

SAA-Approved
Standard



DESCRIBING
ARCHIVES

A Content Standard

DACS 2019.0.3



SOCIETY OF
**American
Archivists**

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CHICAGO

THE SOCIETY OF AMERICAN ARCHIVISTS
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Describing Archives: A Content Standard - DACS 2019.0.3

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Preface

About This Standard

The Society of American Archivists adopted Describing Archives: A Content Standard (DACS) as the official content standard of the U.S. archival community in 2005. DACS was designed to be used to create a variety of archival descriptions, including finding aids and catalog records. It replaced *Archives, Personal Papers, and Manuscripts*,¹ which had served the U.S. archival community for more than two decades.

In 2013, following a call from the Council of the Society of American Archivists and after soliciting feedback from the community, DACS underwent a major revision. The revisions addressed the growing convergence between archival, museum, and library descriptive standards—particularly the promulgation and adoption of RDA.² Another significant issue was the development and adoption of Encoded Archival Context³ and the need to provide guidance on the creation of archival authority records.

Continuous Revision Cycle

In 2013, DACS was moved to a continuous revision cycle; this means that DACS may be revised as needs from the community arise. The most current version of DACS (and a history of revisions) can be found on the TS-DACS GitHub site.⁴

The subcommittee continues to monitor the development of other descriptive standards, particularly Records in Contexts (RiC)⁵ and RDA, to ensure compatibility and reduce duplication where necessary.

Ecosystem of Interrelated Standards for Providing Access to Archives

As a content standard, DACS is part of an ecosystem of interrelated and, in some cases, interdependent standards which support the process of archival description. Sometimes referred to as “companion standards,” these include structure standards, other content standards, and communication standards.

¹ Steven Hensen, comp., *Archives, Personal Papers, and Manuscripts*, 2nd ed. (Chicago: Society of American Archivists, 1989). The first edition was published in 1983.

² *RDA: Resource Description and Access* (RDA Steering Committee), <http://rda-rsc.org/>.

³ *Encoded Archival Context—Corporate Bodies, Persons, and Families* (Society of American Archivists, Technical Subcommittee on Encoded Archival Standards),

⁴ <https://github.com/saa-ts-dacs/dacs>.

⁵ *Records in Contexts: A Conceptual Model for Archival Description* (International Council on Archives, September 2016), Consultation Draft v0.1, <https://www.ica.org/sites/default/files/RiC-CM-0.1.pdf>.

Relationship to Other Descriptive Standards

ISAD(G) and ISAAR(CPF)

DACS relies on two international content standards for archival description: *International Standard Archival Description-General (ISAD(G))*⁶ and the *International Standard Archival Authority Record for Corporate Bodies, Persons, and Families (ISAAR(CPF))*.⁷ All of the data elements of ISAD(G) and ISAAR(CPF) are incorporated into DACS—in some cases, virtually verbatim. Part I of DACS was initially developed to mirror the components of ISAD(G) and Part II was designed to mirror ISAAR(CPF). This structure and concordance is maintained in the revised version of DACS.

The review of the ICA descriptive standards and the development and adoption of the Encoded Archival Context encoding standard by the Society of American Archivists led TS-DACS to heavily revise Part II of DACS in 2013. Part II of DACS contains rules for the creation of archival authority records and is broken into six chapters to align with ISAAR(CPF).⁸

Records in Contexts (RiC)

Following the draft release of its conceptual model in 2016, DACS and Records in Contexts (RiC) are now entering a period of coevolution. Much of the 2018 revision of the Statement of Principles on Archival Description attempts to bring DACS in closer alignment with RiC. Of particular importance is the structuring of Principle 4, which outlines three entities that must be described: records, agents, and activities, as well as the relationships between them. This structure allows archivists to create more complex and networked representation of records, including both their content and context(s). As opposed to archival description represented as hierarchy, this network of linked entities and the relationships between them will allow for deeper understanding and discovery of records and their creators.

Other Companion Standards

Archivists should look to DACS for guidance about how to describe the qualities of archives as records—their creation, provenance, maintenance, and relationship to other records and

⁶ *ISAD(G): General International Standard Archival Description*, 2nd ed. (Ottawa: International Council on Archives, 2000), https://www.ica.org/sites/default/files/CBPS_2000_Guidelines_ISAD%28G%29_Second-edition_EN.pdf.

⁷ *ISAAR(CPF): International Standard Archival Authority Record for Corporate Bodies, Persons and Families*, 2nd ed. (International Council on Archives, 2004), https://www.ica.org/sites/default/files/CBPS_Guidelines_ISAAR_Second-edition_EN.pdf.

⁸ Between 2010–2013, a careful review of the descriptive rules in DACS Part III revealed that much duplication existed with AACR2 rules for forming names with minor variations such as additional rules for forming family names. With the release of RDA (which incorporates additional rules better-suited to archival description), along with a growing convergence of goals (consistent, reusable, and clear description whether bibliographic or archival) amongst libraries, archives, and museums, it seemed prudent for the archival community to rely on bibliographic standards rather than support two parallel but slightly divergent content standards. This led to the most obvious change from DACS 2004—the removal of Part III.

creators. Archivists should consult companion standards for guidance on creating authorized forms of names and portraying the particular artifactual characteristics of specialized materials (like music, archived websites, or any example of the vast variety of other materials that may be found in an archive’s holdings).⁹

Implementation Neutrality

DACS is implementation-neutral and can be expressed in any data format that maps to its record structure. It has been most closely implemented by, and co-evolved with, the *Encoded Archival Description* (EAD)¹⁰ suite of XML schemata but can equally be encoded in MARC21,¹¹ RDF,¹² a database-backed archives management system, or any other communication standard. Whereas DACS primarily serves a U.S. audience, the stakeholders of many encoding standards represent an international community rooted in sometimes diverging descriptive practices. This has necessitated encoding implementations that err on the side of permissiveness, and practitioners may opt to strengthen the alignment between the respective encoding standard of their choice and DACS by producing a narrower implementation of the chosen encoding standard at the local level.

The Relationship between the Principles and the Rules

Describing Archives: A Content Standard provides a set of principles and elements (with rules for formulating elements) that unite archival professionals in the United States with common understanding and practice toward the creation of descriptions of archival holdings.

Principles are fundamental propositions that support and shape the practices of a profession and reflect its basic values. One key value shared by archivists is their responsibility to provide maximum access to the holdings in their custody.¹³ An essential precondition for providing access is the sufficient and effective description of their holdings. The eleven principles that precede DACS represent the fundamental propositions that, if collectively adhered to, can help ensure the success of archival description in promoting user access. The elements and rules of DACS, in turn, elaborate on those principles, providing the practical instructions required to produce archival description that realizes the sense and purpose of the principles.

Collectively, the principles, elements, and rules of DACS provide a framework to guide practitioners through a range of activities from concrete descriptive tasks to the development of repository-wide descriptive programs. Adherence to DACS promotes

⁹ See Appendix B: Companion Standards. https://github.com/saa-ts-dacs/dacs/blob/master/appendices/appendix_b_companion_standards.md.

¹⁰ *Encoded Archival Description* (Society of American Archivists), <http://www.loc.gov/ead/index.html>.

¹¹ *MARC 21* (Library of Congress), <http://www.loc.gov/marc/>.

¹² *Resource Description Framework (RDF) 1.1* (W3C, 2014), <https://www.w3.org/RDF/>.

¹³ International Council on Archives. Committee on Best Practices and Standards Working Group on Access, “Principles of Access to Archives,” August 24, 2012, https://www.ica.org/sites/default/files/ICA_Access-principles_EN.pdf.

consistency for users, ensures interoperability with systems for maintenance and display, and helps to maintain the authenticity and integrity of records. The inherent flexibility of DACS requires practitioners to use their professional judgment and expertise when writing principled, standards-compliant description. Local implementation guidelines remain integral to the success of *Describing Archives: A Content Standard*.

Statement of Principles

What Is Archival Description and What Should It Do?

Archival description exists to facilitate the use of archives by people in order to understand the past through traces in records. Its efficacy can be measured by how well it achieves that goal. *Describing Archives: A Content Standard* provides a set of principles for archivists to consider when conducting the work of a descriptive program, and a set of elements (and rules for creating these elements) for archivists to use when creating archival description.

Archival description enables archivists to distill masses of information about records into a small set of characteristics describing aggregations of records. Archivists do this work because it would often be impractical to fully represent the entirety of each record in a repository and because it would be difficult for a user to make sense of masses of records without a guide to what they *are*, what they *mean* and the historical *process* by which they were created and maintained.¹ For this distillation to be intelligible, archivists must understand the evidence of people, places, ideas and activities provided by records so that they can adequately represent the records to users and communicate their nature, value, and significance. Good archival description cannot just depict the physical and intellectual characteristics of documents. It must communicate how the accumulation of documents in a collection represents and provides evidence of the major functions of an organization or individual. This contextual description is key to meaning-making and gives users the tools necessary to effectively evaluate the value of records as evidence and information.

Archivists describe information about the lifecycle and administration of records that may not be present in the records themselves. Information about appraisal, custodial history, administrative interventions, restrictions, reformatting, or any other activity that has the power to change users' understanding of records' content or context should be faithfully documented and presented to the user. Without this information, the user may not be able to make a reliable determination about the historical events, ideas, places, and people that records document. Descriptive work should document a program of archival administration that maintains the authenticity, integrity, and reliability of records.

User-Centered Archival Description

Because it facilitates use, archival description is a user-centered product and process. This approach to archival description helps archivists remain connected to communities of users throughout the entire lifecycle of archives administration, dynamically and iteratively adjusting to new understanding of users and their needs.

¹ For a literary example of the nature of representation and modelling see Jorge Luis Borges, "On Exactitude in Science," in *Collected Fictions*, trans. Andrew Hurley (Penguin, 2000).

Uses for and users of records should be considered comprehensively, and will vary from repository to repository. Users include not only those outside the repository, but the repository's own staff. It is imperative that repositories identify, engage, and seek to understand the motivations and needs of *their* users, which may include but are not limited to scholarly production, collection care and control, institutional knowledge, connection to family ties, artistic endeavors, government accountability, justice-seeking endeavors, and symbolic purposes of holding records.

Identifying Aggregations of Records

When describing archives, archivists provide a sensemaking function—they help the user understand, at deepening levels of granularity, what these records are, who created them, what events they represent, and what they mean.

In order to do this, they must first identify aggregations of records. This is a core added value of archival labor—the ability to explain masses of information to users in a manner that is both insightful and succinct.² It is also a site of archives power, where the archivist has the opportunity to declare what is important and what is not.³

Archival theory and tradition privileges description of the relationship between creators of records and the traces they leave behind as a result of events and activities in their lives. Records are often produced and kept according to these qualities, and where common aggregations are discovered, it is useful to maintain them. It is less useful for an archivist to aggregate resources by their common subject, particularly because doing so often results in the loss of information about how and by whom records were created.

Describing Aggregations of Records

Once an archivist has identified a meaningful aggregation of records, they may avail themselves of any relevant elements within the DACS element set in order to describe characteristics particular and appropriate to that aggregation. As described in Chapter 1, in the section on *Requirements for Multilevel Descriptions*, descriptions of a particular aggregation may (implicitly or explicitly) inherit characteristics from the more general aggregation of which it is a part. Furthermore, each aggregation should include all DACS

² As Jennifer Meehan notes, this kind of sense-making is only as good as the archivist's judgment and is itself an act of research and use. Jennifer Meehan, "Making the Leap from Parts to Whole: Evidence and Inference in Archival Arrangement and Description," *American Archivist* 72, no. 1 (April 1, 2009): 72–90, <https://doi.org/10.17723/aarc.72.1.kj672v4907m11x66>.

³ As the anthropologist Michel-Rolph Trouillot noted, we all make meaning of historical events through our observation of them and the power and background we bring to our work. We must acknowledge our power and biases as archivists and never pretend to be impartial stenographers of records. Michel-Rolph Trouillot, *Silencing the Past: Power and the Production of History* (Beacon Press, 1995). Rand Jimerson makes a similar (and domain-specific) argument in *Archives Power*. Randall C. Jimerson, *Archives Power: Memory, Accountability, and Social Justice* (Society of American Archivists Chicago, 2009).

single-level minimum elements, either described explicitly at that aggregation or inherited from associated archival description.

Provenance

To achieve the goal of faithfully documenting and maintaining information about how individuals and groups created and maintained records, archival practice has relied on the guidance of *respect des fonds* for more than 150 years.⁴ Keeping the records of a given creator separate from other records (physically, intellectually, and in descriptive systems) has been an excellent mechanism to ensure that contexts of creation and maintenance are maintained.

However, the application of *respect des fonds* can often flatten existing complexity by obscuring the ways in which human inter-connections, disruptions, false starts, and confusing circumstances produced records in the first place. Users benefit from understanding the ways that records are created, collected, and distributed by multiple agents, beyond the bare details of their shared provenance.

All records within a fonds rarely come from the same creator, even if they are from the same collector and share provenance. In modern organizations, while it is undoubtedly useful to document the person or organization who brought together the group of records given to a repository, it would be even more useful to document the web of activities by which records are collected and created, and by whom, from within and outside of the organization and how structures of power and control brought records into existence. Because information systems have the power to document relationships and contexts between and across records and creators, *respect des fonds* should be considered one articulation of a method for documenting archival content and context, rather than a principle of archival description. One could imagine technical mechanisms by which this web of contexts, records, and creators could be represented in the entirety of its complexity, beyond the directive toward administrative separation that *respect des fonds* demands.

This should not be taken as permission for archivists to create their own physical or intellectual order by subject, genre, form, or other facet—doing so often destroys context. Instead, archivists should embrace the best information technologies available to them to document and represent records over time as they are understood to the archivist.

Original Order and Arrangement as Archival Context

The concept of original order has long been privileged in archival description as representing a state of arrangement with special significance in revealing the context underlying the creation of records. The principle of respect for original order derives from

⁴ Nancy Bartlett, “Respect Des Fonds: The Origins of the Modern Archival Principle of Provenance,” *Primary Sources & Original Works* 1, no. 1–2 (1992): 107–115.

this interpretation. Recent theory and practice have shown this to be much more complex.⁵ For instance, there are many arrangements by which a creator may have maintained and used records over time. The order in which records are received by a repository may not match the order in which they were last used or maintained by their creator(s), further complicating the very concept of “originality” and the narrative of authenticity it supports. Similarly, electronic records complicate the idea of a fixed, canonical order because they are commonly moved and maintained in a file system over the course of their life cycles.⁶

Rather than a privileged physical sequence of records, original order is best thought of as an intellectual construct that communicates important activities and relationships inhering in records through identifying key groupings that reflect the main activities and functions of the record creators.⁷

The principle of original order advises archivists to determine and preserve those groupings, and then to describe records, agents, activities, and the relationships between them in a way that illuminates how creators kept their records and how they were sent to the archives. They should never disrupt or obscure evidence of recordkeeping practices through their own interventions; for instance, it is inadvisable to alter the received order of collection material without a compelling, user-driven need to do so.

By not elevating original order to the place of descriptive principle, DACS acknowledges that arrangement consists of a multitude of intellectual and physical relationships over time, and that arrangement itself is but one among many instances of archival context(s) to be documented.

Principles of Archival Description

1. Archival description expresses professional ethics and values.

Professional values and ethics drive archival work, including descriptive practice.⁸ Archival description is an iterative, ethical practice that requires continual engagement with core values. Rooting standards in values helps archivists enact these values consistently and makes them explicit to our user communities.

⁵ Terry Cook, “What is Past is Prologue: A History of Archival Ideas Since 1898, and the Future Paradigm Shift,” *Archivaria* 43 (Spring 1997), 17–63.

⁶ Jefferson Bailey, “Disrespect des Fonds: Rethinking Arrangement and Description in Born-Digital Archives,” *Archive Journal* (June 2013), <http://www.archivejournal.net/essays/disrespect-des-fonds-rethinking-arrangement-and-description-in-born-digital-archives/>.

⁷ Jennifer Meehan, “Rethinking Original Order and Personal Records,” *Archivaria* 70 (Fall 2010), 27. As Terry Eastwood insists, “archival arrangement is essentially a process of identifying relationships, not a process of physically ordering and storing documents.” Terry Eastwood, “Putting the Parts of the Whole Together: Systematic Arrangement of Archives,” *Archivaria* 50 (Fall 2000): 93–94.

⁸ In the United States context, archivists are guided by the Society of American Archivists’ Core Values Statement and Code of Ethics. Archivists are also encouraged to consult and follow affiliated ethics and principles statements, including the Protocols for Native American Archival Materials, the International Council on Archives’ Principles for Access to Archives and Code of Ethics.

Archival description that is rooted in ethics will produce a richer researcher experience because it: - produces trust in and between users, archivists, and repositories - encourages a diverse archival record - promotes responsible and responsive descriptive practices - holds archivists accountable to users and to each other - privileges equitable access and accessibility

2. Users are the fundamental reason for archival description.

Archivists make descriptive choices that impact how users find, identify, select, and use archival records. To make wise choices about descriptive practices, archivists must develop and maintain an awareness of user needs and behaviors.

3. Because archival description privileges intellectual content in context, descriptive rules apply equally to all records, regardless of format or carrier type.

Descriptive standards must recognize that not all cultures and communities document in the same ways, and our descriptive standards must be flexible enough to accommodate all the ways that human experience is recorded.

Archivists must adapt and respond to changing recordkeeping practices and technologies. Applying a common set of descriptive rules allows archivists to create consistent descriptions. It encourages confidence in professional judgment and gives archivists the flexibility to apply standards judiciously and thoughtfully.

Consistent description across formats: - supports broad description and access - lowers cognitive load for users - maintains records' contexts as well as intellectual content

4. Records, agents, activities, and the relationships between them are the four fundamental concepts that constitute archival description.

Meaning in archival records is revealed through their contexts as much as through their contents. Archivists expose contextual significance by describing records, agents, activities, and the relationships between them.

- **Records must be described in aggregate and may be described in parts.**

The whole gives meaning and coherence to the parts. Description of the aggregate is therefore an indispensable component of establishing context and must be provided before proceeding with the description of component parts. Archival description must be appropriate, relevant, and specific to a particular aggregation of records.

- **Record creators and other agents must be described sufficiently to understand the meaning of records.**

Agents act on records or interact with other agents across time. Agents may be human or machine.

A category of agents, those responsible for the creation, compilation, and maintenance of the records is particularly important and must be described. Describing these agents requires archivists to document agents' roles, functions, occupations, and activities.

Archivists must be transparent about the sources of their description and recognize that agents have the right to define their identities, which may change over time.

- **Activities that are essential to understanding records must be described.**

Activities, whether biographical, historical, or administrative, provide important contextual information. Describing biographical and historical activities adds information that may be absent from the records themselves. Describing administrative activities helps users understand how the records were affected over time by the actions of various agents following their creation.

- **The relationships among records, agents, and activities are essential to understanding archives and must be described.**

Relationships, which connect agents, records, and activities, convey meaning that may not be apparent from the contents of records alone. Relationships may be simple or may comprise a complex network of interactions among multiple records, agents, and activities.

5. Archival description must be clear about what archivists know, what they don't know, and how they know it.

Archivists must always provide honest description that mitigates human bias and limitations through open reference to their sources of knowledge. Citation in archival description builds a culture of accountability and trust.

Honest description: - acknowledges archivists' expertise in records, recordkeeping systems, and documentary forms - delineates the limitations of archivists' knowledge and authority - acknowledges that archivists are people, and people are biased

6. Archivists must document and make discoverable the actions they take on records.

Archivists and archival repositories are agents whose actions affect records and the ways that all users can access and interact with those records.

Archivists have an obligation based in professional values of accountability and responsible custody to thoroughly and transparently describe their own interventions in the course of their work. These interventions may potentially affect users' understandings of records and are an essential part of archival description.

7. Archival description is accessible.

Users of archives encounter barriers to accessing archival description. Typical barriers may be physical, technological, linguistic or geographic. Archivists must limit or remove these barriers to finding and interacting with description.

Accessible archival description engages creators and communities being documented to reflect their complexity, nuance, and fluidity. Archivists must be respectful of the knowledge they hold in trust and the norms of the communities from which they collect, particularly when collecting from communities that have been historically marginalized.

Accessible and respectful description builds trust between archives, users of archives, and those being documented.

8. Archival description should be easy to use, re-use, and share.

Archival description is a form of data, consisting of discrete data elements that can be expressed in a variety of useful outputs.

Users are best able to use, re-use, and share archival description when: - it is discoverable - it is structured - it is machine-readable - it is machine-actionable - it is available under an open license

Archivists must understand the ways that their data can be consumed by a broad range of users, including people and machines.

9. Each collection within a repository must have an archival description.

The absence of archival description is a barrier to users and good stewardship. In order to access archival collections, users must know which collections a repository holds. No matter how basic a description may be, it is more advantageous to users than no description at all.

Creating these archival descriptions helps archivists meet stewardship needs. This results in: 1) access to a better, broader sense of the scope of our holdings, 2) the ability for archivists to gather information about how collections are used, and 3) guidance for future appraisal and acquisition choices

Archival repositories must deploy their resources in a way that permits them to describe all of their collections as part of their normal business operations.

10. Archivists must have a user-driven reason to enhance existing archival description.

When deciding how comprehensively to describe a collection, the goal should be to maximize the availability of all collection materials to users.

Once all collections in a repository have been described at a minimum level,⁹ archivists may choose to add more description. This choice must be based on demonstrated user needs or the mission of the repository.

⁹ Chapter 1 of DACS, *Levels of Description*, provides guidance on which elements must be included for description to meet minimum requirements.

11. Archival description is a continuous intellectual endeavor.

Description must be iterative. It continually reflects deeper understandings of agents, records, activities, and the relationships between them. It is responsive to users. It is flexible, reflecting changes in knowledge, practice, and values.

Overview of Archival Description

The principal objective of archival description is the creation of access tools that assist users in discovering desired records. The nature of archival materials, their distribution across many institutions, and the physical requirements of archival repositories necessitate the creation of these descriptive surrogates, which can then be consulted in lieu of directly browsing through quantities of original documents. The archivist must consult other standards and protocols in addition to DACS to construct a robust system of access. This section describes the roles of those standards and protocols and that of DACS within the larger context of the creation of archival descriptions.

Access Tools

DACS is a standard that is independent of particular forms of output in given information systems, such as manual and electronic catalogs, databases, and other finding aid formats. However, archivists recognize that these rules do not exist as abstractions but will be implemented in actual systems. In practice, DACS will be used principally with the two most commonly employed forms of access tools, catalogs and inventories, though it may be useful in the construction of guides and calendars as well. Archivists must recognize that the systems in which these descriptions appear have functionality and requirements that extend beyond simply presenting the descriptions of archival materials based on Part I and information about the creators of archival records created according to the rules in Part II.

When descriptive information is managed in a locally developed database or presented as entries in a card catalog or as a typescript inventory, local decisions must be made about database design and presentation or the layout of data on the card or printed inventory. When descriptions are recorded in a standard electronic format—MARC 21, EAD, or both—an archivist will have to master the encoding scheme in which the data is stored electronically. Various publications are instructive in the application of these two standards, while the official documentation for each is available in print and online and is cited in Appendix B.¹

Beyond the details of their respective encoding protocols, both MARC 21 and EAD require the inclusion of data that supplements the information specified in DACS. MARC 21 includes a series of fields of coded information that assist in machine processing of data, such as the dates of the material. The structure of and permissible values for these codes may be found in the MARC 21 documentation. In EAD, the EAD Header element contains information about the electronic file. Its formulation is described in the *Encoded Archival Description Tag Library*.

¹ See Library of Congress, Network Development and MARC Standards Office, *MARC 21 Format for Bibliographic Data* (Washington, DC: Library of Congress, 1999), <http://www.loc.gov/marc/bibliographic/>, and *Encoded Archival Description Tag Library—Version 2002*, prepared and maintained by the Encoded Archival Description Working Group of the Society of American Archivists and the Network Development and MARC Standards Office of the Library of Congress (Chicago, IL: Society of American Archivists, 2002).

