J. Paul Getty Trust Institutional Archives

Processing Manual
5th Edition
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INTRODUCTION

These processing guidelines are intended to serve as a general reference tool for processing staff. They outline the Institutional Archives' current practices and standards for arranging and describing archival collections in accordance with accepted and evolving archival principles. For detailed instructions on creating an EAD-encoded finding aid see the Finding Aid Manual.

PROCESSING LEVELS

In general, collections may undergo processing at a number of different stages or levels, the most common of which are outlined below. Level 4 is the ideal, but Level 3 will be considered the standard. The description and arrangement of materials is an iterative process. Processing levels 1-3 should be undertaken with the understanding that, in the absence of increased resources, the actions taken at any of these levels may in themselves be final, while remembering that shifting priorities may require more granular processing in the future and these actions may then become a foundation for a future processor to build upon.

LEVEL 1: ACCESSION LEVEL CONTROL

Usually established at the time a collection is acquired. Generally consists of title, physical and digital extent, rough span of dates, provenance (source) information, a list or summary of material found in the collection, description of actions taken on digital files, and notes to assist future processors. This data is tracked through the Accessions module in ArchivesSpace. Rehousing routinely occurs at the box level, but only occurs at the folder level if materials are obviously and immediately threatened by existing enclosures. Loose documents are foldered. Special formats are attended to as appropriate.

LEVEL 2: BOX LEVEL CONTROL (COMMON PRACTICE - MINIMUM)

A rough contents list is created for internal purposes if the Archives has no other form of intellectual access to the records. The Archives accepts Word or Excel inventories of the contents if provided by the creator, but the goal is to import or enter inventories into the Resources module in ArchivesSpace. At the processor's judgment, large accessions may be intellectually grouped at the series level, listing the folders in the order that they physically appear in the box. Routine rehousing and attention to special formats and loose documents occurs as described in Level 1 above.

LEVEL 3: FOLDER LEVEL CONTROL (STANDARD IN-HOUSE PROCESSING PRACTICE)

A preliminary finding aid is created, listing records at the folder level, including thorough description consisting, at least, of a historical/biographical sketch of the creator of the records, an overall description of the content of the collection, and a statement of restrictions. Although materials will not be physically rearranged, they will be intellectually arranged at series, subseries, and folder levels.

Little to no preservation work will be performed on the records. Only materials in binders and other damaging enclosures will be rehoused. Binder clips will be removed. Other fasteners will not be removed unless rusty or damaging. Loose documents will be foldered and special formats will be rehoused as appropriate. Electronic media carriers will be flagged and noted in the inventory. Materials will not be refoldered unless they are threatened by current enclosures. Preservation photocopying will not be performed. Instead, the processor will generate a brief preservation survey of the records, noting the work that still needs to be performed. The preservation needs should be noted in the Condition field of the Accession module of ArchivesSpace.

Level 3 processing is standard practice for providing reasonable intellectual access to records in good condition. We will produce finding aids of this type to point users to records of potential interest; repeated requests for access to records processed at this level may indicate that the records merit more granular processing.

LEVEL 4: FULL PHYSICAL AND INTELLECTUAL CONTROL (IDEAL PRACTICE – RARELY ACHIEVED)

Records are scheduled for full processing as determined by departmental priorities, the need/demand for access, and conservation needs of the records in question. Records processed at this level will be formally arranged into series and subseries, and if there is no original order, by file. Electronic records will be intellectually integrated with paper records at the series or subseries level and made accessible to the degree that the Archives' existing resources allow. The collection is completely boxed and foldered according to archival preservation standards and the collection is described at the folder level in a completed finding aid. This includes a descriptive summary, administrative information, scope and contents note, biographical/historical note, specific restrictions, lists of related materials, detailed controlled access authority headings, etc. at both the main level and any necessary subsidiary descriptive levels, detailed folder lists, and appendices as needed. (See Appendix A, below for detailed Level 4 processing procedures.)

LEVEL 5: ITEM LEVEL CONTROL (VERY SPECIAL EXCEPTIONS)

Item level description will only be used in cases where the need for extreme security or other considerations of access and retrieval necessitate such control. Item level work cannot be supported by our staffing level. Staff should not engage in item level arrangement and description without authorization by the head of the department.

PHYSICAL AND INTELLECTUAL CONTROL

The following sections describe the approach that generally works most effectively to achieve physical and intellectual control over archival collections. However, within this general framework, progression of work on an individual collection will be dictated by the attributes of the collection itself, and by the level of experience and skill of the processor. The following procedures should be applied as appropriate, depending on the level of processing being performed and the fragility of the materials in hand.

PRELIMINARY REVIEW AND HANDLING

Work at this stage (steps 1-4 below) may be rapid, depending upon the size of the collection. Even so, you can glean considerable information about the content and condition of the collection, which is essential for final processing. Take notes and/or flag material for future reference. Begin formulating recommendations for processing. Be sure, at all stages of the process, to look for the presence of original order in the arrangement of the documents. When you find it, even if it isn't the most logical order, leave the original order intact. If you find no original order, proceed with sorting.

This may also be an appropriate time to start on routine processing tasks (e.g., removing clips and binders, removing letters from envelopes, opening and flattening documents, sorting correspondence) so that the material will be ready for final review and descriptive work.

1. Examine the entire collection. Review the information gathered from the accession files and other sources. Verify that you have located or otherwise accounted for as much of the material as possible. Look for additional files or other background information, as needed. Note missing materials at this stage and notify your supervisor.

2. If necessary, unpack the materials and transfer them into clean containers. Flag major conservation problems; flatten isolated folded records if you can do so safely. Refolder records that are loose or in damaged enclosures. Do not refolder records if the folders are in good condition and the labels are attached. Staple loose labels to existing folders. When refoldering, photocopy any annotations on the original folders before discarding them. Do not change the order of the records at this stage.

