* | You may acquire archival collections as many small accessions (gifts or field collections) over many years. Give each accession a different accession number. Unlike other museum collections, an archival collec-tion may be composed of many accessions, as long as the accessions have the same provenance. The collection-level survey record and finding aids will note if a collection includes multiple accessions. Copies of the collection-level survey description belong in the accession file of each accession that forms part of the collection. A copy may be placed in the library. Place a separation sheet (Figure D.5a, Form 10-645) in the accession file indicating the location of the collection's archival finding aid in the museum storage room. |

3. *After assigning an accession number, what is my next step?*

Maintain accountability and title for archival collections by preparing good accession records, finding aids, and separation sheets. For more information see *MH-II*, Chapter 2, Accessioning. For information on preparing finding aids, see Sections K, L, and M.

I. Preserving Collections

You will find extensive guidance on how to store, maintain, and conserve museum collections in *MH-I*, *Tools of the Trade,* (*TOT*), and the *COG* series. That guidance is not duplicated here. This section discusses how to stabilize and preserve archival and manuscript collections.

1. *What are the first steps I should take to stabilize collections?*

Identify appropriate archival storage space (may be in the museum storage area); collection work space; and reading room space with good environments and adequate security. See the *MH-I,* Chapter 4, Museum Collections Environment, and the *COG* series.

Consult or work with a conservator, preservation archivist, or trained park curator to conduct a Collection Condition Survey (CCS) to discover preservation problems. Based upon the CCS, ask the survey participants to prioritize the collections for rehousing, reformatting, and treatment. An archivist may be able to incorporate gathering the CCS information with the records survey process previously described in Sections E and F above. Consulting or working with the conservator or archivist involved in the CCS, write recommendations for treatment and/or reformatting for the items requiring conservation or copying. This will involve writing:

- Scope of Work for the activities

- inspection criteria for the returned items in outgoing loan and condition reports

- guidance on the skill level needed to do the work

2. *What materials pose particular hazards for both the museum collections and myself?*

Identify all materials which have hazardous conditions that might affect other materials or staff health in the museum storage area, such as mold, insects, asbestos, vermin, and chemical or radiation contamination. If you discover these problems, talk to a conservator, such as the paper conservator at the Harpers Ferry Center Division of Conservation.

3. *What activities must I undertake for archival preservation?*

Once you have stabilized any emergency situations, consult or work with the conservator and/or archivist to develop and implement an integrated preservation program to include planning, reformatting and rehousing, environmental control, collections management, conservation treatment, and training.

4. *How will I plan for the collection's preservation?*

Follow preservation policies and procedures explained in the *MH-I-III*, *TOT*, the *COG* series, and this Appendix. Consult or work with the advisory/contract archivist, and/or trained park curator, and/or conservator to:

- purchase appropriate supplies

- manage your institutional environment and security

- establish and follow collections handling guidelines

- establish and maintain Integrated Pest Management procedures

- identify and prioritize for action all collections at risk

- program for adequate funds and personnel to undertake collections management and preservation

- obtain appropriate preservation training

- train other NPS staff in basic preservation and collections management

5. *How will I reformat the collections?*

Determine which collections or materials require reformatting (copying into another format, such as microfilming, digitization, photocopying).

Prioritize your collections for reformatting based upon objective criteria of value, frequency of use, and risk of loss or damage. See *COG* 19/10, "Reformatting for Preservation and Access: Prioritizing Materials for Duplication" for instructions on how to obtain a point rating. If you lack training in this process, consult an archivist.

Inspect the copies after reformatting.

Rehouse the various generations and formats of documents (original, preservation master copy, duplication master copy, and reference copy) according to their requirements.

6. *How will I control the museum environment?*

Preserve your archival and manuscript collections, whether paper, audiovisual, or electronic, by storing them in an appropriate museum storage space with a stable humidity and temperature and low light levels.

Store certain materials, such as cellulose nitrate and cellulose acetate photographic negatives, in special or cold storage.

Refrain from exhibiting original archival and manuscript materials that will be damaged by the exhibit environment. Instead, exhibit copies, duplicates, or facsimiles when possible.

Choose appropriate storage equipment, such as powder coated enamel on steel or aluminum shelves and shallow drawers.

Buy and use only appropriate storage supplies that contain no damaging substances, such as acid-free boxes and acid-free paper or polyester folders and sleeves.

Follow IPM procedures.

7. *How will I rehouse and manage the collections?*

During the archival survey, note particular preservation problems discovered. Update the preservation information in the collection-level survey as necessary.

Prepare appropriate supply orders via the *TOT*.
Rehouse the collections using the materials suggested in the *MH-I* and *TOT*.
(Folder list production is simultaneous with this work, see Section K.)

Stabilize materials where appropriate (flatten, unfold, humidify, and remove fasteners). Identify any fragile, rare, or endangered items that require the attention of a conservator.

Simultaneous with rehousing, have an archivist arrange and describe the collection. Further identify and document the items needing treatment during this archival processing. See Sections J-M.

During and after rehousing and arrangement, prepare adequate descriptive tools (folder lists, indices, and finding aids) to each collection so as to discourage unnecessary handling of materials.

8. *How will I conserve the collections?*

Review the standards and practices described in NPS guidance to select the materials requiring treatment.

Determine if items need batched, remedial, or customized treatment. Identify appropriate conservators to do your treatment work and obtain their references.

Obtain bids from the appropriate conservators for the work.

Write a contract for conservation treatment work.

Select a conservator and arrange for safe delivery of the materials.

Review the condition, value, and level and type of use of the materials with the conservator.

Arrange for safe return of the treated materials to your park.

Inspect the returned materials after treatment and before payment is made to the conservator. You may need professional assistance to judge the quality of the work.

9. *What preservation training should I obtain?*

Obtain adequate preservation information and training so that you can effectively carry out the tasks described above. Watch for announcements of training opportunities. Your preservation training might include

- classroom courses, seminars, and workshops

- self-guided readings of books including the referenced sections of the *MH-I* and the *COG* series

- browsing on the preservation-related sites (for example, the Stanford University site) and newsgroups on the Internet

- use of software tutorials such as the National Association of

Government Archivists and Records Administrators (NAGARA) software package (See Section AA for citations.)

- rental of videotapes, films, and CD-ROMs

- subscriptions to conservation related journals and magazines such as the *Abbey Newsletter, CAN* (Conservation Administrators' Newsletter), and the Society of American Archivists journal *American Archivist. (*See Section AA under "Periodicals" for ordering information.) First read the *MH-I, TOT*, and the *COG* series.

J. Arranging Collections

If you do not qualify as a trained archivist with years of archival experience, don't rearrange, organize, or otherwise change the order of the collection(s). Even if a collection is difficult to use, or if it is not in its original order, arrangement should be left to an experienced archivist. Work with your regional/SO staff to locate an archivist either on detail or via a contract. For information on how to identify a collection's arrangement see Section E.9.

K. Creating Folder Lists

As you rehouse archival materials, take notes on the folder headings, so that you can produce a Folder List, Form 10-96 (Figures D.6a-b). A folder list is a transcription of the original folder labels with the addition of key data that may be missing from those labels, such as dates, document types, names, or subjects. Folder lists may be produced by park curators and archivists and collateral duty park curators. If you are unsure about how to proceed, consult an archivist or archivally-trained park curator. The folder list was previously called the Container List.

1. *What information must I include in the folder lists?*

Include the following information in a folder list:

- collection title or name

- collection creators' names, if different from the collection title (such as the project, office, or person who produced/collected the papers)

- correspondents, photographers, artists, and map-makers' names

- topical terms (for example, elk management, curriculum development)

- inclusive dates

- document types (for example, photographs, audiotapes, videotapes)

2. *What is the written style for folder and container lists?*

In folder lists, archivists use square brackets, quotes, the abbreviation "sic", phrases with ". . ." and other similar stylistic devices to alert the reader to the completeness, accuracy, source, and quality of the information transcribed from the folders. Below is a brief summary of these stylistic tools.

Stylistic Tools You May Use in Folder and Container Lists

- *To Indicate Transcribed Information Use Quotation Marks:* Use

quotation marks to indicate that the material within the quotes was transcribed directly from the original folder labels.

- *To Indicate Added, rather than Transcribed Information, Use Square Brackets:* Use square brackets to indicate that the information the brackets enclose is not on the original folder label, but instead was added by the person producing the folder list. For example, if the folder label states "Miscellaneous," it would be helpful to add the document types, formats, subject matter, and inclusive dates after the folder title as "Miscellaneous" [Passports, Wills, and Financial Receipts, 1850-1910].

- *To Indicate Questionable or Incomplete Information Use Square Brackets with Question Marks:* If you cannot read the original folder label, copy it as far as possible, add a question mark enclosed in square brackets after the term or phrase, for example, "rabb"[?].

- *To Indicate Incorrect Information, Use [sic]:* If the information transcribed from the folder label is incorrect, place the word "sic" within square brackets after the incorrect information. Placing [sic] after the incorrect information tells the reader that the error is part of the original label, not a result of incorrect transcription.

- *To Indicate That Only a Portion of the Information is Being Transcribed, Use [. . .]:* If the transcribed folder title is exceptionally long, transcribe a meaningful portion and follow it with [. . .] to indicate that there is additional information.

3. *What should the folder lists look like?*

See Figure D.6b.

4. *How do I edit and standardize folder lists?*

Once you have created a folder list, you may want to work with an archivist or archivally trained park curator to edit it.

- Check the spelling of all corporate, personal, and geographic names and terms.

  - If several individuals have the same name, you must distinguish among the individuals by adding their birth and death dates in parentheses, for example Mark Williams (1850-1920) and Mark Williams (1822-1923).

  - If birth and death dates are unknown, you must distinguish among the individuals by adding their occupations in parentheses, for example, Mark Williams (chemist) and Mark Williams (biologist).

  - List pseudonyms, maiden names, and other versions of the same person's name in parentheses after the most common version of a name, for example: Mark Twain (Samuel Clemens).

- Check the facts, such as the dates, titles, and organizations, listed in the folder titles by looking up the collection creator--either individual creators or corporate creators--in appropriate reference books in your

local library. Ask the reference librarian for assistance.

- Check the topical terms listed in the *Library of Congress Subject Heading List* or the *Art and Architecture Thesaurus* in your local university library. Use the terms preferred in these authoritative sources, rather than in other dictionaries.

- Follow the style used in Steve Henson's 2nd edition of *Archives, Personal Papers, and Manuscripts*. See Section AA for full citations.

- Standardize the language in the folder list so that you are always using the same form of names, titles, and subject headings.

5. *How should I index the folder list?*

Once you have fact-checked and standardized your folder list, you may want to consult with an archivist as you index it. The index will help researchers and staff locate the basic information they seek. You may create your index using pen and paper or index cards, or software, such as word processing, database management, or even indexing software.

6. *What decisions must I make before I begin indexing?*

Before you begin indexing, read the *Chicago Manual of Style,* 14th edition, Chapter 17 for an overview of indexing issues. See Section AA for a citation. Make the following indexing decisions before you begin:

- *What Kinds of Indexes Will You Produce?* Will you have a single integrated index? Separate name and subject indices?

Generally you will produce at least a name and subject index.

- *What Will Be Indexed?* You must determine how and what you are going to index. Will you index only correspondents, but not individuals discussed in letters, and only photographers and individual portrait subjects, but not all individuals shown in group photographs?

  Index personal, group, and corporate names; place names; chronological eras; topical (subject) terms; and document format (for example, bound, oversize, or stereograph); process (for example, photographic print or graphic print); and media (for example, graphite, chalk, watercolor, or ink) terms.

- *How Will You Index?* Will you alphabetize your words word-by-word or letter-by-letter? Either way, you must follow the pattern consistently.

- *How Will You Cross-Reference?* Will you use both "See" and "See Also" references or the alternative "Use" and "Use for" references? "See" references alert the reader to useful indexing terms when the reader has looked under a non-authorized term. "See Also" alerts readers to sources of additional information on a topic.

  Will you use sub-headings under terms to clarify sub-topics? There are many useful books you may use as indexing tools from the *Library of*

Congress Subject Heading List to the *Art and Architecture Thesaurus.* These books can supply preferred terms, hierarchies (broader and narrower terms), and cross-references for indexing purposes. See the bibliography in Section AA for citations.

- *How Will You Format the Index?* Do you prefer following the wrap-around run-in index style or will you use an indented format for your index? Generally speaking indented is easier to read, while wraparound takes up less space. See section 17.10 of *Chicago Manual of Style,* 14th ed.

- *How Will You Edit the Index?* How are you going to standardize the indexed terms? Will you use full names or last names and initials in the index? Will you spell out state and country names?

7. *What should the index look like?*

See Figures D.7a-b for a sample index that shows how the final product of these decisions looks after you review it for style, content, and punctuation; standardize it; spell-check it; and cross-reference it.

L. Creating and Updating Other Container Lists

1. *How do I produce a container list?*

Once you have created a basic folder list for each box or other container of a collection, you will consult or work with an archivist or archivally trained park curator to write a container list for the collection. Numbers were assigned to each container during the survey process (for example, 1 of 10).

The container list is a box-by-box or drawer-by-drawer summary of the information discovered during the folder list process. You can also incorporate any summary information from each container's label. To create a container list, summarize the major document types and dates, as well as the names or subjects.

2. *What should the container list look like?*

See Figure D.8, a sample container list for a two box collection.

3. *Why should I update the collection-level survey description?*

Once you prepare and edit the folder lists and container lists, you will have more accurate information than was in your earlier collection-level survey description. Consulting or working with an archivist or archivally trained curator, go back to the original collection-level survey description to correct the following:

- factual errors

- misspellings

- stylistic and other inaccuracies

4. *How should I update the collection-level survey description?*

Add any additional information you discovered on the collection while you were creating the folder list, such as the following:

- collection creation, use, and history information

- names of the major correspondents

- names of photographers

- names of subjects and topics discussed

  - who

    - what

    - where

    - why

    - when

    - how

- document processes, formats, and media represented

- collection arrangement

- any other information of value

Replace the old collection-level survey description that you prepared during the survey process with the newly revised version in all park files.

M. Writing Finding Aids

Now that you have completed your folder list and updated your collection-level survey description, produce an archival finding aid after consulting with an archivist if you lack archival training.

1. *How do I determine what goes into a finding aid?*

The five parts of an archival finding aid are the title page, introduction, collection-level survey description, folder list, and folder list index. They're described below.

2. *What should I include in a finding aid title page?*

The title page of a finding aid includes:

- park name, park address, park telephone, and fax number(s)

- title of the staff person responsible for the park archival and manuscript collections

- title of the archival collection being described (including dates)

- reproduction of an image from the collection or the NPS arrowhead logo (optional)

3. *What should I include in a finding aid introduction?*

The introduction (front matter) of a finding aid includes:

- table of contents

- foreword and/or acknowledgments (optional)

- instructions for using the finding aid and index

- descriptions of any related records/collections elsewhere

- park access, usage, and duplication policies

- park reference service/research hours of operation (optional)

- brief (1-4 paragraph) park history (optional)

4. *What should I include in a collection-level survey description?*

Section F of this Appendix describes the contents of the collection-level survey description. For the collection-level survey description in the finding aid, omit the "evaluation" and "condition" information. Keep this "evaluation" and "condition" data with the accessions records.

5. *What information from a folder list should I include in a finding aid?*

The folder list you prepared for the collection will become part of the collection's finding aid. See Section K for guidance on the preparation and informational contents of folder lists.

6. *What should I include in a finding aid folder list index?*

Include in the finding aid, the folder list index you prepared, as described in Section K.5-7.

7. *How do I produce a finding aid?*

Since you have already produced the collection-level survey description, the folder list, and index, you have only to produce a title page, and an introduction before you have produced all the major components of an archival finding aid.

Once you have assembled these pieces, place them in the order shown above and put them into a labeled cover.

N. Determining How To Catalog Your Archival and Manuscript Collections

Catalog each archival collection in the Automated National Catalog System (ANCS+). Catalog archival collections at the collection level, regardless of the collection's size. For example, if a park has a million-piece collection that is a single individual's personal papers, catalog the million pieces as one collection with a single catalog record. If, however, the million pieces are 20 separate and distinct collections, you would create 20 separate catalog records.

1. *What materials should I catalog individually?*

Catalog individual manuscripts that are not part of an archival or assembled collection as separate items. For management purposes, catalog the following materials individually:

- Items placed on exhibit or long-term loan

- Items removed for long-term study

- Items at risk because of condition, value, or association (such as a document signed by a president or moldy items removed for off-site storage)

- Items restricted due to copyright; privacy legislation; statute such as the

Archaeological Resources Protection Act, the Cave Protection Act, or the Endangered Species Act; donor restrictions; patent or trademark law; or other legal restrictions. See Sections T, U, and V for guidance.