Access Points

Then there is the matter of "access points." While archival description is narrative, and electronic catalogs and databases typically provide full-text searching of every word in the text, information systems often also identify specific terms, codes, concepts, and names for which specialized indexes are created to permit faster and more precise searching. In a manual environment, these terms appear as entry headings on catalog records. A variety of protocols, both standardized and local, determine which of the names and terms in a description become "access points" for searching in this way, as well as the form in which they appear. For example, Element 3.1 of DACS instructs the archivist to include in the scope and content element information about the "subject matter to which the records pertain, such as topics, events, people, and organizations." The natural language terminology used to describe such a topic in the scope and content statement must be subsequently translated into the formal syntax of a subject heading, as specified by a standardized thesaurus like the *Library of Congress Authorities*.² For example, a collection might contain information about railroads in Montana. After consulting the Library of Congress subject headings and reviewing the directions in the *Subject Cataloging Manual: Subject Headings* on the formulation of compound subject terms, the archivist will establish the access point as Railroads—Montana. When embedded in a MARC 21 record, the coding will be

```
650 b0 #a Railroads #z Montana
```

If this data is placed in an EAD finding aid, the resulting encoding will look like this:

```
<controlaccess>  
  <subject source="lcsh">Railroads--Montana</subject>  
</controlaccess>
```

Once rendered in a consistent form and included in electronic indexes or as headings in a card file, such standardized data become a powerful tool for researchers to discover materials related to that topic.

It is a local decision as to which names, terms, and concepts found in a description will be included as formal access points, but repositories should provide them in all types of descriptions. Such indexing becomes increasingly important as archivists make encoded finding aids and digital content available to end users through a variety of repository-based and consortial online resource discovery tools.

Access points fall into six broad categories:

- Names
- Places

² The *Library of Congress Authorities* online resource (<http://http://authorities.loc.gov>) combines the *Library of Congress Name Authority File* (LCNAF) and the *Library of Congress Subject Headings* (LCSH).

- Subjects
- Documentary forms
- Occupations
- Functions

Each category is described below and contains a discussion of the parts of the descriptive record in which the concepts that are rendered as access points may be found. The standard format of such terms can be developed locally but preferably will be taken from standard thesauri such as those in Appendix B.

Names

The names of persons, families, and organizations that are associated with a body of archival materials, either as the creator or the subject of the records, constitute an important pathway by which researchers discover relevant materials. Names that are rendered as *nominal access points* can be found in several areas of the descriptive record:

- Name of Creator(s) Element (2.6)
- Title Element (2.3)
- Scope and Content Element (3.1)
- Administrative/Biographical History Element (2.7)
- Custodial History Element (5.1)
- Immediate Source of Acquisition Element (5.2)

At a minimum, an access point should be made for every name included in the Name of Creator(s) Element in a single-level description or at the highest level in a multilevel description. Names found in other descriptive elements may be utilized as access points in accordance with local or consortial practice.

Places

The names of places and geographic features to which the records pertain may be important to researchers. Geographic place-names that should be considered for use as access points may be found in the following parts of the descriptive record:

- Name of Creator(s) Element (2.6)
- Title Element (2.3)
- Scope and Content Element (3.1)
- Administrative/Biographical History Element (2.7)

Topical Subjects

The topical subject matter to which the records pertain is among the most important aspects of the archival materials. Terms suggesting topics that might be employed as access points may be found in the following areas of the descriptive record:

- Title Element (2.3)

- Scope and Content Element (3.1)
- Administrative/Biographical History Element (2.7)

A variety of general and specialized subject thesauri, including the *Library of Congress Authorities*, may be employed as the source for standardized terminology. The most commonly used of these are listed in Appendix B.

Documentary Forms

Terms that indicate the documentary form(s) or intellectual characteristics of the records being described (e.g., minutes, diaries, reports, watercolors, or documentaries) provide the user with an indication of the content of the materials based on an understanding of the common properties of particular document types. For example, one can deduce the contents of ledgers because they are a standard form of accounting record, one that typically contains certain types of data. Documentary forms are most often noted in the following areas of the descriptive record:

- Title Element (2.3)
- Extent Element (2.5)
- Scope and Content Element (3.1)

The *Art & Architecture Thesaurus*, the *Library of Congress Authorities*, or appropriate media-specific thesauri should be the first sources consulted for terms denoting documentary forms and literary genres.

Occupations

The occupations, avocations, or other life interests of individuals that are documented in a body of archival material may be of significance to users. Such information is most often mentioned in the following areas of the descriptive record:

- Scope and Content Element (3.1)
- Administrative/Biographical History Element (2.7)

Again, the *Library of Congress Authorities* is a widely used source of terms noting occupations and avocations. The U.S. Department of Labor's *Dictionary of Occupational Titles* provides a structured enumeration of job titles.

Functions and Activities

Terms indicating the function(s), activity(ies), transaction(s), and process(es) that generated the material being described help to define the context in which records were created. Examples of such concepts might be the regulation of hunting and fishing or the conservation of natural resources. Functions and activities are often noted in these areas of the descriptive record:

- Title Element (2.3)
- Scope and Content Element (3.1)

- Administrative/Biographical History Element (2.7)

The *Art & Architecture Thesaurus* contains a hierarchy of terms denoting functions. The *Library of Congress Authorities* also may be employed.

PART 1

Describing Archival Materials

Introduction to Describing Archival Materials

Purpose and Scope

Part I of DACS contains rules to ensure the creation of consistent, appropriate, and self-explanatory descriptions of archival material. The rules may be used for describing archival and manuscript materials at all levels of description, regardless of form or medium. They may also be applied to the description of intentionally assembled collections and to discrete items.

While the rules apply to all levels of description and forms of material, some repositories may wish to describe particular media at item level or at a level even more detailed than the item, such as sequence, shot, and so on. These rules do not govern such detailed levels of description because of the varying nature of institutional requirements in this area. Incorporating all possible rules for various types of media would result in a very large volume that would require regular monitoring of a number of specialized standards and frequent revisions of DACS as other standards changed. Appendix B offers more detailed guidance in its lists of specialized standards for various types of material.

Data Elements Are Mutually Exclusive

The purpose and scope of each element has been defined so that the prescribed information can go in one place only. In some cases, there are separate elements for closely related but distinct information, such as the several elements relating to conditions of access and use. The stated exclusions for each element indicate which other element can be used to provide the related information.

Order of Elements

Archival description is an iterative process that may suggest a certain sequence or order of elements in a given repository or output system. However, neither the arrangement of these rules nor their content mandate a given order. Archivists should be aware that some output systems may enforce a particular order of elements, and institutional or consortial guidelines may recommend or even require a given order.

Sources of Information

All the information to be included in archival descriptions must come from an appropriate source, the most common of which is the materials themselves. In contrast to library practice, archivists rarely transcribe descriptive information directly from archival materials; rather, they summarize or interpolate information that appears in the materials or devise information from appropriate external sources, which can include transfer documents and other acquisition records, file plans, and reference works. Each element has one or more prescribed sources of information.

Options and Alternatives

Some rules are designated as optional; others are designated as alternative rules.

- Where a rule represents an instruction that may or may not be used, it is introduced by the word *optionally*. A repository may use it or not as a matter of institutional policy or on a case-by-case basis at the discretion of the archivist.
- Where a rule represents an alternative equal in status and value to another rule, it is introduced by the word *alternatively*. A repository must use one or other as a matter of institutional policy or on a case-by-case basis.

These provisions arise from the recognition that different solutions to a problem and differing levels of detail and specificity are appropriate in different contexts. The use of some alternatives and options may be decided as a matter of description policy at the institutional level to be exercised either always or never. Other alternatives and options can be exercised on a case-by-case basis at the discretion of the archivist. Institutions are encouraged to distinguish between these two situations and to keep a record of their policy decisions and of the circumstances in which a particular option may be applied.

Professional Judgment and Institutional Practice

The rules recognize the necessity for judgment and interpretation on the part of both the person who prepares the description and the institution responsible for it. Such judgment and interpretation may be based on the requirements of a particular description, on the use of the material being described, or on the descriptive system being used. The rules highlight selected, though certainly not all, points where the need for professional judgment is called for, using phrases such as “if appropriate,” “if important,” and “if necessary.” While in no way contradicting the value of standardization, such words and phrases recognize that uniform rules for all types of descriptions are neither possible nor desirable, and they encourage institutions to develop and document a description policy based on specific local knowledge and consistent application of professional judgment. Furthermore, it is recognized that a particular data element may be formulated differently depending on the intended output system. For example, a scope and content note may be much more extensive in a multilevel finding aid than in a catalog record.

In addition, institutions may differ in the use of conventions regarding punctuation, abbreviations, acronyms, and so on. DACS does not prescribe standards for such usages. However, these general principles should be followed:

- Internal consistency should be maintained.
- Square brackets, as prescribed by cataloging convention to indicate information supplied from other sources, are not required in archival description.
 - Abbreviations are discouraged.

- Acronyms should be spelled out completely at least once in the text of any descriptive document.

Descriptive Outputs

The application of these rules will result in descriptions of various kinds, and the rules do not prescribe any particular output. It is up to the repository to determine what descriptive products will be produced and how they will be presented to the end user. Elements can be combined in a variety of ways, such as through use of punctuation, layout, and typography, labels, and so on. It is essential for the archivist to understand the particular output system being used. For example, a system may automatically display hierarchies and create links between different levels of description or create links between a unit of description and other information, such as appraisal or scheduling information, in such a way that a textual explanation of the relationship(s) is not necessary. Archivists should keep in mind, however, that standardization of the presentation or display of archival descriptive information greatly enhances recognition and understanding by end users.

Examples

The examples in Part I are illustrative, not prescriptive. They illustrate only the application of the rule to which they are appended. Furthermore, the presentation of the examples is intended only to assist in understanding how to use the rules and does not imply a prescribed layout, typography, or output. Some examples include citations for the body of archival materials from which they were drawn to help clarify the application of the rule to a particular level of description.

Chapter 1

Levels of Description

Archival material can be described at many different levels.

A finding aid may consist of only one level of description (single-level descriptions), or it may include many different levels of description (multilevel descriptions). A finding aid that consists of multiple levels of description may provide information at successively narrower levels of arrangement (such as subseries, files, and even items) for some series while confining information to a single level of hierarchy for others.¹

DACS does not attempt to define the proper level of description for any set of archival materials. Archivists should follow the prescriptions of their institutions and apply their own judgment in making such determinations.

DACS defines twenty-five elements that are useful in creating systems for describing archival materials. These systems can be of any type, ranging from simple paper-based files to complex digital information management systems. The output products of these systems—archival descriptions of all kinds and formats, printed on paper or encoded in EAD or MARC 21—must include at minimum a set of discrete descriptive elements that convey standardized information about the archival materials and creators being described. These DACS elements constitute a refinement of the twenty-six high-level elements of archival description defined in the General International Standard Archival Description (ISAD[G]).

Not all of the DACS elements are required in every archival description. Combinations of descriptive elements will vary, depending on whether the archivist considers a specific description to be preliminary or complete and whether it describes archival materials at a single level (e.g., collection level or item level) or at multiple levels that have a whole-part relationship.

Simple archival descriptive systems can be constructed using only the twenty-five elements articulated and defined by this standard; however, more detailed archival descriptive and management systems may require a number of additional elements, either defined by companion standards or standardized at the local level to meet the requirements of a specific repository.

The following requirements specify particular elements from Part I of DACS that should be used in output products—from basic collection-level accession records to fully encoded, multilevel finding aids—intended for the use of archivists or researchers in managing and

¹ For more information, refer to International Council on Archives, *ISAD(G): General International Standard Archival Description*, 2nd ed., adopted by the Committee on Descriptive Standards, Stockholm, Sweden, September 19–22, 1999, accessed February 19, 2013, [http://www.icacds.org.uk/eng/ISAD\(G\).pdf](http://www.icacds.org.uk/eng/ISAD(G).pdf).

using archival materials. They articulate a "minimum," "optimum," and "added value" usage of the elements defined by DACS but are not intended to preclude use of other descriptive data that a repository deems necessary for its own descriptive systems or products. DACS does not specify the order or arrangement of elements in a particular descriptive output. Some systems or output formats, such as MARC 21 or EAD, provide specific guidance on the ordering of some or all elements. Others, such as a repository's preliminary accession record or a print finding aid, should include DACS elements in a logical and consistent manner determined by the repository's own procedures and standard practices. The requirements that follow are divided into two sections, one for single-level descriptions and one for multilevel descriptions.

Requirements for Single-level Descriptions

Following are examples of single-level descriptions:

- A preliminary accession record
- A MARC 21 record not linked to other MARC 21 records
- A database record in a repository's collections management database that describes archival materials only at a single level
- A METS (Metadata Encoding and Transmission Standard)² record for a description of archival materials

Single-level descriptions can describe archival materials at *any level*, from large accumulations commonly referred to by archivists as collections, record groups, fonds, or record series, to single items and any level in between. They can, however, only describe that material at one level.

Single-level Required

A single-level description with the minimum number of DACS elements includes:

- Reference Code Element (2.1)
- Name and Location of Repository Element (2.2)
- Title Element (2.3)
- Date Element (2.4)
- Extent Element (2.5)
- Name of Creator(s) Element (2.6) (*if known*)
- Scope and Content Element (3.1)
- Conditions Governing Access Element (4.1)
- Languages and Scripts of the Material Element (4.5)

² The METS standard is an XML schema for encoding descriptive, administrative, and structural metadata for objects within a digital library. It is an initiative of the Digital Library Federation and is maintained by the Library of Congress. Information is available at <http://www.loc.gov/standards/mets/>.

Single-level Optimum

A single-level description with the optimum number of DACS elements has all of the elements included in Single-level Minimum above, plus the following:

- Administrative/Biographical History Element (2.7)
- Access points (See Overview of Archival Description)

Single-level Added Value

A single-level description using DACS elements to provide added value for researchers includes all of the elements in Single-level Optimum above, plus any other relevant elements the repository wishes to include.

Requirements for Multilevel Descriptions

Following are examples of multilevel descriptions:

- A preliminary collection inventory or register (regardless of whether presented in print or encoded in EAD or another encoding scheme)
- A full collection inventory or register (regardless of whether presented in print or encoded in EAD or another encoding scheme)
- Multiple linked MARC 21 records
- A database record in a repository's collections management database that describes archival materials at more than one level

Multilevel descriptions can describe archival materials beginning at any level (e.g., collection level, series level) and must include at least one sublevel. Typical multilevel descriptions begin with large accumulations commonly referred to by archivists as collections, record groups, fonds, or record series. ISAD(G) envisions a descriptive framework that recognizes four levels: fonds, series, file, and item; however, DACS elements can be used to describe materials arranged according to this or any other scheme of articulating levels of arrangement of archival materials.

Within systems that communicate archival description to users, it is often the case that descriptive elements may be shared, inherited, or otherwise linked across and between entities. Traditionally, inheritance has been implicitly presented as hierarchy within the idiom of the print finding aid where frontmatter (collection-level descriptive notes, creator elements, conditions governing access and use, repository information, etc.) applies to archival descriptions on subsequent pages. However, in modern networked archival information systems (relational databases, linked data systems, etc.) linkages, relationships, and inheritances can be non-hierarchical. This makes it particularly important for outputs from these systems to clearly explain relationships so that a user understands which records, agents, or activities an archival description governs.

When a multilevel description is created, the information provided at each descriptive aggregate must be relevant to the material being described within that group.³ For instance, archivists should provide administrative and biographical information appropriate and specific to the records being described within that aggregation. Information that is common to component parts should be provided where most generally appropriate and should not be repeated within component parts unless doing so would provide clarity.

Multilevel Required

The *top* level of a multilevel description with the minimum number of DACS elements includes:

- Reference Code Element (2.1)
- Name and Location of Repository Element (2.2)
- Title Element (2.3)
- Date Element (2.4)
- Extent Element (2.5)
- Name of Creator(s) Element (2.6) *(if known)*
- Scope and Content Element (3.1) *Note: In a minimum description, this element may simply provide a short abstract of the scope and content of the materials being described.*
- Conditions Governing Access Element (4.1)
- Languages and Scripts of the Material Element (4.5)
- Identification of the whole-part relationship of the *top* level to at least the *next subsequent* level in the multilevel description. This may be done through internal tracking within a particular descriptive system; if so, the output must be able to explicitly identify this relationship.

Each *subsequent* level of a multilevel description should include:

- All of the elements used at higher levels, unless the information is the same as that of a higher level or if it is desirable to provide more specific information.

Notes:

- Name of Creator(s) Element (2.6): *At subsequent levels of a multilevel description, this element is required only if the person(s) or organization(s) responsible for the creation or accumulation of the material at the subsequent level differs from the higher level(s). This can also be accomplished by using the Name Segment of the Title Element (2.3).*

³ In the voluminous papers of a prominent family, there may be one letter from George Washington within a small cache of a distant cousin's correspondence. It would be inaccurate and inappropriate to say that the collection is about George Washington, although an archivist may include this kind of description within the series or file that includes that letter. Similarly, if part of a collection has specific conditions governing access, it is useful to provide an overview of all access restriction types at the collection level, but it is also important to provide specific conditions governing access at the more granular level where this information would be relevant.

- Scope and Content Element (3.1): *Scope and contents are typically necessary for large units of aggregation and are not required at the file or item level if the Title Element (2.3) is sufficient to describe the material.*
- Identification of the whole-part relationship of *each* level to at least the *next subsequent* level in the multilevel description. This may be done through internal tracking within a particular descriptive system or through an explicit statement of the relationship.

Multilevel Optimum

The *top* level of a multilevel description with the optimum number of DACS elements includes all of the elements in Multilevel Minimum above, plus the following:

- Administrative/Biographical History Element (2.7)
- Scope and Content Element (3.1) *Note: In an optimum description, this element should include a full description of the scope and content of the materials being described.*
- Access points (See Overview of Archival Description.)

Each *subsequent* level of that multilevel description should include:

- All of the elements included at the higher levels of the multilevel description, unless the information is the same as that of a higher level or if it is desirable to provide more specific information.
- Identification of the whole-part relationship of *each* level to at least the *next subsequent* level in the multilevel description. This may be done through internal tracking within a particular descriptive system or through an explicit statement of the relationship.

Multilevel Added Value

A multilevel description using DACS elements to provide added value for researchers should include all of the elements in Multilevel Optimum above, plus any other elements the repository wishes to include.

Each *subsequent* level of that multilevel description should include:

- All of the elements included at the higher levels of the multilevel description, unless the information is the same as that of a higher level or it is desirable to provide more specific information.
- Identification of the whole-part relationship of *each* level to at least the *next subsequent* level in the multilevel description. This may be done through internal tracking within a particular descriptive system or through an explicit statement of the relationship.

Chapter 2

Identity Elements

- 2.1 Reference Code (Required)
- 2.2 Name and Location of Repository (Required)
- 2.3 Title (Required)
- 2.4 Date (Required)
- 2.5 Extent (Required)
- 2.6 Name of Creator(s) (Required, If Known)
- 2.7 Administrative/Biographical History (Optimum)

2.1 Reference Code (Required)

Purpose and Scope

This element provides a unique identifier for the unit being described. The identifier may consist of three subelements: a local identifier, a code for the repository, and a code for the country.

Commentary: This typically alphanumeric identifier frequently serves as a succinct local means of referring to the materials. When delivering a descriptive record outside of the repository holding the materials, this element should also contain a nationally sanctioned code for the repository and an internationally standardized code for the country in which the repository is located. Taken together, these three subelements form a unique machine-readable identifier for the materials being described.

- The local identifier code is a means of gaining access to the description of the materials or to the documents themselves. Determining the structure and function(s) of a local identifier code are matters of institutional policy. Examples of local identifiers include accession numbers, record group numbers, and call numbers.
- The repository identifier code is required only for purposes of consortial, national, or international exchange. The full name of the institution is recorded in the Name and Location of Repository Element (2.2).
- The country identifier code is required only for purposes of consortial, national, or international exchange.

Sources of Information

2.1.1 The codes for country and repository are taken from national and international code lists. Repositories should develop a local system that uniquely identifies discrete materials.

General Rules

2.1.2 Record a reference code that consists of a local identifier, a repository identifier, and a country identifier in accordance with the following rules.

Local Identifier

2.1.3 At the highest level of a multilevel description or in a single level description, provide a unique identifier for the materials being described in accordance with the institution's administrative control system. Optionally, devise unique identifiers at lower levels of a multilevel description.

95-24

Records collection identifier, Gay, Lesbian, Bisexual, Transgender Historical Society
MC22

Personal papers collection identifier, Scripps Institute of Oceanography Archives
632

Manuscript group identifier, Manuscripts and Archives, Yale University Library
79-GC-2-134

Record group, series, album, and item identifier, National Archives and Records
Administration

UAV 605 (AS81)

<http://nrs.harvard.edu/urn-3:RAD.SCHL.WAX:4740894>

MC 666 E. 1

Repository Identifier

2.1.4 Provide a repository code assigned by the national organization responsible for assigning and maintaining repository identifiers.¹

CUI

Repository code for the University of California, Irvine Libraries

TxU-Hu

Repository code for the Harry Ransom Humanities Research Center, The University of
Texas at Austin

¹ The Library of Congress is responsible for assigning repository codes and maintaining the list of assigned codes in the United States. National repository codes are constructed in accordance with the latest version of ISO 15511 (International Standard identifier for libraries and related organizations).

Country Identifier

2.1.5 Provide a country code for the location of the repository as assigned by the International Standards Organization.²²

US

Code for the United States

Ca

Code for Canada

² The two-character country code is found in the latest version of ISO 3166-1 (*Codes for the representation of names of countries and their subdivisions*). While EAD requires the use of the ISO 3166-1 standard for names of countries, the MARC 21 standard has not yet adopted this code list. Use the code appropriate to the output system for a given description. The *MARC Code List for Countries* is used in archival cataloging (e.g., mixed materials) to indicate the country of the repository in the 008 field.

2.2 Name and Location of Repository (Required)

Purpose and Scope

This element identifies the name and location of the repository that holds the materials being described.

Commentary: It may be possible for a system to generate the name of the repository from the repository identifier as specified in Rule 2.1.4.

Sources of Information

2.2.1 Take the information from institutional policies and procedures.

General Rules

2.2.2 Explicitly state the name of the repository, including any parent bodies.

The University of Texas at Austin, Harry Ransom Humanities Research Center
The Minnesota Historical Society

2.2.3 Provide the location of the repository. If desirable, include the mailing address and other contact information.

Alabama Department of Archives and History. 624 Washington Avenue, Montgomery, AL 36130-0100. (334) 242-4435.

2.3 Title (Required)

Purpose and Scope

This element provides a word or phrase by which the material being described is known or can be identified. A title may be devised or formal.

Commentary: A *devised title* is one provided by the archivist when there is no formal title for the materials being described or when the formal title is misleading or inadequate. The rules for recording a devised title differ from the rules for recording a formal title. Archivists usually devise titles for archival materials.

Devised titles generally have two parts:

- the name of the creator(s) or collector(s)
- the nature of the materials being described

A *formal title* is one that appears prominently on or in the materials being described and is most commonly found in material that has been published or distributed, such as a title on a book, report, map, or film. Formal titles can also be found on unpublished material that bears a meaningful name consciously given by the creator of the material, (e.g., a caption on a photograph, label on a folder, or leader on a film).

In the absence of a meaningful formal title, a title must be devised. The archivist must use professional judgment to determine when it is appropriate to devise a title rather than transcribe a label on a container that may be misleading. When they occur at all in archival materials, formal titles are most commonly found on files or items.

Sources of Information

2.3.1 When devising a title, take the information from any reliable source, including the internal evidence of the materials being described, an external source such as a records schedule or communication with a donor, or a title on another copy or version of the materials being described.