3. Formulate a processing plan to determine the level of work that will be performed, potential series and subseries, and any formats that may need special handling, such as audiovisual material or photographs. Discuss the plan with your supervisor before beginning any intellectual or physical organization of the records. Revise the plan as needed if new details emerge during processing, obtaining supervisor approval for major changes.

4. **If and only if** you find no discernable original order in the files, proceed with a rough sort of the collection/accession, by series or other preliminary organizing principles, as per discussions with your supervisor.

    Note: some materials ought to be kept together even though at first glance they appear to be items that might otherwise be assigned to another series. For example, notes or subject files used in preparing a report are sometimes found with the final completed work. Such an arrangement is quite useful and these groupings ought generally to be maintained.

ARRANGEMENT

Once you have completed the preliminary review and created a basic processing plan, the next step is to refine the intellectual organization and arrangement of the records. This work will need to be done at an intellectual level before any actual physical re-ordering takes place. Physical reordering will **only** occur with Level 4 processing; supervisor approval should always be gained before any physical rearrangement of the material begins. Organize the materials at the file level, not the item level. It is most efficient to draft the finding aid folder list as you physically process the materials.

Beginning with the most important or revealing series (e.g. Correspondence), describe the order of the records, refining series and subseries as the full extent and character of the collection's divisions and logical arrangements become more apparent. At this stage, don't spend an inordinate amount of time attempting to identify or classify individual problem files. Tackle the problematic pieces once the series organization and subseries arrangement as a whole have been achieved.

Continue to take notes on the subject content of the collection, significant and key people, subjects documented that may be of historical interest, notable correspondents, obvious gaps in the documentation as well as its strong points, and other noteworthy details about the collection itself or about the person or persons documented in it. Your notes will provide much of the substance for the administrative history, scope and content notes, and indexing terms in the finding aid.

IDENTIFYING AND NAMING SERIES AND SUBSERIES

Series constitute the principal intellectual "groupings" of archival processing, around which the collection is sorted, arranged, and described. Many series contain a variety of related records that are then grouped under subseries. *Correspondence*, for example, can often be organized into subseries of chronological and subject correspondence. *Photographs* may be organized into albums, portraits, group shots, subject matter, etc. The nature of the material ultimately determines whether to use subseries or not, and what titles should be assigned to them. Series and subseries should be named according to DACS guidelines. Make every effort to use the same terminology for like material, across collections. Use controlled vocabularies when appropriate.

As a general rule, try to arrange series in descending order of importance, with the most important or substantive series first. Establish series that make sense, even if this means creating a number of small series, if that is the most logical way to classify the materials. Special formats (e.g., audiovisual material, photographs, objects, computer disks, etc.) should generally be left in context intellectually, but should be housed separately for preservation purposes. Alternately, if the material has no clear context or constitutes a logical group in and of itself, the format type may constitute a legitimate series on its own (e.g., audiovisual material, photographs, etc.). A series may or may not have subseries. If subseries are present, all the folders in the series should be brought under a subseries. That is, if part of a series is to be identified as a subseries, the remaining material in the series must also be subordinate to a subseries. For example:

CORRECT ARRANGEMENT:
    Series I. Correspondence
        General correspondence
            Folder
            Folder
            Folder . . .
        Third party correspondence
            Folder
            Folder . . .

INCORRECT ARRANGEMENT:
    Series I. Correspondence
        General Correspondence
            Folder
            Folder
        Folder
        Folder . . .

To avoid creating orphaned folders or subseries, revise your series name, or add other appropriately titled subseries.

Always aim to be consistent and clear. A component title should not repeat information that is present in its parent component. For example, do **not** use:

Museum records
    Department of Antiquities
        <u>Department of Antiquities</u> budget, September 2, 1978
        <u>Department of Antiquities</u> memos, January-June, 1982

In this example "Department of Antiquities" should not be repeated at every level.

COMPOSING SCOPE AND CONTENT NOTES AT ALL DESCRIPTIVE LEVELS

Scope and content notes should be a concise, unbiased, and informative delivery of key information about the material described in the finding aid. The primary purpose of description is to provide overviews of the entire collection, series, and/or subseries and to bring particular strengths or weaknesses to the attention of researchers and staff. There should be a relatively consistent tone and style across collections regardless of who processed a specific set of records.

The introductory sentence of the collection description should begin with the creator, followed by a list of the types of records found in the collection, the date span and bulk dates. The second (and possibly third) sentence should provide a general summary of the scope and content of the collection and its importance or significance. Later paragraphs may be included to provide an in-depth description of the arrangement and content of each series and subseries, emphasizing major features of each, including subjects covered and names of correspondents or other individuals who figure prominently in the collection. Obvious research strengths and weaknesses should be noted, including subjects and individuals about whom there are useful materials, as well as subjects one might reasonably expect to find covered but that are

not well represented. In short, the collection description should be a summary, not a verbatim repetition, of the series and subseries descriptions found throughout the finding aid. Indexing terms will be derived from the subjects and individuals mentioned in the collection level scope and content note.

The same structure should be followed for the series and subseries descriptions, though as one descends the hierarchy the description should become more detailed. Although the series and subseries inherit description from their parent levels, repeat important information (especially the creator's name) to aid users who may enter the finding aid online at the series or subseries level without benefit of having read the collection level scope and content note. The most detailed descriptions should appear at the lowest level of description, the level immediately preceding the folder lists.

The arrangement statement should contain an iteration of the basic series and subseries arrangement of the records, describing in general terms how and where to find target material.

Please refer to DACS for additional information. See below an example of a collection level scope and content note followed by the description of one of the series in the collection.

Scope and Contents of Collection

Records consist of The J. Paul Getty Museum and J. Paul Getty Trust meeting minutes, resolutions, correspondence, affidavits, memoranda, financial statements, legal documents, reports, an indenture, amendments, petitions, orders, and by-laws, dating 1953-1989. The materials document the meetings of the J. Paul Getty Museum Board of Trustees, the legal establishment of the Trust and Museum, and include reports presented to the Trustees by various program directors.