2. *How do I know if I should catalog at the item or the collection level?*

You may catalog a few special-status items separately and then physically separate them from a collection. In general this is discouraged for most materials. If you find yourself cataloging more than a small percentage of your collection as individual manuscripts, you should reexamine your cataloging practices. Item-level cataloging of archives is expensive, time-consuming, and not the best way to provide access.

> ***In general, professional archivists don't catalog at the item-level.***

3. *If I remove a document from a collection, how can I maintain provenance and original order?*

If you remove items from their original location, replace them with an acid-free annotated Separation Sheet, Form 10-645 (Figure D.5a-b) to indicate their new location. Use the folder list, accessions folder, and finding aid to cite the new location of items that have been removed.

4. *If I catalog a collection into ANCS+, do I still have to undertake archival description?*

You create the catalog record for the purpose of collection accountability and initial intellectual access. NPS cataloging procedures do not conflict with the archival descriptive practices previously described.

> **Full museum cataloging is not a substitute for full archival description, which includes the survey, folder list, indexing, and finding aid production previously described.**

O. Cataloging Archival and Manuscript Collections: ANCS+ Collections Management Module

1. *How do I catalog a collection into ANCS+?*

Catalog collections into the Collections Management Module of ANCS+. This module contains your accession records and the catalog records for the objects and specimens in the park's museum collection. It also contains associated modules that help you with collections management functions, such as outgoing loans.

The Collections Management Module has a discipline-specific screen for archival collections. This screen has many of the descriptive fields you need for full archival cataloging. ANCS+ allows you to transfer the data from the catalog record to the optional Archives Module. See Section P of this appendix for information on the ANCS+ Archives Module.

> *You must assign a catalog number to all collections and enter them in the ANCS+ Collections Management Module.*

2. *What are the catalog data fields for archival and manuscript collections?*

The following list of data fields includes the mandatory fields for archival and manuscript collections and the discipline-specific fields.

Refer to Chapter 3 in this handbook for general information on cataloging. Refer to Section II of Chapter 2 in the *ANCS+ User Manual* for information on how to complete the fields. There is also on-line field help in ANCS+.

See Figures D.9a-d for examples of the Museum Catalog Record, Form 10-254 Rev. and completed catalog records.

*   Mandatory Field

+   ANCS+ enters Not Provided if you don't complete this field.

*   Accession Number
    Additional Accession Numbers
    Alternate Name
    Arrangement
    Artist/Maker
    Catalog Date
    Catalog Folder
    Catalog Level
*   Catalog Number
*   Cataloger
*   Classification Lines 1-4
    Component Part
*   Condition
    Condition Description
*   Controlled Property
    Cultural ID
    Culture of Use
    Dates
        Bulk Dates
        Inclusive Dates
+   Description
    Eminent Figure
    Eminent Organization
    Finding Aids
        Finding Aid
        Level of Control
    Field Site Number
    Historic/Cultural Period
    History
    Identified By
    Identified Date
    Index Terms
        Form
        Function
        Genre
        Occupation
*   Item Count (or Quantity)
    Key Descriptor
    Language
    Local Collection Number
*   Location
    Maintenance Cycle
    Manufacture Date
    Material

Measurements
    Dimensions
    Other
    Volume
    Weight
NAGPRA
* Object (Collection Title)
* Object Status
Organization
Other
Other Numbers
Place of Manufacture
    City
    Country
    County
    State
Place of Origin
    City
    Country
    County
    State
Provenance
* Quantity (or Item Count)
Reference Terms
    Corporate Name
    Geographic Name
    Personal Name
    Topic
Related Collections
Reproduction
Site Name
State Site Number
* Status Date
* Storage Unit
Use Date
Within Site Provenience

P. Cataloging Archival and Manuscript Collections: ANCS+ Archives Module

1. *What is the ANCS+ Archives Module?*

The Archives Module is a separate but interfacing element of ANCS+. It allows you to describe archival collections beyond the catalog information in the Collections Management Module.

In the Archives Module you can:

- catalog archives at the collection, series, file unit, and item levels

- migrate your data, using the MARC format, into national archival and library bibliographic databases, such as the National Union Catalog of Manuscript collections

The Archives Module has all the data elements necessary for detailed

cataloging of archival collections according to archival descriptive standards.

2. *Must I enter all my archival and manuscript collections in the ANCS+ Archives Module?*

No. Use of the Archives Module is optional. The archival survey and processing plan will recommend which collections should be further described in the Archives Module. You may want to use the Archives Module for photograph collections so that you can describe each photo at the item level.

3. *Where can I find information on using the Archives Module?*

Appendix I of the *ANCS+ User Manual* has step-by-step instructions on how to use the ANCS+ Archives Manual. This appendix will be published in 2001 in a separate binder.

Q. Planning for the Future

Archival work, particularly archival arrangement, like archeological work, is best done by trained professionals. When selecting contractors or preparing to train staff, you should follow the guidelines already established by the Academy of Certified Archivists.

1. *What is archival certification?*

Established in 1989 by the Society of American Archivists (SAA), the Academy of Certified Archivists (ACA) is an independent non-profit international organization of professional archivists.

The ACA participates in the definition and advancement of international professional archival goals, ethics, practices, education, and standards. To become a certified archivist it is necessary to prove your academic and professional qualifications, pass a certification examination in all aspects of archival management, and have at least a full year's qualifying professional experience. For further information write the Academy of Certified Archivists Secretariat, 48 Howard Street, Albany, New York 12207, Attn: Steve Grandin; or call: 518-463-8644.

2. *What archival work must I avoid doing without special training?*

> *If you are not a trained and experienced archivist, you must not attempt to arrange the collection.*

Arrangement must be done by a professional archivist. Survey work; collections appraisal and evaluation; collection-level survey description, finding aid, and repository-level guide preparation; access and usage policy preparation and reviews; and collection restriction challenge reviews are the job of a park curator fully trained in archives or a curator working in consultation with an archivist.

Training refers to a minimum of 9 semester hours or 12 quarter hours of graduate-level archival course work including a supervised internship involving arrangement. Consultation may be informal or done on a pro bono basis, but must involve review by a professionally trained archivist.

3. *What archival work may I do without special training?*

Without professional archival training and experience or the consultation or assistance of an archivist or an archivally trained park curator you may:

- accession the collections

- rehouse the collections

- produce folder lists

- catalog the collections

- provide access to the collections

4. *What more advanced work can I do once I have rehoused and described my collections?*

After consulting with an archivist and/or an archivally trained park curator, prepare two planning statements:

- ***Processing Plan Statement*** for each museum archival collection in which you list priorities for future preservation and processing action using trained (graduate intern, contract archivist, or staff) labor

- ***Documentation Strategy Statement*** in which you identify holes in the park's museum archival holdings and identify how to acquire appropriate documentation

Complete these statements while working with an advisory, contract, park, or support office archivist as part of other park planning processes or develop the plans over time in consultation with an archivist. Incorporate the processing plan statement in the Collection Management Plan and the Resource Management Plan (RMP). Add the documentation strategy statement to the SOCS.

5. *How do I create a processing plan statement?*

Before beginning a processing plan, you must locate any documentation on the status of the following collection features:

- evaluation or non-monetary collection appraisal, which appears in the collection-level survey description. Check the collection-level survey. A Collection Condition Survey is another kind of evaluation.

- archival assessments (evaluation of a park's total archival and manuscript collection management needs incorporating park-wide collection surveys, collection evaluations, and recommendations. Assessments facilitate the care of archival collections in parks that have little previous experience in this area), surveys, and CMPs

- access or restriction issues (for example, deed of gift), arrangement documentation (for example, notes made during arrangement process)

- descriptive information (for example, notes made during finding aid production as well as copies of the finding aids)

- the park's SOCS or CMP for review

Summarize this information in a processing plan statement by writing a paragraph or two on the present status of each collection's appraisal, preservation, access/usage, arrangement, and description.

6. *What should my processing plan statement look like?*

See Figure D.10.

The time and necessary resource estimates portion of the processing plan statement may be prepared by a consultant, such as an archivist working on a CMP, or by yourself or support office staff in consultation with an archivist, or by an archivally trained park curator. This portion of the statement describes the personnel and budget necessary for achieving the appraisal, accessioning, preservation, description, cataloging, and arrangement of the museum archival and manuscript collections. Supplement the statement with actual Scope of Work requirements and Standard Operating Procedures for all staff and contractors who will be working on the job.

7. *How should I use a processing plan statement to find resources?*

Your statement helps identify resources for advanced work on archival collections--both internal and external. The work to be funded includes:

- *arranging* the collection (or hiring a contractor to do so)

- *updating* the collection's documentation, including finding aids

- *listing* all items in need of conservation, including the level and estimated cost of work needed (a full Collection Condition Survey may be needed)

The processing plan statement also identifies advanced work such as:

- *creating* a database or index for the collection

- *publicizing* the collection

- *checking* all policies and procedures for completeness and usefulness

8. *How do I use a processing plan statement?*

Once you draft your processing plan statement, ask your support office archivist or curator to review it. Incorporate the finalized statement in your CMP and RMP and request resources to implement it.

Prioritize the actions in the processing plan statement by listing the tasks chronologically in the order in which they should be done with the most important projects first. You may only be able to complete a small portion of a plan in any given year--for example, the conservation of certain endangered materials. A processing plan statement's time line can stretch out over a period of years, or even decades in some cases.

Organize your processing plan into tasks assigned to specific individuals with target dates noted. If you or your staff need training before beginning, factor training into the plan. Research and include equipment and supply costs, as well as contract personnel in the project budget.

9. *Where may I find resources to implement my processing plan statement?*

Once the processing plan costs are quantified, investigate the following:

- *Internal NPS funding*
  There are four major sources of internal funds for archival and manuscript work beyond the general park or center budget. Both of the first two funds are coordinated by the Museum Management Program, National Center for Cultural Resources. The latter two funds are coordinated by the Field Directorate.

  - *Backlog Cataloging funds:* Obtain Backlog Cataloging funds to eliminate the Servicewide cataloging backlog and improve accountability for NPS museum collections. Use Backlog Cataloging funds to hire temporary staff or to extend temporary staff appointments to catalog materials that were in the park prior to 1987.

  - *Museum Collections Preservation and Protection Program (MCPPP) funds:* You may use MCPPP funds to eliminate museum collection storage and security deficiencies as reported on the NPS Checklist for Preservation and Protection of Museum Collections.

  - *Cultural Resources Preservation Program (CRPP) funds:* Use CRPP funds for projects such as cataloging collections, improving storage conditions, installing intrusion detection systems or fire protection systems, and undertaking conservation treatments of archival collections, particularly projects in the park's RMP.

  - *Cultural Resources Cyclic Maintenance funds* Use these funds for the treatment of archival collections on a greater-than-one-year cycle.

- *External funding*
  The most common grant funding agencies in the federal government, such as the National Endowment for the Humanities, the Institute for Museum Services, the National Endowment for the Arts, and the National Historic Publications and Records Commission, **don't** fund federal projects. You may, however, obtain outside funding by working with your cooperating association, the National Park Foundation, or by applying directly to a foundation or corporation that has a regular grant application process:

  - *Cooperating Association*: Work with your superintendent and SSO to plan the approach to your cooperating association.

  - *National Park Foundation (NPF)*: The NPF writes and helps administer grants for the NPS. Individual projects should be approved by superintendents before contacting the NPF at 1101 17th St., NW, Washington, DC 20036; fax: 202-785-3539; tel: 202-785-4500.

  - *Foundations and Corporate Giving*: Guidance on how to locate foundation and corporate funding for archival collections management is in the journal *CRM* (Cultural Resources Management), Volume 18, No. 4, 1995, "Finding Funds for the NPS Museum Collections" by Diane Vogt-O'Connor, pp. 9-13.

10. *How do I develop collaborative or cooperative ventures to enhance my resources?*

Work with local universities with archival programs to set up internships and fellowships, and high schools to set up similar cooperative programs that allow students and faculty to "learn by working" with your collections. Set up a volunteer program. Recruit professional retirees, particularly archivists, historians, and librarians.

Give each volunteer or internship position a title, such as "preservation intern," assign specific responsibilities, and supervise it as you would any other position. Be prepared to provide substantial amounts of supervision, guidance, and technical support during the training process. If there is no local university with an archival program, consider working with local history and library science programs. High school students are particularly good at collections management work; while library and history students tend to excel in descriptive activities.

11. *How do I produce a documentation strategy statement for the SOCS?*

A documentation strategy statement tells you what types of materials are missing from your archival and manuscript collections so that you can develop well-rounded holdings. To create a documentation strategy, first consult with an archivist to analyze your park's existing collections to identify weaknesses or gaps against your ideal holdings. Compare the collections against the park SOCS, administrative history, and interpretive themes. What themes, topics, or events are not documented in your holdings?

Also work with historians to compare your collections against the site's documentation-producing activities over time, including those of pre-park individuals and groups, affiliated associations, special projects, and local individuals and organizations. What materials are undocumented? What processes and formats of media are missing? Produce a "wish list" identifying items desirable for addition to the collection.

12. *When should I produce a documentation strategy statement?*

Produce the documentation strategy statement after you have surveyed the park archival and manuscript collections and gained basic collection-level control over existing holdings. In your strategy you will identify key individuals and offices to contact, such as Geographic Information System (GIS) projects or field projects, as well as local organizations and individuals, for future archival and manuscript collection solicitations.

13. *Whom should I work with to produce the documentation strategy statement?*

Produce your documentation strategy statement in conjunction with the support office and park archivists, curators, archeologists, librarians, and historians. Correlate this strategy with other parks and local archives and libraries, so that several different organizations are not competing to collect the same collections or themes. For example, if the local library, historical society, and museum are all collecting information on the local fishing industry, avoid duplicating their efforts. Work with your local organizations to develop a cooperative strategy for documentation.

| 14. *What should my documentation strategy statement include?* | See Figure D.11. Determine what topics, projects, structures, eras, activities, events, and functions of the site are **not** reflected in the archival and manuscript collections, but are covered by the park's SOCS. |
| | |

Review all projects and initiatives as possible documentation sources.

Use a list of document types, such as that provided by the *Art and Architecture Thesaurus* to ensure that your collection is not missing entire formats of recorded information, such as diaries and electronic records. List the gaps by document type, subject matter, dates, and creators wherever possible.

15. *When should I add the documentation strategy statement to the SOCS?*

Revise the SOCS as soon as the statement is completed. Obtain the superintendent's approval of the revised SOCS. See the *MH-I,* Chapter 2, Scope of Museum Collections for further guidance.

16. *How do I use my documentation strategy statement?*

Once you have identified the holes in the archival holdings, look for archival or manuscript collections, rather than individual documents, to fill these gaps.

R. Producing Repository-level Guides to Park Holdings

Consult or work with an archivist or archivally trained park curator as you produce a repository-level guide to your park's holdings after you have prepared your finding aids to each collection.

1. *What do I include in a repository-level guide to the park holdings?*

A repository-level guide will include a title page, an introduction, a brief description of your park's policies and procedures on use of the collections, a set of all collection-level survey descriptions, and an index to the contents of the repository-level guide. You may omit descriptions of unarranged and undescribed collections from this guide.

2. *What should I include in a guide's title page?*

The title page of a repository-level guide includes:

- park name, park address, park telephone and fax number(s)

- title of staff person responsible for the park archival and manuscript collections

- title for the volume, such as "A Guide to the Archival and Manuscript Collections at X NP"

- reproduction of an image from the collection or the NPS arrowhead logo (optional)

3. *What should I include in a guide's introduction?*

The introduction (front matter) of a repository-level guide includes:

- table of contents

- foreword and/or acknowledgements (optional)

- instructions for using the guide and index

- address and descriptions of any institutions containing related records/collections elsewhere

- park access, usage, and duplication policies

- park reference service/research hours of operation (optional)

- brief (1-4 paragraph) park history (optional)

4.	*What should I include in a guide's set of collection-level survey descriptions?*	Alphabetically arrange all collection-level survey descriptions by title (see Section F).
5.	*What should I include in a guide's index?*	Consult with an archivist or archivally trained park curator as you create an index to the collection-level survey descriptions. Your index, keyed to collection code or page numbers, will index the following:

- collection titles

- names (personal, group, or corporate including creators and subject names)

- place names

- chronological era names

- subject or topical terms

- document types, processes, formats, genre, or media

6.	*What is a shelf list?*	The shelf list tells you room-by-room, shelf unit-by-shelf unit, shelf-by-shelf, what materials are housed in your storage areas for purposes of location and control. Materials are indicated by collection accession number and box number (for example: GIGL-72, box 1). See Figure D.12, a sample shelf list for shelving units holding six boxes per shelf.
7.	*Who needs a shelf list?*	A shelf list is a tool used by museum staff who are managing large archival collections. Museums with small holdings of archival materials will not necessarily need a shelf list, but instead might simply label the ends of their shelving units or include location information on some specially marked copies of finding aids or folder lists that are not available to non-museum staff.