2.3.2 When recording a formal title, transcribe the information according to the appropriate standard. Some companion standards are suggested in Appendix B. Rules for transcribing formal titles are not provided here.

General Rules

2.3.3 When devising title information, compose a brief title³ that uniquely identifies the material, normally consisting of a name segment, a term indicating the nature of the unit

³ The devised title should not be mistaken for a statement or abstract of the content of the unit being described; the devised title simply names the unit as succinctly as possible. The contents of the unit, e.g., that of an individual letter, should be described in the Scope and Content Element.

being described,⁴ and optionally a topical segment as instructed in the following rules. Do not enclose devised titles in square brackets.

Commentary:

- In multilevel descriptions the name segment may be inherited from a higher level of description and may not need to be explicitly stated at lower levels.
- When the repository is responsible for assembling a collection, provide, as part of the devised title, the institution's name as the collector.
- The topical segment should be used only when the identification of the material cannot be made clear from the name and nature elements.

Name Segment

2.3.4 Record the name(s) of the person(s), family (families), or corporate body⁵ predominantly responsible for the creation, assembly, accumulation, and/or maintenance of the materials.

Graciany Miranda Archilla

Bacot family

Bank of Cape Fear (Wilmington, N.C.) Hillsboro Branch

Wisconsin Environmental Policy Act

Cameron family

Caroline and Erwin Swann

University of California, Santa Barbara Office of Public Information

Oregon Dept. of Fish and Wildlife Northeast Region

2.3.5 Record the name(s) in the form by which the creator or collector is generally known.⁶ Record the name(s) in the natural language order of the language of the person's or corporate body's country of residence or activity or the official language of the corporate body. The name may be abbreviated if a fuller form of the name appears elsewhere in the descriptive record (e.g., in the administrative/biographical history) or as an access point.

Bessye J. Bearden

as opposed to the controlled form, "Bearden, Bessye J."

WAPOR

The controlled form World Association for Public Opinion Research appears in the Name of Creator(s) Element.

⁴ The order of these elements is not prescribed.

⁵ The name of more than one person or family can appear in the title; however, the name of only one corporate body can appear in the title.

⁶ Guidance for choosing between different names of persons (including name changes) or between variant forms of the same name can be found in Chapter 12 (rules 12.1–12.3). Guidance for choosing between different names of corporate bodies or between variant forms of the same name can be found in Chapter 14 (rules 14.1–14.3).

2.3.6 If the name of the creator, assembler, or collector is not known, do not record a name. In such cases, devise the nature of the archival materials for the title as instructed in rules 2.3.18–2.3.20 and 2.3.22.

Collection of San Francisco Graft Prosecution Records
Performing Arts publications collection

Name Segment for More Than One Person

2.3.7 If three or fewer persons are credited with, or predominantly responsible for, the creation of the materials as a whole, record their names in direct order. The person who was responsible for the creation of the greatest part of the materials should be listed first. If no such determination can be made, the names should be listed in alphabetical order.

John and Leni Sinclair papers
Eugenia Rawls and Donald Seawell theater collection

2.3.8 If responsibility for the creation of the materials is dispersed among more than three persons, record the name of the individual whose material predominates. If this does not apply, choose the name considered most appropriate.

2.3.9 Optionally, include all the names of the persons who are credited with or predominantly responsible for the creation of the materials.

Name Segment for Families

2.3.10 If the materials were created, assembled, accumulated, and/or used in the context of familial relations by individuals who share a common surname, record that name followed by the word *family*.

Harvey family papers
Grieg family photographs

2.3.11 If the materials were created, assembled, accumulated, and/or used in the context of familial relations by individuals who do not share a common surname, record all their names followed by the word *family*.

Paul Hibbet Clyde and Mary Kestler family papers

2.3.12 Optionally, if the materials were created, assembled, accumulated, and/or used in the context of familial relations but one person's material predominates, record that person's full name followed by the word *family*.

Andrew Swanson family papers

2.3.13 If two or three families are credited with, or predominantly responsible for, the creation of the materials, record all the family names followed by the word *families*.

Short, Harrison, and Symmes families papers

2.3.14 If responsibility for the creation of the materials is dispersed among more than three families, record only the name of the family whose material predominates. If no one family's material predominates, choose the name considered most appropriate.

Young family papers

Collection material predominantly from the Young family of Paw Paw, Michigan, but also relates to Butler, Carpenter, Comstock, and Goodrich families. Example from the Department of Special Collections, Davidson Library, University of California, Santa Barbara.

2.3.15 Optionally, include all the names of the families who are credited with, or predominantly responsible for, the creation of the materials.

Clement, Balinger, Logan, and Stiles family papers

Collection title from the Camden County Historical Society.

Name Segment for Corporate Bodies

Single corporate body see Rule 2.3.4.

More than one corporate body

2.3.16 If the records of more than one corporate body are included in the materials, record only one name in the title. Establish a consistent policy for selecting the name of the corporate body to be used in the title. While the name of only one corporate body can be included in the title, names of other corporate bodies whose records are included in the materials may be recorded in the Name of Creator(s) Element as specified in Rule 2.6.7.

British American Tobacco Company records

This body of corporate records includes records of Cameron and Cameron, D. B. Tennant and Company, David Dunlop, Export Leaf Tobacco Company, and T. C. Williams Company, all of which were tobacco exporting companies acquired by British American Tobacco Company.

Corporate body whose name has changed

2.3.17 Where the name of the corporate body has changed, use the last (latest) name of the corporate body represented in the materials being described. Predecessor names of the corporate body may be recorded in the Name of Creator(s) Element as specified in Rule 2.6.7.

University of California, Irvine, Office of Research and Graduate Studies records

These records include those from this same body under two previous names, Graduate Division (1964–1981) and Division of Graduate Studies and Research(1981–1987).

Allied Theatres of Michigan records

These materials include records of this same body under its earlier name, Motion Picture Theatre Owners of Michigan (name changed in 1931).

2.3.18 Optionally, where the name of the corporate body has changed, use the name under which the bulk of the material was created.

Nature of the Archival Unit

2.3.19 Archival materials are frequently described by devised aggregate terms such as *papers* (for personal materials), *records* (for organizational materials), or *collection* (for topical aggregations). However, other terms are also used. The term(s) used to describe the nature of archival materials should be comprehensible to the institution's patrons. Titles should be constructed in a coherent and consistent format according to the rules of the individual institution.

Coalition to Stop Trident records

St. Paul African Methodist Episcopal Zion Church records

Mortimer Jerome Adler papers

Allyn Kellogg Ford collection of historical manuscripts

Semans family papers

2.3.20 Where the materials being described consist solely of one or two specific forms, supply those form(s)⁷ for the nature of the archival unit. Express the forms in their order of predominance.

English Stage Company at the Royal Court Theatre correspondence

John E. Brennan outdoor advertising survey reports

William Gedney photographs and writings

Troy Kinney etchings and engravings

Sarah Dyer zine collection

Andrew Jackson letter

John Kenyon Chapman files

Speeches

Devised title for a series within the Bessye J. Bearden papers

Audio and video recordings

Devised title for a series within the Jacques Derrida papers

National Academy of Sciences correspondence

Devised title for a file within the Frederick Reines papers

Council for Refugee Rights correspondence and reports

Devised title for a file within the Project Ngoc records

2.3.21 Optionally, if one or two specific forms predominate but there are also other material types present, record the one or two most predominant forms followed by the

⁷ Form_ means the physical (e.g., watercolor, drawing) or intellectual (e.g., diary, journal, daybook, minute book) characteristics of a document. Repositories are strongly encouraged to use standardized vocabulary when describing form(s) of material as part of the devised title.

phrase "and other material" in the devised title and indicate the specific forms of material in the Scope and Content Element.

James M. Woodbury diary, letters, and other material

Sociedad Amigos de Arteaga, Inc., correspondence, flyers, and other material

Devised title for a file within the Genoveva de Arteaga papers

Topic of the Archival Unit

2.3.22 Optionally, devise a brief term or phrase that most precisely and concisely characterizes the unit being described. The term or phrase should incorporate the form(s) of material that typifies the unit and reflects the function, activity, transaction, subject, individuals, or organizations that were the basis of its creation or use.

Clarence McGehee collection on Ruth St. Denis

Catherine Clarke civil rights collection

Collection of California vacation albums

Devised title for a collection of purchased vacation albums assembled by Special Collections and Archives, University of California, Irvine

Russian referendum collection

Devised title for a collection of materials on the 1993 Russian referendum in support of the policies of Boris Yeltsin that was assembled by Manuscripts and Archives, Yale University

Land agreements between the University of California and the Irvine Company

Edith Wharton correspondence with Morton Fullerton

Oneida Nation petition to Jasper Parrish

Frank and Frances Robinson files on Upper Newport Bay

Correspondence regarding graduate assistantships

James Joyce letter to Maurice Sallet

Richard Nixon letter to H. R. Haldeman regarding the Watergate break-in

2.3.23 When the subject of the collection is a person, and if no name has been recorded because the repository is the collector, express the title of the collection in a way that clearly indicates that the subject of the collection is not the collector.

Collection on Isadora Duncan

The collection is about Isadora Duncan; she is not the collector.

Collection of Robert Browning materials

The collection comprises materials by Robert Browning; he is not the collector.

2.4 Date (Required)

Purpose and Scope

This element identifies and records the date(s) that pertain to the creation, assembly, accumulation, and/or maintenance and use of the materials being described. This element describes types of dates and forms of dates.

Commentary: It may be useful or necessary for archivists to record different types of dates for the materials being described, including:

Date(s) of creation are the dates that the documents in the unit being described were originally created (e.g., date of writing a letter, drawing a map, or painting a portrait) or the date that an event or image was captured in some material form (e.g., date that a photograph was taken, sound was originally recorded, or a film was shot). Dates of creation refer only to the activity of creation of individual documents that make up each unit (as opposed to the "creation" of an aggregate such as a series or file). This is the type of date recorded most often by archivists and manuscript catalogers not describing government or organizational records.

Date(s) of record-keeping activity are the dates during which the unit being described was created, assembled, accumulated, and/or maintained and used *as a unit* in the conduct of affairs by the organization or individual responsible for its provenance. They are distinct from the dates of creation of individual documents. Although the dates of record-keeping activity may often coincide with the dates of creation, the date types differ in two ways. First, the date(s) of record-keeping activity refer to the dates of a number of interrelated activities (including, but not limited to, creation and accumulation); and second, the activities pertain to the unit as a whole as opposed to individual documents. Records may be accumulated and used for a current purpose long after they were originally created, for example, where much earlier records are assembled to support an investigation or a legal action.

When dates of creation and dates of record-keeping activity are the same, record only the former. Dates of record-keeping activity are most often recorded by archivists working with government records, organizational archives, or other materials where it is important to account for functions and activities.

Date(s) of publication are recorded if the unit being described is a commercially issued or mass-produced item. Record this date information (including dates of publishing, distributing, releasing, and issuing of items) according to rules in various chapters of *RDA* or other appropriate standards (see Appendix B). Dates of publication are most often recorded when describing items.

Date(s) of broadcast are dates on which sound recordings or moving image materials were broadcast on radio or television. Record this date information according to rules in various chapters of *RDA* or other appropriate standards (see Appendix B). Dates of broadcast are most often recorded when describing items.

Exclusions

2.4.1 If the material being described is a reproduction, record the details about the reproduction, including the date(s) of reproduction, if known, in the Scope and Content Element (Rule 3.1.7). If the material being described is the original and the repository wishes to provide details about the availability of copies, record that information in the Existence and Location of Copies Element (6.2).

Sources of Information

2.4.2 Take the information from any reliable source, including the internal evidence of the materials being described.

General Rules

2.4.3 Record dates of creation, record-keeping activity, publication, or broadcast as appropriate to the materials being described.

2.4.4 Alternatively, if relevant and deemed necessary by the repository and if the descriptive system permits it, record multiple types of dates, labeling each clearly.⁸ When recording multiple date types, explain each in the Scope and Content Element (3.1).

2.4.5 Record the year(s) in Western-style Arabic numerals. If the date found in or on the unit being described is not of the Gregorian or Julian calendar, record the date as found in a note, specifying the name of the calendar, such as Republican, Jewish, Chinese, in a note (see Rule 7.1.2).

1968

Note: Date on item is 2628, which is dated in accordance with the Chinese calendar.

1805

Note: Date on item is an 14, which is dated in accordance with the French Republican calendar.

2.4.6 Record the date(s) of the unit being described either as a range, series, or a single date.

1801,1929

1980-2001

1776

⁸ Most MARC-based systems will allow only one date type, and the repository's ability to label dates will be very limited. EAD and other systems are more flexible in this area.

Date Ranges

Inclusive Dates

2.4.7 If the materials in the unit or the record-keeping activity relating to the unit being described span a period of time, always record the inclusive dates, that is, the earliest and latest dates of the materials or activity in question.

1849-1851

2.4.8 When further accruals are expected, record the inclusive dates pertaining to the holdings currently in the custody of the repository. Record information about expected accruals in the Accruals Element (5.4). When the accruals are received, revise the date information accordingly.

1979-1993

not1979-

not1979-(ongoing)

2.4.9 The date(s) of a unit being described must fall within the range of dates of the unit of which it forms a part. This rule applies to both dates of creation and dates of record-keeping activity.

1934-1985

Dates of record-keeping activity for a body of corporate records

1945-1960

Dates of record-keeping activity for a series within the above

1950-1955

Dates of record-keeping activity for a file within the above

Predominant or Bulk Dates

2.4.10 Optionally, where the dates pertaining to the majority of the documents in the unit being described differ significantly from the inclusive dates, provide predominant or bulk dates. Specify them as such, preceded by the word *predominant* or *bulk*. Never provide predominant or bulk dates without also providing inclusive dates.

1785-1960, bulk 1916-1958

1942-1998, predominant 1975-1991

2.4.11 Optionally, if there is a significant gap in the chronological sequence of the documents in the unit being described, where providing predominant/bulk dates would be misleading, record the anomalous date(s) separated by commas.⁹ Explain significant chronological gaps in the materials in the Scope and Content Element (3.1).

⁹ Repositories are encouraged to establish consistent policies and procedures regarding the maximum number of anomalous dates to record.

1827, 1952-1978
1975, 2002

Estimated Date Ranges

2.4.12 At all levels of description, where the earliest or latest dates pertaining to the unit being described are estimates, indicate the estimated dates in a clear and consistent fashion.¹⁰

approximately 1952-1978
circa 1870-1879

Single Dates

2.4.13 If the materials fall within a single year, record that date or a more specific date therein.

1975
1975 March-August

Exact Single Dates

2.4.14 For descriptions of a single item, record exact dates in a consistent and unambiguous fashion, preferably expressed as year-month-day.¹¹

1906 March 17

Estimated Single Dates

2.4.15 If no date can be found on or in the material itself or determined from any other source, estimate the nearest year, decade, century, or other interval as precisely as possible. Record estimated dates in a consistent fashion.

probably 1867
approximately 1925
before 1867
after 1867 January 5
1892 or 1893
1890s
circa August 1975

¹⁰ It is recommended, though not required, that terms reflecting estimation be spelled out rather than abbreviated, as abbreviations may not be understood by all users.

¹¹ Expression of dates as all numerals is discouraged due to the differing conventions in the order of information.

No Dates

2.4.16 When recording date(s) for files and items, if the unit being described bears no date and the institution does not wish to or it may be misleading to record an estimated date, use *undated*. Do not use the abbreviations "n.d." or "s.d."

2.5 Extent (Required)

Purpose and Scope

This element indicates the extent and the physical nature of the materials being described. This is handled in two parts, a number (quantity) and an expression of the extent or material type. The second part of the Extent Element may be either:

- the physical extent of the materials expressed either as the items, containers or carriers, or storage space occupied; or
- an enumeration of the material type(s), usually physical material type(s), to which the unit being described belongs. Material types may be general or specific.

Repositories should establish a consistent method of articulating statements of extent.

If the description of particular media or individual items requires more detail, such as other physical characteristics or dimensions, consult an appropriate standard, such as those listed in Appendix B.

If the material type has been provided in the title statement, do not repeat it in the statement of extent.

Commentary: It is important to include information about the quantity and physical nature of the materials for several reasons. It enables users to eliminate material that is irrelevant to their needs; for example, a user may want only the material containing photographs. It also enables users to plan their research: knowing the quantity is important because it takes longer to go through thirty boxes or twenty hours of sound recordings than it does to go through one box or five hours. The amount of detail provided at any level of description is a matter of institutional policy, depending on user needs and available resources. At lower levels in a multilevel description, extent may be expressed as an enumeration of boxes or folders rather than as a narrative extent statement.

Further details about quantity and physical characteristics may also be provided in the Scope and Content Element (3.1).

Exclusions

2.5.1 Record information about physical characteristics that affect the use of the unit being described in the Physical Access Element (4.2).

Sources of Information

2.5.2 Derive the information from the materials themselves or take it from transfer documents, published descriptions, or other reliable sources.

General Rules

2.5.3 Record the numerical quantity associated with each expression of physical extent, containers or carriers, number of items, or material type, using the imperial system of measurement in Arabic numerals, unless the repository has made a decision to use the metric system.

2.5.4 Record the quantity of the material in terms of its physical extent as linear or cubic feet, number of items, or number of containers or carriers.¹²

45 linear feet
5,321 items
16 boxes
2 film reels
15 folders
10.0 cubic feet

2.5.5 Optionally, record the quantity in terms of material type(s). Material types may be general, such as textual materials,¹³ graphic materials, cartographic materials, architectural and technical drawings, moving images, and sound recordings, or more specific types, such as those found in RDA and various thesauri.¹⁴

10 boxes of textual materials
1,000 photographs
50 technical drawings
800 maps
12 audiocassettes

2.5.6 Optionally, qualify the statement of physical extent to highlight the existence of material types that are important.

45 linear feet, including 200 photographs and 16 maps
3 boxes, including photographs and audiocassettes

Multiple Statements of Extent

2.5.7 If a parallel expression of extent is required or desirable, add this information in parentheses.

¹² It is recommended, though not required, that terms reflecting physical extent be spelled out rather than abbreviated, as abbreviations may not be understood by all users.

¹³ It is usually assumed that archival materials are textual in nature, so it may not be necessary to supply the term "textual materials" unless it is desirable to distinguish from other material types.

¹⁴ See especially *Art & Architecture Thesaurus* and *Library of Congress Authorities* (full citations provided in Appendix B).

2,400 photographs (12 linear feet)
89.3 linear feet (150 boxes and 109 oversize folders)
71 maps (3.5 cubic feet)
1 diary (352 pages)
52 megabytes (1,180 computer files)
0.5 linear feet (51 floppy discs, 5 Zip discs, 3 CD-ROMs)

2.5.8 Optionally, provide multiple statements of extent to highlight the existence of material types that are important.

12 linear feet of textual materials, 68 photographs, 16 architectural drawings
107 boxes, 4 oversize boxes, 575 oversize folders, 225 rolled drawings
Approximately 390 linear feet
Two expressions of the extent from the same collection

Approximate Statements of Extent

2.5.9 If parts of the material being described are numerous and the exact number cannot be readily ascertained, record an approximate number and indicate that it is an estimate.

approximately 35 linear feet
about 24,000 maps
circa 11,000 photographs

Statements of Extent for Electronic Records

2.5.10 Electronic records may be described in terms of size (kilobytes, megabytes, gigabytes) or in terms of structure (digital files, directories, items, etc.). If desired, both may be used.

700 Megabytes
3 file directories containing 48 PDF files
23 digital files (1 Gigabyte)
approximately 275 digital image and audio files (12.4 GB) on 1 portable hard drive

2.5.11 Optionally, descriptions of electronic records may include file format type as well as size. The file format type is normally the file name extension (.doc, .pdf, .ppt, etc.). This is especially recommended where the description includes a link directly to the record.

PDF (88 Kilobytes)

2.6 Name of Creator(s) (Required, If Known)

Purpose and Scope

This element identifies the corporate bodies, persons, and families associated with the creation, assembly, accumulation, and/or maintenance and use of the materials being described so that they might be appropriately documented and used to create access points by which users can search for and retrieve descriptive records.

Commentary: For archival materials, the creator is typically the corporate body, person, or family responsible for an entire body of materials. However, a creator can also be responsible for the intellectual or artistic content of a single item, as in the writer of a letter or the painter of a portrait. A collector or compiler of materials (e.g., Vietnam War memorabilia, letters of presidents of the United States, or materials relating to suffragettes) is considered the creator of the collection.

This element provides rules for determining which entities need to be documented as creators. The names selected in this process can also serve as access points—index terms by which users can search for and locate relevant archival materials. The use of the names of creators as access points enables researchers to gain access to an institution's holdings and provides a means of linking all records created by a particular person, family, or corporate body. The selection of access points is discussed in the Overview of Archival Description.

Repositories should standardize the formation of creator names to ensure that the name is identical each time it is used in a descriptive system and that each person, family, or corporate body has a heading that applies to it alone. Repositories are encouraged to employ recognized standardized vocabularies (e.g., *Library of Congress Authorities*) and formulate nominal access points according to established rules, such as those found in AACR2 or RDA.

Exclusions

2.6.1 The rules for creating archival authority records are found in Part II.

2.6.2 Record information about entities that held custody of the materials being described but are not responsible for the creation, assembly, accumulation, and/or maintenance and use of the materials in the Custodial History Element (5.1).

Sources of Information

2.6.3 The source for the name of the creator is usually the name element in the devised title (2.3.4–2.3.17). Take the information from any reliable source, including the internal evidence of the materials being described, an external source such as a records schedule or communication with a donor.

Commentary: When describing the records of a person or family for which there are several creators, the devised title may contain all of the creators' names. However, it is

much more likely that the repository will choose to include in the title only the name of the person or family around which the collection is formed. Names of other creators can appear in other parts of the description (e.g., the Administrative/Biographical History Element, 2.7) and be recorded as access points. When devising a title for the records of a corporate body, only one creator can be named in the title. Other creators can be mentioned in other parts of the description (e.g., the Administrative/Biographical History Element, 2.7) and recorded as access points. Rules for formulating the name segment of devised titles are found in rules 2.3.4–2.3.17.

General Rules

2.6.4 Record the name(s) of the creator(s) identified in the name element in the devised title of the materials using standardized vocabularies (e.g., *Library of Congress Authorities*) or with rules for formulating standardized names, such as those found in AACR2, ISAAR(CPF), or RDA.

Hamilton, Alexander, 1757-1804

Title: Alexander Hamilton papers

Lyon, Phyllis

Martin, Del

Title: Phyllis Lyon and Del Martin papers

Richardson, James Burchell

Title: James Burchell Richardson family papers

Schramm family

Title: Schramm family papers

Wharton, Edith, 1862-1937

Fullerton, William Morton, b. 1865

Title: Edith Wharton correspondence with Morton Fullerton

Bollingen Foundation

Title: Bollingen Foundation records

United States. Bureau of Insular Affairs

Title: United States Bureau of Insular Affairs records

Irvine Company

University of California (System). Regents.

Title: Land agreements between the University of California and the Irvine Company

2.6.5 Optionally, describe the nature of the relationship between the entit(ies) named in the creator element and the materials being described (e.g., creator, author, subject, custodian, copyright owner, controller, or owner). Where possible, terms should be applied from a controlled vocabulary (e.g., *Resource Description and Access*, Appendix I, or the *MARC Code List for Relators*).