The minutes are complete from the initial meeting of the Board through September 7, 1978. Until the early 1970s, the trustees met annually with special meetings held in the interim as needed. The text of the minutes is detailed and records the financial status of the Museum, litigation, gifts given by J. Paul Getty, purchases, donations, loans of art, and the development and evolution of the Museum management, administration, and programs. The supporting documentation includes financial reports and auditor's statements, museum activity reports, notices of meetings (containing lists of agenda items), and correspondence and memoranda. In addition to the regular minutes, the agenda, schedule, and departmental statements from a May 1979 future-planning meeting are also present.

The legal documents record the creation of the Museum Trust and the amendment allowing the trustees to make any and all changes in the terms of the indenture to assure the tax-exempt status of the Trust. The petitions and orders confirmed the right of the Trustees to make grants, establish fellowships, and provide scholarships, to use the Founder's ranch house as the Trust chose, to select qualified people to serve as Directors of any institution operated by the Trustees, and to conduct activities under the name of "The J. Paul Getty Trust" as well as under the name of "The J. Paul Getty Museum."

The records also include a copy of a set of reports, artificially gathered by Barbara Dukas of the J. Paul Getty Trust and sent to Nicholas Olsberg to assist with a UCLA oral history project. The majority of the reports were presented to the Trustees by various Program

Directors on subjects concerning the proposal, development, and status of Getty programs and programmatic activities.

Finally, the Trust preserved two copies of a scrapbook regarding a 1989 Trustee trip to Italy and a 1977 calligraphic manuscript memorializing the death of J. Paul Getty.

Scope and Content Note for a series within the same collection

Records consist of legal documents including copies of an indenture, amendments, petitions, orders, by-laws, and copies of minutes, dating 1953-1954, 1969-1983, 1986, concerning the creation and functions of the J. Paul Getty Museum and Trust. The records document the legal establishment of the Trust and Museum, the evolution of the by-laws, and an amendment to the indenture allowing the trustees to make any and all changes in the terms of the indenture to assure the tax-exempt status of the Trust. A 1980 petition and order confirmed the right of the Trustees to make grants to nonprofit charitable institutions, to establish fellowships and provide scholarships, to use the Founder's ranch house (or demolish it) for any purpose permitted by the current zoning and safety laws, and to select a qualified person or persons (who need not be Trustees) to serve as Director of any institution operated by the Trustees. A 1983 petition and order confirmed the ability of the Trustees to conduct activities under the name of "The J. Paul Getty Trust" as well as under the name of "The J. Paul Getty Museum." Additionally, "The J. Paul Getty Museum" was to be used to designate the museum and "The J. Paul Getty Trust" was to be used to designate the Trust, as overall operating entity, and all activities operating separately from the Museum. A single file contains documents relating to the decision to recreate the Villa Dei Papiri that were sent to Museum Director John Walsh by Norris Bramlett. The records are all duplicate copies or photocopies; no original signatures are present.

COMPOSING ADMINISTRATIVE HISTORIES AND BIOGRAPHICAL SKETCHES

The Biographical or Administrative History Note is used to provide basic background information on the creator(s) of the records, the circumstances surrounding the creation of a collection, major figures represented in the records, etc. A biographical sketch should briefly cover the overall life of an individual, placing emphasis on those areas of his/her life that have a direct bearing on the collection being described. An administrative history should describe the history of the department or program that created the archival records. The description should be bounded by the scope of the records and should only expand beyond that scope if the creator of the finding aid has reason to believe that additional accessions will be added to the finding aid in the near future. As with the scope and content note, the history/sketch should be a concise, unbiased, and informative delivery of key information about the creator of the material described in the finding aid. The processor should strive to explain to the reader why the collection is important, based on accepted facts rather than hyperbole. Use multiple paragraphs as needed.

Examples:

Administrative History

The Trust's origins date to 1953, when Mr. Getty established the J. Paul Getty Museum as a California charitable trust to house his growing art collections. Originally a small, private institution located in Mr. Getty's ranch house in Malibu, the Museum moved to the newly constructed Villa in grounds adjacent to the ranch house in 1974. When most of his personal estate passed to the Trust in 1982, the Trustees decided that, given the size of the endowment, it should make a greater contribution to the

visual arts and humanities than the Museum could alone. Out of this resolve grew an expanded commitment to the arts in the general areas of scholarship, conservation and education, which took shape in a new range of trust activities. In 1983 the trust's name was changed from the J. Paul Getty Museum to the J. Paul Getty Trust to reflect its broader scope, with the museum becoming an operating program of the Trust.

Biographical Sketch

American oil tycoon and art collector Jean Paul Getty was born in Minneapolis, Minnesota on December 15, 1892 to George Franklin Getty (1855-1930) and Sarah Catherine McPherson Risher Getty (1852-1941). George was an attorney and insurance executive whose 1903 visit to Indian Territory (a region that became part of the State of Oklahoma in 1907) inspired him to purchase land and begin drilling, launching his career in the petroleum industry. Around 1906 the Getty family moved to Los Angeles, but George maintained his oil business in Oklahoma, traveling to the oil fields periodically. Jean Paul, called "Paul," attended a private military school before going on to college. He first attended the University of Southern California in Los Angeles and later went on to the University of California, Berkeley (1909 to 1911). In November of 1912 he began his studies at Magdalen College at Oxford University in England and received a diploma in Politics and Economics from Oxford in 1913 or 1914. He then enhanced his education by means of a Grand Tour of Europe, viewing art collections and ancient ruins that sparked his interest in art and antiquities. He also toured parts of the Middle East and North Africa before returning to the United States in September of 1914.