S. Publicizing the Finding Aid or Repository-level Guide

Once you have completed and edited the finding aid or guide, you have produced a park publication that will help make the collection useful for outside researchers and staff. If you have non-restricted collections and welcome international reference requests, you may post your finding aid on the World Wide Web (WWW) via the park's portion of the NPS WWW site. Talk to your support office or park Webmaster.

Send your finding aid or guide to the libraries of the Museum Management Program and the Park Historic Structures and Cultural Landscapes Program Cultural Resources Management Bibliography, both in the National Center for Cultural Resources, and to the libraries of the Harpers Ferry Center and the Denver Service Center. This will ensure that the finding aid will be included in any servicewide bibliographies. You may also send your

finding aids and guides to national/regional libraries and archives.

1. *Where can I publicize my finding aids?*

To promote knowledge of your collections, you may submit your finding aid to the following publications and/or databases listed below:

For General Finding Aids:

National Union Catalog of Manuscript Collections (NUCMC) of the Library of Congress will enter a collection-level description of the materials described in the finding aid into the Research Library Information Network, the largest network of archival source material in the world. To be included in NUCMC, send your finding aids to Library of Congress Special Materials Cataloging Division, NUCMC Team, Library of Congress, Washington, DC 20540-4375 or fax: 202-707-7161 or call the NUCMC office at 202-707-7954 or 202-707-0383.

Directory of Archives and Manuscript Repositories in the United States by the National Historical Publications and Records Commission (NHPRC) of the National Archives and Records Administration (NARA). (Updated irregularly via questionnaire.) Write or call the NHPRC, National Archives and Records Administration, 7th and Pennsylvania Ave., NW, Room 402, Washington, DC or call 202-501-5600.

For Collections with Photographs:

The Index to American Photographic Collections is both a published guide and a database maintained by the International Museum of Photography in conjunction with the Rochester Institute of Technology. Write the International Museum of Photography at George Eastman House, 900 East Ave, Rochester, NY 14607 or call: 716-271-3361 or fax: 716-271-3970.

For Collections with Motion Picture Film Footage:

The National Moving Image Database (NAMID) of the American Film Institute is a national registry and database of motion picture films. Write the American Film Institute, Louis B. Mayer Library, 2021 N. Western Avenue., PO Box 27999, Los Angeles, CA 90027; or call: 213-856-7660; or e-mail: hkm@crl.com.

T. Providing Access to Archival and Manuscript Collections

You must not only preserve archival and manuscript collections, but also make them available for research to the fullest extent allowed by law. Undertake these activities in a balanced way. Preservation concerns shouldn't unreasonably limit access, nor should research access jeopardize the preservation of the collections.

1. *Why must I develop collection access and use policies and procedures?*

No access policy can eliminate all risk to collections. Establish and implement access and use policies that substantially reduce the risk of collection damage or loss. As public, tax-supported institutions, NPS museum archival repositories are open to the public without qualification as to academic or professional status. Materials that have been published or made available to any individuals (including the park staff) for research must be equally available to all researchers.

If you don't have archival training, consult informally with a local or NPS archivist as you develop rules to ensure fair use of park collections. Don't provide permission to publish materials for which you don't have the copyrights or model/interview release forms. Instead tell researchers to go to the source, that is the creator of the item (or his or her heirs) and to the person(s) shown or interviewed. Exercise caution in providing copies of archival materials so as to stay under the "fair use" provisions of the law. See Section U.13. Once developed, implement your policies in an evenhanded way for friends, staff, and outside researchers.

2. *What rules for researchers must I develop and*

Develop rules for researchers such as those shown in Figure D.13a-b, Access Policies and Rules Governing Use.

enforce?

3. *What duplication policies and procedures must I develop and enforce?*

Develop a written park policy on making xerographic, digital, and photographic copies. Such policies will vary from park to park depending upon staffing levels, equipment, and fee collecting capabilities. Fees are usually collected by your association. You must be willing to do the copying yourself or contract it out to a firm trained in preservation duplication.

- *Who Can Copy*
  For reasons of security and protection against mishandling and damage, don't allow researchers to make their own photographic, digital (scanned electronic), or xerographic copies from documents. Researchers flag items to be copied with an acid-free bookmark rather than removing the documents from the container. Researchers must then submit a written request. See Figure D.14, Duplication Form.

- *Copy Fees*
  You may wish to provide a modest number of xerographic copies free of charge so as to minimize the paperwork involved. Work with your association or the National Park Foundation to arrange a mechanism for collecting fees. Set up a realistic fee schedule that covers the cost of producing and mailing copies and any refiling, caption preparation, and other work involved. Consult with other archives when determining appropriate fee schedules.

- *Copy Restrictions*
  Don't copy fragile or severely faded documents or tightly bound volumes under bright lights or pressure. Don't use "form-feed" or "feed through" xerographic copiers or scanners on original documents. If the requested number of pages is large, offer to have the duplication contracted out at the researcher's expense. See "reformatting" in Section I.5. For more information, see *COG* 19/7, Archives: Reference Photocopying; 19/10, Reformatting for Preservation and Access: Prioritizing Materials for Duplication; and 19/11, Preservation Reformatting: Selecting a Copy Technology.

- *Tracking Duplication*
  Track the copy requests of each researcher. Tracking will minimize disputes concerning duplication orders, as well as serving as a permanent record of all duplication. Upon completion of an order, check it against the Researcher Duplication Form (see Figure D.14), mark it completed, and file it by researcher name or number.

- *Protecting Copyright During Duplication*
  Before requesting copies, researchers should read and sign copies of the Access Policies and Rules Governing Use (see the sample, Figure D.13), indicating that they will follow these policies. Give researchers requesting copies the Researcher Duplication Form (Figure D.14) and the statement of copyright and privacy restrictions (D.15) to sign. Also ensure they have completed a Researcher Registration form (Figure D.16). The forms should clearly state:

- that the staff retains the right to refuse to provide copies when, in their professional opinion, copyright or legally protected privacy may be infringed

- that being given a copy for research purposes does not constitute permission to publish

- what charges (if any) are levied for the duplication service

- the basis for restrictions

- *Providing Access, Not Authorizing Publication*
  Some researchers will publish from their transcriptions of documents or from xerographic or photographic copies provided for reference, despite your warnings not to do so without permission from the copyright holder or an appropriate release form. While you may not be able to prevent this, avoid encouraging inappropriate publication.

> *Don't provide written permission to publish materials unless you are certain that NPS has the copyrights or the material is in the public domain. Don't provide high-quality copies (photographic or digital) of any materials which have usage*

4. *How do I let researchers know about park policies?*

Ensure that the Access Policies and Rules Governing Use statement is available. Researchers must read and sign it as part of the researcher registration process **before** they use the collections. Use of this registration procedure and consistent enforcement of the rules when dealing with both internal and external researchers will protect the park from charges of providing unequal or unfair access.

5. *How do I train park staff in park research policies?*

Explain access and researcher supervision procedures to all park staff who may be called upon to assist you in supervising on-site researchers. Prepare a standard operating procedure for security so that staff members know what to do in the event of a theft, an attempted theft, or willful damage. You and your staff must be familiar with the applicable federal and state laws regarding theft of archival materials.

> *Never leave collections unattended during breaks or overnight in an unsecured reference room.*

U. Identifying Appropriate Restrictions for Archival and Manuscript Collections

Providing access to archival collections involves enforcing appropriate restrictions required by management concerns, ethics, and law.

1. *What types of collection restrictions may I have to apply to NPS archival collections?*

You may limit access to materials for the following reasons:

- Management concerns
  - inadequate supervision
  - unprocessed collection restrictions

- fragile material restrictions

- Ethical concerns
  - donor restrictions
  - culturally sensitive restrictions

- Federal and state legal restrictions
  - copyright restrictions
  - other federal statutory restrictions
  - state publicity act restrictions
  - state privacy act restrictions

Management and ethical access restrictions may not be enforceable if the park receives a Freedom of Information Act (FOIA) request or subpoena. Consult your FOIA officer or lawyer for guidance.

2. *What are unprocessed or fragile material restrictions?*

If materials are in such fragile condition that handling them could destroy or severely damage them, limit researcher handling until a conservator can stabilize them, subject to FOIA requirements. You may do the same for unarranged or described collections.

3. *What are inadequate supervision restrictions?*

If you do not have staff to supervise researchers or an appropriate reading room in which to research, you may restrict access to the collections. Tell the researcher that you must reschedule the visit when supervision and work space outside of the storage area are available. Explain that this helps ensure collection security and appropriate usage.

4. *What are donor restrictions?*

Donors may place limits or conditions on gifts, such as restricting access to their personal papers until after their death. Discourage donors from imposing unnecessary restrictions. Ensure that all restrictions imposed are both clear and enforceable. Warn donors that NPS owned collections are subject to FOIA. Honor restrictions already in place, subject to FOIA. FOIA exemptions are decided upon a case-by-case basis. In a 1995 case (Kats v. NARA) the courts denied a FOIA request for the J.F. Kennedy Papers based upon prior donor restrictions. Ask your FOIA Officer and SSO curator for guidance.

5. *What are statutory restrictions?*

Statues protect many kinds of information from disclosure including the locations of:

- protected archeological sites including shipwrecks (16 USC 469 & 16 USC 470aa)

- caves (5 USC 552 and 16 USC 4301)

- wells (5 USC Section 552)

- endangered species (16 USC 1531-1543)

Under 5 USC Section 552, you must also automatically deny access to:

- classified military information

- classified intelligence records

- personal information affecting an individual's privacy

- investigatory and law enforcement records

- internal personnel rules and practices

- commercial or financial information of concessioners or partners

These materials are subject to protective laws and rules described in the *MH-I and MH-II,* Appendix A, Mandates for Collections Management. If found, secure a classified or protected document in a locked safe after replacing it with a completed separation sheet.

Contact the appropriate authoring agency for classified documents to determine their current status. For a fuller discussion see Section U.5 of this Appendix.

6. *What are culturally sensitive restrictions?*

If the collection contains items such as photographs of American Indian burials, sacred sites, or religious ceremonies, it may be restricted under the American Indian Religious Freedom Act (42 USC 1996 and 1996a). If uncertain about the items' sensitivity, consult with the affected group.

The affected group is not necessarily the donor. Other collections, such as the working papers of ethnologists or archeologists, may be restricted by the donors or creator/contractors if they contain sensitive items like those described above. Contact a DOI lawyer for specific guidance.

Some items, such as images of remains, may **not** be made available for reference and duplication. Remove documents containing culturally sensitive location information for sacred places and burials (including universal transverse mercators called UTMs) and replace them with a completed separation sheet, Form 10-645 (Figure D.5a) before you provide access to the collection.

> *Warn researchers of sensitive materials and offer them less sensitive alternative materials where possible.*

If the document already has been published, you may not restrict access. If you may not restrict access due to prior publication, you must warn the researcher of the sensitive nature of the materials and provide a full descriptive context for the material by explaining:

- why the material was originally created

- what purpose it serves at the park

- what current community (portrayed culture) standards exist concerning what is sacred or sensitive

7. *What are privacy restrictions?*

Many states protect the privacy of living private individuals, groups, and corporations. While state privacy laws vary, generally living private individuals have the right to control the use of their name, words, images, and private information. Privacy is the right of a private living individual to

be "left alone." In general, the right of the individual to privacy expires at death. Privacy protections include:

- freedom from public disclosure of private information (medical, employment, psychiatric, and religious counseling information)

- freedom from intrusion on one's seclusion or private affairs

- freedom from being placed in a false light

- freedom from embarassing situations (including nudity of children and adults)

There is no "fair use" (see Section U.13) allowed of items protected by privacy laws. The individual portrayed may authorize the park to use the materials in stipulated ways by signing a release form, such as a model release form for images or interview release forms for oral/video histories. Consent to use items in one setting, such as a slide show, doesn't necessarily authorize use of the items in another setting, such as the World Wide Web unless the release form says so.

To protect your park, ask your researchers to sign a statement that they are responsible for obtaining permission to publish materials from any individuals who have privacy rights in those materials. See the Copyright and Privacy Restrictions statement (Figure D.15).

8. *What are publicity restrictions?*

In some states celebrities have a legal right of publicity that protects their economic interest in their name, likeness, and other aspects of their persona. When a researcher asks to use a NPS-owned document, such as a celebrity photograph, in a for-profit publication the usage may violate state publicity law. Check with your lawyer. Publicity rights do not necessarily expire at death. Consult with the celebrity or the celebrity's estate to obtain permission for such for-profit usages.

9. *What is copyright?*

Copyright (17 USC 101 et seq) is a legal protection provided to original material in a fixed form, whether published or unpublished. Only original expressions or works are protected. Ideas, facts, and concepts may not be copyrighted. Copyright is governed by the Constitution, the Copyright Act of 1976, case law, and various international treaties. Section 106 of the Copyright Act gives the copyright owner the exclusive right to authorize or do the following:

- reproduce the copyrighted work in copies

- distribute copies of the protected work to the public by sale, rental, lease, loan, or transfer of ownership

- display the copyrighted work publicly

- prepare derivative works based on the copyrighted work

- perform the copyrighted work publicly

Copyright belongs to the creator of the work or the creator's heirs. A copyright owner can grant the park any or all of the above listed rights when donating the item by listing them on the Deed of Gift form. The phrase "all copyrights" is most commonly used. If a work was created during employment, called a work for hire, the employer and not the employee is considered the author and therefore owns the copyright. Works created by federal employees on work time are considered public property (in the public domain) and not covered by copyright protections.

Although NPS as a government agency can't create copyrights, it can own copyrights of acquired materials. If the NPS owns and enforces the copyrights to an acquired item, the item isn't in the public domain. Conversely, just because NPS owns an artifact doesn't mean that NPS owns the copyrights to that item.

To own copyrights, the NPS must have been given them in writing by those who owned them, usually the creator of the material or his heirs.   Some copyrighted items are marked with a notice, usually a "c" in a circle, or the abbreviation "copyr.," or the word "copyright"; the copyright holder's name, and the year of first publication. Other copyrighted items, such as unpublished documents, rarely have a notice.

> *Parks often don't own the copyrights to historical documents they have in museum and library collections. Check the deed of gift to see if it gives NPS "all copyrights"; if not, don't assume the park has the copyrights. Don't violate copyright by granting permission to publish protected materials whose copyright the park doesn't own unless the copyrights have lapsed and the work is in the public domain.*

Copyright protections begin from the moment the work is created in a fixed form, although copyright expiration dates depend on many factors. Generally, works published more than 75 years ago are now in the public domain. Consider talking to a lawyer about the duration of copyright, particularly for works created before January 1, 1978 (the date of the new law). Tell the lawyer the creator's name and death date (if any), if the creator was a federal employee or joint author, when the material was first published, and if the Deed of Gift cites "all copyrights."

10. *What is the duration of copyright?*

The copyright duration for works originally created on or after January 1, 1978, begins when the work is created and ordinarily lasts for the creator's life, plus an additional 50 years after the creator's death. If the work was jointly prepared by several authors the term of protection lasts for 50 years after the last surviving author's death. For works made for hire and for anonymous and pseudonymous works (unless the author's name is registered at the copyright office) the duration of protection is 75 years from publication or 100 years from creation, whichever is shorter.

For works created, but not published or registered for copyright before January 1, 1978, the duration is the same as for works created on or after January 1, 1978, **except** in no case will the copyrights expire before December 31, 2002. For works published on or before December 31, 2002, the term of copyright will not expire before December 31, 2027.

For works created **and** published or registered before January 1, 1978, the first copyright registration lasted for 28 years from the date it was secured. During the final year (28th year) of the registration, the copyright could be renewed for an additional 28 years. The Copyright Act of 1976 automatically extended the renewal term from 28 to 47 years for materials still under protection on January 1, 1978, making the works eligible for a total term of protection of 75 years. However if the copyright protection had lapsed before January 1, 1978, the new law didn't reinstate it.

Most archival collections contain incoming correspondence and photographs, not created by the collection creator. Copyrights for incoming correspondence or photographs must be obtained separately by application to the individual correspondents or photographers or their estates.

11. *Who holds the copyrights?*

The creator owns the copyrights (regardless of who owns the work). If you can't discover who the creator is or when the item was published, treat the material as if it is still under copyright protection held by someone other than the park. After the death of the creator, the copyright is held by the creator's heirs. There are two exceptions:

- When the document was created as a "work for hire" (while the creator was an employee), the employer retains the copyrights.

- When the creator sells, wills, or gives the copyrights in writing to another, that other person then retains the copyrights for the full period of copyright protection.

12. *When must I avoid authorizing publications?*

If the object is under copyright protection and the park doesn't own the copyright, don't authorize others to reproduce, perform, display, or prepare derivative works from the item.