Wisdom, William B., 1900-1977, collector

Title: William B. Wisdom Collection of Thomas Wolfe

Longfellow, Henry Wadsworth, 1807-1882, recipient

Title: Letters to Henry Wadsworth Longfellow

2.6.6 Optionally, indicate by codes or text whether the entity named is a corporate body, person, or family name.

100 3b ꞑa William Smith family

Note: MARC 21 encoding, indicating that the entry is a family name

<corpname>Hal Leonard Publishing Corporation</corpname>

Note: EAD encoding, indicating that the entry is a corporate body

Personal name: Norton, Margaret Cross, 1891-1984

Note: Text label, indicating that the entry is a personal name

2.6.7 Where the names of all creators are not included in the devised title, in addition to those named in the title, record in the authorized form the names of other persons, families, or corporate bodies identified in the Administrative/Biographical History Element as creators of the materials being described.

For "Pettigrew family papers" record as creators:

Pettigrew family

Pettigrew, Charles, 1744–1807

Pettigrew, Charles Lockhart, 1816–1873

Pettigrew, Ebenezer, 1783–1848

Pettigrew, James Johnston, 1828–1863

Pettigrew, William S., 1818–1900

2.6.8 Optionally, if the name(s) of the creator(s) of series, files, or items is included in the devised title for that level or in an Administrative/Biographical History Element, record a creator element for it at that level of description.

Collection title: Eugene Loring papers

Series title: H. N. Clugston and Mary Ann Maudlin dance scrapbooks

(Record in creator element at the collection level: Loring, Eugene, 1914-1982)

(Optionally, record in a creator element at the series level: Clugston, H. N. and Maudlin, Mary Ann)

Collection title: Alexander Graham Bell family papers, 1834-1970

Item title: Biography of Gardiner Greene Hubbard

(Record in the creator element at the collection level: Bell family)

(Optionally, record in a creator element at the item level: Hubbard, Gardiner Greene)

2.7 Administrative/Biographical History (Optimum)

Purpose and Scope

The purpose of this element is to describe the required elements of a biographical or administrative history note about creators embedded in the description of materials. The administrative/biographical history provides relevant information about corporate bodies, persons, or families who are identified using the Name of Creator(s) Element and who therefore function as nominal access points. This element also describes the relationship of creators to archival materials by providing information about the context in which those materials were created.

Commentary: Information about the corporate body, person, or family that created, assembled, accumulated, and/or maintained and used the materials being described may be described in one of two ways:

1. Incorporated into the description using biographical/historical notes. These rules are covered here in Element 2.7.
2. Held in a separate system of authority files that are linked to the archival descriptions and displayed together. These rules are covered in Part II.

Archivists may wish to devise more or less detail, depending on the system being used and other local variables. For example, the administrative/biographical history information in a catalog record describing the materials should be brief, while an authority record or creator sketch in a multilevel finding aid may be much more extensive, consisting of a narrative description, chronology, or both.

There may be instances in describing collections where providing information about the collector is not necessary—for example, when the repository is the collector.

Exclusions

2.7.1 Record information about the scope and content of the materials in the Scope and Content Element (3.1).

2.7.2 Record information about the structure or arrangement of the materials in the System of Arrangement Element (3.2).

2.7.3 Record information about the custodial history in the Custodial History Element (5.1).

Sources of Information

2.7.4 Assemble the information from reliable sources, such as the materials themselves and reference works. Establish a consistent policy regarding the content, form, and placement of citation of sources and quotations.

Rules for Biographical Historical Notes Done Within the Description

2.7.5 Where the administrative/biographical history is provided within the description, provide administrative/biographical history at the highest levels of description as instructed in rules 2.7.6 to 2.7.33.

2.7.6 At the highest level of description, give information about the history of the corporate body(ies), person(s), or family(ies) that created, assembled, accumulated, and/or maintained and used the material as a whole.

2.7.7 Optionally, at subsequent levels of description, if the creator of the subordinate unit is different from the creator of the material as a whole, give information about the history of the corporate body(ies), person(s), or family(ies) that created, assembled, accumulated, and/or maintained and used that subordinate unit.

2.7.8 When primary responsibility for the creation, assembly, accumulation, and/or maintenance and use of the materials is shared between two or more corporate bodies, or two or more persons, or two or more families, create separate administrative/biographical histories for each corporate body, person, or family.

2.7.9 When primary responsibility for the creation, assembly, accumulation, and/or maintenance and use of the materials is shared between two or more members of a family, create separate biographical histories for the family and for each person.

Selection of the Subelements

2.7.10 Include in the Administrative/Biographical History all of the following subelements¹⁵ that are relevant to the corporate body, person, or family being described and that provide the information necessary to explain the context in which the materials were created, assembled, accumulated, and/or maintained and used.

Biographical History of Individuals or Families

2.7.11 Record information relevant to the understanding of the life, activities, and relationships of the person or family, applying rules 2.7.12 to 2.7.21 as necessary.

Bessye J. Bearden was born in Atlantic City, New Jersey, in 1891, the youngest child of George and Carrie Banks. She attended local schools in North Carolina, Hartshorn Memorial College in Richmond, and Virginia Normal and Industrial Institute, from which she graduated. In later years Mrs. Bearden did graduate work at the University of Western Pennsylvania and Columbia University.

At the age of 20, Bessye Banks married R. Howard Bearden. They had one son, Romare, who became an internationally renowned artist.

¹⁵ The way in which the subelements are presented to users is a matter of institutional policy. Repositories may choose the order in which to present the subelements or whether to present them in a narrative format or in a structured format with each element introduced by an introductory word or phrase.

Mrs. Bearden managed the New York office of the E. C. Brown Real Estate Company of Philadelphia for many years. She was also the New York representative for the Chicago Defender, starting in 1927, and did freelance writing for other publications. On June 11, 1935, Mrs. Bearden was appointed Deputy Collector of Internal Revenue, serving first in the Processing Division and later as an auditor. In 1922 she was the first black woman to be elected to local School Board No. 15 in New York City, where she served until 1939.

Mrs. Bearden was involved in numerous civic activities and belonged to several organizations, among them the New York Urban League, where she served as secretary of the executive board; the Council of Negro Women, where she served as treasurer; and the executive boards of the Harlem Community Council and the Colored Women's Democratic League, of which she was the first president.

Mrs. Bearden died in September 1943 at Harlem Hospital in New York City.

Biographical sketch for the Bessye J. Bearden papers

Chang and Eng Bunker (1811-1874), the original Siamese twins, were born in Meklong, Siam, and were brought from Bangkok to Boston in 1829. After extensive tours in North America and Europe, they settled in Wilkes County (later Surry County), N.C., were naturalized, and received the surname Bunker by act of the legislature. In 1843, Chang and Eng Bunker married Sarah and Adelaide Yates, daughters of David Yates of Wilkes County, N.C. Chang had ten children; Eng had nine children. They continued to make exhibition tours until about 1870.

Biographical sketch for the Chang and Eng Bunker papers

1886 Born 14 October, Fayetteville, N.C., son of Katherine Sloan and Alexander Graham

1909 Received A.B. from University of North Carolina

1910 Licensed to practice law in North Carolina

1911-1913 English teacher at Raleigh High School

1914-1916 Instructor of history, UNC

1916 Received M.A. from Columbia University

1917-1919 U.S. Marine Corps private (mustered out as first lieutenant)

1920-1921 Assistant professor, UNC

1921-1927 Associate professor, UNC; member of the President's Committee on Education; twice president of the North Carolina Conference of Social Service (sponsored and prepared first worker's compensation act in North Carolina); founded Citizens' Library Movement of North Carolina

1927-1930 Professor of history, UNC

1930-1932 President of UNC (Chapel Hill)

Chronology for the Frank Porter Graham papers

2.7.12 At the beginning of the biographical history, provide a brief summary of the most relevant aspects of a person's or family's life. Include name, dates, profession, and geographic location.

Frederick Reines (1918-1998) was a particle physicist, Nobel laureate, and educator internationally recognized for his verification of the existence of the neutrino and investigation of its properties.

Biographical sketch for the Frederick Reines papers

Political activist Allard Kenneth Lowenstein (1929-1980) served as a lawyer, teacher, speaker, author, U.S. congressman from New York, U.S. ambassador to the United Nations, and founder and leader of several organizations.

Biographical sketch for the Allard K. Lowenstein papers

Guion Griffis Johnson (1900-1989) of Chapel Hill, N.C., was a professor, author, scholar, journalist, women's advocate, and general civic leader.

Biographical sketch for the Guion Griffis Johnson papers

Name(s)

2.7.13 Record the full name, title(s), married name(s), alias(es), pseudonym(s), and common or popular name(s) of persons.

Edgar Allardyce Wood wrote under the name of Kerry Wood. He was also known as Nobby. Michael Rigsby Revere, formerly Michael Darrell Rigsby, was born in 1951.

2.7.14 For families, record information about the origin of the family and the names of persons forming it, including the facts of marriages, and the names of children.

The Gordon family of Savannah, Ga., included William Washington (W. W.) Gordon (1834-1912), lawyer, Confederate Army officer, cotton merchant, state legislator, and brigadier general during the Spanish-American War of 1898; his wife, Eleanor (Nelly) Lytle Kinzie Gordon (1835-1917); her mother, Juliette Magill (Mrs. John) Kinzie of Chicago, author; and the children of W. W. and Nelly, especially G. Arthur (Arthur) Gordon (1872-1941), cotton merchant and civic leader of Savannah; Juliette (Daisy) Gordon Low (1860-1927), founder of the Girl Scouts; and Mabel Gordon Leigh, who lived in England and was honored for her relief work during World War I.

Biographical sketch for the Gordon family papers

The Ker family was related to the Baker and other families of Mississippi and Louisiana. Prominent family members included John Ker (1789-1850) of Natchez, Miss., and Concordia Parish, La., who was a surgeon, planter, 1830s Louisiana state senator, and vice president of the American Colonization Society; his wife Mary Baker Ker (d. 1862); their daughter, schoolteacher Mary Susan Ker (1838-1923), who taught at the Natchez Institute; and two grandnieces raised by Mary Susan: Matilda Ralston (Tillie) Dunbar (fl. 1890s-1960s), who clerked in a Fayette, Miss., bank, and Catharine Dunbar Brown (d. 1959), who first taught at the Natchez Institute and later owned a rare book and antiques store.

Biographical sketch for the Ker family papers

Dates

2.7.15 For persons, record the dates or approximate dates of birth and death.¹⁶

¹⁶ While DACS generally discourages the use of abbreviations, the use of *ca.* and other abbreviations in birth and death dates follows the authority form as established in the *Library of Congress Authorities*.

Charles Bishop Kuralt, 1934-1997, was a newspaper, radio, and television journalist and author.

Biographical sketch for the Charles Kuralt papers

George Moses Horton (1798?-ca. 1880) was a Chatham County, N.C., slave who taught himself to read and compose poetry.

Biographical sketch for the George Moses Horton poem

Place(s) of Residence

2.7.16 Indicate the geographical place(s) of residence of the person or family and the length of residence in each place, as well as any other place with which the person or family has a connection.

Edward Hammond Boatner was born November 13, 1898, in New Orleans, Louisiana. His father, Dr. Daniel Webster Boatner, was an itinerant minister who took his family with him on his travels from church to church. Impressed by the singing he heard in those churches, Boatner began to collect spirituals at an early age. He was educated in the public schools of St. Louis, Missouri, where his family lived during his childhood. He also attended the public schools of Kansas City, Kansas, where his family later moved. Upon graduation in 1916, Boatner took lessons in voice and piano at Western University in Quindaro, Kansas, for a short time. Later that year Boatner sang for the famous tenor Roland Hayes, who encouraged the young baritone to continue his vocal studies in Boston. Boatner followed Hayes's advice and moved to Boston in 1917. In 1925, Boatner moved to Chicago in order to complete his formal education. He earned his bachelor's degree in music from the Chicago College of Music in 1932. During his student years in Chicago, Boatner directed the choirs at Olivet Baptist Church and concertized widely as a singer. His reputation grew during the years 1925-1933, when he was director of music for the National Baptist Convention. In 1933, Boatner was appointed director of music at Samuel Huston College in Austin, Texas. He later taught at the Wiley College in Marshall, Texas, where he was appointed dean of music. During the late 1930s, he settled permanently in New York City, where he opened the Edward Boatner Studio.

Biographical sketch for the Edward Boatner papers

Born in eastern Ukraine, Vsevolod Holubnychy fled with his family to Bavaria in 1943 to escape the Red Army. In 1951, he moved to New York City and attended Columbia University. He was professor at the City University of New York from 1962 until his death.

Biographical sketch for the Vsevolod Holubnychy fonds

The Cameron family of Orange and Durham counties and Raleigh, N.C., was among antebellum North Carolina's largest landholders and slave holders; the Camerons also owned substantial plantations in Alabama and Mississippi.

Biographical sketch for the Cameron family papers

Antonina Hansell Looker (1898-1987) was an author, teacher, and psychiatric worker of Atlanta and Lakemont, Rabun County, Ga., and New York City.

Biographical sketch for the Antonina Hansell Looker papers

Education

2.7.17 Record information about the formal education of persons, including members of families whose education is important to an understanding of their life.

With the outbreak of World War II, the Yasutake family, together with all other ethnic Japanese residing in Washington, Oregon, and California, was removed to an internment camp. The family was sent to the Minidoka Relocation Center in Hunt, Idaho. This internment made a deep impression on Yamada that informed much of her later literary and political career. After the war, she completed a B.A. at New York University (1947) and an M.A. at the University of Chicago (1953), both in English literature.

Biographical sketch for the Mitsuye Yamada papers

Floyd B. McKissick (1922-1991), the son of Ernest Boyce and Magnolia Thompson McKissick, was born in Asheville, N.C., on 9 March 1922. He earned his undergraduate and law degrees from North Carolina Central University. During the course of his educational pursuits, he became the first African American man to attend the Law School at the University of North Carolina at Chapel Hill.

Biographical sketch for the Floyd B. McKissick papers

Occupation, Life, and Activities

2.7.18 Record information about the principal occupation(s) and career or lifework of persons or about the activities of families. Also indicate any other activities important to an understanding of the life of the person or family. Give information about significant accomplishments or achievements, including honors, decorations, and noteworthy public recognition.

Blyden Jackson, African American professor of English at the University of North Carolina at Chapel Hill, wrote novels and works on African-American and Southern literature. He also served from 1973 to 1981 as the assistant dean/special assistant to the dean of the Graduate School at UNC-CH and was charged with promoting the recruitment and retention of minority graduate students and working with the University's Student Aid Office to secure scholarships and fellowships for graduate students.

Biographical sketch for the Blyden Jackson papers

Paul Green's contributions were widely recognized. In addition to the early Pulitzer Prize and the Guggenheim Fellowship, he received the Belasco Little Theatre Tournament trophy in 1925. Other honors included the National Theatre Conference plaque, the American Theater Association citation for distinguished service to the theater, the North Carolina Civil Liberties Union's Frank P. Graham Award, the Morrison Award, the North Caroliniana Society Award, the North Carolina Writers Conference Award, and the Sir Walter Raleigh cup. In 1979 the General Assembly named him North Carolina's dramatist laureate. He received honorary doctorates from the University of North Carolina, Davidson College, Campbell College, the North Carolina School of the Arts, and four out-of-state colleges and universities.

Biographical sketch for the Paul Green papers

2.7.19 Identify important relationships with other persons or organizations and indicate any office(s) held.

Susan M. Arkeketa, who is Otoe-Missouri and Muscogee (Creek), has worked for nonprofit Indian organizations such as the Oklahoma City Native American Center, the Native American Rights Fund, and the Native American Journalists Association (NAJA). She served the latter as executive director when it was known as the Native American Press Association (NAPA) and later as a member of its board of directors. She has taught writing and speech at Haskell Indian Nations University, Tulsa Community College, and the University of Phoenix. She continues to work as a freelance writer and consultant to tribes and organizations.

Biographical sketch for the Susan Arkeketa papers

Jessie Daniel Ames (1883-1972) was a civil rights worker of Atlanta, Ga.; Georgetown, Tex.; and Tryon, N.C. Beginning in 1922, Ames served separate roles as secretary and vice president of the Texas Commission on Interracial Cooperation. By 1929, she had moved to Atlanta, where she was director of women's work for the Commission on Interracial Cooperation. During this time, Ames established the Association of Southern Women for the Prevention of Lynching, which functioned as a volunteer component within the Commission.

Biographical sketch for the Jessie Daniel Ames papers

2.7.20 For families, describe family relationships that have a bearing on the understanding of the unit being described.

Lenoir family members include William Lenoir, Revolutionary War general and N.C. politician of Fort Defiance, Caldwell County, N.C.; Lenoir's friend and father-in-law of two of Lenoir's sons Waightstill Avery, lawyer, legislator, and signer of the Mecklenburg Declaration; and his son-in-law Israel Pickens, N.C. congressman, 1811-1817, governor of Alabama, 1821-1825, and U.S. senator from Alabama, 1826.

Biographical sketch for the Lenoir family papers

Thomas Gale (fl. 1815-1881), a physician who served with Indian-fighting soldiers in Alabama Territory in 1815 and afterward became a planter in Jefferson and Yazoo counties, Miss., and later in Davidson, Tenn., married Ann M. Greene (fl. 1820-1845). Their son, William Dudley Gale (fl. 1844-1881), married Katherine ("Kate") Polk (fl. 1858-1895) in 1858, after his first wife died.

Biographical sketch for the Gale and Polk family papers

Other Significant Information

2.7.21 Record any other important information not recorded elsewhere in the biographical history.

Administrative History of Corporate Bodies

2.7.22 Give information relevant to the understanding of the creator's functions, activities, and relations with other corporate bodies, applying rules 2.7.23 to 2.7.33 as necessary.

The American Missionary Association was established in 1846 as an interdenominational missionary society devoted to abolitionist principles. From its beginning, the major support for the Association came from Congregationalists, but it also received support from

Wesleyan Methodists, Free Presbyterians, and Free Will Baptists. In 1865 it became the official agency of the Congregational churches for conducting educational work among the freedmen. Support from other denominations gradually declined until the Association became exclusively a Congregational organization.

Administrative history for the American Missionary Association records

2.7.23 At the beginning of the administrative history, provide a brief summary of the most relevant aspects of the corporate body's existence. Including name, dates of existence, main functions or activities, and geographic location.

The Goldband Recording Corporation of Lake Charles, La., has played a key role in documenting and shaping musical traditions, tastes, and trends, both regionally and on an international level since 1944.

Administrative history for the Goldband Recording Corporation records

A. P. Watt and Company of London, England, was the world's first literary agency and, for thirty years after its founding in the early 1880s, was the largest in the world.

Administrative history for the A. P. Watt and Company records

The Anne C. Stouffer Foundation was established in 1967 by Anne Forsyth of Winston-Salem, N.C., to promote the integration of preparatory schools in the South.

Administrative history for the Anne C. Stouffer Foundation records

Dates of Founding and/or Dissolution

2.7.24 Give the date and place of the founding of the corporate body, and if applicable, the date and place of its dissolution.

Glencoe Mills, established in 1880 by James Henry Holt (1833-1897) and William Erwin Holt (1839-1917), operated until 1954, producing cotton fabric.

Administrative history for the Glencoe Mills records

The White Rock Baptist Church was founded in 1866 in Durham, N.C., by two clergymen, the Reverend Zuck Horton and the Reverend Samuel "Daddy" Hunt, who organized the church in the home of Margaret "Maggie" Faucette.

Administrative history for the White Rock Baptist Church records

Geographical Areas

2.7.25 Give the location of the head office and of any branch or regional offices, as well as the geographic region in which the organization operated.

The Research Triangle Foundation (RTF) is the owner and developer of Research Triangle Park, N.C., a research park housing research institutes and other businesses in Piedmont North Carolina.

Administrative history for the Research Triangle Foundation records

The Carolina Panel Company of Lexington, N.C., began manufacturing high-quality hardwood plywood in 1927 to devise the local furniture industry's demand for plywood.

Administrative history for the Carolina Panel Company records

Mandate

2.7.26 Record the enabling legislation or other legal or policy instrument(s) that act as the source of authority for the corporate body in terms of its powers, responsibilities, or sphere of activities, including any significant changes in its authority and functions.

In 1959 the North Carolina General Assembly appropriated funds to the Consolidated University of North Carolina to establish a long-range planning effort for capital improvements. In September of that year, the Chapel Hill campus used \$15,000 from the appropriation to create the University Planning Office, with Arthur Norman Tuttle Jr. as director.

Administrative history for the Facilities Planning and Design Office of the University of North Carolina records

Functions

2.7.27 Record information about the functions and activities performed by the corporate body being described.

Throughout the antebellum period, the faculty was responsible for enforcing social as well as academic regulations and for handling cases of student misconduct. After 1875 the faculty assumed an increasing role in establishing policies governing educational activities and the awarding of degrees by the University.

Administrative history for the General Faculty and Faculty Council of the University of North Carolina at Chapel Hill records

Administrative Structure

2.7.28 Describe the internal structure of the corporate body and the dates of any changes to the structure that are significant to the understanding of the way the corporate body conducted its affairs. Name any higher body(ies) having authority or control over the corporate body, or any corporate body(ies) over which it exercised authority or control, and describe the nature and any change of the authority or controlling relationship.

The Office of the Associate Vice Chancellor for Business was created 1 January 1970 as part of a major reorganization of the University's Division of Business and Finance. Among the units initially supervised by the associate vice chancellor for Business were the campus auxiliary enterprises, which included the Horace Williams Airport, the Carolina Inn, the Laundry, Student Stores, and the campus utilities. The associate vice chancellor also supervised the Campus Police (later named Security Services, then Public Safety Department), the Health and Safety Office, Traffic and Parking, and Purchases and Stores. The position later assumed responsibility for additional units, including the Food Service, other University conference centers (Quail Roost and the William Rand Kenan, Jr. Center), the Internal Audit Department, and Trademark Licensing.

Administrative history for the Office of the Associate Vice Chancellor for Business of the University of North Carolina at Chapel Hill records

Predecessor and Successor Bodies

2.7.29 Give the facts of the relationship of the body with predecessor or successor bodies to its mandate, functions, or activities.

The University's Physical Plant Department is responsible for the operation and maintenance of campus facilities and grounds and for the provision of utilities. It was created in the mid-1930s to coordinate and oversee the functions performed by the previously separate Buildings Department and Groups Superintendent.

Administrative history for the Physical Plant of the University of North Carolina records

2.7.30 In cases of corporate or administrative amalgamations or mergers, name the administrative or corporate entities involved and summarize the nature of the amalgamation.

In 1984, the Southern Furniture Manufacturers Association (SFMA) and the National Association of Furniture Manufacturers (NFMA) merged to form the American Furniture Manufacturers Association (AFMA). Headquartered in High Point, N.C., AFMA provides educational services to its member companies, a comprehensive public relations program to represent the industry to consumers, government relations to relay member interests to national agencies and officials, and statistical information about home furnishings manufacturing.

Administrative history for the American Furniture Manufacturers Association records

Names of the Corporate Bodies

2.7.31 Record any changes in the official name of the body not recorded in one of the other elements, any popular or common names by which it has been known, and its name(s) in other languages.

The Office of the Vice President for Academic Affairs was created in 1951 and was then called simply Vice President; subsequently it was called Provost, Vice President and Provost, Vice President for Graduate Studies and Research, Vice President for Academic Affairs (in 1964), Vice President for Academic Affairs and Senior Vice President, and Senior Vice President and Vice President for Academic Affairs (beginning in 1995).

Administrative history for the Office of the Senior Vice President and Vice President for Academic Affairs of the University of North Carolina (System) records

In 1900, Sidney Halstead Tomlinson founded Tomlinson Chair Manufacturing Company in High Point, N.C. The company became Tomlinson of High Point, Inc., in 1934.

Administrative history for the Tomlinson of High Point, Inc., records

Name(s) of Chief Officers

2.7.32 Record the personal name(s) of persons holding the position as chief officer of the organization or corporate body, if appropriate.

Frank Porter Graham (1886-1972) was the first president, 1932-1949, of the Consolidated University of North Carolina, which included the University of North Carolina in Chapel Hill, North Carolina State College in Raleigh, and Woman's College in Greensboro.