In 1914 Paul joined the family petroleum business and spent a year in the oil fields of Oklahoma. An astute investment in 160 acres near Stone Bluff, Oklahoma led to Paul's announcement two years later that he had earned his first million dollars. He then lived the carefree life of a rich young bachelor in Los Angeles for more than a year before his father convinced him to return to the oil business in Oklahoma. Soon thereafter Paul persuaded his father to shift the focus of the family business to the Los Angeles basin. Paul continued to work for the family company in addition to conducting oil drilling of his own, securing the family fortune by the time the stock market crashed in 1929. Upon his death in 1930 George left controlling interest in the company to Sarah. In 1934 Paul forced Sarah out of control of the company and gave her an annuity. His fortune grew as he acquired the controlling interest in several companies and became the head of a vast organization with activities in oil exploration, transportation, production and marketing, as well as minerals, manufacturing, real estate and agriculture. In the mid-1940s Paul bought the Saudi Arabian portion of the lease on the mineral rights in the Neutral Zone between Saudi Arabia and Kuwait; his wealth dramatically increased when this site produced oil in 1953.

Beginning in the early 1930s J. Paul Getty lived in a house he built next to William Randolph Hearst's on the beach in Santa Monica. During World War II he moved to Tulsa, Oklahoma for four years to supervise wartime production of parts for Allied aircraft at his Spartan Aircraft plant. In 1946 he purchased 64 acres in Malibu, California and renovated the existing hacienda, known as the Ranch House, where he lived until 1951. When Getty departed the United States for Europe in 1951, he kept his Malibu estate for the display of his art collection and for his eventual return to California. Getty had been collecting art since the 1930s. In 1938 he made his first major purchases: a group of furniture; a carpet that had belonged to Louis XIV, often called the "Ardabil Carpet"; and Rembrandt's *Marten Looten* (he donated the Ardabil

Carpet and the Rembrandt to the Los Angeles County Museum of Art in 1954). Another of his strong interests was antiquities, inspired by his travels throughout Europe and by visits to the Vatican Museums. He took pride in being knowledgeable in the areas in which he was collecting and in finding bargains. Getty continued to collect art throughout his lifetime, despite occasional assertions that he was no longer in the market. By 1968 his art collection had begun to outgrow the Ranch House and he began planning a new building on the property to properly house these works. He chose to pattern this new museum building after a first-century Roman country house, based primarily on the plans of the ancient Villa dei Papiri near Herculaneum. This museum, often called the Getty Villa, opened to the public on January 16, 1974.

After leaving the United States in 1951 Getty lived in hotel suites in Europe until 1960 when he moved to Sutton Place, a historic 72-room Tudor manor located 25 miles southwest of London. In 1957 *Fortune* magazine designated Getty as the world's wealthiest man, and he became the object of considerable public interest. For the rest of his life, both the respectable press and the tabloids reported on his perceived eccentricities and his private life, which included five marriages and divorces. J. Paul Getty died in England on June 6, 1976 without ever returning to California. Although he never saw the museum, he is buried at the Getty Villa property on a bluff overlooking the Pacific Ocean. Much to everyone's surprise Getty left the bulk of his fortune to the museum, requesting that the funds be employed to promote "the diffusion of artistic and general knowledge."

PUNCTUATION AND STYLE

GENERAL NOTES

The first word in each folder title is capitalized. A folder title does not receive terminal punctuation, except when the punctuation is part of the actual description of the folder contents. The only other exception is when a folder title requires more than one sentence—although such lengthy descriptions should be placed in the appropriate note field. For style issues not addressed here, consult the Getty-wide standard, the Chicago Manual of Style online www.chicagomanualofstyle.org.

ABBREVIATIONS

Avoid abbreviations. The first use of an acronym should be preceded by the name spelled out in full; for example Getty Research Institute (GRI). Do not abbreviate months or years or descriptive words such as correspondence, memoranda, miscellaneous, department, etc.

Titles
Italicize titles of:
- Books
- Films/Movies/Videos
- Museum exhibitions
- Musical compositions
- Newspapers
- Pamphlets

- Periodicals
- Television and radio programs
- Works of art

Use quotation marks around titles of:
- Articles and features in periodicals and newspapers
- Chapter titles
- Individual lectures or presentations
- Manuscripts of completed, unpublished writings of all kinds (i.e., books, articles, etc.)
- Television or radio episodes
- Songs
- Substantive titles given to a single conference
- Web pages

PHYSICAL MANAGEMENT OF RECORDS

Providing materials with an appropriate storage environment can prevent damage and deterioration. A general preservation review of all holdings will occur in 2024 to check on the well-being of all of the materials. The majority of materials require only minimal preservation housing: photographs and fragile paper materials should be sleeved in Mylar and acidic folders and boxes should be replaced with archival ones. Severely damaged or otherwise vulnerable papers should be brought to the attention of your supervisor to determine appropriate action and treatment priorities.

When engaging in basic processing (Level 3):
1. Only rehouse paper records in binders and other damaging enclosures
2. Folder all loose paper documents;
3. When flies have paper labels that are falling off because the glue has degraded, staple them back in place until full refoldering can be done.
4. Remove all Pendeflex folders, transcribing or transferring the folder labels
5. Remove all large clips, but do not remove small fasteners unless they are rusty
6. Do not perform preservation photocopying
7. Note the presence of electronic media if it has not already been noted in the accession report and bring it to the attention of your supervisor
8. Consult your supervisor regarding the use of relocation forms and rehousing of electronic media before removing it from its original context
9. Rehouse other special formats (AV, objects, photographs, oversized materials, etc.) as needed
10. Generate a brief preservation survey of the records, noting the work that needs to be performed at a future date

Each collection will have its own physical requirements; the guidelines above may be adjusted as the processor considers the individual needs of a specific collection.