13. *What is fair use?*

"Fair use" is an exception to copyright protection that permits limited use without the permission of the copyright owner for purposes such as:

- research and scholarship

- news reporting

- criticism, parody, or commentary

You may also make a:

- preservation copy for research usage

- a copy for deposit in another research institution for scholarly purposes

- a security copy of a stolen, or likely to be stolen, work

Whether a use is "fair" hinges on a case-by-case analysis of the purpose and character of the use by the courts. Factors considered include whether the use is commercial or nonprofit/educational; the nature of the work; the amount and substantiality of the segment used in relation to the whole work; and the effect of the use on the potential market for or value of the work. See Figure D.15 for a sample Copyright and Privacy Restrictions statement.

V. Implementing Access and Usage Policies for Archival and Manuscript Collections

Follow access policies and rules governing use, as described in Figures D.13a-b, consistently so that you provide equal access to non-restricted collections for a qualified researchers.

1. *What procedures must I follow when providing access?*

Follow established procedures when allowing research use of archival and manuscript collections. See Figures D.13a-b for sample access policies and rules governing use.

2. *How must researchers apply to use park archival and manuscript collections?*

Require that potential researchers write you to explain their projects and why they need to use the archival collections. This information will help you determine if a researcher must work with the original documents or may work with copies or publications.

Written requests are also useful for scheduling research visits. Whenever possible, encourage the researcher to work with copies, duplicates, or published sources. Required rules and procedures are designated by an asterisk (*).

- *Research Registration**
  Ensure that researchers fill out a registration form and provide photographic identification such as a drivers license. Complete information, including the identification card number, must be recorded on the registration form by the researcher. The form must be checked against an original driver's license by the staff. See Figure D.16, the Researcher Registration Form. Assign each researcher a unique number. Use this number on all researcher duplication, copyright and privacy, and researcher registration forms.

  Retain these forms permanently for use in statistical analysis and for legal return of stolen documents (replevin) in case of theft. Record all collections and boxes the researcher uses. As part of researcher registration, give the researcher a copy of the park's access policies and rules governing use to read and sign (See Figure D.13a-b).

  Once in the research room, give the researcher a copy of the park's repository-level guide and appropriate finding aids. Using these tools and your reference assistance, the researcher then determines the most appropriate materials on his or her research topic. **Don't** allow the researcher to aimlessly browse through the original research materials. Instead, researchers request and use collections on a **box-by-box** basis.

- *Sign-In and Out**
  Researchers sign in and out in the visitor log **each** time they enter or leave the research area during the course of research. They must list their name, date, time of arrival, and time of departure.

- *Container Requests**
  Require researchers to work from a **finding aid** in order to request a specific box of a collection, rather than browsing through an entire collection. The researcher must complete a Researcher Registration Form (see Form D.16). All boxes supplied to the researcher are noted upon this form by collection title and box number. Use the reverse of the form and any additional sheets as necessary. Use these forms at the end of the day to confirm the return of the appropriate boxes of material to archival storage.

  Keep the registration forms as a record of collections use. These records will also provide accurate usage statistics. Accurate records will also discourage theft, provide evidence useful in prosecuting an alleged thief or vandal, and provide evidence for replevin.

W. Monitoring and Tracking Researcher Use of Archival and Manuscript Collections

You will train yourself and your colleagues in how best to supervise researchers and document research use of collections for security purposes. The steps described below outline how best to do this.

1. *How must I supervise researchers?*

To facilitate researcher supervision, you seat the researcher facing yourself or your staff in a research room. Such supervision is the only reliable way you can prevent theft or mutilation of original documents. You must be available for primary supervision, and a backup staff member must be available if you leave the room for any reason.

> *You or a trained staff member must supervise researchers at all times while the researchers are using original archival and manuscript material.*

To ensure staff availability to supervise researchers, ask researchers to schedule their visits in advance. If the researchers can communicate their project effectively, advance scheduling will allow you time to locate the desired material and have it ready when the researchers arrive.

2. *How do I track research use?*

Monitor and list all collections and specific boxes of material used by the researcher on each date they work with collections. List collection names as well as the box number for all boxes the researcher uses. This procedure ensures that if you discover a document missing, you will be able to identify all individuals who had the opportunity to take it. Tracking research use deters thefts and ensures that lost materials are more likely to be recovered via the courts (replevin).

3. *When must I insist that researchers work with copies or duplicates?*

Work with an archivist or an archivally-trained curator to develop a program of microfilming or microfilming and digitizing archival materials. Such reformatting enhances preservation and security. Once the copies are available, request that researchers work with them, instead of the originals. See Section I.5 for more guidance.

On occasion, specialized researchers will need access to originals to view watermarks, photographic tinting or retouching, or similar issues. In such cases, make the originals available for research, unless doing so will endanger their existence due to excessive fragility (see fragile materials restrictions under Section U.2 above).

If you require that researchers use copies such as microfilm, you will prevent loss or damage to original documents. If researchers are to be left alone with valuable copies, such as microfilm reels, the boxes of film must be inspected after use to assure that all film has been returned.

4. *How can I teach researchers to respect collection provenance and original order?*

Inform researchers that they must keep documents in the same folders and in the same filing order within the folder or they may permanently damage the collection. Ensure that researchers keep all folders within a single box in their original sequence. Labeling the folders with a folder number will help keep them in order. Tell researchers that if they find a document or folder out of place, they must inform you rather than refiling the document or folder in the new location.

5. *When must I ask researchers to wear gloves?*

You may require researchers to wear gloves while handing fragile or contaminated archival and manuscript material. If so, ask them to wear

- white cotton gloves when they are working with photographs-- including photographic negatives, prints, slides, and glass plates or other transparencies. This is not necessary if the images are stored in protective polyester (Mylar brand) enclosures. Also wear white cotton gloves when working with particularly fragile paper documents.

- latex or rubber gloves when they are working with archival or manuscript collections contaminated with mold, insects, vermin, or chemicals for safety and health reasons.

6. *How and when must I respond to off-site reference inquiries?*

Respond to all reference inquiries received, both Freedom of Information Act (FOIA) requests and routine reference requests within 10 days. Some parks will accept all reference inquiries, whether or not they are received via telephone, fax, e-mail, or mail.

In general, use the same media to respond to a question as was used to make it, that is respond to telephone inquiries via phone, mail via letter, and so forth. Your policy should explain how you will screen and handle inquiries by telephone, fax, e-mail, Internet, and mail.

The amount of time and effort you expend working on any particular reference query will depend upon the legal requirements for service (for example, FOIA), the availability of your time and equipment, and the nature of the question. You should:

- Acknowledge the receipt of all inquiries immediately even if a full response cannot be provided promptly. Set a time limit for researching questions (for example, 30 minutes per question) based upon staff availability. Follow FOIA guidelines for all FOIA requests.

- Set priorities for reference service, for example:

  - FOIA requests and on-site researchers with an appointment receive highest priority.

  - On-site researchers without an appointment receive a somewhat lesser level of attention.
  - Written inquiries receive a still lesser level of attention.

  - Phone inquiries are attended to as time permits (within 10 days).

> ***Respond to reference questions within ten working days.***

- Encourage researchers whose requests require extensive staff research time to visit the archives.

  In case they cannot, you should provide researchers with a list of local graduate students or other trained researchers who will conduct research for a fee.

- Notify remote researchers that requests for copies in quantities that exceed the minimum number provided free of charge must be made in writing, preferably with advance payment attached. Set up a copy fee collecting mechanism with the park's cooperating association or contract with a preservation duplication agency to do the work. Notify researchers of the copy charges and obtain payment in advance, preferably by money order. Avoid taking personal checks; instead ask for money order.

If copyright issues concerning unpublished protected manuscripts are involved, send the copy requester a Researcher Duplication Form (Figure D.14), a Copyright and Privacy Restrictions statement (Figure D.15), an Access Policies and Rules Governing Use statement (Figures D.13.a-b), and a Researcher Registration Form (Figure D.16) to complete, sign, and return to you. See "Reformatting" in Section I.5 for further guidance.

7. *How should I track my reference work?*

Keep a record of all research inquiries listing the type of inquiry and how you handled it. You may use a file of researcher registration forms and reference correspondence for this purpose. You will find this record useful for:

- compiling statistics on the research use of the collection, such as for the Collections Management Report (Form 10-94)

- analyzing the staff's reference service to researchers and park staff

- analyzing requests when planning for automated systems

- producing annual reports

Remember to include the collection use in all park statistical compilations, and don't forget to factor in use by park staff. You will find your record of reference questions received and sources consulted useful when you are dealing with similar questions in the future.

8. *How can I ensure that researchers and publishers give credit to the park?*

The Access Policies and Rules Governing Use statement (D.13a-b) indicates the proper citation format. This citation format is used by researchers to credit the park collection in published captions, bibliographies, and footnotes. The citation is not a caption, but is instead a credit line indicating the source of the material published. The NPS recommended components of a proper citation are as follows:

- National Park Service, park name

- collection title

- catalog number

- box number

- folder title/number

- image number (where appropriate)

- credit to the creator of the item (for example, photographer)

  For example, "Courtesy of National Park Service, Harpers Ferry NHP, Armory Collection, Catalog # X, Box 43, Folder 35, Image (or item) #."

While you can't ensure that accurate citation procedures will be followed by researchers and publishers, you should encourage them to be specific and accurate in their citations so as to save yourself time and effort in answering future requests generated by these publications.

9. *When may I request that scholars provide courtesy copies of their work to the park?*

Ask researchers as a courtesy to submit two copies of any publications derived from or using any park museum archival and manuscript collections; one copy goes to the park library, while the second stays with the museum archival collections as a publication file.

X. Handling Freedom of Information Act Requests

By law you must respond to Freedom of Information (FOIA) requests.

1. *What is FOIA?*

FOIA is federal legislation first enacted in 1966, since amended, and codified in 5 USC Section 552. Drafted to provide citizens with information on their government's actions and to provide the documentation that serves as evidence of those actions, FOIA makes most Federal records available to the public.

> *If you receive a FOIA request you must notify your support office and park public affairs and FOIA officers immediately.*

2. *How does FOIA affect the way I provide access to archival and manuscript collections?*

FOIA and NPS museum policies or restrictions may clash, for example, although the parks may place restrictions on some records for purposes of privacy protection, donor restrictions, or other reasons, the courts will not necessarily uphold these restrictions if a researcher places a FOIA request and appeals your restriction. The decision depends upon the judge and is

based upon legal precedent. Ask a
DOI lawyer for help.

3. *What FOIA requirements must I follow?*

> *Under Department of Interior (DOI) policy, when you receive a FOIA request you must speedily provide xerographic copies of all applicable existing documents and files within 10 working days of receiving the request.*

If a FOIA request response will take longer than 10 days to assemble, notify the support office public affairs and FOIA officers immediately. With their permission, you may notify the requestor that the response will take up to 10 additional working days. Fees are charged to recover the cost of undertaking the research and duplicating the materials. The DOI has an established fee schedule. Citizens are not charged fees for the first two hours of search time or the first 100 pages of materials copied.

Ask requestors to verify in writing their willingness to pay substantial fees or to prepay large fees. For more information see your FOIA officer or read 383 *Departmental Manual* 15.

4. *What must I provide under FOIA?*

You must provide any file or document already released by the government to the public, to members of Congress, or to the courts at any time under FOIA. These materials are already public records. It is essential that you act positively on all FOIA requests, unless there is a special exemption that has an actual basis in law. FOIA exemptions are not there to protect government employees from professional or personal embarrassment. Attempting to use these exemptions as personal shields almost inevitably backfires. Exceptions to FOIA are listed below.

5. *What am I not required to provide under FOIA?*

Under DOI policy, you or other NPS staff don't have to undertake original research (such as field research) to answer a question, nor do you need to create records where none currently exist. Additionally, there are nine major legal categories of exemptions to the FOIA which you may invoke when appropriate:

- *Matters of National Defense or Foreign Policy*, including classified documents (5 USC 552)

- *Internal Personnel Rules and Practices*, allows for the withholding of records "related solely to the internal personnel rules and practices of an agency" (5 USC 552)

- *Information Exempted by Other Statutes*, 5 USC 552 states: that the statute must be one enacted by Congress that "(A) requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue, or (B) establishes particular criteria for withholding or refers to particular types of matters to be withheld."

  Legal exemptions include the:

  - American Indian Religious Freedom Act of 1978 (42 USC 1996 and 1996a)

- Archaeological Resources Protection Act of 1979 (16 USC 470)

- Endangered Species Act (16 USC 1531-1543 et seq.)

- Federal Cave Resources Protection Act (16 USC 4301)

- National Historic Preservation Act of 1966 as amended (16 USC 470-470t, 110)

- ***Trade Secrets, Commercial or Financial Information*** that might assist a competitor such as the operating plan of a concessioner (5 USC 552)

- ***Privileged Interagency or Intra-agency Memoranda or Letters***, such as records pertaining to a management decision under consideration, but not yet made (5 USC 552)

- ***Personal Information Affecting an Individual's Privacy***, such as medical or personnel records, photographs, transcripts, or tapes of interviews that lack release forms, or documents that while not libelous give a false impression of an individual and place that person in what the privacy law calls "false light" (5 USC 552a)

- ***Records Compiled for Law Enforcement Purposes***, such as documents regarding a criminal investigation or names of a confidential witness in a criminal case that may subject the witness to reprisal (5 USC 552)

- ***Records of Financial Institutions,*** such as bank records (5 USC 552)

- ***Geological and Geophysical Information Concerning Wells and Caves****,* such as location information (5 USC 552)

6. *Who can say "No" to FOIA?* You must say "Yes" to a FOIA request, subject to the restrictions above. If your situation fits the restrictions listed above, tell the FOIA requestor that you are obtaining an opinion from your expert staff and that you will rapidly get back to them. Do so within ten days.

> *Only the field director, acting on advice of the field, cluster, or support office public affairs office and the field or support office solicitor, may say "No" to a FOIA request.*

If you feel that a FOIA request should be denied, rapidly deliver or fax the FOIA request, your rationale for denial, and copies of the original documents requested to the field area, cluster, or support office FOIA or, if none exists, public affairs office for determination.

The public affairs officer and the solicitor will review the documents immediately. Their recommendation on approving or denying the FOIA request plus a letter of approval or denial for the field area director's signature must be completed, surnamed, and mailed to the FOIA requestor within 10 working days of the receipt of the original request.

If the materials being requested are non-governmental information kept in government files, such as materials from contractors and concessioners, the non-governmental creator of the records must be alerted immediately to the FOIA request and given a chance to object to the release of the information. The final decision on release belongs to the government, although appeals to the decision by the records creator are possible under a procedure called "Reverse Freedom of Information."

Y. Documenting Copies

1. *How should I catalog reproductions of items in archives and manuscript collections?*

You may frequently make reproductions of items in your archives and manuscript collections. These may be for preservation or use. Although you catalog reproductions of three-dimensional museum objects, you don't catalog reproductions of items in an archival collection. Label them as copies, and track them with a locally assigned number as part of the larger collection.

Refer to *MH-III,* Chapter 4: Two-Dimensional Reproductions, for additional information on making reproductions.

2. *Where do I track reproductions of items in archives and manuscript collections?*

The Item level record in the ANCS+ Archives Module is the best place to track reproductions of items in archives and manuscript collections. You can track reproductions of images in the ANCS+ Collections Management Module (see question 5 below). The Collections Management Module was not designed to track reproductions of other types of archival items.

ANCS+ allows you to go directly to the Item level record in the Archives Module. Create an Item level record for each item you are reproducing. You can then create a sub-item record, or records, to track the reproductions.

Use a local control number to track the reproduction from the original. Use the Notes field on the Item level record for the original to document that the item has been reproduced.

Refer to Appendix I of the *ANCS+ User Manual* for instructions on using the Item level record.

3. *How should I catalog nitrate negatives?*

You need to catalog nitrate negatives and motion picture film before you duplicate or deaccession them. Most nitrates will be part of an archival collection. Start by creating a collection level catalog record in the ANCS+ Collections Management Module. Refer to Section II of Chapter 2 in the *ANCS+ User Manual* for instructions.

For some collections, you may want to transfer the collection level record to the optional ANCS+ Archives Module. You can then further describe the collection at the series, file unit, and item levels.

You may also have nitrate negatives and motion picture film that have been individually cataloged.

4. *Can I use the catalog record to track the nitrate negatives in a collection?*

Yes. Use the Images supplemental record to list the nitrate negatives that are in the collection. The Images supplemental record links directly to the catalog record. The catalog record documents the image. The supplemental record documents the various formats of the image.