Administrative history for the Office of President of the University of North Carolina (System): Frank Porter Graham records

Other Significant Information

2.7.33 Record any other important information not recorded elsewhere in the administrative history.

Chapter 3

Content and Structure Elements

3.1 Scope and Content (Required)

3.2 System of Arrangement (Added Value)

3.1 Scope and Content (Required)

Purpose and Scope

This element provides information about the nature of the materials and activities reflected in the unit being described to enable users to judge its potential relevance. The Scope and Content Element may include information about any or all of the following, as appropriate:

- The function(s), activity(ies), transaction(s), and process(es) that generated the materials being described
- The documentary form(s) or intellectual characteristics of the records being described (e.g., minutes, diaries, reports, watercolors, documentaries)
- The content dates, that is, the time period(s) covered by the intellectual content or subject of the unit being described
- Geographic area(s) and places to which the records pertain
- Subject matter to which the records pertain, such as topics, events, people, and organizations
- Any other information that assists the user in evaluating the relevance of the materials, such as completeness, changes in location, ownership and custody while still in the possession of the creator, and so on

No attempt has been made to distinguish between what constitutes *scope* and what constitutes *content*; scope and content are treated as a single element, and the following rules simply enumerate the types of information that could be included in this element. Repositories should establish institutional policies and guidelines for consistent practice regarding the level of detail to be recorded in the scope and content statement. This element is a good source for the access points discussed in the Overview of Archival Description.

Commentary: A brief summary of the scope and content and biographical information may be combined in an abstract for presentation purposes to enhance resource discovery. Such an abstract does not serve as a substitute for the Scope and Content Element.

Exclusions

3.1.1 Record information about the context in which the unit being described was created, used, and so on, in the Administrative/Biographical History Element (see Chapter 2.7).

3.1.2 Record information about gaps in the unit being described resulting from archival appraisal decisions in the Appraisal, Destruction, and Scheduling Information Element (5.3).

Sources of Information

3.1.3 Derive the information from the materials themselves and any relevant documentation.

General Rules

3.1.4 Record information of the types listed in the statement of purpose and scope above appropriate to the unit being described.

This collection documents the activities of Willis H. Warner, who was a member of the Orange County Board of Supervisors for 24 years, including the activities of the Board of Supervisors and numerous Orange County governmental units from the 1930s through the 1960s. It also contains personal materials, including the records of Warner's business, the Warner Hardware Store (Huntington Beach, California), and materials documenting his prolific career in the public sector working for the Westminster Drainage District, the Beach Protective Association of Huntington Beach, and other Orange County public institutions and political organizations. Some of the significant topics represented in these files are airport development; environmental issues such as air and water pollution, beach erosion, and shoreline development (including reports by consulting engineer R. L. Patterson); civil defense; county finances; employment; fire programs; land use and planning; freeway and highway development; county buildings; correctional facilities; parks and recreation; oil drilling; public health and hospitals, particularly the Orange County General Hospital; publicity and tourism; schools and school districts; and welfare and public works programs. The collection also documents Warner's public service before joining the Board of Supervisors, particularly the financial and legal activities of the Westminster Drainage District, accumulated while he was working as its secretary; his active participation in the commercial development of Huntington Beach and nearby communities; his work on the board of trustees for Huntington Beach Union High School; and his involvement with the Beach Protective Association of Huntington Beach, which sought to prevent oil drilling in the area. Materials are largely textual, comprising correspondence, memoranda, minutes and agendas, financial and legal material, clippings, publications, blueprints, maps, and related printed matter. Among other formats scattered throughout the collection are photographs, a small number of negatives, and artifacts such as plaques, ephemera, and campaign paraphernalia.

Scope and content for the Willis H. Warner papers

Series comprises primarily letters to or from the secretary-treasurer of the North Carolina Folklore Society and the editor of North Carolina Folklore. Arthur Palmer Hudson and

Daniel W. Patterson were secretary-treasurers until 1966; most of the early correspondence is to or from one of them and concerns subscriptions, dues, and annual meetings (especially the 1964 meeting). Most of the later correspondence is directed to Richard Walser as editor of North Carolina Folklore. Included as an attachment is a story dictated by North Carolina Governor Robert W. Scott in 1970, "The Governor Fowles Ghost Story."

Scope and content for a series in the North Carolina Folklore Society records

File includes primarily correspondence, data and analysis, notes, and daily reports from East Rand Proprietary Mine (ERPM). Notebook II is primarily dictaphone transcriptions of daily reports.

Scope and content for a file in the Frederick Reines papers

Plat map depicting town plaza and perimeter, including mission church and courtyard, adobe walls, some roads, orchards, vineyards, and cemetery. Scale is listed as 3 chains to 1 inch.

Scope and content for an item in the Richard Egan Manuscript Maps of Orange County Letter presented by 21 Oneida Indians, signed with their marks, requesting that Jasper Parrish pay them the amount they are owed for serving in the War of 1812. They state that they are aware that he received the money three months previously and they are anxious to settle the account.

Scope and content for the Oneida Nation petition to Jasper Parrish

The 70 websites captured by the web-crawl reflect a broad and in-depth coverage of the Shepard murder, memorials, and efforts that address inequalities based on gender and sexual orientation. These include sites such as the Westboro Baptist Church that protested at the University of Wyoming following Shepard's death and condemns homosexuality. There are also blogs written by friends, family, reporters, and people who did not know Shepard. Also included are sites of organizations related to Matthew Shepard and Lesbian, Gay, Bisexual, and Transgender issues. Additionally, the websites of films, books, and music about Shepard's life and his murder were included in the website harvest. Finally, media coverage that only existed on the Internet was included.

Scope and content for the Matthew Shepard web archive

3.1.5 When the unit being described is known to be incomplete due to reasons other than archival appraisal decisions, record information about the gaps.

File contains telex printouts of almost daily discussions between various members of the collaboration team spread out between Ohio, California, and South Africa. Significant gaps for which no telex printouts exist include August 1967-February 1968.

Scope and content for a file in the Frederick Reines papers

Files are incomplete, because many items of significant commercial value were sold piecemeal in the 1980s and some files from later years are held by Weidenfeld and Nicholson, which took over the Dent firm in 1986.

Scope and content for a series in J. M. Dent & Sons records

3.1.6 Where the material includes a uniform set of documents (e.g., marriage certificates), indicate the kinds of information recorded in the documents.

Investigative files include correspondence, witness interviews, autopsy reports, and lab test reports; official court records include deposition transcripts, pleading books, transcripts of trial testimony, and "discovery" material; court exhibit files contain "scene evidence" collected by the police at the murder scene and copies of investigation reports from the FBI, the BATF, and the Greensboro Police Department.

Collection-level scope and content from the Greensboro Civil Rights Fund records

Court exhibit files contain copies of reports, maps, photographs, and investigation notes from the FBI, the BATF, and the Greensboro Police Department. Physical evidence includes "scene evidence" picked up by police at the murder scene on 3 November, including CWP banners, bloodstained clothing removed from the bodies of victims, shotgun pellets removed from the victims, and a Klan effigy utilized by the demonstrators. Some additional physical evidence (e.g., a guitar shattered by shotgun pellets) was returned to the plaintiffs. Series-level scope and content from the Greensboro Civil Rights Fund records

3.1.7 If the material being described is a reproduction, indicate that fact, and if considered important, also indicate the date of reproduction.

File contains reproductions of original plats made circa 1960-circa 1980. These plat maps depict the following ranchos and communities: San Jose de Buenos Ayres, La Cienegas, La Brea, Cahuenga Tract, San Antonio (or Rodeo de Las Aquas), San Vicente y Santa Monica, Los Felis, and Cuati.

Scope and content for a file in the Collection of Orange County and California maps

Pictures are of William Gaston (reproduction of engraving from painting and photograph of painting), Zebulon Baird Vance (reproduction of engraving), William A. Graham (reproduction of engraving), Willie Person Mangum (reproduction of engraving), John Motley Morehead (reproduction of engraving), and John Louis Taylor (carte-de-visite).

Scope and content for a series in William Gaston papers

3.2 System of Arrangement (Added Value)

Purpose and Scope

This element describes the current organization of the collection.

Exclusions

3.2.1 For information about other aspects of the arrangement of the materials, such as maintenance/reconstitution of original order, arrangement by the archivist, or previous arrangements or reorganization(s) by the creator, if known and important to the understanding of the materials, see Rule 7.1.8.

Sources of Information

3.2.2 Derive the information from the materials themselves.

General Rules

3.2.3 Describe the current arrangement of the material in terms of the various aggregations within it and their relationships.

Arranged in 5 series: 1. Subject files concerning refugee issues, 1978-1997. 2. Project Ngoc organizational files, 1987-1997. 3. Visual and audiovisual materials, 1985-1997. 4. Artwork, 1987-1997. 5. Newspaper clippings, 1980-1998.

The records are arranged in five series, three of which have been further arranged in subseries. The contents of each series or subseries are arranged alphabetically, with the exception of Series 1, Subseries 1, which is arranged hierarchically to reflect the organizational structure of the AAIA. The series and subseries arrangement of the records is as follows:

Series 1, Organizational Files, 1922-1995

Subseries 1, Administration, 1923-1994

Subseries 2, Affiliates and Offices, 1922-1964

Subseries 3, Correspondence, 1929-1995

Subseries 4, Finances, 1933-1995

Series 2, Subject Files, 1851-1995

Subseries 1, General, 1868-1995

Subseries 2, Tribal, 1852-1994

Subseries 3, Legislation, 1851-1994

Subseries 4, Legal Cases, 1934-1991

Subseries 5, Programs, 1927-1994

Subseries 6, Publications and Circulars, 1924-1994

Series 3, Personal Files, 1927-1991

Subseries 1, Henry S. Forbes, 1954-1981
Subseries 2, Hildegard B. Forbes, 1927-1991
Subseries 3, Oliver La Farge, 1939-1963
Subseries 4, Corinna Lindon Smith, 1932-1965
Subseries 5, Alden Stevens, 1941-1971
Series 4, Photographs, 1928-1992
Series 5, Audiovisual Materials, 1961-1987

Arranged in two series: 1. Correspondence (chronological); 2. Professional organization files (alphabetical by organization name).

3.2.4 Optionally, give information about the system of ordering the component files or items.

Resources arranged alphabetically by subject, personal name, or corporate name.

Arrangement for a series in the William Noffke papers

Arrangement: chronological.

Arrangement for a series in the Caffery Family papers

This subseries is arranged alphabetically by the geographic location of the photograph and then by the item number assigned by the photographer.

Arrangement for a subseries in the Edward W. Cochems photographs

Chapter 4

Conditions of Access and Use Elements

- 4.1 Conditions Governing Access (Required)
- 4.2 Physical Access (Added Value)
- 4.3 Technical Access (Added Value)
- 4.4 Conditions Governing Reproduction and Use (Added Value)
- 4.5 Languages and Scripts of the Material (Required)
- 4.6 Finding Aids (Added Value)

4.1 Conditions Governing Access (Required)

Purpose and Scope

This element provides information about access restrictions due to the nature of the information in the materials being described, such as those imposed by the donor, by the repository, or by statutory/regulatory requirements.

Commentary: In many cases it will be necessary or desirable to provide a very succinct statement regarding access restrictions rather than a lengthy explanation. This would particularly be the case for a MARC 21 record when restrictions are complex or likely to change over time.

Exclusions

4.1.1 Record any physical conditions affecting the use of the materials being described in the Physical Access Element (4.2).

4.1.2 Record any technical requirements affecting the use of the materials being described in the Technical Access Element (4.3).

4.1.3 Record any restrictions governing reproduction, publication, or other uses after access is given in the Conditions Governing Reproduction and Use Element (4.4).

Sources of Information

4.1.4 Derive the information from a reliable source, such as donor agreements, statutes, and regulations and repository policies.

General Rules

4.1.5 Give information about any restrictions on access to the unit being described (or parts thereof) as a result of the nature of the information therein or statutory/contractual

requirements. As appropriate, specify the details of the restriction, including the length of the period of closure or the date when it will be lifted; the authority that imposed and enforces the conditions governing access; contact information for the person or office to whom the restriction may be appealed; authorized users; and so on. If there are no restrictions, state that fact.

The collection is open for research use.

Records are closed, per agreement with the creating office, for fifteen years after the date of their creation unless otherwise stated.

Researchers must receive prior written permission to use the collection from the Trustees of the Kenneth Winslow Charitable Remainder Unitrust. The collection is partially processed. Please contact Special Collections for more information.

The records of the president contain personnel and student academic records that are restricted in accordance with university policy and applicable law. Restrictions, where applicable, are noted at the series, subseries, or file levels. In addition, this record group has the following unique restrictions:

*Files of a president, while still in office, are restricted.

*Once a president has left office, files more than ten years old are open to researchers; those less than ten years old are restricted.

For records of the president added to the record group after 1 January 2001, the restriction is twenty years from the date of accession in accordance with the University's policy on the records of executive officers, deans, directors, and their support offices. Records in this category are identified with an "ER restricted" note.

Only electronic records more than five years old may be used by researchers.

All student records in this series are subject to Family Educational Rights and Privacy Act (FERPA) restrictions of seventy-five years from the date of creation of the record.

Access to files containing information on University personnel matters is restricted for fifty years from the latest date of the materials in those files. Access to student records is restricted for seventy-five years from the latest date of the records in those files. Restrictions are noted at the file level.

Access to correspondence in this file is restricted until 2020.

4.1.6 Alternatively, simply indicate the fact of restriction.

Access is restricted; consult repository for details.

4.2 Physical Access (Added Value)

Purpose and Scope

This element provides information about access restrictions due to any physical characteristics or storage locations that limit, restrict, delay, or otherwise affect access to the materials being described. Such restrictions may include:

- Location (e.g., offsite, cold storage)
- Physical condition of the material that limits use
- Requirement to use copies instead of originals for preservation reasons

Exclusions

4.2.1 Record any access restrictions due to the nature of the information in the Conditions Governing Access Element (4.1).

4.2.2 Record any technical requirements affecting the use of the materials being described in the Technical Access Element (4.3).

4.2.3 Record any restrictions governing reproduction, publication, or other uses after access is given in the Conditions Governing Reproduction and Use Element (4.4).

Sources of Information

4.2.4 Derive the information from the materials themselves and repository policy.

General Rules

4.2.5 Provide information about the physical characteristics or condition of the unit being described that limit access to it or restrict its use.

Records are heavily foxed.

Some of the letters in this series are illegible due to water damage.

The majority of the materials in this file are torn along edges and folds.

Emulsion flaking.

Recorded with a constant audible hum.

4.2.6 Provide information about the location of the unit being described, if that location affects access to it.

The audio cassettes are located in cold vault storage and must be acclimated before delivery to the research room.

Forty-eight hours' advance notice is required for access because materials are stored offsite.

4.2.7 If the original materials may not be used at all for preservation reasons, provide information about the reasons and the availability of reproductions.

As a preservation measure, researchers must view the reference set of color slide reproductions of the posters in this collection rather than the originals. Originals not available due to fragility. Use microfilm copy. This film reel has shrunk and may not be viewed.

4.3 Technical Access (Added Value)

Purpose and Scope

This element provides information about access restrictions due to any technical requirements that restrict or otherwise affect access to the materials being described, such as equipment or specific hardware/software required for use.

Exclusions

4.3.1 Record any access restrictions due to the nature of the information in the Conditions Governing Access Element (4.1).

4.3.2 Record any physical conditions affecting the use of the materials being described in the Physical Access Element (4.2).

4.3.3 Record any restrictions governing reproduction, publication, or other uses after access is given in the Conditions Governing Reproduction and Use Element (4.4).

Sources of Information

4.3.4 Derive the information from the materials themselves and repository policy.

General Rules

Commentary: Special equipment may be required to view or access some material, particularly audiovisual materials and records in electronic form. In some cases the equipment required may be obvious from the Extent Element, as in "forty-two slides" or "thirty audio cassettes." In other cases, however, the type of equipment required should be indicated in the Physical Access Element; for example, the playing speed of audio discs (e.g., 45 or 78 rpm), a video's recording mode (e.g., Betamax, D2, VHS, Video 8, etc.), or broadcast format (e.g., NTSC, PAL, SECAM, HDTV, etc.), the gauge (width) of the film (e.g., 16 or 35 mm), and so on.

4.3.5 Provide information about any special equipment required to view or access the unit being described, if it is not clear from the Extent Element (2.5).

Parade recorded on Super8 film.

Membership files are in an Access database.

4.3.6 Record information about the technical requirements for access to records in electronic form. Give the following characteristics in any appropriate order: make and model of the computer(s) on which the records are designed to run, amount of memory required, name of the operating system, software requirements, and kind and characteristics of any required or recommended peripherals.

The Personnel Master File contains fourteen rectangular flat files stored in standard label EBCDIC. The files contain numeric and character data. The files are stored on fourteen reels

of tape at 6250 bpi. The data can be manipulated using a common statistical package. Tape copies are in standard label EBCDIC format. Floppy disk copies are in ASCII format. System requirements: 48K RAM; Apple Disk II with controller; color monitor required to view this file.

4.4 Conditions Governing Reproduction and Use (Added Value)

Purpose and Scope

This element identifies any restrictions on reproduction due to copyright or other reasons, as well as restrictions on further use of the materials being described, such as publication, after access has been provided.

Commentary: In many cases it will be necessary or desirable to provide a very succinct statement regarding reproduction and use (see Rule 4.4.7 and the first example under Rule 4.4.11), particularly when restrictions are complex or likely to change over time.

Exclusions

4.4.1 Record any access restrictions due to the nature of the information in the materials being described in the Conditions Governing Access Element (4.1).

4.4.2 Record any physical conditions affecting the use of the materials being described in the Physical Access Element (4.2).

4.4.3 Record any technical requirements affecting the use of the materials being described in the Technical Access Element (4.3).

Sources of Information

4.4.4 Derive the information from a reliable source, such as a donor agreement, statutes and regulations, or repository policies.

General Rules

4.4.5 Give information about copyright status and any other conditions governing the reproduction, publication, and further use (e.g., display, public screening, broadcast, etc.) of the unit being described after access has been provided.

4.4.6 Where possible and appropriate, combine the statements pertaining to copyright status, reproduction, publication, or use in the most efficient way.

Unpublished manuscripts are protected by copyright. Permission to publish, quote, or reproduce must be secured from the repository and the copyright holder.

Copyright Status

Commentary: The statement of copyright status of a work indicates whether or not it is protected by copyright and, if it is protected, the duration and owner of the copyright. The copyright status is determined by the copyright legislation of the country in which the archives preserving the work is located. Where the term of copyright protection has expired, it is useful to indicate that the work may be used freely for any purpose without

the permission of the copyright owner or the payment of royalties. Where the work is still subject to copyright protection, it is useful to indicate the duration of copyright protection and the copyright owner, should the user require permission to use the work for purposes other than private study, scholarship, or research. Copyright laws provide the copyright owner with other rights in addition to copying, including the right to control publication, distribution, broadcast, public performance, and so on. Copyright laws may also permit archives and libraries to copy items in their holdings for limited purposes, such as research or preservation, without the permission of the copyright owner, provided that certain conditions are met.

4.4.7 If the details of the copyright status of the materials being described are unknown, unclear, or complex, make a general statement about possible copyright restrictions.

Copyright restrictions may apply.

4.4.8 If the materials being described are protected by copyright, indicate the copyright owner, when the copyright restrictions will expire, and contact information for the copyright owner or the owner's agent, if known.

Copyright held by KOCE-TV.

Copyright in the unpublished writings of Clark M. Clifford in these papers and in other collections of papers in the custody of the Library of Congress has been dedicated to the public.

Copyright retained by the donor during her lifetime, at which point it will revert to the Regents of the University of California.

To the extent that she owns copyright, the donor has assigned the copyright in her works to the Archives; however, copyright in some items in this collection may be held by their respective creators. Consult the reference archivist for details.

4.4.9 If the term of copyright has expired, indicate that the material being described is no longer subject to copyright restrictions.

Material in this collection is in the public domain.

Conditions Governing Reproduction

Commentary: Reproduction is defined as the making of copies of all or part of an item in the unit being described. It does not involve other uses, such as publication, public viewing, broadcast, and so on. While copyright legislation may place statutory restrictions on reproduction (as well as other uses), reproduction may be restricted for other reasons, such as the wishes of the donor, physical condition, and so on.

4.4.10 If the conditions governing reproduction are fully expressed in the copyright status statement, do not repeat them in a separate statement.

4.4.11 Give information about any conditions that may restrict the making of copies of all or part of the materials being described. As appropriate, specify the details of the restriction, including the length of the period of closure or the date when it will be lifted;

the authority that imposed the restriction(s); and the contact information for the person or office from whom permission to copy may be sought.

All requests for copying of materials must be submitted to the director of archives in writing for approval by the donor. Please consult the reference archivists for further information.

Cartographic material in this series cannot be reproduced without the written permission of the donor. This restriction is in effect until 30 June 2020. Contact the repository for further information.

Conditions Governing Publication and Other Uses

Commentary: Publication means the issuing or distribution of copies of a work to the public. A variety of uses other than reproduction or publication may be subject to certain conditions, including display, public viewing, broadcast, presentation on the World Wide Web, and so on.

4.4.12 If the conditions governing publication and other uses are fully expressed in the copyright status statement, do not repeat them in a separate statement.

4.4.13 Give information about any conditions that may restrict publication or other uses of all or part of the unit being described. As appropriate, specify the details of the condition(s), including the duration of the restriction or the date when it will be lifted; the authority that imposed the condition(s); and the contact information for the person or office from whom permission to publish may be sought.

Authorization to publish, quote, or reproduce must be obtained from Watkinson Library, Trinity College, Hartford, Connecticut 06106.

Donor permission is required for public screening of films in this collection.

Drawings not to be used for construction as they have not been coordinated with engineer's drawings, which were unavailable.

4.5 Languages and Scripts of the Material (Required)

Purpose and Scope

This element identifies the language(s), script(s), and symbol systems employed in the materials being described, particularly as they may affect its use.

Commentary: While most repositories in the United States will provide descriptions in English, it is frequently the case that some or all of a body of archival material is in other languages.

Language and script information may also be represented as codes for machine processing using the appropriate ISO codes for languages (ISO 639-1 and ISO 639-2: *Codes for the representation of names of languages*) or scripts (ISO 15924: *Codes for the representation of names of scripts*).

Sources of Information

4.5.1 Derive the information from the materials themselves.

General Rules

4.5.2 Record the language(s) of the materials being described.

Materials entirely in English.

Collection is predominantly in Vietnamese; materials in English are indicated at the file level.

Most of the material in this series is in Finnish. Some correspondence in English, French, and Swedish.

All records are in Latvian unless otherwise noted.

In Dakota, with partial English translation.

Captions on photographs are in English, French, and Spanish.

Japanese film subtitled in English and dubbed in French.

4.5.3 Record information about any distinctive alphabets, scripts, symbol systems, or abbreviations employed.

Later additions are in a seventeenth-century hand.

Several pamphlets in this series are in German Fraktur.

4.5.4 If there is no language content, record "no linguistic content."

4.6 Finding Aids (Added Value)

Purpose and Scope

This element identifies any other finding aids to the materials being described, particularly if they are available to the user, and provides information about the form and content of those finding aids.

Commentary: Finding aid is a broad term that covers any type of description or means of reference made or received by an archival repository in the course of establishing administrative or intellectual control over archival materials. The term "finding aid" can include a variety of descriptive tools prepared by an archives (e.g., guides, calendars, inventories, box lists, indexes, etc.) or prepared by the creator of the records (e.g., registers, indexes, transfer lists, classification schemes, etc.). Such tools provide a representation of, or a means of access to, the materials being described that enables users to identify material relating to the subject of their inquiries. An archival repository's descriptive system will likely consist of various types of finding aids, each serving a particular purpose.