BASICS OF FOLDERING

Legal or letter size folders and boxes are used for all regular sized archival material. Our most common box sizes are standard record storage boxes (1 cubic ft.), 5½ inch document boxes, and 2½ inch document boxes. Oversize and odd-size materials need to be treated as special cases (see the section below on special formats).

The basic rule of thumb is to include no more material in a folder than can safely be handled by a researcher without disturbing the original order of the folder. Even then, more fragile materials should be more finely foldered than those in relatively good condition. The overarching rule is to folder in a way that makes sense for the documents; minutes, for example, whether two or forty pages in length should generally be foldered by meeting, while chronological correspondence should be foldered by month, quarter, or year—whichever is the more reasonably sized unit. Filling folders to the first or second of four folds should be considered the average standard; **never** fill folders to more than the fourth fold and **never** fill a folder so full that you can't easily remove it from the box. On average, each 5¼ inch document box might contain approximately 15-20 folders, sometimes fewer, but rarely more.

If the records being foldered/refoldered will not easily fit in a single folder, divide the records into logical and reasonably sized groups and use multiple folders. The folders should all bear the same folder title and should be marked with [# of #] consecutively, i.e., [1 of 4], [2 of 4], etc. The date range for the records in the entire span should be used on each folder.

Square the bottom of the folder along the built-in crease lines so that the edge will stand flat in the box, neither bending nor bulging. Folders with fewer than ten sheets generally don't need squaring. Always crease at the fold for folders containing over ten sheets. Creasing must be done to prevent slumping.

BASICS OF BOXING

Folders are stored upright. Each container should be full enough to prevent materials from falling down or curling in the box (use a box spacer to support the folders if necessary), but not so tightly filled that it becomes difficult to remove or to refile the folders, or to thumb through them. Never pack a box to the extent that it causes the front panel to bulge out or causes excessive friction on folders as they are removed and refiled. On occasion it is necessary to keep materials in binders. In such cases you should lay the binder flat in a record storage box. To box multiple binders, stack them flat on top of each other, alternating the spines. Standing the binders on their spines or front edges leads to the failure of the binder and the release and disorder of pages.

Some collections can be put into their final archival boxes at the same time that they are processed. However, many need to be stored temporarily in brown boxes and then reexamined before a final arrangement within document boxes can be made.

Box labels should contain the finding aid number at the top of the label, a brief description derived from the creator and title of the records, and finally the accession/call number – [consecutive box number], for example, 1996.IA.01 -21. Never write directly on archival boxes. Use a pencil to fill out the label.

BOX NUMBERING

Boxes are numbered sequentially throughout each accession, using leading zeros in computer systems, though not necessarily on the physical container. Folders within boxes are not numbered. Note that box numbers are assigned consecutively regardless of box size/type, as boxing requirements vary depending on the materials being housed.

Presenting the items in the finding aid in logical intellectual order is paramount and takes precedence over listing items in their physical order. Thus, once processed at Level 4, the list of folders in the finding aid will not necessarily be in box number order, nor will the contents of a single box necessarily be listed together. Track box numbers and types carefully in the Instances field of the Resources module of ArchivesSpace

FOLDER LABELING

Using a pencil, write the accession number on the far left of the folder tab. The folder title/heading should appear centered on the tab. All titles should include the date or say "undated." Months may be abbreviated on the physical folder, but spelled out in the finding aid. Do not write the finding aid number on the folders.

Folder labels are not intended to substitute for the description in the finding aid. The text should be concise and to the point. Keywords, names, or titles should appear first to catch the eye. Do not write additional information on the folders themselves. If the information is important enough to record, include it in the finding aid or incorporate it into the folder title.

PROCESSOR SUPPLIED ANNOTATIONS IN FOLDER TITLES

DACS notes that: Square brackets, as prescribed by cataloging convention to indicate information supplied from other sources, are not required in archival description.

Here, however, folder titles **that aren't present in the material itself** and are fully supplied by the interpretation of the processor should be enclosed in square brackets, e.g. [Correspondence between X and Y, 2009]. This will happen most commonly when foldering loose material and the archivist is making up the label, wholesale.

If there is lingering uncertainty about the information that is supplied by the processor, include a question mark, e.g. [Harold Williams?] or Harold Williams [?]

Uncertainty about the spelling of a name should be treated in the same way.

REHOUSING AND RELOCATING SPECIAL FORMATS

As mentioned above, special formats (AV, photographs, computer media, and oversized materials) found in mixed materials often require physical housing separate from the standard printed records with which they were received.

For special format items within a collection, complete two Item Relocation Notification sheets (Appendix D) on acid-free paper. One copy of the relocation sheet remains in the original folder to alert the researcher to the related material, the other copy is housed with the relocated item to document its original location and provide the intellectual context of the item. The sheet should record the collection, series/subseries, and box (and folder) from whence the item came and the box (and folder) into which it is rehoused.

To ensure efficient and safe housing of items stored in oversized folders and unusual boxes, the material is foldered and housed according to its physical attributes/format, not in strict series order. If a collection already has an appropriate oversized, AV, or computer disc container, place the item in the appropriately sized box with like materials in that collection; otherwise begin a new box. This has no implications for how materials are listed in the finding aid. Special format items should be fully described in the box and folder list intellectually, regardless of their physical dimensions or location.

Please note that in the collection management system, "Oversize" refers to a storage location, rather than a physical description. "Oversize" storage locations include oversized boxes, flat files stored in map cabinets, architectural rolls, etc. When providing a physical description in the Instance field of the Resource module in ArchivesSpace, rather than using the term oversize, select the more specific term from the drop-down menu such as flat-file, roll, reel, etc

APPENDIX A: SUMMARY OF STAGES IN LEVEL 4 PROCESSING

1. Processing projects will be assigned to staff based on departmental priorities determined by the Head of Institutional Records and Archives.