5. *How do I track nitrate negatives in the Images supplemental record?*

You can list the negatives by number, type, and date in the Images supplemental record. Use a locally assigned number. After you have duplicated the negatives, give the duplicates a locally assigned number and list them in the supplemental record. Add the duplicates to the original catalog record. Don't create a new catalog record for them.

There is a Notes field for every entry. Use this field to record that you have:

- duplicated a negative

- destroyed a negative

- stored a negative in a different location (such as cold storage)

- added a duplicate image to the catalog record

> *You don't have to list images individually in the supplemental record. You can list them by groups.*

Note: Use the Description field on the catalog record to note actions that affect the whole collection or an individually cataloged nitrate.

Use the following, or similar, wording to document the reformatting of nitrate negatives.

If the original nitrate has been destroyed, note:

Original nitrate(s) replaced on (date) by (name) with (film type, for example, polysulfide toned black-and-white gelatin silver continuous tone film on polyester base) and checked for quality by (name) on (date). Original nitrate destroyed on (date) by (name/title of hazardous materials coordinator).

If you are keeping the original nitrate, **note:**

Original nitrate(s) replaced on (date) by (name) with polysulfide toned black-and-white gelatin silver continuous tone film on polyester base that has been checked for quality. Original nitrate was separated and removed to (location that includes cold storage company, cooperator, or park; address; and phone number).

6. *How do I track nitrate negatives in the Archives Module?*

Use the Original/Duplicates supplemental record in the ANCS+ Archives Module to track nitrate negatives. You can use this record at any level of the module to enter information about duplicate negatives and images and their location. If you want information for each negative, use the Item level screen. You can create a sub-item record for each duplicate.

7. *Do I need to track nitrate negatives in both the Collection Management and Archives Modules?*

No. You don't need to track nitrates in both modules. Choose the module that best serves the purposes of the collection. Tracking nitrates in the Archives Module allows you greater flexibility in documenting the images. You can document nitrates at the appropriate level of the collection. For example, you can reformat an entire file unit or series.

8. *Do I have to catalog negatives at stages 3-5 of deterioration?*

Yes. You must catalog these negatives before you deaccession them as hazardous material.

If you…	Then…
have information on the record negatives,	*include this on the catalog*
don't have information on the negatives,	*lot catalog them on one record with basic registration data.*

9. *Can I deaccession some of the negatives within a collection and keep the others?*

Yes. Assign a separate catalog number to the negatives you deaccession. You can lot catalog all the negatives on one catalog record with basic registration data only. See question 8 above. Cross-reference the new catalog number to the number of the original collection.

Z. Understanding the Language: A Glossary

Acquired archives: Organic collections created by a non-NPS organization as a routine part of doing business but removed from the physical custody of the originating institution and now in the physical custody of the NPS. These intact organic collections maintain their provenance and original order and are still referred to as archives, although legally severed from their non-NPS creator.

Active records: Official records needed and used for current business by NPS staff.

Administrative value: Refers to the archival material's usefulness for park management, as in the case of architectural drawings and plans useful for building repairs, maps necessary for landscaping or rescue, or other park records that indicate how an ecosystem has been affected over time.

Appraisal: (1) The act of assessing an archival or manuscript collection's value--including informational value, artifactual value (uniqueness and physical qualities such as process, media, or techniques used), evidential value, associational value, and monetary value--using criteria such as age, subject content, contextual documentation, condition, quality, quantity, legal restrictions, organizational problems, public relations concerns, and associational nature. (2) The act of determining if a collection contains official (i.e., appropriate for disposition by NARA) or non-official (i.e., appropriate for park retention) records by consulting guidance such as *Cultural Resource Management Guideline*, Chapter 9; *Museum Handbook*, Part II, Appendix D, Section D; and *NPS-19, Records Management Guideline*. (3) Used in NPS museums to refer strictly to establishing monetary value.

Archival assessment: Evaluation of a park's total archival and manuscript collection management needs incorporating collection surveys, the production of collection-level survey descriptions, collections evaluations, and recommendations for action. Professional assessments facilitate records management and the care of archival collections in parks that have little previous experience with these issues.

Archival collections: (1) An organic accumulation of records created by an organization as a natural part of conducting business. Archival collections have a common provenance and a shared internal order original to the collection. See **collection**. (2) The total archival and manuscript holdings of a park. See **holdings**.

Archival quality: Permanent, durable, and non-destructive storage or copying materials or equipment suitable for use with archives. Also refers to long-lived (100-year-plus) documentation formats such as silver gelatin emulsions.

Archives: (1) The non-current records of an organization, with their original order and provenance intact, maintained by the original organization. (2) The organization that created and holds the records. (3) The physical building/room in which the records are held.

Archivist: A professional knowledgeable in archival theory and practice, who is responsible for the administration or management of archival and manuscript collections.

Artifactual value: refers to the collection or item's intrinsic value as unique or rare examples of material culture. This value relates to the age, format, process, media, condition, and quality of the material.

Artificial collections: See **non-organic collections** and **assembled collections.**

Assembled collections: Accumulations of documents, most often gathered from multiple sources by a collector, generally unrelated by provenance. The documents frequently are in the same format or related to the same topic. Assembled collections are sometimes referred to as "manuscript collections."

Associated records: All documentation generated by the activity of collecting or analyzing artifacts or specimens needed to effectively manage those related objects within museum property collections. (If there is no object or specimen, the record may not be "associated" but is instead a resource management record.) See also the definition in 36 CFR Part 79 and **resource management records**.

Associational value: Refers to the archival material's relationship, usually by ownership or use, to an eminent site-related individual or group or the material's relationship to a significant site-associated event.

Authority files: Published or unpublished lists of subject terms or names selected by a park for use in description. The lists may provide definitions, occupations, cross-references from variant versions of names or terms, and dates. Every park museum collection with archival holdings should have authority files for use in creating folder lists.

Cellulose nitrate film: A flexible film base used for motion picture film and photographic negatives between about 1890 and 1955. This film base self-destructs over time going through five stages of deterioration. The film should be handled with gloves, foldered in buffered sleeves, boxed, placed in Ziplock bags and removed to off-site (non-museum storage) storage in a freezer. See MH-I, Appendix M, Care of Cellulose Nitrate Film.

Collections: (1) An accumulation of manuscripts, archival documents, or papers having a shared origin or provenance, if organic; or having been assembled around a common topic, format of record, or association (e.g., presidential autographs), if non-organic. A collection may be any of the types of records described in section D (e.g., personal papers, organizational records, assembled collections, resource management collections, or sub-official records). (2) The total archival and manuscript holdings of a park.

Context: The circumstances of creation, history of ownership and usage, and original order of an archival or manuscript collection. A clear context gives a collection enhanced research value. See also **original order**, **organic collection**, and **provenance**.

Document: (1) The smallest complete unit of record or manuscript material accumulated to form a file (e.g., a letter, photograph, or report). A document may consist of multiple sheets or may have a recto (front) and verso (back), both of which carry information. Documents are also referred to as archival collections, papers, records, and manuscripts. Documents are most clearly described when referred to by their specific formats and processes (document types), such as albumen stereographs, outgoing correspondence, diaries, ink drawings, or field notebooks. (2) Any information in a fixed format, regardless of type.

Ephemera: A broad category of documents originally created for temporary or short-term use, such as advertisements, broadsides, invitations, packaging, posters, programs, schedules, and tickets.

Evidential value: Refers to the collection's ability to serve as historical or legal proof of an activity, event, procedure, or process since the record(s) are byproducts of these activities.

Federal Records Centers (FRC): Regional repositories that serve as official records centers for the National Archives.

Finding aid: (1) A broader term for any format of textual or electronic tool that assists researchers in locating or using archival and manuscript collections. Basic finding aids include guides (for example, repository, collection, and subject guides), descriptive inventories, accession registers, card catalogs, special lists (for example, shelf and box lists), indexes, and (for machine-readable records) software documentation. (2) The file guides, indexes, registers, and filing system aids produced by the records creator, usually referred to as "control records" or "contemporaneous finding aids." (3) The specific type of descriptive tool described in Section L.

Format: Refers to the document type or form, such as the document's size and shape or the configuration of the media and support. For a fuller description of document types or formats see the Getty Art History Information Program's *Art and Architecture Thesaurus*, 2nd edition, (Oxford, England: Oxford University Press, 1994) for a full hierarchical list of terms.

Genre: Refers to the document's style, content, and form, including the document's purpose (advertisements, presentation album), the document's viewpoint (panoramic view), broad topical category (landscape, still life, portrait, or street scene), method of representation (abstract, figurative), circumstances of creation (amateur works, student works), or function (dance cards, cigarette cards, death certificates). For a full list consult the *Thesaurus for Graphic Material II: Genre and Physical Characteristic Terms*, 2nd ed., 1993, Library of Congress Cataloging Distribution Service, Washington, DC 20541.

Historical documents: See **acquired archives, documents, manuscripts, personal papers, resource management records, assembled collections,** and **sub-official records**.

Holdings: The sum total of all archival and manuscript collections held in physical custody by a park. See also

archives, **collections**, **physical custody**, and **repository**.

Holographic documents: Documents written in the handwriting (i.e., script) of the individual who created or signed them.

Informational value: Refers to the subject content of the archival collections, such as the people, groups, places, activities, events, objects, projects, and processes documented. In the NPS, collections often illustrate how the park was created, developed, or operated--serving as the park memory.

Integrity: Refers to collections whose provenance and original order are intact and whose documentary context is complete.

Intellectual control: The mastery or command established over the informational and contextual content of archival and manuscript collections resulting from discovering and describing their provenance and original order and from the processes of arrangement and description.

Inventory: (1) A structured guide to an archival or manuscript collection that includes a brief history of the collection and a list of the materials arranged in series that functions as a type of finding aid. (2) A physical count of a collection conducted for accountability purposes. See MH-II, Chapter 4, Section A, Annual and Spot-Check Inventories and Audits. See also **survey**.

Items: Refers to individual documents or manuscripts. An item may be composed of multiple sheets or may have both a recto (front) and a verso (back) with writing or images on both sides.

Leaves: See **sheets**.

Lot: A group of related records cataloged with a single ANCS catalog record.

Manuscript collections: Groups of documents that have been assembled due to their individual literary or historical values. Manuscript collections are frequently contrasted with archives, which have a shared creator, a shared history of ownership, and a shared original order. See also **manuscripts**.

Manuscripts: Individual documents, primarily textual, that have literary or historical value. Manuscripts include a wide range of document types from correspondence, book drafts, and diaries to personal papers and resource management records. Manuscripts are often paper-based textual records.

Monetary value: Refers to the dollar value placed on rare or collectible manuscripts such as autograph letters or photographs. Monetary value is affected by all of the other values listed above.

Museum records: Official records generated by the museum property system to manage museum property, such as accession, catalog, inventory, and loan records. These records are appraised through NPS record schedule procedures (NPS-19). NPS-19 states that they are maintained in the parks as active official records for which the NPS is accountable to the National Archives and Records Administration.

Non-official records: All NPS documentation created or acquired for purposes of reference or exhibition (44 USC 3301) such as acquired organizational archives, personal papers, sub-official records, resource management records, and assembled collections. These collections are directly opposed to official records which include legally mandated documentation such as audits, budgets, central files, permits, law enforcement, or personnel records. Only non-official archival and manuscript collections that fit a park's SOCS may be added to the park's museum collections.

Note: Both NARA and NPS-19 refer to "non-official" records as "non-records." Some examples of non-official records include archeological site documentation used for site protection and research purposes, a park botanist's reference files, personal papers of the park founder, or aerial photographs used to record changes following a fire used as baseline resource management data.

Non-organic collections: A synonym for "assembled or artificial collections."

Non-official collections: See **non-official records**.

Non-records: See **non-official records**.

Official records: Organic collections of documentary materials created by the National Park Service to document the creation, development, organization, functions, policies, decisions, procedures, operations, or other routine activities of the NPS. Known as "records" by the National Archives and in NPS-19, official records are made or received by NPS offices as a part of transacting business and preserved as evidence of the offices' actions or functions or because of the records' informational value. They may be active, in which case they are retained by the NPS, or inactive, in which case they are appraised via NARA records schedules and either disposed of or sent to a federal records center. Official museum records are listed as permanently active in the records schedule.

Organic collections: Files routinely created as part of the day-to-day activities of a person, group, or organization. The records have a systematic relationship to each other that reflects their function and the activities and viewpoint of their creator. Organic collections are sometimes referred to as "archives." They are said to exhibit integrity (their provenance and original order has been retained). Personal papers, organizational records (acquired archives), resources management records (including associated records), active records (including museum records), and inactive records may be organic. See **original order**, **provenance**, and **non-organic collections**.

Organizational records: See **acquired archives.**

Original order: The functional filing arrangement imposed on a document collection by its creator. The original order of collections can provide information not found elsewhere, such as when the creator received a communication, who reviewed a document, or what the sequence of an administrative activity was. Original order should be preserved or reconstructed in a collection as it allows for rapid arrangement, accurate contextual research, and additional insight into the record creator's methods and activities. If a collection has no order because of mismanagement or disaster, a decision to impose an order may be made only by an experienced archivist.

Personal papers: The records created or accumulated during a lifetime by an individual or family. They have an intact provenance and an original order. Personal papers differ from archives in that they are routinely removed from the custody of the collection creators and placed in external archival repositories, but they function as the archives of individuals and must be treated with the same respect as all organic collections. Parks may collect the personal papers of individuals related to the park, such as founding fathers, formative staff, or eminent individuals associated with the history of the site.

Photographs: A fundamental document type found in all categories of records from museum records to assembled collections. Photographs come in many formats (for example, from cartes-de-visites to stereographs), in a wide variety of vantage points (for example, bird's-eye-view, microscope images, satellite images), genres (for example, landscapes, still lifes, portraits), and processes (for example, silver gelatin, carbon). Photographs are formed by the action of radiation (usually light) upon a sensitized surface. While often thought of as a single process, photography is many hundreds of related chemical processes on a variety of supports, such as metal, paper, plastic, or glass.

Photomechanicals: Multiple copies of images made in ink from photographic printing plates. These permanent images include chromolithographs, duotones, halftones, offsets, photolithographs, photogravures, photoengravings, silkscreens, and Woodburytypes. Photomechanical reproductions were most commonly used for postcards and for illustrations in books, magazines, and newspapers.

Physical control: See **physical custody**.

Physical custody: Either temporary or permanent custody of an archival or manuscript collection. Physical custody does not entail intellectual control or copyright (the right to exhibit, publish, or prepare derivative works). This is particularly true for previously unpublished personal papers, organizational papers, or other historic manuscript collections. In general, the creator of the records holds the copyright. Nor does physical custody entail the right to dispose of portions of the collection without appropriate permission.

Provenance: (1) The entity (for example, person, family, organization, or office) that either created the records or accumulated them in the natural course of activity. (2) The history of physical custody of a collection or item. Note: Museum curators and archeologists use the related term "provenience" to refer to the source or origins of objects and to the exact location where the object was found or made.

Provenience: See **provenance**, definition 2.

Records: (1) All information fixed in a tangible (textual, electronic, audiovisual, or visual) form that was created by an organization as part of its daily business. (2) Two or more data fields that are grouped as a unit in machine-readable records. (3) Official NPS records, per the National Archives and Records Administration and NPS-19, *Records Management Guideline*.

Records management: The process of determining the status, value, and disposition of park records throughout their lifetime (for example, official or non-official; active or inactive; appropriate to the park's scope of collections statement or not; relevant to the site's history or not; appropriate to the archival appraisal criteria or not; and appropriate for shipment to the FRC and NARA or not as listed on the records schedule). Records management also involves scheduling records for their ultimate disposition.

Recto: The facing page (front) of a single sheet of text or images.

Reformatting: Preservation duplication of original archival materials through the use of long-lived copy technology such as silver halide microfilms or large format digital files and computer output microfilms.

Register: A type of archival finding aid. As defined by T. R. Schellenberg in *Modern Archives: Principles and Techniques*, p. 66: "In a register a record is made of documents in the order in which they accumulate. The documents are assigned numbers consecutively. These numbers are the key by which the documents . . . are controlled." Most modern registers, such as those at the Library of Congress, are collection-level finding aids that contain the collection title, accession number, date of collection receipt, donor, collection status, and other basic information for purposes of later processing (arrangement, preservation, and description).

Separation Sheet: A form (Form 10-645; Figure D.5) used to indicate the location of removed items within a collection and the reason for the removal.

Series: A group of documents arranged or maintained as a unit within a file system because of their shared circumstances of creation, receipt, or use. An example of a list of series would be: 1) incoming correspondence, 2) outgoing correspondence, 3) bills and check receipts, 4) photographs, and 5) legal documents.

Sheets: Individual leaves of paper, for example a 5-page letter. An individual sheet may have both a recto (front) and verso (back).

Special collections: (1) Non-official collections of manuscripts, personal papers, non-federal corporate records, magnetic media, audio-visual materials, and other documents. (2) Non-textual records, such as magnetic or audio-visual materials.