Sources of Information

4.6.1 Derive the information from the other finding aids.

General Rules

4.6.2 Record information about any existing finding aids that provide information relating to the context and contents of the unit being described. As appropriate and available, include information about the type (e.g., list, index, guide, calendar, etc.), medium (e.g., cards, electronic, etc.), and content (e.g., names of correspondents, subjects, etc.) of the finding aid, the number or other identifier of the finding aid (if any), any relevant information about its location or availability, and any other information necessary to assist the user in evaluating its usefulness. Include finding aids prepared by the creator (e.g., registers, indexes, etc.) that are part of the unit being described.

Box list available.

Electronic finding aid available via the Internet in the Online Archive of California; folder level control: <http://www.oac.cdlib.org/findaid/ark:/13030/kt8z09p8pd>.

An item list, a file of calendar sheets, and indexes by subject, type of author, and (selectively) place written from are available in the repository; filed under M316.

A Marriage Index database of information from these records is maintained by the Ulster County Clerk's Office Archives.

Register of outgoing correspondence in this series found in the first folder.

An index to the content of the written briefs and presentations is included at the beginning of series 2.

4.6.3 Optionally, provide information on where to obtain a copy of the finding aid(s).

Finding aid available on the Online Archive of California.

4.6.4 Optionally, if the materials have not yet been completely arranged and described by the repository, indicate the existence of any relevant descriptive tools for administrative or intellectual control over the materials that existed at the time the repository acquired the unit being described and that are available for consultation, such as records disposition schedules, transfer lists, and so on.

Contact the archivist for access to transfer lists of box contents for this series.

Unpublished accession inventory for this unprocessed but usable collection is available; please contact the repository.

Published Descriptions

4.6.5 Optionally, where descriptions of the materials or other finding aids (e.g., abstracts, calendars, indexes, etc.) have been published in standard lists or reference works, provide this information in a standard and concise form.

Described in: Library of Congress Acquisitions: Manuscript Division, 1979. Washington, D.C.: Library of Congress, 1981.

Listed in: Ricci. Census, vol.1, p. 857, no. 4.

The entire calendar has been published in twelve volumes from the set of cards held by the University of Illinois. The Mereness Calendar: Federal Documents of the Upper Mississippi Valley 1780-1890 (Boston: G. K. Hall and Co., 1971).

Chapter 5

Acquisition and Appraisal Elements

- 5.1 Custodial History (Added Value)
- 5.2 Immediate Source of Acquisition (Added Value)
- 5.3 Appraisal, Destruction, and Scheduling Information (Added Value)
- 5.4 Accruals (Added Value)

5.1 Custodial History (Added Value)

Purpose and Scope

This element provides information on changes of ownership or custody of the material being described, from the time it left the possession of the creator until it was acquired by the repository, that is significant for its authenticity, integrity, and interpretation.

Commentary: The archivist should determine when it is desirable to create an access point for a custodian. It is probably not necessary to do so for custodians who merely stored the materials.

Exclusions

5.1.1 Record information about the donor or source from which the archives directly acquired the unit being described in the Immediate Source of Acquisition Element (5.2).

Sources of Information

5.1.2 Derive the information from transfer documents such as donor agreements.

General Rules

5.1.3 Record the successive transfers of ownership, responsibility, or custody or control of the unit being described from the time it left the possession of the creator until its acquisition by the repository, along with the dates thereof, insofar as this information can be ascertained and is significant to the user's understanding of the authenticity.

Franklin Delano Roosevelt's gubernatorial records were initially deposited at the Roosevelt Presidential Library following his death. In 1982 they were returned by the Roosevelt Library to the New York State Archives.

Many of the records in this series were created or compiled by the U.S. Army before the Japanese invasion of the Philippines. Just before the surrender of U.S. forces, the records were buried to prevent capture and were retrieved after the U.S. forces reoccupied the Philippines in 1945.

5.2 Immediate Source of Acquisition (Added Value)

Purpose and Scope

This element identifies the source from which the repository directly acquired the materials being described, as well as the date of acquisition, the method of acquisition, and other relevant information.

Commentary: The immediate source of acquisition is the person or organization from which the materials being described were acquired through donation, purchase, or transfer. Because some information relating to acquisitions may be considered confidential, each institution must establish a consistent policy to determine the information to be included in publicly available descriptive records.

Exclusions

5.2.1 Record information about changes of ownership or custody of the materials being described that do not involve direct acquisition by the repository and that are significant for its authenticity, integrity, and interpretation in the Custodial History Element (5.1).

Sources of information

5.2.2 Take the information from transfer documents such as deeds of gift.

General Rules

5.2.3 Record the source(s) from which the materials being described were acquired, the date(s) of acquisition, and the method of acquisition, if this information is not confidential.

Received from Charles Edward Eaton, Chapel Hill, N.C., in a number of installments beginning in 1977.
Gifts, 1962-1963.

5.2.4 Optionally, record the source/donor's relationship to the materials, and any other information considered relevant (e.g., address of the source/donor, agent, price, source of funding), if this information is not confidential.

The Yale University Library acquired the Whitney Papers through gifts in 1941 and 1953 from Eli Whitney's great-granddaughters, Susan Brewster Whitney, Elizabeth Fay Whitney, Henrietta Edwards Whitney Sanford, Anne Farnam Whitney Debevoise, and Frances Pierrepont Whitney Knight.

Identifying Numbers

5.2.5 Optionally, record identifying number(s) of the acquisitions, such as an accession number or reference code.

This collection was donated by the Michigan Organization for Human Rights in May 1983; material was added in February and September 1994. The Robert Lundy files were added in 1998. Donor no. 6933.

Gift and purchase, 1996 (G10669, R13821).

5.3 Appraisal, Destruction, and Scheduling Information (Added Value)

Purpose and Scope

This element provides information about the rationale for appraisal decisions, destruction actions, and disposition schedules that are relevant to the understanding and use of the materials being described.

Commentary: Not all materials offered to, or acquired by, a repository merit permanent retention. The process of determining the archival value of records (and thus the attendant disposition of unwanted records) is known as appraisal. A number of considerations go into appraisal decisions, including the current administrative, legal, and fiscal use of the records; their evidential, intrinsic, and informational value; their arrangement and condition; and their relationship to other records. In many cases, material is not selected for permanent retention or only a sample is retained. In other cases, material not normally selected may be retained for particular reasons. Documenting appraisal decisions and the rationale for retention or destruction of selected archival materials provides significant information relevant to the interpretation of the materials being described.

Organizations with a records management program transfer materials to archives in accordance with records schedules. A records schedule is a document that describes the records of an organization, establishes the length of time the records are required to carry out the organization's business, and provides authorization for their disposition. Disposition can include destruction or retention in a repository. Thus, appraisal decisions and the justification for them are an inherent part of records schedules. Archives that receive regular transfers of records from their parent bodies may wish to include in their descriptions (or by means of links to the records management system) the rationale for the appraisal decisions documented in records schedules.

Exclusions

5.3.1 Record information about expected accruals in the Accruals Element (5.4).

5.3.2 Record information about gaps in the unit being described due to reasons other than appraisal/destruction actions in the Scope and Content Element (3.1).

Sources of Information

5.3.3 Take the information from repository documentation, such as retention schedules.

General Rules

5.3.4 Where the destruction or retention of archival materials has a bearing on the interpretation and use of the unit being described, provide information about the materials destroyed or retained and provide the reason(s) for the appraisal decision(s), where known.

Appraisal criteria for file retention included the presence of attorney's handwritten notes, substantiating correspondence, depositions, and transcripts, which are seldom or never present in the Supreme Court's files.

The State Archives will retain all pre-1920 patient case files in their entirety. The State Archives will retain a representative sample of post-1920 patient case files from the following facilities: Binghamton, Pilgrim,... The sample captures specific patient populations and treatments as defined in the detailed appraisal report, as well as providing geographic coverage. The sample is necessary because more than 110,000 cubic feet of patient case files currently exist and cannot be microfilmed or retained in paper form. Admission and discharge ledgers for all patients will be retained by the State Archives to ensure that core information survives on all patients for all facilities.

After they were microfilmed, the original letterpress copies were destroyed due to their illegibility.

5.3.5 Where appropriate, record the authority for the action.

All files in this series are appraised as "retain permanently" under disposal authorities RDS440/10.1, RDA458/8.1, and RDA1176/8.1.

5.3.6 Optionally, record the date(s) of the appraisal/destruction action(s).

Originals were destroyed by the National Archives in 1982 in accordance with the Department's approved Appraisal and Disposition Schedule.

Originals destroyed after microfilming, 1981.

5.4 Accruals (Added Value)

Purpose and Scope

This element informs the user of anticipated additions to the unit being described. An accrual is an acquisition of archival materials additional to that already in the custody of the repository.

Sources of Information

5.4.1 Take the information from donor agreements, records schedules, and institutional policy.

General Rules

5.4.2 If known, indicate whether or not further accruals are expected. When appropriate, indicate frequency and volume.

Further accruals are expected.

No further accruals are expected.

The repository continues to add materials to this collection on a regular basis.

Records from the Office of the Protocol and Ceremonials are transferred to the archives five years following the academic year to which the records relate. On average, 1 linear foot of records is transferred to the archives annually on August 1.

Since 1964, approximately fifty maps have been transferred to the archives on an annual basis.

Files older than ten years are transferred in accordance with the records retention schedule for the Department of Housing.

Chapter 6

Related Materials Elements

6.1 Existence and Location of Originals (Added Value)

6.2 Existence and Location of Copies (Added Value)

6.3 Related Archival Materials (Added Value)

6.4 Publication Note (Added Value)

6.1 Existence and Location of Originals (Added Value)

Purpose and Scope

This element indicates the existence, location, and availability of originals when the materials being described consist of copies and the originals are not held by the repository.

Exclusions

6.1.1 If the repository owns both the original(s) and a copy or copies, record information about the copy or copies in the Existence and Location of Copies Element (6.2).

6.1.2 If the originals have been destroyed, record information about the destruction of materials in the Appraisal, Destruction, and Scheduling Information Element (5.3).

Sources of Information

6.1.3 Take the information from a reliable source, such as the materials themselves, transfer documents, records from other repositories, and so on.

General Rules

6.1.4 If the materials being described are reproductions and the originals are located elsewhere, give the location of the originals.

Originals are in the Minnesota Historical Society.

Original letters in the collection of the Watkinson Library, Trinity College, Hartford, CT.

6.1.5 Optionally, record the address and other contact information for the individual or institution holding the originals, if it is not confidential.

6.1.6 Record any identifying numbers that may help in locating the originals in the cited location.

Original diaries in the James Francis Thaddeus O'Connor Diaries and Correspondence (BANC MSS C-B 549), The Bancroft Library, University of California, Berkeley, CA 94720-6000.

6.1.7 Optionally, if the location of the originals is unknown, record that information.

Location of the original is unknown.

6.2 Existence and Location of Copies (Added Value)

Purpose and Scope

This element indicates the existence, location, and availability of copies or other reproductions of the materials being described when they are available for use in an institution, or for loan or purchase, or available electronically. Do not mention copies in private hands or copies made for personal use.

Exclusions

6.2.1 If copies must be used instead of originals for preservation reasons, record this information in the Physical Access Element (4.2).

Sources of Information

6.2.2 Take the information from repository records or the materials themselves.

General Rules

Copies and Originals Available in the Same Institution¹

6.2.3 If a copy of all or part of the material being described is available, in addition to the originals, record information about the medium and location of the copy, any identifying numbers, and any conditions on the use or availability of the copy. If a copy of only a part of the unit being described is available, indicate which part. If the materials being described are available via remote access (electronically or otherwise), provide the relevant information needed to access them.

Also available on videocassette.

Microfilm copies available for interlibrary loan.

Diaries available on microfilm for use in repository only.

Digital reproductions of the Christie family Civil War correspondence are available electronically at <http://www.mnhs.org/collections/christie.html>.

The diary has been published in Dunlap, Kate. *The Montana Gold Rush Diary of Kate Dunlap*, edited and annotated by J. Lyman Tyler. Denver: F. A. Rosenstock Old West Publishing Co., 1969.

6.2.4 If appropriate, record information to distinguish between multiple generations of the material.

¹ If the institution holds both the originals and a copy (or copies), the institution should establish a consistent policy regarding whether it will prepare a separate descriptive record for the copy or whether it will indicate the availability of the copy within the description of the original(s) as instructed in this element.

Prints in this series made from copy negatives, produced in 1974, of the original photographs.

Reference videocassette recorded from the internegative and optical sound track.

Modern silver gelatin print from original negative made 1915.

Copies Available in Another Institution

6.2.5 If a copy of all or part of the materials being described is available in another institution, and information about the copy(ies) is deemed important by the repository holding the original, record that information, including contact information for the repository holding the copy(ies).

A microfilm of the Alexander W. Chase Overland Journal is available at the Bancroft Library, University of California, Berkeley.

6.3 Related Archival Materials (Added Value)

Purpose and Scope

This element indicates the existence and location of archival materials that are closely related to the materials being described by provenance, sphere of activity, or subject matter, either in the same repository, in other repositories, or elsewhere.

Exclusions

6.3.1 Record information about records control tools that are part of the materials they describe, such as an index, and that also serve as finding aids, in the Finding Aids Element (4.6).

6.3.2 Record information about originals of the unit being described (if the unit being described is a copy) in the Existence and Location of Originals Element (6.1).

6.3.3 Record information about copies of the unit being described in the Existence and Location of Copies Element (6.2).

Sources of Information

6.3.4 Take the information from other descriptions of archival materials.

General Rules

6.3.5 If there are materials that have a direct and significant connection to those being described by reason of closely shared responsibility or sphere of activity, provide the title, location, and, optionally, the reference number(s) of the related materials and their relationship with the materials being described.

Related materials providing visual documentation of racially segregated facilities may be found in the following collections in this repository: Birmingham Project Photographs and Common Bonds Project Photographs.

James Gulick was the half brother of Alice Gulick Gooch, the photographer of a small collection of Orange County photographs also held by Special Collections. The Gulick collection also adds family context to materials in the Huntley Family Papers. The Edna Phelps Collection contains photographs, family history, and correspondence on the Gulicks. The following sources provide additional information on Gordon Gray's personal and professional life and on the development of the Consolidated University during his tenure as president.

Southern Historical Collection:

GORDON GRAY PAPERS #3824

University Archives:

RECORDS OF THE BOARD OF TRUSTEES

RECORDS OF THE VICE PRESIDENT FOR FINANCE

RECORDS OF THE VICE PRESIDENT FOR ACADEMIC AFFAIRS

RECORDS OF THE OFFICE OF CHANCELLOR: R. B. HOUSE SERIES

Motion picture films and sound and video recordings transferred to Library of Congress

Motion Picture, Broadcasting and Recorded Sound Division.

6.4 Publication Note (Added Value)

Purpose and Scope

This element identifies any publications that are about or are based on the use, study, or analysis of the materials being described.

Exclusions

6.4.1 Record information about published descriptions or other finding aids in the Finding Aids Element (4.6).

6.4.2 Record information about published transcriptions or facsimiles in the Existence and Location of Copies Element (6.2).

Sources of information

6.4.3 Take the information from any reliable source.

General Rules

6.4.4 Record a citation to, or information about, a publication that is about or is based on the use, study, or analysis of the materials being described. Provide sufficient information to indicate the relationship between the publication and the unit being described. This includes annotated editions.

Arctic field notebooks cited in: Day, Harold. "Statistical Methods for Population Transport estimation." *Journal of Ecological Studies* 7(1974): 187.

An annotated edition of the letters in this collection was published in *Montana: The Magazine of Western History* 37, no. 1 (Winter 1987): 14-33.

Chapter 7

Notes Element

7.1 Notes (Added Value)

7.1 Notes (Added Value)

Purpose and Scope

This element provides information that cannot be accommodated in any of the defined elements of description.

Commentary: The use of all notes is optional. They may be used on a case-by-case basis, or an institution may wish to establish a policy regarding what notes to use and how detailed to make them. If it is desirable to provide information on sources of descriptive information, title variations, statements of responsibility, signatures and inscriptions, attributions and conjectures, editions, dates, and publishers' series, see the appropriate chapter(s) in RDA or other descriptive standards as described in the Overview of Archival Description.

Sources of Information

7.1.1 Take the information from any reliable source.

General Rule

7.1.2 Record, as needed, information not accommodated by any of the defined elements of description.

See also the 1970 Strasbourg conference "La Mythologie blanche: La Métaphore dans le texte philosophique" in Series 3.

Interviewed by Helen Hungerford under the auspices of the Canyon County Historical Society on 10 July 1973.

Part of the Cooperative HBCU Archival Survey Project (CHASP) to survey the archival collections housed in the Historically Black Colleges and Universities (HBCUs).

Specialized Notes

Conservation

7.1.3 Describe any specific conservation treatment.

Re-bound in 1987 as two volumes for conservation purposes.

Album pages were detached from their original bindings, encapsulated in Mylar, and rebound, 1988.

Cleaned ultrasonically.

Perforations have been repaired.

7.1.4 If the materials being described are in electronic form, give details of any migration or logical reformatting since its transfer to archival custody. Indicate the location of any relevant documentation. Information regarding digitization is provided in the Existence and Location of Copies Element (6.2).

Computer files migrated by the National Archives of Canada from original word-processing software (MICOM) to WordPerfect version 4.2 to maintain readability of data. Technical specifications of the migration are filed with the printed documentation.

Citation

7.1.5 Indicate the preferred style for the citation of the unit being described.

Percival Farquhar Papers. Manuscripts and Archives, Yale University Library.
[URL], University of Texas at San Antonio Academic Website Collection, 1996-, UA 01.04,
University of Texas at San Antonio Libraries Special Collections.

Alphanumeric Designations

7.1.6 If appropriate at the file or item level of description, make a note of any important numbers borne by the unit being described.

ISBN 0-919223-5.

ISR study no. 56.

Original negative no. 64260.

Plans numbered 4073-52-1 to 4073-52-3.

Variant Title Information

7.1.7 If the collection has been known by a variant title, and the repository wishes to retain a record of the variant title, record that title in a note.

Processing Information

7.1.8 Provide information about actions of the archivist, custodians, or creators of the records or conventions in the finding aid that may have an impact on a researcher's interpretation of the records or understanding of the information provided in the finding aid.

Actions and conventions include but are not limited to reconstruction of provenance, maintenance, reconstruction, or alteration of original order, devising titles for materials, weeding, and maintenance or provision of control numbers or container numbers.

Exclusions

Some actions noted according to this rule may reference arrangement; however, for identification of the current system of arrangement, see Element 3.2.

Examples

The records of the League of Women Voters received by the Library between 1933 and 1968 were described in a preliminary finding aid that was updated in 1994 with the addition of material received between 1979 and 1990.

Processing information for the League of Women Voters (U.S.) records, Library of Congress
Upon arrival in the Library of Congress, the Gifford Pinchot Papers were placed in manuscript containers, with a descriptive container listing providing the only access to the collection. Substantial portions of the papers were reorganized in 1973 into a more coherent arrangement, and new series were created to bring similar material together.

In 1989 the Library of Congress, in conjunction with the United States Forest Service, undertook a cooperative project to organize and describe those portions of the Pinchot Papers that concerned the early period of the conservation movement and the first five years of the Forest Service from 1890 to 1910. Selected records and files were rearranged to document Pinchot's contribution to the founding of the conservation movement. Due to the interfiling, transposition, and removal of material that resulted from this reorganization, gaps occurred in the former sequence of arrangement of the manuscript containers. These gaps are identified in the container list by the statement "removed from collection." Final processing of this segment of the Pinchot Papers was completed in 1991. In addition to the rearrangement of a portion of the collection between 1989 and 1991, new material was appended in 1985 and 1998. Other revisions were made in 2007, and the finding aid was revised again in 2011.

Processing information for the Gifford Pinchot papers, Library of Congress

Alteration or maintenance of arrangement examples:

Unless otherwise noted in the series and subseries descriptions, the arrangement scheme for the collection was imposed during processing in the absence of a usable original order.

Processing information for the Frederick Reines papers

The original arrangement and folder titles were retained in most cases. Exceptions include legal-sized material, which was re-housed into appropriate containers.

Processing information for the Papers of George Wald, Harvard University Archives

The original chronological arrangement of the series was maintained during processing.

The sole exception to this arrangement is several files of correspondence with physicists that Reines maintained separately from the chronological files, which are arranged alphabetically by the physicists' surnames at the end of the series.

Processing information for the Frederick Reines papers

Restoration of provenance examples:

These records were previously dispersed, both physically and intellectually, and classified under numerous call numbers. All of the records were reprocessed in 2011 and brought together as a single collection.

Processing information for the Records of early Harvard buildings, Harvard University Archives

This collection was previously listed in the Harvard University Archives shelflist among the records of the Harvard College Library but otherwise uncataloged. It was processed in 2010. Processing involved a collection survey and arrangement into series and subseries, re-housing in appropriate archival folders and boxes, and the creation of this finding aid.

Processing information for the Papers of Samuel Shapleigh, Harvard University Archives

Custodian or creator actions examples:

The items in boxes one through three were arranged by Joseph Burlingham in the order in which he planned to use them for his book.

Processing information for the Joseph Lancaster papers, 1796-1840, American Antiquarian Society

Roger W. Hickman, a member of the department from 1927-1966, gathered these records together at the time of his retirement. Folder titles and arrangement were assigned by Hickman and were not changed by the Archives staff, except for the cyclotron records.

Processing information for the Records of the Harvard University Dept. of Physics, Harvard University Archives

George Wald designated files of correspondence with prominent or famous people as "VIP." The archivist noted this designation in the folder list.

Processing information for the Papers of George Wald, Harvard University Archives

Finding aid conventions examples:

Unless otherwise noted, the parenthetical notations of relationship indicate that person's relationship to Francis Ellingwood Abbot.

Processing information for the Francis Ellingwood Abbot papers, Andover-Harvard Theological Library, Harvard Divinity School

Folder headings in quotation marks were found on the original folders; these headings appear to have been assigned by Frances Parsons Davis. All other headings have been devised by the processor.

Processing information for the Frances Parsons Davis papers, Schlesinger Library, Radcliffe Institute

Dates and other information added by the processor are in square brackets.

Processing information for the Dorothy Adlow papers, Schlesinger Library, Radcliffe Institute

The contents of some folders labeled "miscellaneous" were interfiled in this subseries by the archivist. Folder titles enclosed in square brackets were devised by the archivist.

Processing information for the Records of the Association of Harvard Chemists, Harvard University Archives

Titles were assigned by the cataloger unless otherwise noted. Whenever possible, full names were used within titles to enable keyword searching.

Processing information for the Harvard College Papers, 1st series, Harvard University Archives

Weeding statement example:

Photostat copies of originals in the collection were removed.

Processing information for the Commencement Theses, Quaestiones, and Orders of Exercises, Harvard University Archives

Container number alteration examples:

Material received in 1977 was processed as an addition in 1994. The finding aid was further revised and containers housing the addition were renumbered in 2010.

Processing information for the Papers of Kermit and Belle Roosevelt, Library of Congress
These papers of Betty Friedan were previously designated by an accession number range: "71-62--81-M23." ... The papers arrived in no order; most documents were not in folders. They were roughly sorted and screened so they could be made available for research use. Folder titles were created by the archivist. In 2009, the archivist reboxed the collection, added more description to folder titles and scope and content notes, and intellectually rearranged some folders; the physical arrangement was retained. Basic folder numbers remain the same as in "71-62--81-M23," but for preservation purposes, many overly full folders have been divided, adding alphabetical designations to the previously assigned numbers (e.g., #149a-149b).

Processing information for the Papers of Betty Friedan, Schlesinger Library, Radcliffe Institute

Chapter 8

Description Control Element

8.1 Description Control Element

8.1 Description Control (Added Value)

Purpose and Scope

The purpose of this element is to document the creation and revision of archival descriptive records. There are four aspects to this: sources used, the rules or conventions on which it is based, the name(s) of the person(s) who prepared or revised it, and the date(s) it was created or revised. Establish a consistent policy regarding the content, form, and placement of citation of sources.