2. The processor must locate all material that is to be processed, including any that might be oversize, and also be sure to:

   - Hold preliminary discussions with other archives staff as needed.
   - Physically examine the collection.
   - Review the accessions files and any related administrative files.
   - Review any pre-existing documentation (e.g. inventories, box lists, MARC records, finding aids, etc.).
   - Perform preliminary background research.

3. Having surveyed the collection, the processor may formulate a processing plan and discuss it with his/her supervisor. These discussions provide an opportunity to note additional information that may be important or useful and explore alternative strategies for arranging the material. The discussion should include the following topics, though resolutions to some issues may not come until the processing has been completed:

   - An estimate of the collection's overall size
   - A list of the kinds and quantity of materials found in the collection and a list of any special archival supply needs not already available.
   - A mention of significant processing, storage or other handling problems, with specific mention of any significant conservation needs and any items within the collection that may require priority preservation reformatting.
   - Provenance information.
   - Access information (e.g. identification of confidential and sensitive material).
   - Identification of any printed material (e.g. Books, pamphlets, reports, etc.) that may be transferred to other sections of the library or archives.
   - An outline of likely series and subseries arrangement(s), pointing out advantages and disadvantages of various options. Final arrangement decisions are often determined in the course of processing, as the material is more carefully examined.
   - A reasonably detailed summary of the work that will be required to complete the processing and arrangement of the papers: this helps to gauge complexity, time, and use of staff and intern time.

4. The processor arranges, describes, and rehouses the collection, producing a finding aid. Regular discussions are held between the processor and his/her supervisor to monitor overall progress of the project and to resolve any questions or problems that arise. Inform the Head of Institutional Records and Archives of any particularly important or unusual materials discovered in the course of processing.

5. Submit the draft finding aid to your supervisor for review. Then circulate it among the Institutional Records and Archives staff for comment. Revision continues until the finding aid receives final approval.

The following physical tasks should generally be completed when doing full level processing (Level 4):

1. Transfer the contents of each file into legal-sized archival folders (see the section on the Basics of Foldering, p.10, for specific procedures).
2. Unfold all records that, when unfolded, will have dimensions of 9x14 inches or less.
3. Remove oversized items from their original folders/boxes and rehouse them in appropriate enclosures
4. Remove materials from binders and remove plastic comb-spines and rehoused materials into legal-sized archival folders.
5. Leave staples in place unless they are rusty or damaging.
6. Remove paper clips, rubber bands, and all other damaging metal fasteners, creating a folder within a folder using 11 x 17 inch archival paper to group unfastened materials together if necessary.
7. Remove and discard insubstantial Post-it notes (e.g., "File," "Reply", etc.). If content of Post-it note is substantive:
    a. Leave it in context if it does not obscure or pose a threat to the text of a document;
    b. Photocopy it on to acid-free paper;
    c. Stick it to acid-free paper and place in folder in front of document to which it was formerly adhered.
8. Newspaper clippings and other materials that pose a threat to the materials around them should be enclosed in acid-free paper within the folder or photocopied onto acid-free paper.
9. All photographs, negatives, slides and other media should be sleeved in Mylar.
10. Audiovisual media should be encased and housed in cold storage if space allows.
11. If not already done during the accessioning process, computer discs/disks and drives should be separated (using the Item Relocation sheet described above) and stored in Vault 4. Consult the IA Electronic Records Accessioning and Processing Manual (still under development) for instructions on how to process and provide access to digital materials.
12. Employ any other task necessary to protect and preserve the records.

Perform box and folder labeling and numbering as described in the main body of this document. Note that folders are not individually/sequentially numbered. Note also that the finding aid number does not appear on folders.

APPENDIX B: J. PAUL GETTY TRUST INSTITUTIONAL RECORDS POLICY

The Getty is committed to creating, keeping, and managing its records consistent with legal requirements and best practices, and to ensuring that its records of enduring value are preserved and protected as archives. This policy applies to records maintained in all media, including paper, electronic, audio, visual, etc. All employees are expected to understand and comply with this policy.

OWNERSHIP OF RECORDS AND INFORMATION

All records created, received, or maintained by the J. Paul Getty Trust or its employees, officials, volunteers, or others in relation to the Trust's mission, goals, objectives, activities, or operations are Trust property. Employees may not take any Trust records or copies of such records when they retire, resign, or otherwise terminate employment.

RESPONSIBILITIES AND PARTNERSHIPS

- The Trust maintains an archives and records management program. The Institutional Records and Archives department is charged with establishing institution-wide records policies and with preserving and managing the Trust's permanent records. The department has the authority to train staff, implement policies, inspect all Trust records for the purpose of disposition according to policy, manage out-sourced records storage services, select and retain records of lasting significance for long term preservation, and manage access to records of programs no longer in existence.
- All staff members are responsible for the appropriate management of the records they create or receive in the course of their work. Administrators, department heads, and managers are responsible for administering records policies in their areas and ensuring that all staff receives appropriate guidance. Supervisors are responsible for managing the records of separated employees.
- The Office of General Counsel approves all records policies and the Internal Auditor monitors compliance.
- Procedures for managing electronic records and electronically stored information according to policy are determined collaboratively by the Institutional Records and Archives Department, Information Technology Services, and the Office of General Counsel.

STAFF AND PUBLIC ACCESS TO RECORDS AND INFORMATION

All records not intended for public distribution are confidential. All staff members are responsible for monitoring and protecting access to records and the information contained in them. Active and inactive records stored in offices or at off-site storage facilities are subject to institution-wide records management policies and remain under the control of the office that created or stored them. All persons, including Getty employees, requesting access to Trust records and information must provide convincing proof that they are authorized to retrieve, consult, review, read, or otherwise access the records. The final responsibility for determining whether a person is authorized to access a Trust record or the information it contains rests with the head of the department that has custody or control of the record rather than with the

requestor. When in doubt, department heads are instructed to contact their program or division head and/or the Office of General Counsel for advice and assistance.