Sub-official records: Non-official desk files of copy or duplicate documents useful for reference, interpretation, administrative histories, research, and other informational purposes. These documents are non-official and are not considered necessary for permanent retention by the National Archives and Records Administration (NARA), which instead retains the originals (record copies) of these documents.

Survey: A comprehensive and systematic review of a collection conducted either to obtain a brief overview of a collection or a park's holdings or to gain knowledge on a particular point, such as the amount of cellulose nitrate-based negatives and film in a repository, or the physical condition of a group of collections, or the level of conservation treatment needed by specific items. Surveys may be conducted on any level (item to repository) and on any topic (for example, the amount of stereographs in a repository or the level of documentation on women in the NPS).

Textual records: A broad category of written record including holographic, typed, word-processed, and mechanically printed documents, manuscripts, records, and archives.

Verso: The reverse side (back) of a single sheet of text or images.

Visual records: A broad category of records containing images including graphic, photographic, and photomechanical prints (in all formats from negative, interpositive transparency, and slide, to print); drawings; paintings; and watercolors. Visual materials may be found in all categories of records from official museum records to resource management records.

AA. Identifying Further Sources of Archival Training and Guidance

Seek further training through NPS archival training, your local universities, the National Archives and Records Administration's Modern Archives Institute, the Society of American Archivists' training courses, and through your regional archival organizations.

Upcoming archival training is listed regularly in NPS training announcements such as those on the Ranger Activities Morning Report with additional information listed in the NPS Museum Management Newsletter on the Curatorial Bulletin Board, both on cc:Mail.

For help in determining whether documentation is official or non-official, consult Section D of this appendix; NPS-19, *Records Management Guideline; Cultural Resource Management Guideline*, Chapter 9; the regional/SO curator; NPS archivists and records managers, and the glossary of this appendix.

The Society of American Archivists offers regular training courses. Contact them at tel: 312-922-0140; e-mail at <info@SAA.mhs.compuserve.com> or @cserve<internet:archives@miamiu.acs.muohio.edu> or via fax at 312-347-1452. Their address follows in the bibliography section.

For further guidance read Federal regulations governing document creation, use, and management including the following: the *Records Disposal Act of July 7, 1943, as amended (44 USC 366-376, 378-380); the Federal Property and Administrative Services Act of 1949, as amended (44 USC 391-401); Federal Property Management Regulations, Subchapter B, Archives and Records, Part 101-11, Records Management;* Department of the Interior *Departmental Manual,* Parts 380-384, Records Creation and Disposition and Part 411, Official Records; and the Federal Property Management Regulations, Subchapter B, Archives and Records.

BB. Readings: A Bibliography

Source Key:

Items marked with an ***** are available from: the Society of American Archivists, 600 South Federal,
Suite 504, Chicago, Illinois 60605, tel: 312-922-0140.

Items marked with a **^** are available from: the American Library Association, 50 East Huron Street,
Chicago, Illinois 60611, tel: 312-944-6780.

Items marked with an **@** are available from: the Library of Congress Customer Services Section,
Cataloging Distribution Service, Washington, DC 20541-5017, tel: 202-707-9797.

Items marked with a **#** are available from: the National Archives and Records Administration,
7th & Pennsylvania Ave., NW, Washington, DC 20408, tel: 202-707-5240.

Items marked with a **>** are available from: the Commission on Preservation and Access,
1400 16th Street, NW, Suite 740, Washington, DC 20036-2217, tel: 202-939-3400.

Items marked with a **%** are available from: the Smithsonian Institution Press, 955 L'Enfant Plaza,
Room 7100, Washington, DC 20560, tel: 202-287-3738.

Items marked with a + are available (free) from: UNESCO, Place de Fontenoy, 75700, Paris, France.

Items marked with a **$** are available from: the American National Standards Institute, 11 West 42nd Street,
N.Y., N.Y. 10018; tel: 212-642-4900 or via the Association for Information and Image Management at 1100
Wayne Ave., Suite 1100, Silver Spring, MD 20910; tel: 301-587-8202.

Unmarked items may be borrowed via interlibrary loan from your local public or university library. Articles only
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#Puglia, Steven T. "Negative Duplication: Evaluating the Reproduction and Preservation Needs of Collections," *National Archives and Records Administration reprint.* Washington, DC: NARA, n.d.

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CC. List of Figures

Sequential Overview of Park Archival Work (A=Do yourself after training or consulting with an archivist; R=Do with a records manager; P=Do with an experienced curator; C=Do with conservator; X=Do yourself)	Entry-level Museum Staff	Experien-ced Park or System Curator	Park Records Manager	Park, Local, or Contract Archivist	Contract Conservator
PHASE ONE: Gain Preliminary Control Over Park Records					
Survey park records in all park structures.	A	A		X	
Write collection-level survey descriptions.	A	A		X	
Identify the official & non-official records. Determine which materials are active and inactive.	A & R	A & R	A	X	
Evaluate all records, archival, and manuscript collections versus NPS-19. Evaluate non-official records against SOCS and archival appraisal criteria (see A.5). Recommend specific non-official records for inclusion in museum collection.		A & R	A & P	X	
Accession appropriate collections into the park museum collections and transfer them to the museum storage space. Order supplies.	X	X		P	
After reviewing them with the park historian, archivist, curator, librarian, and other interested parties to ensure the records under consideration are not active or non-official, dispose of inactive official records as described in NPS-19, Records Management Guideline.			X		
Certify active official records due for disposition to the Archivist of the United States (via National Archives).		R	P	P & R	
PHASE TWO: Preserve Park Collections					
Conduct baseline Collection Condition Survey. Prioritize collections for treatment or reformatting.		C &/or A		C &/or P	A & P
Write recommendations for treatment or reformatting, Scope of Work for treatment or reformatting, and treatment or reformatting inspection criteria.		C &/or A		C &/or P	A & P
Contract to reformat or treat the collection when funds are available. Inspect collections afterwards.	A	X		X	A & P
Rehouse the park archival and manuscript collections. Set up storage, work, and reading room spaces with good environments, security, and supervision.	X	X		X	A &/or P
PHASE THREE: Arrange and Describe the Park's Collections					
Arrange the collection.				X	
Create a folder list. Edit and index the folder list.	X	X		X	
Create a box/container list. Update, edit, and index the collection-level survey description.	A	A		X	
Produce a finding aid. Place a copy of the finding aid in a safe place and another in the reading room.	A	A		X	
Catalog collection into ANCS.	X	X		P	
PHASE FOUR: Refine Archival Processing					
Prepare a processing plan statement.		A		X	A & P
Apply for appropriate funding and staffing.		X		P	
Investigate collaborative or cooperative ventures and internship or fellowship programs.		X		X	
Prepare a documentation strategy statement.		A		X	
Prepare a repository-level guide.	A	A		X	
Publicize the archival and manuscript collections.	A	X		X	
PHASE FIVE: Provide Access to Collections.					
Write park access and use policies.	A	X		P	
Research and Review archival and manuscript collection restrictions.	A	X		X	
Provide reference service. Maintain records on reference service for statistical purposes.	X	X		X	

Figure D.1. Sequential Overview of Park Archival Work

Figure D.2. Documentary Records Types Chart
(Cultural Resource Management Guideline Release No.5)

Archival and Manuscript Collections Survey Form

COLLECTION TITLE (Creator/Format/Alternate Names/Accession/Catalog #s):

DATES (Inclusive & Bulk):

PROVENANCE (Creator/Function/Ownership & Usage history/Related collections/Language):

PHYSICAL DESCRIPTION (Linear feet/Item count/Document Processes/Formats/Genres):

SUBJECTS (Personal, Group, Taxonomic, and Place Names/Eras/Activities/Events/
Objects/Structures/Genres):

ARRANGEMENT (Series/Principle of Arrangement/Finding Aid):

RESTRICTIONS (Check and Describe) Donor_____ Privacy/Publicity _____ Copyright_____
Libel_____ No Release Forms_____ Archeological, Cave, or Well Site_____ Endangered Species
Site _____ Sensitive_____ Classified_____ Fragile _____ Health Hazard_____ Other_____

LOCATIONS Building(s), Room(s), Wall(s), Shelf Unit(s), Position(s), Box(es):

EVALUATION (Check and Describe Status) Official Records __ Non-Official Records __ Fits Park
SOCS __ Outside SOCS __ (Rate Collection Value: 1=Low; 3= Average; 6= High) Informational __
Artifactual __ Associational __ Evidential __ Administrative __ Monetary __

CONDITION (Check and Describe) Excellent_____ Good_____ Fair_____ Poor_____ Mold_____
Rodents_____ Insects_____ Nitrate_____ Asbestos_____
Water Damage_____ Other_____

OTHER (Please Describe)

Figure D.3a. Archival and Manuscript Collections Survey Form (Sample) [Optional]

US Department of the Interior
National Park Service

Archival and Manuscript Collections Survey Form

COLLECTION TITLE (Creator/Format/Alternate Names/Accession/Catalog #s):
   Asa Thomas Papers   DRTO-00008

DATES (Inclusive & Bulk): *1850-1925; bulk 1860-69*

PROVENANCE (Creator/Function/Ownership & Usage history/Related collections/Language):
   Asa Thomas (1830-1930) an American engineer, inventor, and explorer specializing in hydraulics created this collection as a record of his life, family, and employment history. Captions on some photos are in Spanish. Note: Must locate a biography of Thomas for the Collection-Level Survey Description. Check the Who's Who in Science. This collection was given by Thomas's third wife, Eva Bebbernicht Thomas to their son, Martin Thomas in 1930. Martin Thomas left it to his only daughter Susan Brabb, who gave it to the park in 1976.

PHYSICAL DESCRIPTION (Linear feet/Item count/Processes/Formats/Genres):
45 linear feet of papers including 15 diaries (1850-1925), 63 albums and scrapbooks, 10 lf of correspondence and 2,000 blueprints

SUBJECTS (Personal, Group, Taxonomic, and Place Names/Eras/Activities/Events/Objects/ Structures/Genres): *This collection documents the life, family, inventions, instructions, and professional activities of Asa Thomas including engineering projects in the Dry Tortugas, an 1873 world tour, and hydraulic pump inventions*

ARRANGEMENT (Series/Principle of Arrangement/Finding Aid):
Into four series by type of document: correspondence, diaries, albums and scrapbooks, and blueprints

RESTRICTIONS (Check and Describe) Donor_____ Privacy/Publicity _____ Copyright_X_
Libel_____ No Release Forms_____ Archeological, Cave, or Well Site_____ Endangered Species Site_____ Sensitive_____ Classified_____ Fragile _____ Health Hazard_____ Other_____ *The donor, A. Thomas's son Marvin, did not donate all copyrights. The papers are unpublished. Some inventions are patented.*

LOCATIONS Building(s), Room(s), Wall(s), Shelf Unit(s), Position(s), Box(es):
   B6 R5 W2 S1-3, B1-40

EVALUATION (Check and Describe Status) Official Records ___ Non-Official Records _X_
Fits Park SOCS _X_ Outside SOCS ___ (Rate Collection Value: 1=Low; 3=Average; 6=High)
Informational _6_ Artifactual _6_ Associational _6_ Evidential _3_ Administrative _3_ Monetary _1_

CONDITION (Check and Describe) Excellent_____ Good_X_ Fair_____ Poor_____
Mold_____ Rodents_____ Insects_____ Nitrate_____ Asbestos_____ Water Damage_X_
Other _____

OTHER (Please Describe)

Figure D.3b. Completed Archival and Manuscript Collections Survey Form (Sample) [Optional]

<div align="center">

Collection-Level Survey Description

</div>

Collection Title: The Madeline Marmoset Fechit Papers (Accessions GIGL-1, GIGL-179, and GIGL-998)

Dates: 1820-1930 (Bulk dates: 1845-1910)

Provenance: Madeline Marmoset Fechit (1810-1910) was born in Wretchit, New Jersey, where she attended school at the New Jersey Peculiar School. Manifesting an early ability in phrenology, Fechit left school to join the Grand Cirque du Zoepraxitrope in 1826. After touring the United States as "Mlle. Pulchritude--Phrenological Tightrope Artiste Extrordinaire," Fechit began purchasing stock in the Cirque in 1828, becoming sole owner in 1830. Fechit incorporated the company in 1845, renaming it the Grand Cirque du Nimes. The company prospered under her leadership until her retirement in 1908, surviving a full twenty years after her death under the management of her son Annapraxis (1840-1930).

   This collection consists of the personal papers of both Fechit and her son, Annapraxis Fechit du Nimes, as well as the business records of the Cirque from 1828-1845 and 1847-1930. The collection was given to the NPS by the grandson of Fechit, Erastus Ambiguous du Nimes, who was instrumental in establishing Zoepraxitrope National Historical Park. Biographical Sources Used: *Who's Who in the American Circus* (New York: MacMudlin, 1930), p. 40. Note: Phrenology is the study of the skull in order to interpret character and intelligence. Language Note: Some letters in series 2 are in French.

Physical Description: There are approximately 143 cubic feet of records including correspondence, 97 diaries, 585 pieces of ephemera, 34 financial ledgers, 240 graphic prints, legal papers, 56 photographic albums, 100 photographic negatives including 50 cellulose nitrate negatives, 2,300 photographic prints including 690 stereographs, and 900 lithographic and chromolithographic posters.

Subjects: This collection documents day-to-day life at the Grand Cirque du Nimes and its predecessor, the Grand Cirque du Zoepraxitrope, between 1830-1845 and 1847-1930. The collection documents the staff, animals, facilities, activities, events, and visitors to these circuses, as well as the various countries in which the circuses traveled such as Bulgaria, England, France, Germany, Mexico, and the United States. There is documentation on the life of both Fechit and her son, Annapraxis Fechit du Nimes, including much correspondence with zoologists and performers on the care and feeding of animals, animal behavior, and the public's taste in entertainment and advertising. There are advertising photographs and portraits of the circus performers-- particularly the clowns and high-wire artists--and animals, as well as landscapes, street scenes, and travel photographs of Bulgaria, France, Germany, Mexico, and the United States between 1850-1930. Fechit's phrenological tightrope performances are illustrated photographically and in posters. There are several scenes of the circus entertaining Confederate and Union troops during the Civil War and English and German troops during World War I. There is a signed 1863 portrait of Abraham Lincoln dedicated "To Madeline, for whom my respect knows no bounds."

Arrangement: Into 4 series by Creator (1. Fechit, 2. Annapraxis Fechit du Nimes, 3. Business Papers of the Grand Cirque du Zoepraxiscope, and 4. the Business Papers of the Grand Cirque du Nimes) and then chronologically. Note: Photographs are out of chronological order in series 1 and 4.

Restrictions: Volume 1-9 of the Annapraxis Fechit du Nimes diaries dating from the 1930s are copyrighted and may not be reproduced in any form without the permission of the estate.

Location: In three rooms of the Marmoset Building at Zoepraxitrope NHP: room 1 on unit 1, shelf 6, position 5; in room 6, unit 5, shelf 2, position 3; and in room 9, in stacks 1-78, shelves 5-9, on the north wall.

Evaluation: These are acquired personal non-federal papers; therefore they are non-official. They are actively used by park staff. Since the collection precisely fits the park's Scope of Collection Statement and has high informational (6), artifactual (6), and associational (6) value and moderate evidential (3), monetary (3), and administrative (3) value, it belongs in the museum collection.

Condition: This collection has active mold, insect residue, and staining in series 1, 2, and 4. There are cellulose nitrate negatives in series 1 and 2 (the photographic albums). This collection requires immediate stabilization.   Before being added to the museum collection, however, it must be cleaned and all deteriorating materials must be separated (via separation sheets) including the 97 albums which have active mold and the 50 cellulose nitrate negatives tucked into the albums. Certain individual documents also need to be replaced with acid-free paper and separation sheets, particularly those with biological contamination such as insect or rodent residue or staining. Do not move the collection into the museum storage space until it has been cleaned and rehoused and inspected by an industrial hygienist.

Other: Due to biological contamination, use latex gloves and a mold and hantavirus-rated breathing mask when working with this collection.

Figure D.4. Sample Collection-Level Survey Description

US Department of the Interior
National Park Service

Archives and Manuscript Collections Separation Sheet

Document Type (map, newspaper clipping, photograph, etc.) Catalog/Accession Numbers

Document Description (Include collection name; dates; group organizational, personal, and place names; and topics [who, what, where, why, when, and how], etc.)

Item Originally Filed (Collection identifier: specific location, box #, folder #, drawer #, sequence in unit, etc.)

Item Now Filed (Specific location: room #, shelf #, box #, folder #, drawer #, sequence in unit, etc.)