Exclusions

8.1.1 Rules for documenting the creation and maintenance of an authority record are found in Chapter 11.

Sources of Information

8.1.2 Take the information from institutional policies and procedures.

General Rules

Sources Used

8.1.3 Record relevant information about sources consulted in establishing or revising the description.

Dictionary of North Carolina Biography (vol. 4, 1991) consulted during preparation of biographical note.

Rules or Conventions

8.1.4 Record the international, national, or local rules or conventions followed in preparing the description.

Description based on DACS

Collection description based on DACS, with the exception of descriptions of oral histories, which use the Oral History Cataloging Manual (Chicago: Society of American Archivists, 1995)

Series controlled and described under the rules of the National Archives of Australia's Commonwealth Records Series (CRS) System

Archivist and Date

8.1.5 Record the name(s) of the person(s) who created or revised the description, as well as the creation or revision date.

Created 6 May 1985

Finding aid written by Dan Smith, 1998. Revised by Violet Jones on 18 December 2002.

Introduction to Archival Authority Records

The structure and content of archival materials cannot be completely understood without some knowledge of the context in which they were created. It is insufficient for the archivist simply to include the name of the creator in the title of the description of the materials. Additional information is required regarding the corporate bodies, persons, and families responsible for the creation, assembly, accumulation, and/or maintenance and use of the archival materials being described. Part II describes the information that is required to establish this context. It is the logical outcome of Principle 4 in the Statement of Principles: that the creators of archival materials, as well as the materials themselves, must be described.

Definition of Terms

- Corporate body: an organization or group of people identified by a name and that acts, or may act, as a unit, or an institutional position held by a person
- Person: an individual of the human species
- Family: two or more people related through marriage, birth, adoption, or other legal manner, or who present themselves as a family

These definitions disallow the creation of headings for personae, bibliographic identities, and animals but otherwise would not create significant divergence from library authority file structures.

There are three steps in the process of creating the documentation that establishes archival context.

- The archivist must first identify the corporate bodies, individuals, and families that played a significant role in the creation of the materials.

Element 2.6, Name of Creator(s), provides specific guidance as to which of these entities need to be associated with the description of the materials, based on their role in the creation, assembly, accumulation, and/or maintenance and use of the records.

- The archivist must assemble biographical information about these individuals and families or data about the history, structure, functions, and relationships of the relevant organization.

Element 2.7, Administrative/Biographical History, provides guidance on recording biographical data or administrative histories.

- Finally, the names of these entities must be rendered in a standardized form using standardized vocabularies (e.g., *Library of Congress Authorities*) or with rules for formulating standardized names such as those found in AACR2, ISAAR(CPF), or RDA to facilitate the retrieval of information across descriptions, systems, and institutions.

Once formulated, this information may be presented to the user in either of two ways. Traditionally, archivists have incorporated the names of creators and contextual information about them directly into archival descriptions, both in catalog records and in finding aids. Such information, created according to DACS rules, may certainly continue to be employed in this manner.

However, DACS also provides an alternative: information about creators of archival materials can be captured and maintained in a separate system of archival authority records that are linked to the archival descriptions rather than being embedded within them. This approach reflects the model created by the International Council on Archives where the General International Standard for Archival Description (ISAD[G]) provides rules on description and the International Standard Archival Authority Record for Corporate Bodies, Persons and Families (ISAAR[CPF]) governs the creation of information about creators. Chapters 9 through 14 provide guidance on the construction of archival authority records based on the structure of ISAAR(CPF).

Separating the capture and maintenance of contextual information has a number of advantages. The ability to link a description of a creating entity to several descriptions of records from the same creator held within the same repository eliminates the need to duplicate the administrative/biographical history in each description. Furthermore, the practice enables the linking of descriptions of creating entities to descriptions of records from the same creator(s) held by more than one repository, as well as to descriptions of related library and museum materials, websites, and so on. Relationships between creating entities also can be documented in authority records. Finally, certain functions can be efficiently performed in authority records, such as maintaining a record of variant and related terms, which cannot be done well (or at all) within descriptions.

Where several repositories hold records of the same provenance, they can share or exchange contextual information about the creator more easily if it has been maintained in a standardized manner. Archival authority records do not merely *record* contextual information, they also provide a means of *standardizing* access points and the contextual information. They are similar to library authority records in that both support the creation of standardized access points in descriptions. Such standardization has two aspects: consistency and uniqueness. *Consistency* requires that the name of a creator be identical each time it is used as an access point in the descriptive system. This is achieved by implementing rules that establish an authorized form of the name where different forms

exist. *Uniqueness* requires that each person, family, or corporate body have a heading that applies to it alone. This is achieved by making additions to otherwise identical names in order to distinguish between them. Whenever possible, repositories should use the form of personal and corporate names found in the *Library of Congress Authorities* (formerly *Library of Congress Name Authority File* [LCNAF]) or use rules for formulating standardized names such as those found in AACR2, ISAAR(CPF), or RDA.

While archival authority records and the bibliographic authority records used in library systems are similar, they differ in significant ways. A bibliographic authority record consists of an authorized heading that standardizes the form of the name, as well as other information elements that describe the named entity or point to other authority records. Archival authority records contain the following elements similar to bibliographic authority records:

- The authority entry (i.e., a standardized access point established by an archival agency uniquely identifying the corporate body, person, or family associated with the creation of the archival materials)
- References to related names and variant names
- Documentation of how the authority record was established and maintained

Beyond this, archival authority records support a much wider set of requirements than library authority records. These additional requirements derive from the importance of documenting the context of records creation in archival description and control systems. As such, archival authority records usually contain much more information than library authority records.

While archival authority records generally are distinguished from library authority records in that they focus on identifying and providing information about those associated in some way with the creation of archival materials, they do not include topical subjects, forms or genres, functions, or uniform titles. Archivists may also maintain authority files to control the terms used to provide access in these ways; however, such applications are beyond the scope of this standard.¹

The two methods of presenting archival context information, i.e., within the description or in a separate authority file, are not mutually exclusive. Indeed, archives may quite reasonably maintain separate files of authority data for internal control purposes even when the names reflected in those records are embedded in descriptions. Archivists may also wish to describe some contextual information only in the Administrative/Biographical History Element (see Element 2.7) embedded in descriptions of archival materials.

¹ DACS does not provide rules for the construction and maintenance of subject authorities. However, a corporate body, person, or family can also be the subject of a unit of description, and an archival authority record that conforms to DACS may also serve to control the form of name and identity of a corporate body, person, or family named in a subject access point. See Appendix B, Companion Standards.

Purpose and Scope

Part II provides rules on the creation of authority records based on the data elements found in ISAAR(CPF).

Exclusions

Instructions for describing the archival materials themselves are found in Part I.

Instructions for identifying creators are found in Part I, Element 2.6, and instructions for creating contextual information embedded in descriptions of archival materials are found in Part I, Element 2.7.

Instructions for formatting names of persons, families, or corporate bodies identified as creators using the rules in Element 2.6 are found in companion standards.

Structure and Numbering

Part II consists of six chapters. Chapter 9 provides general rules for creating authority records for repositories that wish to maintain separate authority systems. Chapters 10 through 14 provide rules for the different areas of archival authority records.

Descriptive Outputs

The rules provide for data input but do not prescribe particular outputs or display. Presentation of this information to the user, including the way that the authority information is linked to the descriptions of the materials, will be determined by institutional policy within each repository's descriptive system.

Examples

The examples in Part II are illustrative, not prescriptive. They illustrate only the application of the rule to which they are appended. Furthermore, the presentation of the examples is intended only to assist in understanding how to use the rules and does not imply a prescribed layout, typography, or output.

PART II

Archival Authority Records

Chapter 9

Archival Authority Records

Purpose and Scope

The purpose of Chapters 9 through 13 is to describe the elements of a fully documented archival authority record. Because of the variety of ways in which this data might be stored and used, DACS prescribes the required elements of information and describes how that content should be recorded. It does not prescribe the precise formats in which these elements are stored or presented to users.

Chapter 14 describes the ways in which authority records may be linked to other resources such as descriptions of archival materials, to other data about the entity such as biographical directories, or to contextual information in other countries and/or in other languages.

Definition

An archival authority record identifies and describes a personal, family, or corporate entity associated with a body of archival materials; documents relationships between records creators, the records created by them, and/or other resources about them; and may control the creation and use of access points in archival descriptions. The International Standard Archival Authority Record for Corporate Bodies, Persons and Families (ISAAR[CPF]) organizes the types of information found in an archival authority record into four areas:

- Identity Area: the authoritative form of the name of the entity as established by cataloging rules such as those found in AACR2 or RDA, along with references to any variant forms of that name by which researchers might know that entity
- Description Area: a description of the history and activities of the entity that are pertinent to the records with which it is associated, written in accordance with the rules in Chapter 11
- Relationships Area: references to related persons, families, and corporate bodies
- Control Area: management information regarding the creation and status of the record

Although archival authority records are similar to library authority records in that they both support the creation of standardized access points in descriptions, archival authority records support a much wider set of requirements than library authority records do and usually contain detailed information about records creators and the context of record creation.

Statement of Principles

Descriptions in authority files may be recorded electronically as part of an information system linked to descriptions of archival materials, in a paper-based system of finding aids in the manner of traditional *see* and *see also* references in a card catalog, or as a "shelf list" or official file strictly for internal staff control of the information.

Authority information may be used in a variety of ways. It can provide access to archival materials based on descriptions of records creators or the context of records creation that are linked to descriptions of physically dispersed records. It can provide users an understanding of the context underlying the creation and use of archival materials so they can better interpret their meaning and significance. It can help users identify records creators by providing descriptions of relationships between different entities, particularly in cases of administrative changes within corporate bodies or personal changes in families and individuals. Finally, standardized authority information allows for the exchange of descriptions of individuals, families, and corporate bodies between institutions, systems, and networks and across national and linguistic boundaries.

While these rules address the formation of descriptions for persons, families, and corporate bodies associated with the creation and custody of archival materials (frequently referred to in the rules as *entities*), authority records may also be created to document entities that are the subject of materials in such records. The same type of data is appropriate in either situation.

Levels of Description

DACS defines a number of elements that are useful in creating systems for describing creators of archival material. Regardless of the system, the output products must include at a minimum a set of discrete descriptive elements that convey standardized information about the creators being described. These DACS elements match the required elements found in the International Standard Archival Authority Record for Corporate Bodies, Persons and Families (ISAAR[CPF]).

Not all of the DACS elements are required in every archival authority record. Combinations of descriptive elements will vary depending on whether the archivist considers a specific authority record to be preliminary or complete and repository-specific needs and requirements for describing creators.

The following requirements specify particular elements that should be used in output products intended for the use of archivists or researchers in managing and using descriptions of archival creators. They articulate a "minimum" and "added value" usage of the elements defined by DACS but are not intended to preclude use of other descriptive data that a repository deems necessary for its own descriptive systems or products. DACS does not specify the order or arrangement of elements in a particular descriptive output. Some systems or output formats, such as MARC 21, RDA or EAC-CPF, provide specific guidance on the ordering of some or all elements. Others, such as a repository's preliminary accession record or a print finding aid, should include DACS elements in a

logical and consistent manner determined by the repository's own procedures and standard practices.

Minimum

An authority record with the minimum number of DACS elements includes:

- Authorized form of name (see 10.1)
- Type of entity (see 10.2)
- Dates of existence (see 11.1)
- Authority record identifier (see 13.2)

Added Value

An authority record using DACS elements to provide added value for researchers has all of the elements included in Minimum above, plus any other elements the repository wishes to include.

Exclusions

9.1 Record information about the relationships between descriptions of archival materials in the Related Materials Element (6.3).

9.2 Record information about the relationships between levels of arrangement within a description in the System of Arrangement Element (3.2).

Sources of Information

9.3 Take the information from any reliable source.

General Rule

9.4 Create an authority record for each person, family, or corporate body associated with the creation of archival materials as specified in the rule

Chapter 10

Form of the Name

10.1 Authorized Form of the Name (Required)

10.2 Type of Entity (Required)

10.3 Variant Forms of Names

10.4 Identifiers for Corporate Bodies

10.1 Authorized Form of the Name (Required)

10.1.1. Record the name of the entity being described in the authority record in accordance with standardized vocabularies (e.g., LCNAF or with rules for formulating standardized names such as those found in AACR2, RDA, or ISAAR(CPF)). Name entry may include dates, place, jurisdiction, occupation, epithet, or other qualifiers.

Haworth, Kent MacLean, 1946-

Stibbe, Hugo L. P.

Cadell, T. (Thomas), 1742-1802

10.2 Type of Entity (Required)

10.2.1 Indicate by codes or text whether the entity named in the authority record is a corporate body, a person, or a family.

100 3b ‡a McArthur (Family: McArthur, Duncan, 1796-1864)

MARC 21 encoding indicating that the entry is a family name

<entityType>corporateBody</entityType>

EAC-CPF encoding indicating that the entry is a corporate body

Type of Entity: Person

10.3 Variant Forms of Names

Commentary: Variant names are created to help users discover materials that have been classified under one name but a user might reasonably expect to find material using another name. Make a *see* reference from a form of the name of a person or corporate body or title of a work that might reasonably be sought to the form that has been chosen as the name or uniform title heading or as a title entry.

10.3.1 If an institution maintains records in two or more official languages, record as a variant the parallel form of the authorized name as it occurs in the other language(s).

United Church of Canada (authorized name)

Variant name(s): L'église unie du Canada

10.3.2 Optionally, record as a variant the name of the entity as it would be constructed according to the rules of other cataloging conventions. Indicate the rules and/or source of the name where possible.

Minnesota. Section on Wildlife

Pre-AACR2 form: Minnesota. Division of Fish and Wildlife. Section on Wildlife

Washington National Cathedral

Pre-AACR2 form: Washington, D.C., Cathedral of Saint Peter and Saint Paul

Tolkien, J. R. R. (John Ronald Reuel), 1892-1973

Bibliothèque nationale de France form: Tolkien, John Ronald Reuel, 1892-1973

10.3.3 Record all other names or forms of name(s) that might reasonably be sought by a user but were not chosen as the authorized form of name. Variant names might include:

- Alternate linguistic forms of names
- Acronyms for corporate bodies
- Earlier, later, religious, or secular names for persons
- Changes in titles for families

Clark, Joe (authorized name)

Variant name(s):: Clark, Charles Joseph

Clark, C. J.

Prichard, Robert (authorized name)

Variant name(s): Prichard, John Robert Stobo

Prichard, J. Robert S.

Prichard, Rob

World Health Organization (authorized name)

Variant name(s): W.H.O.

Organisation de la Santé Mondiale

Massachusetts (authorized name)

Variant name(s): Commonwealth of Massachusetts

Montgomery, L. M. (authorized name)

Variant name(s): Montgomery, Lucy Maud

MacDonald, Lucy Maud Montgomery

Society of American Archivists. National Information Systems Task Force (authorized name)

Variant name(s): National Information Systems Task Force

NISTF

Cadell, T. (Thomas), 1742-1802 (authorized name)

Variant name(s): Cadell, Thomas, 1742-1802

Cadel, T.(Thomas),1742-1802

10.3.4 Optionally, record pseudonyms and other identities assumed by a person as variant names.

Clemens, Samuel Langhorne, 1835-1910 (authorized name)

Variant name(s): Twain, Mark, 1835-1910

Snodgrass, Quintus Curtius, 1835-1910

Conte, Louis de, 1835-1910

10.4 Identifiers for Corporate Bodies

10.4.1 Record where possible an official or other identifier for the corporate body and the jurisdiction that assigned it.

Registered company 01003142 (Companies House, England)
For the corporate body Rolls Royce PLC

Example Form of the Name Area of an Archival Authority Record

Authorized Form of the Name (10.1.1): Cadell T., (Thomas), 1742-1802

Type of Entity (10.2.1): Person

Variant Names (10.3.3):

Cadell, Thomas, 1742-1802

Cadel, T.(Thomas),1742-1802

Note: Element 10.4, Identifiers for Corporate Bodies, is not applicable in this example.

For an example archival authority record showing all five areas, see page 134–136.

Chapter 11

Description of the Person, Family, or Corporate Body

- 11.1 Dates of Existence (Required)
- 11.2 Historical Summary
- 11.3 Places
- 11.4 Legal Status
- 11.5 Functions, Occupations, and Activities
- 11.6 Mandates/Source of Authority
- 11.7 Internal Structure/Genealogy

11.1 Dates of Existence (Required)

11.1.1 Record dates associated with the entity being described. Record dates in terms of the calendar preferred by the agency creating the data. Record dates in the following formats:

- Record exact dates in [year] [month] [day] format.
- Indicate a probable date by adding a question mark following the year.
- If the year is uncertain but known to be either one of two years, record the date in the form [year] or [year].
- If the year can only be approximated, record the date in the form *approximately* [year].

11.1.2 For a person, record his or her date of birth and/or date of death. Where exact dates are not known, record approximate dates.

1884 May 8 (date of birth)

1796? (date of birth)

1501 or 1507 (date of birth)

1826 July 4 (date of death)

approximately 1945 January (date of death)

1972

1742 November 12-1802 December 27

11.1.3 For a person, if both the date of birth or date of death are unknown, record floruit (period of activity) dates. If specific years of activity cannot be established, record the century or centuries in which the person was active.

1841-1874 (active)

12th century (active)

11.1.4 For corporate bodies, record the date of establishment/foundation/enabling legislation and dissolution. If specific years cannot be established, record the century or centuries in which the corporation was active. If specific years cannot be established, record the century or centuries in which the corporation was active.

1970 (date of establishment)

1670? (date of establishment)

1842 (date of dissolution)

11.1.5 For corporate bodies such as a meeting or conference, record the year of the event. For events spanning multiple years, record in the form [year]-[year]. When necessary for disambiguation, record the exact date(s) of the event.

1995

1911-1912

1978 November 13-15

11.1.6 For families, record significant dates associated with the family such as establishment dates or floruit dates. If specific years cannot be established, record the century or centuries in which the family was active.

1802 (date of establishment)

1945 (date of termination)

ninth century (end date of activity)

11.2 Historical Summary

11.2.1 Record in narrative form the main life events, activities, functions, achievements, and/or roles of the entity being described. This may include information on gender, nationality, family, and religious or political affiliations. Wherever possible, devise dates as an integral component of the narrative description. For additional guidelines and examples, see Element 2.7.

Hubert H. Humphrey was born in Wallace, South Dakota, on May 27, 1911. He left South Dakota to attend the University of Minnesota but returned to South Dakota to help manage his father's drug store early in the Depression. He attended the Capitol College of Pharmacy in Denver, Colorado, and became a register pharmacist in 1933. On September 3, 1936, Humphrey married Muriel Fay Buck. He returned to the University of Minnesota and earned a B.A. degree in 1939. In 1940 he earned an M.A. in political science from Louisiana State University and returned to Minneapolis to teach and pursue further graduate study, but he began working for the W.P.A. (Works Progress Administration). He moved on from there to a series of positions with wartime agencies. In 1943, he ran unsuccessfully for mayor of Minneapolis and returned to teaching as a visiting professor at Macalester College in St. Paul. Between 1943 and 1945, Humphrey worked at a variety of jobs. In 1945, he was elected mayor of Minneapolis and served until 1948. In 1948, at the Democratic National Convention, he gained national attention when he delivered a stirring speech in favor of a strong civil rights plank in the party's platform. In November 1948, Humphrey was elected to the United States Senate. He served as the Senate Democratic Whip from 1961 to 1964. In 1964, at the Democratic National Convention, President Lyndon B. Johnson asked the convention to select Humphrey as the vice presidential nominee. The ticket was elected in November in a Democratic landslide. In 1968, Humphrey was the Democratic Party's candidate for president, but he was defeated narrowly by Richard M. Nixon. After the defeat, Humphrey returned to Minnesota to teach at the University of Minnesota and Macalester College. He returned to the U.S. Senate in 1971, and he won reelection in 1976. He died on January 13, 1978, of cancer.

11.3 Places

11.3.1 Record the name of the place(s) or jurisdiction(s) associated with the entity being described. Record the place-name in the form prescribed in appropriate companion standards (such as RDA), or as provided in controlled vocabularies (such as the *Library of Congress Name Authority File* or the *Getty Thesaurus of Geographic Names*). Indicate by codes or by text the nature and covering dates (as described in rules 11.1.1–11.1.6) of the relationship with the entity, as appropriate.

```
370 bb $e Paris, France $s 1776 $t 1785
<place>
<placeEntry>New York, N.Y.</placeEntry>
<placeRole>Residence</placeRole>
<dateRange>
<fromDate standardDate="1776-03">1776 March</fromDate>
<toDate standardDate="1776-08">1776 August</toDate>
</dateRange>
</place>
Baltimore, Md.
```

11.3.2 For persons, as appropriate, record the names of place of birth, place of death, associated country(ies), and place(s) of residence, where known.

```
Salt Lake City, Utah (place of birth)
Montpelier Station, Va. (place of death)
Brazil (associated country)
Juneau, Alaska (place of residence)
```

11.3.3 For families, as appropriate, record the name(s) of place(s) where a family resides or has resided or has some connection, where known.

```
Jamestown, Wash. (place of residence)
Sydney, N.S.W. (place of residence)
```

11.3.4 For corporate bodies, as appropriate, record names of place of incorporation, location of headquarters, location of conference, or name of jurisdiction, where known.

```
London, England (place of incorporation)
Washington County, Kan. (location of headquarters)
Vancouver, B.C. (place of conference)
United States (name of jurisdiction)
```

11.4 Legal Status

11.4.1 For corporate bodies, record the legal status and, where appropriate, the type of corporate body together with the covering dates when this status applied. Where possible, terms should be applied from a controlled vocabulary. Dates should be recorded as described in rules 11.1.4-11.1.5.

Public limited company (for Rolls-Royce Ltd.; term from Companies House registry)

11.5 Functions, Occupations, and Activities

11.5.1 Record the functions, occupations, and activities performed by the entity being described, with associated dates as useful. Where possible, terms should be applied from a controlled vocabulary. Dates should be recorded as described in rules 11.1.1–11.1.6.

11.5.2 For persons, record terms to describe the occupations or activities in which the entity has been engaged.

Artists (occupation; from Index terms for Occupations in Archival and Manuscript Collections)

Farmers' spouses (occupation; from Register of Australian Archives and Manuscripts Occupation Thesaurus)

11.5.3 For corporate bodies, record terms to describe the functions performed by the entity.

Structural analysis (function; from Art & Architecture Thesaurus)

Zoning (function; from Art & Architecture Thesaurus)

11.6 Mandates/Source of Authority

11.6.1 For corporate bodies, record the title of any document, law, directive, or charter that acts as a source of authority for the powers, functions, and responsibilities of the entity being described, together with information on the jurisdiction(s) and covering dates when the mandate(s) applied or were changed. Where possible, titles should be applied from a controlled vocabulary. Dates should be recorded as described in rules 11.1.4–11.1.5.

United States. Aviation and Transportation Security Act (from Library of Congress Name Authority File)

United States. National Archives and Records Administration Act of 1984 (from Library of Congress Name Authority File)

11.7 Internal Structure/Genealogy

11.7.1 Record in narrative form the internal structure of the entity being described. Wherever possible, devise dates as an integral component of the narrative description.

11.7.2 For corporate bodies, record the internal and external administrative structure of the body, as well as the dates of any significant changes to that structure. Record the name(s) of any higher body(ies) having authority or control over the corporate body, or any corporate body(ies) over which it exercised authority or control, and describe the nature and any change of the authority or controlling relationship.