Important exceptions to this general policy:

- Requests to examine any Getty records in connection with potential litigation or legal action of any kind must be referred to the Office of General Counsel.
- Requests for access by persons outside the Trust to confidential records or information must be approved by the Office of General Counsel.
- Requests by the media must be referred to Communications

Nothing in the foregoing provisions prevents those who are authorized to access records and information from doing so or from using the records or the information they contain in the regular course of Trust business, or, if the Office of General Counsel determines that it is appropriate, from producing records in response to a subpoena.

RESEARCH ACCESS TO RECORDS IN THE INSTITUTIONAL ARCHIVES

The Getty Institutional Archives collects and keeps the permanent records of the J. Paul Getty Trust and other documents pertinent to its history, collections, and research interests. These holdings are essential for institutional continuity and accountability, and are an important source of evidence for scholars interested in Getty history and its mission-central activities.

The J. Paul Getty Trust is dedicated to the increase and diffusion of knowledge and therefore is committed to providing all registered users of the Archives with equitable service and access to the holdings. Records in the Archives are opened to researchers as soon as possible. Access to some records must be restricted due to statutes, personal privacy rights, institutional proprietary rights, or through agreement between the Archives and transferring offices or donors.

General Access Policy
- Research use of Institutional Archives collections will be administered according to policies and procedures consistent with those in place for access to other rare and unique materials.
- All records intended for public circulation or approved for public release are open for research.
- Records will be opened for research as soon as possible. Once a record is open, it will remain open.
- At the time records are transferred to Institutional Archives, the head of the originating department and an archivist will come to agreement on which records are open for research and those which need to be restricted for longer periods.
- Any restriction to access may be waived only by the General Counsel or the originating office (or its successor). External donors of collections may waive prior negotiated restrictions at any time.
- Current Officers have authority to inspect all records, except for materials sealed by outside donors.

- The J. Paul Getty Trust reserves the right to restrict access to any records held by the Getty Institutional Archives.

Guidelines for Closed Records

- Closed records may be inspected only by the General Counsel, the director of the originating program or division, or their designees.
- The following records are permanently closed: records containing personal information (including salary information, social security numbers, grievances, home contact information, family information, medical information, financial information, or any information related to character, general reputation, personal characteristics, or mode of living), records that compromise security or operations, legal communications, legal work product, and records related to donors.
- The following records are closed for 35 years after the latest inclusive date of each accession: minutes and correspondence of the Board of Trustees and its committees, records of the Officers and Program Directors, records of curatorial and registrar offices, and any record series that includes information about collection acquisitions.

POLICY REVIEW
This policy is in effect from March 4, 2009 until amended or superseded. This policy supersedes the J. Paul Getty Trust Institutional Records Policy (January 2006) and the J. Paul Getty Trust Institutional Archives Access Policy (January 2006).

REDACTION/REMOVAL PROCEDURES

Redaction

The goal of redacting is to obscure confidential pieces of information within individual documents without damaging the originals while ensuring the ability to reconstruct the files after the researcher has finished.

Working under the assumption that confidentiality will be largely dependent on the identity and 'status' of the researcher, all records requested for each researcher will have to be reviewed (except in case where the records have been designated as 'fully open'). Furthermore, as legal codes pertaining to privacy change, so must our internal guidelines for providing access. This means that the same records may have to be reviewed multiple times producing different outcomes.

For each group of materials to be redacted:
1) Make a photocopy of the original document.
2) Put the original document in a file, writing a small consecutive number on the reverse of the document in soft pencil [documents coming from the same file may be housed in the same file].
   a. Label the file with the original file title, series/subseries name, and collection name and number.
   b. Put the file and all other files from each collection together in a box (or continuous set of boxes).
   c. Label the boxes with the accession number and clearly mark them "Confidential." Inside the box include a sheet at the beginning of the box stating that the box contains the originals of redacted records, removed by [the name of the archivist], on [date].
   d. Put the boxes in the closed shelves in Vault 6.
3) On the photocopy, mark out the material to be masked with a black Sharpie or other marking pen.
4) Make a copy of the inked document.
5) Write the same number you wrote on the original document on the new photocopy, attach a redaction sheet, and place it in the original file where the original document was located.
6) Shred the inked photocopy.
7) Determined on a case-by-case basis, when the researcher has finished, either
   a. Reconstruct the files (in anticipation that they will be fully open soon).
   b. Place the files containing the original documents in the back of their respective boxes to keep the materials in proximity and enable the archivist to easily remove the originals for the next researcher to use the records (in anticipation that they will be used infrequently until they are fully open).
   c. Store sensitive originals in separate boxes until open (if sensitive files are permanently closed or will remain closed for an extended period of time). Number the boxes consecutively within the accession and add the boxes at the end of the finding aid under "Separated Originals" and mark the component "internal only."

Removal

The goal of removal is to obscure confidential materials, while allowing researchers to access the bulk of the documents without damaging the originals and ensuring the ability to reconstruct the files after the researcher has finished.

Working under the assumption that confidentiality will be largely dependent on the identity and 'status' of the researcher, all records requested for each researcher will have to be reviewed (except in case where the records have been designated as 'fully open'). Furthermore, as legal codes pertaining to privacy change, so must our internal guidelines for providing access. This means that the same records may have to be reviewed multiple times producing different outcomes. By extension this means that simply because a given record is designated confidential, we cannot permanently remove it from its context and store it elsewhere. Each record has to be reviewed for each researcher, removed for some, and, in such cases, reassembled later.

Redactions of personnel information will be permanent for all researchers – both in-house and the public. Replace the document with the removal sheet (Appendix D) using the appropriate language.