Separated By: Separation Date:

NPS Form 10-645
July 1995

Figure D.5a. Separation Sheet (Form 10-645) [Optional]

US Department of the Interior
National Park Service

Archives and Manuscript Collections Separation Sheet

Document Type (map, newspaper clipping, photograph, etc.) Catalog/Accession Numbers

Photographic Negative   *GIGL-49*

Document Description (Include collection name; dates; group organizational, personal, and place names; and topics [who, what, where, why, when, and how], etc.)

1899 Silver gelatin dry plate glass negative by Martin Muluoney showing Mr. & Mrs. Asa Thomas (Amish settlers) in front of Fort Jefferson in the Dry Tortugas during construction.

Item Originally Filed (Collection identifier: specific location: box #, folder #, drawer #, sequence in unit, etc.)

Asa Thomas Papers (1850-1925), Box 6, Folder 5 (Shelf unit S-5-A)
Negative Number T1130A

Item Now Filed (Specific location: room #, shelf #, box #, folder #, drawer #, sequence in unit, etc.)
Mangonis Building, Archives Storage Room 23, Shelf unit 6, Shelf 6A, box 10, folder 3, #25

Separated By: Separation Date:

Marsha Minsy   *5/25/99*

NPS Form 10-645
July 1995

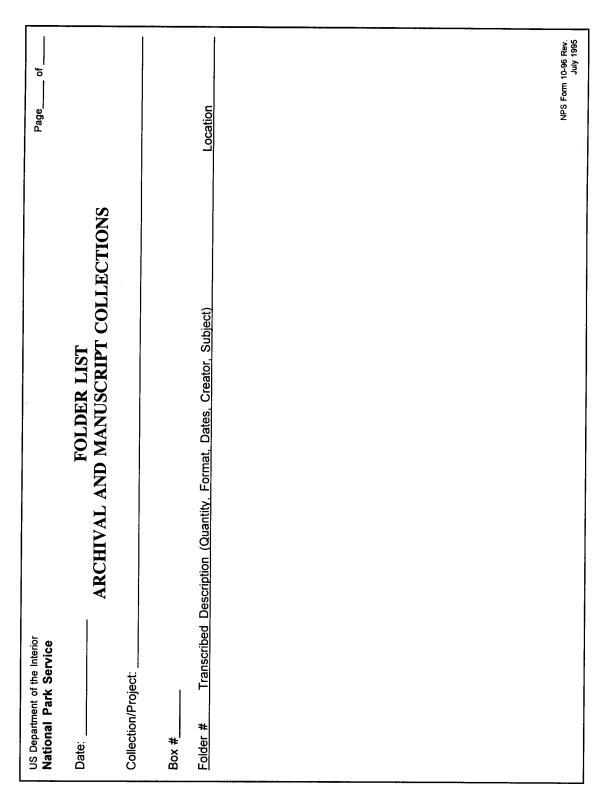**Figure D.5b. Completed Separation Sheet (Form 10-645) [Optional]**

US Department of the Interior
National Park Service

FOLDER LIST
ARCHIVAL AND MANUSCRIPT COLLECTIONS

Page _____ of _____

Date: _____

Collection/Project: _____

Box # _____

Folder #	Transcribed Description (Quantity, Format, Dates, Creator, Subject)	Location

NPS Form 10-96 Rev.
July 1995

Figure D.6a. Folder List - Archival and Manuscript Collections (Form 10-96 Rev.) (Sample)
[Optional]

US Department of the Interior
National Park Service

FOLDER LIST
ARCHIVAL AND MANUSCRIPT COLLECTIONS

Date: _January 23, 1988_

Collection/Project: _THOMAS SUTTER COLLECTION, GIGL NATIONAL HISTORIC PARK_

Box # _1_

Folder #	Transcribed Description (Quantity, Format, Dates, Creator, Subject)	Location
1	"Correspondence" [.5 cubic feet, Outgoing, on religion and bee-keeping] [Heloise Abelard, 1890]	Bldg 2 Rm 1 Cab 2
2	"Correspondence" [.2 cubic feet, Outgoing, on art and farm management] [Martha Ballard, 1880 Theovald the Wet, 1880-1890]	Bldg 2 Rm 1 Cab 2
3	"Correspondence" [.3 cubic feet, Incoming, on friendship, theosophy, travel in Japan, and art] [Heloise Abelard, 1890 Martha Ballard, 1880-1881 Theovald the Wet, 1880-1890]	Bldg 2 Rm 1 Cab 2
4	"Reciepts [sic]" [.1 cubic feet, 8" x 10" paper mounted] [Medical, 1880-1900 Travel, 1880 Veterinary, 1883]	Bldg 2 Rm 1 Cab 2
5	"Diary on my life, loves, admirations, thoughts [...]" [2 cubic feet, 8" x 10" x 2", on New Hampshire politics, weather, "rabb"[?] and farm life, 1880-1925]	Bldg 2 Rm 1 Cab 2
6	"Photos" [.3 cubic feet of 3" x 5", albumen portrait photoprints of Theosophical Society speakers] [Heloise Abelard, 1880-1890, 6 portraits, negative numbers 1-6; Martha Ballard, 1883-1894, 11 portraits, negative numbers 7-17; Theovald the Wet, 1882 & 1894, 5 portraits, negative numbers 18-22; Rasmuz Razmuzztannian, 1884-1886, 10 portraits, negative numbers 22-32]	Bldg 2 Rm 1 Cab 2

Figure D.6b. Example of a Completed Folder List

FOLDER LIST
ARCHIVAL AND MANUSCRIPT COLLECTIONS

Date: _January 23, 1988_

Collection/Project: _THOMAS SUTTER COLLECTION, GIGL NATIONAL HISTORIC PARK_

Box # _2_

Folder #	Transcribed Description (Quantity, Format, Dates, Creator, Subject)	Location
7	"Sketches" [.15 cubic feet of charcoal drawings on mitsumata paper] of "Ikebana" [Japanese flower arrangements, 8" x 10", 1880]	Bldg 2 Rm 1 Cab 3
8	[Manuscript- .1 cubic feet of 8" x 10" x .75", paper-bound] "The etiquette of teramisu," [1880, 200 pp.]	Bldg 2 Rm 1 Cab 3
9	"Photographs," [9 albumen stereograph portraits or .001 cubic feet, 1888, by photographer Thomas Romes of the following: Martineria Zerbohoist (7 b/w photographic prints), Herschel Schmeack (1 b/w photographic negative), Jan Downer (1 b/w photographic transparency)]	Bldg 2 Rm 1 Cab 3
10	"Accounts, 1895-1920," [.5 cubic feet including 1 cloth bound financial ledger, 8"x10"x.25" and 1 paperbound account book, 8"x8"x.010", Zumquist Industries, Inc., business expenses including plant expansion, labor costs, and federal taxation information]	Bldg 2 Rm 1 Cab 3
11	"Legal Records" for Martin Ramquest, 1888-1955 [.1 cubic feet including: a birth certificate (1), marriage certificates (5), and wills (96)]	Bldg 2 Rm 1 Cab 3
12	"Resource Management Records, Mimbara NHS, 1950-1970" [.02 cubic feet including 12 maps, 8"x10", hand-drawn by Martin Ramquest in carbon black ink on tracing paper of the park visitor center area]	Bldg 2 Rm 1 Cab 3

Figure D.6c. Example of a Completed Folder List (continued)

Index to the Thomas Sutter Collection [1880-1925]
Abelard, Heloise: Box 1, folder 1; Box 1, folder 3; Box 1, folder 4; portraits of, Box 1, folder 6.
Account book: Box 1, folder 9.
Accounts: Box 1, folder 9.
Agriculture: See Farms, management of.
Albumen photoprints: Box 1, folder 6; Box 1, folder 9.
Art: See also Photographs; Sketches; Flowers, arrangements of; Box 1, folder 2; Box 1, folder 3; Box 1, folder 7.
Ballard, Martha: Box 1, folder 2; Box 1, folder 3; portraits of, Box 1, folder 6.
Bees, keeping of: See Beekeeping.
Beekeeping: Box 1, folder 1.
Birth certificates: Box 1, folder 11.
Botany: See Flowers
Business expenses: See Accounts.
Certificates: See Birth certificates, Marriage certificates.
Charcoal sketches: Box 1, folder 7.
Correspondence: box 1, folder 1; box 1, folder 2.
Costs: See Accounts.
Diaries: Box 1, folder 5.
Downer, Jan: portraits of, Box 1, folder 9.
Drawings: See Sketches.
Ephemera: See Receipts.
Etiquette of Teramisu [manuscript title]: Box 1, folder 8.
Expenses: See Accounts.
Farms, management of: Box 1, folder 2; Box 1, folder 5.
Federal taxation: See Accounts.
Financial ledger: Box 1, folder 9.
Flowers, arrangements of: Box 1, folder 7.
Food: See Teramisu.
Friendship: Box 1, folder 3.
Ikebana [Japanese flower arrangement]: Box 1, folder 7.
Japan: Box 1, folder 3.
Japanese flower arrangements: Box 1, folder 7.
Labor costs: See Accounts.
Legal records: See Box 1, folder 10.
Ledger: See Financial ledger.
Letters: See Correspondence.
Manuscripts: Box 1, folder 8.
Maps: Box 1, folder 12.
Marriage certificates: Box 1, folder 11.
Medical receipts: Box 1, folder 4.
Mimbara National Historical Site: Box 1, folder 12.
National Park Service: Box 1, folder 12.
New Hampshire: Box 1, folder 5.
Orient: See Japan.
Parks: Box 1, folder 12.
Photographs: Box 1, folder 6.
Politics: Box 1, folder 5.
Portrait photographs: Box 1, folder 6; Box 1, folder 9.
Ramquest, Martin: Box 1, folder 11; maps by: Box 1, folder 12.
Razmuzztannian, Rasmuz: portraits of, Box 1, folder 6.
Receipts: Box 1, folder 4.
Religion: Box 1, folder 1.
Resource management records: Box 1, folder 12.
Romes, Thomas: photographs by, Box 1, folder 9.
Rulers, Box 1, folder 2; Box 1, folder 3; portraits of, Box 1, folder 6.
Schmeack, Herschel: portraits of, Box 1, folder 9.
Sketches: Box 1, folder 7.

Figure D.7a. Sample Folder List Index

Index to the Thomas Sutter Collection [1880-1925] (continued)
Sutter, Thomas: Correspondence of, Box 1, folders 1-3;
Diaries of, Box 1, folder 5;
Manuscripts of, Box 1, folder 8;
Photographs of, Box 1, folder 6;
Receipts of, Box 1, folder 4;
Sketches of, Box 1, folder 7.
Taxation: See Accounts.
Teramisu: Box 1, folder 8.
Theosophical Society: portraits of, Box 1, folder 6.
Theosophy: Box 1, folder 3; Box 1, folder 6.
Theovald the Wet: Box 1, folder 2; Box 1, folder 3; portraits of, Box 1, folder 6.
Travel: Box 1, folder 3; Box 1, folder 4; Receipts, Box 1, folder 4.
Veterinary receipts: Box 1, folder 4.
Visitor centers: Box 1, folder 12.
Weather: Box 1, folder 5.
Wet, Theovald the: See Theovald the Wet.
Wills: Box 1, folder 11.
Zerbohoist, Martineria: portraits of, Box 1, folder 9.
Zumquist Industries, Inc.: Box 1, folder 9.

Figure D.7b. Sample Folder List Index (continued)

Thomas Sutter Collection, GIGL National Historic Park

Box 1 "Miscellaneous, 1880-1925" [Outgoing Correspondence, 1880-1890; Hotel Receipts 1880-1925; Travel Diary, 1880-1895; European Cityscape and Landscape Photographs, 1880-1895; Family Portrait Photographs 1880-1896; and *Travels with Hugh* Manuscript, 1880, 5" clamshell box]

Box 2 "Miscellaneous, 1926-1930" [Outgoing Correspondence to Publishers and Family, 1926-1930; Dream Diaries, 1927, 1929-1930; and Advertising Ephemera, 1926-1928, 5" clamshell box]
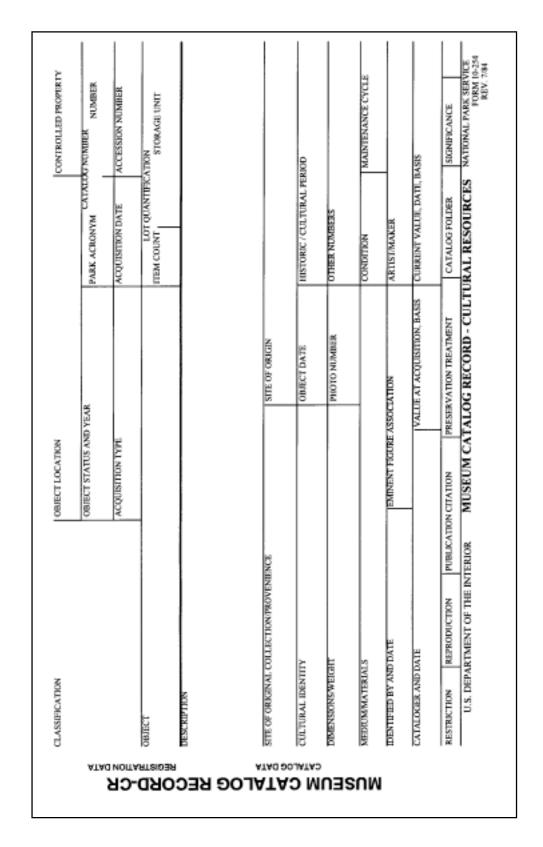
Figure D.8. Sample Container List

Figure D.9a. Museum Catalog Record – Cultural Resources (Form 10-254 Rev.)

MUSEUM CATALOG RECORD-CR

REGISTRATION DATA

CATALOG DATA

| CLASSIFICATION | OBJECT LOCATION | CONTROLLED PROPERTY |
| HISTORY | BLDG 5 RM 8 CAB 16 SH F | N |

| COMMUNICATION ARTIFACTS | OBJECT STATUS AND YEAR | PARK ACRONYM | CATALOG NUMBER |
| DOCUMENTARY ARTIFACT | STORAGE | 1998 | PARK | 35717 |

| ARCHIVAL/MANUSCRIPT COLLECT. | ACQUISITION TYPE | ACQUISITION DATE | ACCESSION NUMBER |
| | GIFT | 06/06/1998 | PARK-00600 |

OBJECT		LOT QUANTIFICATION
WARREN SEARS NICKERSON PAPERS, 1881-1966	ITEM COUNT	STORAGE UNIT
	1565	EA

DESCRIPTION PAPERS RELATED TO NICKERSON'S MANUSCRIPT AND STUDY OF CAPE COD NATIVE AMERICANS, EBENEZER ELDRIDGE (1701-1797), STANLEY W. SMITH. TRIBES: MONOMOYICK, NAWSETTS, SAQUATUCKET, ABANKI, GAY HEADS. CAPE COD NATIVE AMERICANS, GENEALOLOGY AND FOLKLORE. COLONIAL AMERICA, MANUSCRIPTS, NOTES, CORRESPONDENCE, ACCOUNTS, DEEDS, PHOTOSTATIC REPRODUCTIONS. SEE PARK CURATORIAL OFFICE FOR REGISTER, SUMMER 1998. SEE ALSO PARK 7694, 8905-8909.

| SITE OF ORIGINAL COLLECTION/PROVENENCE | SITE OF ORIGIN |
| CAPE COD ___ MA ___ USA | CAPE COD ___ MA ___ USA |

| CULTURAL IDENTITY | OBJECT DATE | HISTORIC / CULTURAL PERIOD |
| | 1881-1966 | |

| DIMENSIONS/WEIGHT | PHOTO NUMBER | OTHER NUMBERS |
| ___ 3 BX | | 37 |

| MEDIUM/MATERIALS | | CONDITION | MAINTENANCE CYCLE |
| PAPER | | GOOD | |

| IDENTIFIED BY AND DATE | EMINENT FIGURE ASSOCIATION | ARTIST/MAKER |
| VALDEZ, MARIA 06/06/1998 | ELDRIDGE, EBENEZER | |

| CATALOGER AND DATE | VALUE AT ACQUISITION, BASIS | CURRENT VALUE, DATE, BASIS |
| VALDEZ, MARIA 06/10/1998 | | |

| RESTRICTION N | REPRODUCTION N | PUBLICATION CITATION N | PRESERVATION TREATMENT N | CATALOG FOLDER Y | SIGNIFICANCE N |

MUSEUM CATALOG RECORD - CULTURAL RESOURCES

U.S. DEPARTMENT OF THE INTERIOR

NATIONAL PARK SERVICE
FORM 10-254
REV. 7/84

Figure D.9b. Completed Museum Catalog Record (Form 10-254 Rev.) for Personal Papers

MUSEUM CATALOG RECORD-CR

REGISTRATION DATA / CATALOG DATA

CLASSIFICATION
HISTORY
COMMUNICATION ARTIFACTS
DOCUMENTARY ARTIFACT
ARCHIVAL/MANUSCRIPT COLLECT.