For documents to be temporarily removed in preparation for researcher access:
1) Put the original document in a file, writing a small consecutive number on the reverse of the document in soft pencil (documents coming from the same file may be housed in the same file).
    a. Label the file with the original file title, series/subseries name, and collection name and number
    b. Put the file and all other files from each collection together in a box (or continuous set of boxes).
    c. Label the boxes with the collection name and number and with a note that they contain [confidential?] original records, removed for [the name of the researcher] by [the name of the archivist], on [date].
    d. Put the boxes in a marked shelf region in Vault 6.
2) Write the same number you wrote on the original document on a removal sheet and place it in the original file where the original document was located.
3) Determined on a case-by-case basis, when the researcher has finished, either
    a. Reconstruct the files (in anticipation that they will be fully open soon).
    b. Place the files containing the original documents in the back of their respective boxes to keep the materials in proximity and enable the archivist to easily remove the originals for the next researcher to use the records (in anticipation that they will be used infrequently until they are fully open).
    c. Store sensitive originals in separate boxes until open (if sensitive files are permanently closed or will remain closed for an extended period of time). Number the boxes consecutively within the accession and add the boxes at the end of the finding aid under "Separated Originals" and mark the component "internal only."

APPENDIX C: INSTITUTIONAL ARCHIVES PERSONNEL DOCUMENT POLICY

Employee performance evaluations, correspondence regarding the dismissal of employees, employee grievances, salary information, and other personnel related documents have, in the past, been transferred to the Institutional Archives as a part of the files of administrators and supervisors.

The record copy of these documents is (or should be) held in the Human Resources Department for a period of time designated by the Getty Records Retention Schedule, for a period of termination + 10 years. The documents found in the files of other staff are either records that should belong to HR or convenience copies of the records they send to HR.

The record copies of these documents, held by HR, are not generally considered archival. The duplicates held by staff are definitely not archival.

The extreme confidentiality of these materials permanently prohibits opening them for research and accidental release could lead to legal action.

Maintenance of highly confidential, permanently closed, non-archival records is not an appropriate activity for the Institutional Archives to undertake.

Solution

General policy: Personnel records, retirement records and salary program records will not be accepted or maintained in the Institutional Archives. Records that come to the Archives in accordance with the retention schedule and are appraised as archival are the exception.

Personnel records found within existing archives holdings will be managed as follows:

- Problematic content found within broader files or documents will be temporarily removed and/or redacted prior to allowing research access but will remain a part of the file. If the Institutional Archives has any question about what should be redacted or removed, they should contact Human Resources for advice. A sheet will be attached to the redacted document stating that the following document was redacted in accordance with Institutional Archives policy. [See Appendix D below for language.]

- Entire folders of personnel related documents should be removed from the accession (a note of the removal will be placed in the accession file) and delivered to person designated by Human Resources:

  1. HR will check the copies against the appropriate files to ensure that the HR files are complete.

  2. HR will destroy (shred) all unneeded records

Specific types of records that should be returned to HR /redacted include:

- Personnel files
- Personnel files (secondary)
- Performance evaluations (both draft and finalized)
- Information gathered regarding performances and dismissals
- Grievances (limits? – complaints v. formal processes?)
- Salary information
- Medical conditions, drug tests, screening tests
- Social security numbers
- Credit card numbers
- Information on dependants
- Home addresses and telephone numbers
- Information related to "character, general reputation, personal characteristics, or mode of living" [Fair Credit Reporting Act]
- Investigations
- Credit checks

The types of HR related records that may be kept by the Archives include:

- Policies
- Benefit summary plan descriptions
- Broad documentation of the existence of training programs
- General job/position descriptions
- Resumes of people in leadership roles and positions for internal use only
- Getty Community Records
- Photographs of staff and staff events (not to be published without permission)

APPENDIX D: TEMPLATES

NOTICE OF REDACTED/REMOVED DOCUMENT(S)

The following page/s has/have been redacted in accordance with Getty Access policies.

This page has been removed in accordance with Getty Access policies.

X# of pages have been removed in accordance with Getty Access policies.

ITEM RELOCATION NOTICE

Removed from

Collection number and name:
Box:
Folder number and name:

Description of item:

Removed to

Collection number and name:
Box and folder number:

Purpose of relocation:

The J. Paul Getty Trust
Institutional Records and Archives

PROCESSING PLAN

To: Accession file
From: [your name]
Date:
RE: Processing plan for [title of finding aid]

Resource number: IAXXXXX

Accession number(s): XXX.IA.XX

Proposed name of creator:

Proposed name of contributor(s):

Proposed form of finding aid titles

Source of acquisition:

Extent before processing: XX Linear feet;   XXMB;   XX Boxes

Approximate date range:

Processing history and existing organization (if any):

What is known about the intellectual content of the collection? Provide a brief scope and content and material types (correspondence, financial records, scrapbooks, legal papers, project files, audiovisual recordings, maps, etc.)

What is known about the physical formats of material? Other than standard printed documents, specifically describe special formats (and their quantity if significant).

Audio (cassettes, albums, CDs, reel-to-reel, etc.)
Bound volumes (diaries, journals, publications, etc.)
Electronic media (optical discs, computer disks, hard drives, etc.)
Moving images (video tapes, film, DVDs, etc.)
Objects (artifacts, study models, sculpture, educational games, etc.)
Photographic material (prints, slides, negatives, stereographs, photo albums, etc.)
Oversized material (posters, drawings, paintings, maps, architectural rolls, etc.)

Given current priorities, what level of processing will be performed on this material (re-housing, re-foldering, physical rearrangement)?

Considering departmental priorities and the target date of completion, what is the expected time commitment (i.e., 1 processor 12 hours per week for 6 months)?

What supplies are required that are not already on hand?

How will you organize the collection? Is there any existing meaningful order? What series will you create?

Are there any potential restriction issues? (i.e., 35 years, privacy issues, etc.)

Are there any immediate conservation/preservation needs?

Are there any materials identified for appraisal/discard or transfer to the library?

Signature of supervisor	Date of approval