OBJECT LOCATION
BLDG 10 RM 3 SH K

OBJECT STATUS AND YEAR
STORAGE   2000

ACQUISITION TYPE
FIELD COLLECTION

CONTROLLED PROPERTY
N

PARK ACRONYM   CATALOG NUMBER   NUMBER
PARK   10103

ACQUISITION DATE   ACCESSION NUMBER
03/03/2000   PARK-00352

OBJECT
GULLIVER HEIGHTS FIELD COLLECTION RECORDS, 1998-2000

LOT QUANTIFICATION
ITEM COUNT   STORAGE UNIT
                          3.00 LF

DESCRIPTION   RECORDS OF THE 1998 EXCAVATION OF GULLIVER HEIGHTS PARKING LOT AT PARK NHP. MARY JONES (PRINCIPLE
INVESTIGATOR), THOMAS SMITH (EXCAVATOR), JANE BROWN (CHIEF DIVISION OF CULTURAL RESOURCES).
ARCHEOLOGICAL STUDY JOURNAL, FIELD NOTES, MAPS, NEGATIVES, PHOTOPRINTS, SLIDES, LOG BOOKS, REPORTS,
LABORATORY ANALYSIS, CORRESPONDENCE, PROFILES.
SEE PARK CURATORIAL OFFICE FOR FINDING AID, SPRING 2000. SEE ALSO PARK 340, 344-346.

SITE OF ORIGINAL COLLECTION/PROVENIENCE   SITE OF ORIGIN
PARK 12 40JF200 MOYERS _ PENDLETON _ WV _ USA GULLIVER   MOYERS _ PENDLETON _ WV _ USA

CULTURAL IDENTITY   OBJECT DATE   HISTORIC / CULTURAL PERIOD
                                           1998-2000

DIMENSIONS/WEIGHT   PHOTO NUMBER   OTHER NUMBERS
____ 5 AC-LT BX, H 26.0, L 32.5, W 13.0 CM   10

MEDIUM/MATERIALS   CONDITION   MAINTENANCE CYCLE
PAPER --FILM   EXCELLENT   5.0/1998

IDENTIFIED BY AND DATE   EMINENT FIGURE ASSOCIATION   ARTIST/MAKER
HASSAN, AHMED 02/28/2000

CATALOGER AND DATE   VALUE AT ACQUISITION, BASIS   CURRENT VALUE, DATE, BASIS
BENNETT, THOMAS A. 03/03/2000

RESTRICTION N REPRODUCTION N PUBLICATION CITATION N PRESERVATION TREATMENT N CATALOG FOLDER Y SIGNIFICANCE N

MUSEUM CATALOG RECORD - CULTURAL RESOURCES

U.S. DEPARTMENT OF THE INTERIOR   NATIONAL PARK SERVICE
                                                             FORM 10-254

MUSEUM CATALOG RECORD-CR

REGISTRATION DATA

CATALOG DATA

Field	Value
CLASSIFICATION	
HISTORY	
COMMUNICATION ARTIFACTS	
DOCUMENTARY ARTIFACT	
ARCHIVAL/MANUSCRIPT COLLECT.	
OBJECT	
JAMES MATHEWS PHOTOGRAPH COLLECTION, 1938-1974	
OBJECT LOCATION	BLDG 60 RM 15 SH 20, 21, 22
OBJECT STATUS AND YEAR	STORAGE 1999
ACQUISITION TYPE	GIFT
PARK ACRONYM	PARK
CATALOG NUMBER	942
ACQUISITION DATE	05/02/1999
ACCESSION NUMBER	PARK-00521
CONTROLLED PROPERTY	N
ITEM COUNT	
LOT QUANTIFICATION	
STORAGE UNIT	8.00 LF

DESCRIPTION: PHOTOGRAPHS OF MATHEW'S 5-YEAR 1948-1953 EXCAVATION FOR FIRST TIMBER ASSOCIATION. MURPHY C. WATT, EMMA WALKER, THERESA M. PARKS, THOMAS HOGUE, NEIL HART. AERIAL PHOTOGRAPHS. PHOTOGRAPHS OF SAWMILL, ARTIFACTS, WATERWAY, RECONSTRUCTION AND EXCAVATION, KAPLER MILL. PHOTOGRAPHIC REPRODUCTIONS OF LANDSCAPES & DRAWINGS OF THE SAWMILL. SEE PARK CURATORIAL OFFICE FOR FINDING AID WITH SUBJECT INDEX. WINTER 1999.

Field	Value
SITE OF ORIGINAL COLLECTION/PROVENIENCE	SACRAMENTO ___ CA ___ USA
SITE OF ORIGIN	PLACERVILLE ___ CA ___ USA
CULTURAL IDENTITY	
OBJECT DATE	1938-1974
HISTORIC / CULTURAL PERIOD	
DIMENSIONS/WEIGHT	___ 15 LF
PHOTO NUMBER	
OTHER NUMBERS	
MEDIUM/MATERIALS	PHOTOGRAPHIC PAPER
CONDITION	GOOD
MAINTENANCE CYCLE	5.0/1999
IDENTIFIED BY AND DATE	MATHEWS, JAMES 05/02/1999
EMINENT FIGURE ASSOCIATION	STERLING, PAUL
ARTIST/MAKER	MATHEWS, JAMES
CATALOGER AND DATE	ASWORTH, MARY 10/11/1999
VALUE AT ACQUISITION, BASIS	
CURRENT VALUE, DATE, BASIS	
RESTRICTION N	REPRODUCTION N	PUBLICATION CITATION N	PRESERVATION TREATMENT N	CATALOG FOLDER Y	SIGNIFICANCE N

MUSEUM CATALOG RECORD - CULTURAL RESOURCES

U.S. DEPARTMENT OF THE INTERIOR   NATIONAL PARK SERVICE
                                                   FORM 10-254
                                                   REV. 7/84

**Figure D.9d. Completed Museum Catalog Record (Form 10-254 Rev.)
For Park Project Photograph Collection**

MMMA Park processing plan statement: In 1995 collections A-Z were surveyed and collection-level survey descriptions were written. During the survey, collections A-Z were checked against the SOCS and appraised, resulting in the estimate that collections X and Y should be considered official records and sent to the Federal Records Center in 2001 when the administrative history is complete. (The transfer will take 1 week's work for 1 GS-5 museum technician and $300 shipping costs.) Collection Z is being held for potential transfer to PARK W in 1997, as it doesn't fit our park's SOCS. (The transfer will take 1 week's work for 1 GS-5 museum technician and approximately $400 shipping costs). Park policies and procedures are complete and approved by the superintendent.

Collections A-W should be accessioned in 1997 (2 weeks work for 1 GS-5 museum technician); and rehoused and arranged (70 weeks work for a GS-11 archivist and roughly $7,000 worth of supplies). Collections A-J have folder lists and must be cataloged into ANCS in Spring 1997. (2 weeks work for 1 GS-7 museum technician and $75 duplication costs) The folder lists of collections A-F have been checked; and those of collections A-C have been indexed, but require standardization and fact-checking in Summer 1997. (3 weeks work for 1 GS-11 archivist, librarian, editor, or curator; if contracted out roughly $3,000) Indices for collections A-C must be edited, standardized, and proofread in Winter 1998. (4 weeks work for 1 GS-11 archivist, librarian, editor, or curator; if contracted out roughly $4,000) Finding aids with collection-level descriptions, folder lists, indices and title pages have been prepared for collections A and B, but must still be produced for collections C-W in Spring 1999 (20 weeks work for a GS-11 archivist (if contracted out $20,000) and $1,000 for printing and distribution costs). In 2000, produce a repository-level guide to the collection (15 weeks for a GS-11 archivist; or $15,000 and $10,000 publication costs) In 2001, contract to treat items requiring conservation (estimate: $5,000). Publicize the collections in 2002 (2 weeks work for a GS-11 archivist or $2,000).

Figure D.10. Park Archival Processing Plan Statement (Sample)

The park lacks documentation on tourism in the Makawana Valley, 1920-1930--particularly advertising ephemera, photographs, and correspondence dealing with the following issues: 1) railroads in Makawana Valley; 2) pre-park hotel development; and 3) the impact of tourism on the local economy such as stores, churches, etc. The personal papers of Marcus Boggs, 1856-1960, former Hotel Manager of the Makawana Hotel contain most of this documentation. Contact (list name, address, and phone number). The diaries, scrapbooks, and photograph albums of tourist visitors are also desirable. Solicit these via the local newspaper. Prepare an article for the Chamber of Commerce magazine.

Figure D.11. Park Documentation Strategy Statement (Sample)

GIGL NHP Shelf List					
Room	Unit	Shelf	Position	Accession #	Box #
L33	1	1	1	GIGL-345	1 of 1
L33	1	1	2	GIGL-356	1 of 3
L33	1	1	3	GIGL-356	2 of 3
L33	1	1	4	GIGL-356	3 of 3
L33	1	1	5	GIGL-363	1 of 2
L33	1	1	6	GIGL-363	2 of 2
L33	1	2	1	GIGL-365	1 of 1

Figure D.12. Shelf List (Sample) [Optional]

Access Policies and Rules Governing Use
[Name of Park]

Availability

Researchers are encouraged to complete their preliminary research at archives and libraries with a broader topical focus before approaching the holdings of the [Park]. NPS has limited reference staff and research resources that must be made available to researchers whose work focuses on materials available only at the [Park]. Access to materials is dependent upon their physical condition and the level of processing to-date by the NPS. All research must be done on-site in the research room.

Access

- Researchers should submit a written request to the curatorial office, detailing their research project to the curatorial staff.
- Requests for materials should be submitted with enough lead time to allow for the evaluation of the request and the scheduling of curatorial staff to oversee the research.
- All research requests should be addressed to:
     Curatorial Office, [Park], [Street Address]
- Approval of all requests will be based on availability of curatorial staff to supervise researchers.

- The curatorial staff at [Park] requests that the researcher read the abstracts in the archival guide or finding aids before requesting to view any collection of documents.
- To ensure the conservation and security of this resource, browsing is not permitted.

Citations

- When crediting the park, list "National Park Service"; the full park name; collection title; the catalog, box, folder, and image numbers; and credit the creator of the item (e.g., photographer).

Reading Room Rules

- <u>Only</u> lead pencils, not pens or markers, may be used for note taking.
- Scanners, portable photocopy machines, and cameras (including digital cameras) are prohibited to avoid damage to materials and copyright infringement.
- Use of tape recorders, typewriters, and portable computers is subject to security procedures. Use of any equipment must not bother other researchers.
- No food, beverages, or smoking will be allowed in the reading room area.
- No coats, packages, containers, folders, cases (including briefcases), or bags (including handbags larger than wallets) are permitted in the reading room area.
- Copying is available within reasonable limits at 25 cents per page.
- The reading room will close if no supervisory staff is available.
- Researchers must maintain quiet in the reading room.
- Researchers register annually and must sign in and out each time they enter or leave.

Figure D.13a. Access Policies and Rules Governing Use (Sample) [Optional]

Access Policies and Rules Governing Use
[Name of Park]

Reading Room Rules (continued)
-Researchers may not remove any archival or manuscript materials from the reading room.
-Researchers may work with archival or manuscript materials only in the reading room, not in museum storage or staff work spaces.
-Researchers must submit prepaid written requests for copies or duplicates.
-Researchers must submit for inspection all materials carried into and out of the reading room.
-The park reserves the right to limit access to fragile or restricted collections.
-The park archives is not a lending library. All materials must be used in the reading room.
-Researchers will work with only one document from one folder from one box of materials at a time to avoid damaging a collection's original order.
-Researchers who disregard these rules or endanger the records or the work of others will be denied access.

Permission to obtain a copy for scholarly purposes does not constitute permission to publish

[See Copyright and Privacy Restrictions Statement.]

Handling
-When handling the archival and manuscript materials, only one folder may be removed from a box at a time, and folders must be laid flat on the table.
-Documents should be handled with utmost care and viewed only one at a time.
-Manuscripts and books may not be leaned on, written on, folded, traced over, or handled in any manner that may damage them.
-Researchers must maintain the original order of documents within their folders. Attending staff should be contacted if there is any sign of damage or if items appear to be out of order.
-No attempt should be made to reorder or rearrange the documents or folders or to repair any physical damage.
-Cotton gloves must be used when handling photographic images.
-Only one box or volume of material will be issued at one time.
-Latex gloves must be worn when working with materials that may pose a health hazard.

I understand the rules listed above and will abide by them.

_____ _____ _____
Printed Name of Researcher   Signature of Researcher   Date

Figure D.13b. Access Policies and Rules Governing Use (continued) (Sample)
[Optional]

US Department of the Interior
National Park Service

Researcher Duplication Form

Name: _____

ID type and number _____ Type/Amount of deposit: _____

Affiliation _____ Date order was filled: _____ Who filled it: _____

Reason for copies: _____Publication _____Research _____Exhibit _____ Product development

_____Teaching _____Criticism _____Other (Describe): _____

Please describe any special duplication needs, such as blow-ups or rush job (extra cost):

_____

_____

_____

Collection Title	Location: Box, Folder, and Item Numbers (ex.-B35, F18, I44)	Describe Item (e.g., 3x5 color photo of X, Letter by Y)	Number & Type of Copy wanted (1-8 x 10" b/w glossy photo, 1-30K gif file on 3.5" diskette, 5-photocopies)

I understand, that unless authorized elsewhere by Park staff in writing, that the copies provided here are for non-commercial and non-profit research, news reporting, criticism, and commentary purposes only. The provision of copies does not authorize me to publish, exhibit, distribute, sell, perform, reproduce, or prepare derivative works from the copies I receive. I indemnify the park from any legal liability resulting from my use of these copies.

Signature: _____ Date: _____

Figure D.14. Researcher Duplication Form (Sample) [Optional]

US Department of the Interior
National Park Service

Copyright and Privacy Restrictions

The copyright law of the United States (Title 17, *United States Code*) governs the making of photocopies or other reproductions of copyrighted materials. The various state privacy acts govern the use of materials that document private individuals, groups, and corporations.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a reproduction if the document does not infringe the privacy rights of an individual, group, or corporation. These specified conditions of authorized use include:
· non-commercial and non-profit study, scholarship, or research, or teaching
· criticism, commentary, or news reporting
· as a NPS preservation or security copy
· as a research copy for deposit in another institution

If I, the researcher, later use a copy or reproduction for purposes in excess of "fair use," I, the researcher, am personally liable for copyright, privacy, or publicity infringement and agrees to indemnify the NPS from any legal action as a result of the error. The [Park's] permission to obtain a photographic, xerographic, digital, or other copy of a document **doesn't** indicate permission to publish, exhibit, perform, reproduce, sell, distribute, or prepare derivative works from this document without first obtaining permission from the copyright holder and from any private individual, group, or corporation shown or otherwise recorded.

Permission to publish, exhibit, perform, reproduce, prepare derivative works from, sell, or otherwise distribute the item must be obtained by the researcher separately in writing from the holder of the original copyright (or if the creator is dead from his/her heirs) as well as from any individual(s), groups, or corporations whose name, image, recorded words, or private information (e.g., employment information) may be reproduced in the source material. The holder of the original copyright **isn't** necessarily the National Park Service. The National Park Service is not legally liable for copyright, privacy, or publicity infringement when materials are wrongfully used after being provided to researchers for "fair use."

This institution reserves the right to refuse to accept a copying order if fulfillment of the order is judged in violation of copyright or federal or state privacy or publicity law. This institution also places restrictions on the use of cameras, photocopiers, and scanners in the research room.

I, the researcher, understand and agree to the above terms and will indemnify, defend, save, and hold the National Park Service harmless from all claims, demands, losses, or damages (including attorney's fees and expenses) arising out of any legal action, settlement, or adjustment resulting from my not having followed the guidelines provided above.

_____   _____   _____
Printed Name   Signature   Date

Figure D.15. Copyright and Privacy Restrictions (Sample) [Optional]

US Department of the Interior
National Park Service

Researcher Registration Form

Name: _____ Date: _____

Picture ID card type, State Control Number: _____

Institutional affiliation: _____

Work address: _____

_____

Phone: _____ FAX: _____ E-Mail: _____

Home address: _____

_____

Phone: _____ FAX: _____ E-Mail: _____

Contacted Park through:
Visit____ Letter____ Phone call____ FAX____ E-mail____ FOIA____ Subpoena_____

Research project summary: _____

_____

_____

Publication plans (publisher, type of publication and date): _____

_____

Researcher Duplication Form Numbers: _____

Other special requirements: _____

Collections used (Name and box number; Use reverse): _____

_____

Figure D.16. Researcher Registration Form (Sample) [Optional]