Until 1586, the internal structure of the Council of War was minimal. With the king as president, the Council was constituted of various councilors and a secretary, who was in turn on other councils, assisted by officers, clerks, and other subordinate staff. Beginning in 1554, an auditor was responsible for judicial matters, expanding the number of councilors, which ranged between five and ten. In 1586 the position of secretary of the Council of War was split into the Secretariat of Land and the Secretariat of Sea. The greater control of two areas of conflict caused the division of the Secretariat of Land in 1646 into two: the Secretariat of Land, Cataluña and the Secretariat of Land-Extremadura. After the coming of the Bourbon dynasty in the early eighteenth century, the secretariats underwent successive administrative reorganizations according to their new roles and were eventually merged in 1706. In 1717 the structure of the Council was reduced in term of the number of councilors, divided into military and judicial, the presidency fell to the Secretary of the War Office, and the secretary disappeared, with administrative activity processed by the clerk of the House. In 1773 this structure was again revised, with the presidency returning to its traditional association with the king and the number of councilors expanded to twenty, including ten ex officio and ten assistants divided between government and justice and again establishing the role of secretary. The staff also included two prosecutors, three reporters, a house clerk, lawyer, tax agent, solicitor, officers, clerks, bailiffs, and doormen. This structure remained practically stable until the abolition of the Council of War in 1834.

11.7.3 For families, describe family relationships so as to document the relationships between family members.

Sir Edward Noel (died 1643) married Julian, daughter and co-heir of Baptists Hicks (died 1629), Viscount Campden, and succeeded to the viscounty of Campden and a portion of his father-in-law's estates. The third Viscount Campden (1612-1682) married Hester Wotton, daughter of the second Baron Wotton. The fourth Viscount Campden (1641-1689, created Earl of Gainsborough 1682) married Elizabeth Wriothesley, elder daughter of the fourth Earl of Southampton. Jane Noel (died 1811), sister of the fifth and sixth Earls of Gainsborough, married Gerard Anne Edwards of Welham Grove (Leicestershire) and had issue Gerard Noel Edwards (1759-1838). He married in 1780 Diana Middleton (1762-1823) suo jure Baroness Barham, daughter of Charles Middleton (1726-1813), created first Baronet of Barham Court (Kent) in 1781 and first Baron Barham in 1805. GN Edwards assumed the surname Noel in 1798 on inheriting the sixth Earl of Gainsborough's Rutland and Gloucestershire estates (though not the earl's honours, which were extinguished); and he later inherited his father-in-law's baronetcy. His eldest son John Noel (1781-1866)

succeeded to the estates of his mother and his father, to his mother's barony and his father's baronetcy, and was created Viscount Campden and Earl of Gainsborough in 1841.

Example Description of the Person, Family, or Corporate Body Area of an Archival Authority Record

Dates of Existence (11.1.2): 1742 November 12-1802 December 27

Historical Summary (11.2.1):

Thomas Cadell was born in Bristol on 12 November 1742 but spent most of his life in London. When Cadell was fifteen, his father sent him to be an apprentice to Andrew Millar (1707-1768), a well-regarded publisher and bookseller who had supported the publication of Samuel Johnson's Dictionary. After seven years, Cadell became a partner in the business and finally took it over when Millar retired in 1767. His clients and friends were among the most influential literary and intellectual figures of the eighteenth century and included Fanny Burney (1752-1840), Robert Burns (1759-1796), David Hume (1711-1776), Samuel Johnson (1709-1784), Hannah More (1745-1833), Adam Smith (1723-1790), and Tobias Smollett (1721-1771). When Cadell retired in 1793, he gave his business to his son, Thomas Cadell (1773-1836) and his former assistant, William Davies (d. 1820). Before his death from an asthma attack in 1802, he enjoyed an active retirement, fulfilling many charitable and public positions, including governor of the Foundling Hospital and sheriff in the Walbrook ward of London.

Places (11.3.2):

Born: Bristol (England)

Lived: London (England)

Functions, Occupations, Activities (11.5.2):

Booksellers

Publishers

Stationers

Note that elements 11.4: Legal Status, 11.6: Mandates/Source of Authority, and 11.7: Internal Structure/Genealogy are not applicable in this example.

For an example archival authority record showing all five areas, see page 134–136.

Chapter 12

Related Corporate Bodies, Persons, and Families

12.1 Names/Identifiers of Related Corporate Bodies, Persons, or Families

12.2 Type of Related Entity

12.3 Nature of Relationship

12.4 Dates of the Relationship

12.1 Names/Identifiers of Related Corporate Bodies, Persons, or Families

Commentary: In describing the parties that created, assembled, accumulated, and/or maintained and used archival records, it will be useful to identify related persons, families, and organizations. They may be connected in a variety of ways, such as members of families, hierarchical relationships between parts of organizations, chronological (i.e., predecessor/successor) relationships between organizations or parts of organizations, or offices held by a person within an organization. Related names might also be used within a descriptive system as alternative access points to descriptions of archival records or as links to other authority records.

12.1.1 Record the authorized names and any relevant unique identifiers, including the authority record identifier, of corporate bodies, persons, or families that have a significant relationship with the entity named in the authority record.

Minnesota. Division of Game and Fish

n 79066215 (Library of Congress authority record control number)

Brown, Muriel Buck Humphrey

n 83312367 (Library of Congress authority record control number)

12.2 Type of Related Entity

12.2.1 Indicate by codes or text whether the related entity is a corporate body, a person, or a family.

Minnesota. Dept. of Game and Fish (entity described in archival authority record)

Minnesota. Division of Game and Fish (related entity)

Type of Related Entity: Corporate body

`<entityType>person</entityType>`

Note: EAC-CPF encoding indicating that the related entity is a person.

12.3 Nature of Relationship

12.3.1 Indicate by codes or text a general category into which the relationship being described falls. Use the following categories: hierarchical, temporal, family, and associative.

Minnesota. Dept. of Game and Fish (entity described in archival authority record)

Minnesota. Division of Game and Fish (related entity)

Relationship to entity: Temporal

```
<cpfRelation cpfRelationType="family">
```

EAC-CPF encoding indicating that the related entity has a familial relationship to the entity described in the authority record

12.3.2 Alternately, precisely indicate the nature of the relationship between the entity described in the authority record and the related entity. Using codes or text, record the relationship indicator in the form prescribed in appropriate companion standards or as provided in controlled vocabularies. A narrative description of the history and/or nature of the relationship may also be provided here.

Minnesota. Dept. of Game and Fish (entity described in archival authority record)

Successor: Minnesota. Division of Game and Fish

Relation type value "successor" is from Resource Description and Access, Appendix K, to specifically indicate relationship between entities.

Humphrey, Hubert H. (Hubert Horatio), 1911-1978 (entity described in archival authority record)

```
<cpfRelation cpfRelationType="associative" xlink:type="simple"
```

```
xlink:arcrole="http://dca.lib.tufts.edu/ontology/rcrIsSpouseOf"
```

```
xlink:role="http://dca.lib.tufts.edu/ontology/rcr#Person">
```

```
<relationEntry xml:id="RCR00585">Brown, Muriel Buck Humphrey</relationEntry>
```

```
</cpfRelation>
```

EAC-CPF encoding using the ontology term "IsSpouseOf" to indicate specifically the nature of the relationship between Hubert H. Humphrey and Muriel Buck Brown Humphrey.

Cadell, T. (Thomas), 1742-1802 (entity described in archival authority record)

Johnson, Samuel, 1709-1784 (related entity)

Thomas Cadell was friend and publisher of Samuel Johnson. Narrative description of the relationship between Cadell and Johnson

12.4 Dates of the Relationship

12.4.1 Record when relevant the commencement date of the relationship or succession date and, when relevant, the cessation date of the relationship. Dates should be recorded as described in rules 11.1.4–11.1.5.

Minnesota. Dept. of Game and Fish (entity described in archival authority record)

Minnesota. Division of Game and Fish (related entity)

1931 (date of succession)

Humphrey, Hubert H. (Hubert Horatio), 1911-1978 (entity described in archival authority record)

Brown, Muriel Buck Humphrey (related entity)

1936 September 3–1978 January 13 (dates of the relationship's existence)

Example Related Persons, Families, and Corporate Bodies Area of an Archival Authority Record

Related Entity 1

Name/Identifier (12.1.1):

Cadell & Davies

n 81066332

Type of Related Entity (12.2.1): Corporate body

Category of Relationship (12.3.1): Associative

Description of Relationship (12.3.2): Firm began when Cadell bequeathed his business to his son Thomas Cadell the younger (1773-1836) and assistant, William Davies (d. 1820)

Dates of Relationship (12.4.1): 1793-1802

Related Entity 2

Name/Identifier (12.1.1):

Gibbon, Edward, 1737-1794

n 80005416

Type of Related Entity (12.2.1): Person

Category of Relationship (12.3.1): Associative

Description of Relationship (12.3.2): Published Gibbon's *The History of the Decline and Fall of the Roman Empire*, giving him nearly two-thirds of profits from sales

Dates of Relationship (12.4.1): 1776-1788

Related Entity 3

Name/Identifier (12.1.1):

Johnson, Samuel, 1709-1784

n 78095825

Type of Related Entity (12.2.1): Person

Category of Relationship (12.3.1): Associative

Description of Relationship (12.3.2): Friend and publisher of Johnson

Dates of Relationship (12.4.1): 1770-1781

Related Entity 4

Name/Identifier (12.1.1):

Millar, Andrew, 1707-1768

n 50033644

Type of Related Entity (12.2.1): Person

Category of Relationship (12.3.1): Associative

Description of Relationship (12.3.2): First an apprentice to and later a business partner to Millar: named an executor when Millar died in 1768

Dates of Relationship (12.4.1): 1758-1768

For an example archival authority record showing all five areas, see page 134–136.

Chapter 13

Authority Record Management

- 13.1 Repository Code
- 13.2 Authority Record Identifier (Required)
- 13.3 Rules or Conventions
- 13.4 Status
- 13.5 Level of Detail
- 13.6 Date(s) of Authority Record Creation and Revision
- 13.7 Languages or Scripts
- 13.8 Sources
- 13.9 Maintenance Information

13.1 Repository Code

13.1.1 Provide a repository code for the institution creating the authority record. Use the repository codes assigned by the national organization responsible for assigning and maintaining repository identifiers or appropriate international repository identifiers.¹

MnHi (Repository code for the Minnesota Historical Society assigned by the Library of Congress in the MARC Code List for Organizations)

OCLC-MHS (International Standard Identifier for Libraries [ISIL] identifier for Minnesota Historical Society)

¹ The Library of Congress is responsible for assigning repository codes and maintaining the list of assigned codes in the United States. National repository codes are constructed using the latest version of ISO 15511 (International Standard identifier for libraries and related organizations). Repositories may also wish to include an International Standard Identifier for Libraries or ISIL code. ISILs are a unique identifier issued by the ISIL Agency to create an identifier to enable unique identification of a library or related institution. An ISIL is made up by two components: a prefix and a library identifier, in that order, separated by a mandatory hyphen. An OCLC symbol can be rendered as ISIL by the addition of the prefix "OCLC" or "O" for technical encoding in cases such as RFID tags.

13.2 Authority Record Identifier (Required)

13.2.1 Record a unique identifier for the authority record. The number may be assigned locally or be based upon an identifier from a regional or national database such as the *Library of Congress Authorities*.

ARC-ID-976172 (unique identifier assigned by the National Archives and Records Administration to an archival authority record)

02-79026910 (unique identifier based upon the Library of Congress Control Number [79026910])

beinecke.j0zpcks (locally assigned identifier)

13.3 Rules or Conventions

13.3.1 Record by text or codes the international, national, or local rules or conventions followed in creating the authority record. Establish an institutional policy on how to cite published standards, that is, detail provided, use of abbreviations, and so on.

Describing Archives: A Content Standard (DACS)
Resource Description and Access (RDA)

13.3.2 Specify separately which rules have been applied for creating the authorized form of name.

U.S. National Archives and Records Administration, Lifecycle Data Requirements Guide (for creating the authorized form of the name)
Authorized form of name created according to AACR2 rules

13.3.3 Include reference to any system(s) of dating used to identify dates in the authority record.

ISO 8601-Data Elements and Interchange Formats-Information Interchange-Representation of Dates and Times. 2nd ed. Geneva: International Standards Organization, 2000.

13.4 Status

13.4.1 Record the current status of the authority record, indicating whether the record is a draft, finalized and/or revised or deleted. Using codes or text, record the status in the form prescribed in companion standards or in appropriate controlled vocabularies.

<maintenanceStatus>deletedReplaced</maintenanceStatus>

EAC-CPF encoding indicating that the record has been deleted and replaced

00731cz

(The character c in the fifth position of the leader of this MARC authority record indicates that it is a "corrected" record.)

13.4.2 Alternately, record the current status of the record using the following terms: draft, finalized, revised, or obsolete.

Authority record is obsolete.

13.5 Level of Detail

13.5.1 Indicate whether the record contains minimal, partial, or full information. This data may be recorded as text or codes.

006521nz_2200067n

(The character n in the seventeenth position of the leader of this MARC authority record indicates that it meets "national level record requirements.")

```
<localControl localType="detailLevel">
```

```
<term>minimal</term>
```

```
</localControl>
```

(EAC-CPF encoding indicating that the record contains minimal information)

13.6 Date(s) of Authority Record Creation and Revision

13.6.1 Record the action taken and the date(s) on which the authority record was prepared or revised.

Created 12 August 1998. Revised 18 December 2002.

13.7 Languages or Scripts

13.7.1 Record the language or script of the archival authority record.

English

13.8 Sources

13.8.1 Record relevant information about sources consulted in establishing or revising the authority record. Establish a consistent policy regarding the content, form, and placement of citation of sources.

Caro, Robert A. *The Years of Lyndon Johnson*. New York: Knopf, 1982-2002.

Utah history encyclopedia, via WWW, Oct. 4, 2011.

Rice C. Ballard Papers #4850, Southern Historical Collection, Wilson Library, University of North Carolina at Chapel Hill.

Trustees of Tufts College. *Bulletin of Tufts University Undergraduate Colleges*, 1970-1971, Vol. LXX, no. 4. Medford, MA: Tufts University, 1970.

13.9 Maintenance Information

13.9.1 Record the name(s) of the person(s) who prepared or revised the authority record and any other information pertinent to its creation or maintenance.

Biographical data assembled by Lael Ramaley.

Occupations revised by Lina Bountouri.

Created by M. K. K. Yearl

Example Authority Record Management Area of an Archival Authority Record

Repository Code (13.1.1): US-CtY-BR

Authority Record Identifier (13.2.1): beinecke.j0zpcks

Rules or Conventions (13.3.1, 13.3.2): Records were created following DACS conventions.

Status (13.4.2): Authority record is finalized.

Level of Detail (13.5.1): Full

Date(s) of Authority Record Creation and Revision (13.6.1): Created 2012 May 24

Language or Scripts (13.7.1): English, Latin

Sources (13.8.1): Oxford Dictionary of National Biography

Maintenance Information (13.9.1): Created by M. K. K. Yearl

For an example archival authority record showing all five areas, see page 134–136.

Chapter 14

Related Archival Materials and Other Resources

- 14.1 Identifiers and Titles of Related Resources
- 14.2 Types of Related Resources
- 14.3 Nature of Relationship to Related Resources
- 14.4 Dates of Related Resources and/or Relationships

14.1 Identifiers and Titles of Related Resources

Commentary: While authority records are created to document the context in which archival materials were created, it is also desirable to associate them with descriptions of the materials themselves and with other, external data that provides additional information about the entity described in the record. These connections may be electronic links within an archival information system between the authority record and associated descriptions or links to external files such as online biographical databases. They may also be recorded as citations in a print-based authority file.

14.1.1 Provide the unique identifiers/reference codes or titles for the related resources necessary to establish a connection between the entity and the related resource.

Humphrey, Hubert H. (Hubert Horatio), 1911-1978 (entity described in archival authority record)

Hubert H. Humphrey papers: a summary guide, including the papers of Muriel Buck Humphrey Brown. St. Paul, Minnesota. Minnesota Historical Society, 1983. (related resource)

Humphrey, Hubert H. (Hubert Horatio), 1911-1978 (entity described in archival authority record)

A biography of Vice President Humphrey is available at <http://gi.grolier.com/presidents/ea/vp/vphumph.html> (related resource)

Peace Corps (U.S.) (entity described in archival authority record)

National Archives Identifier: 558686

Photographs of Arts and Culture in Ghana

Still Picture Records Section, Special Media Archives Services Division (NWCS-S), National Archives at College Park (related resource)

Boston School of Occupational Therapy (entity described in archival authority record)

US MMeT-C UA032

Boston School of Occupational Therapy, records

Tufts University Digital Collections and Archives (related resource)

Cadell, T. (Thomas), 1742-1802 (entity described in archival authority record)

<http://hdl.handle.net/10079/fa/beinecke.cadell>
Cadell & Davies records (related resource)

14.2 Types of Related Resources

14.2.1 Identify the type of related resources, such as archival materials, finding aid, or other archival description, monograph, journal article, website, photograph, museum collection, documentary film, or oral history recording using terms prescribed in appropriate companion standards or provided in controlled vocabularies.

```
<resourceRelation xlink:role="archivalRecords">  
<relationEntry>G. Hubert Smith papers</relationEntry>  
</resourceRelation>
```

EAC-CPF encoding in which the value for the `xlink:role` attribute indicates that the related resource, G. Hubert Smith papers, is archival records

14.2.2 Optionally, include a brief description of the related resource.

Autograph File: G (related resource)

Contains receipt for the profits from the first and second editions of Edward Gibbon's *History of the Decline and Fall of the Roman Empire*; also signed by Thomas Cadell

14.3 Nature of Relationship to Related Resources

14.3.1 Describe the nature of the relationships between the corporate body, person, or family and the related resource, for example, creator, author, subject, custodian, copyright owner, controller, owner. Where possible, terms should be applied from a controlled vocabulary (e.g., *Resource Description and Access*, Appendix I, or the *MARC Code List for Relators*).

Smith, G. Hubert, 1908- (entity described in archival authority record) <resourceRelation resourceRelationType="creatorOf" xlink:role="archivalRecords"><relationEntry>G. Hubert Smith papers</relationEntry></resourceRelation>

EAC-CPF encoding in which the value for the resourceRelationType attribute indicates that the entity described in the authority record, G. Hubert Smith, is the creator of the related resource.

14.4 Dates of Related Resources and/or Relationships

14.4.1 Provide any relevant dates for the related resources or the relationship between the corporate body, person, or family and the related resource, and describe the significance of those dates.

Photographs of Arts and Culture in Ghana (related resource)
circa 1970 (date of related resource)
Remarks to Peace Corps Trainees (related resource)
8 September 1962 (date of related resource)

Example Related Archival Materials and Other Resources Area of an Archival Authority Record

Related Resource 1

Identifier and title (14.1.1):

<http://hdl.handle.net/10079/fa/beinecke.cadell>

Cadell & Davies records

Type of related resource (14.2.1): Archival materials

Nature of Relationship to Resource (14.3.1): Creator

Date of Related Resource (14.4.1): 1767-1831

Related Resource 2

Identifier and title (14.1.1):

<http://hdl.handle.net/10079/fa/beinecke.osbmss>

Manuscripts Bound in Printed Books in the Osborn Collection

Type of related resource (14.2.1): Archival materials

Nature of Relationship to Resource (14.3.1): Creator

Date of Related Resource (14.4.1): Approximately 1786

Related Resource 3

Identifier and title (14.1.1):

<http://nrs.harvard.edu/urn-3:FHCL.Hough:hough01430>

Autograph File: G

Type of related resource (14.2.1): Archival Materials

Nature of Relationship to Resource (14.3.1): Creator

Description of Related Resource (14.2.2): Contains receipt for the profits from the first and second editions of Edward Gibbon's History of the Decline and Fall of the Roman Empire; also signed by Thomas Cadell.

Date of Related Resource (14.4.1): 1776

For an example archival authority record showing all five areas, see page 132–134.

Form of the Name

Authorized Form of the Name (10.1.1): Cadell, T. (Thomas), 1742-1802

Type of Entity (10.2.1): Person

Variant Names (10.3.3):

Cadell, Thomas, 1742-1802

Cadel, T.(Thomas),1742-1802

Description of the Corporate Body, Person, or Family

Dates of Existence (11.1.2): 1742 November 12-1802 December 27

Historical Summary (11.2.1):

Thomas Cadell was born in Bristol on 12 November 1742 but spent most of his life in London. When Cadell was fifteen, his father sent him to be an apprentice to Andrew Millar (1707-1768), a well-regarded publisher and bookseller who had supported the publication of Samuel Johnson's *Dictionary*. After seven years, Cadell became a partner in the business and finally took it over when Millar retired in 1767. His clients and friends were among the most influential literary and intellectual figures of the eighteenth century and included Fanny Burney (1752-1840), Robert Burns (1759-1796), David Hume (1711-1776), Samuel Johnson (1709-1784), Hannah More (1745-1833), Adam Smith (1723-1790), and Tobias Smollett (1721-1771). When Cadell retired in 1793, he gave his business to his son, Thomas Cadell (1773-1836) and his former assistant, William Davies (d. 1820). Before his death from an asthma attack in 1802, he enjoyed an active retirement, fulfilling many charitable and public positions, including governor of the Foundling Hospital and sheriff in the Walbrook ward of London.

Places (11.3.2):

Born: Bristol (England)

Lived: London (England)

Functions, Occupations, Activities (11.5.2):

Booksellers

Publishers

Stationers

Related Corporate Bodies, Persons, or Families

Related Entity 1

Name/Identifier (12.1.1):

Cadell & Davies

n 81066332

Type of Related Entity (12.2.1): Corporate body

Category of Relationship (12.3.1): Associative

Description of Relationship (12.3.2): Firm began when Cadell bequeathed his business to his son Thomas Cadell the younger (1773-1836) and assistant William Davies (d. 1820)

Dates of Relationship (12.4.1): 1793-1802

Related Entity 2

Name/Identifier (12.1.1):

Gibbon, Edward, 1737-1794

n 80005416

Type of Related Entity (12.2.1): Person

Category of Relationship (12.3.1): Associative

Description of Relationship (12.3.2): Published Gibbon's *History of the Decline and Fall of the Roman Empire*, giving him nearly two-thirds of profits from sales

Dates of Relationship (12.4.1): 1776-1788

Related Entity 3

Name/Identifier (12.1.1):

Johnson, Samuel, 1709-1784

n 78095825

Type of Related Entity (12.2.1): Person

Category of Relationship (12.3.1): Associative

Description of Relationship (12.3.2): Friend and publisher of Johnson

Dates of Relationship (12.4.1): 1770-1781

Related Entity 4

Name/Identifier (12.1.1):

Millar, Andrew, 1707-1768

n 50033644

Type of Related Entity (12.2.1): Person

Category of Relationship (12.3.1): Associative

Description of Relationship (12.3.2): First an apprentice to and later a business partner to Millar: named an executor when Millar died in 1768

Dates of Relationship (12.4.1): 1758-1768

Authority Record Management

Repository Code (13.1.1): US-CtY-BR

Authority Record Identifier (13.2.1): beinecke.j0zpcks

Rules or Conventions (13.3.1, 13.3.2):

Records were created following DACS conventions

Names were authorized using *Library of Congress Name Authority File*

Status (13.4.2): Authority record is finalized.

Level of Detail (13.5.1): Full

Date(s) of Authority Record Creation and Revision (13.6.1): Created 2012 May 24

Language or Scripts (13.7.1): English, Latin

Sources (13.8.1): *Oxford Dictionary of National Biography*

Maintenance Information (13.9.1): Created by M. K. K. Yearl

Related Archival Materials and Other Resources

Related Resource 1

Identifier and title (14.1.1): <http://hdl.handle.net/10079/fa/beinecke.cadell>

Cadell & Davies records

Type of related resource (14.2.1): Archival materials

Nature of Relationship to Resource (14.3.1): Creator

Date of Related Resource (14.4.1): 1767-1831

Related Resource 2

Identifier and title (14.1.1):

<http://hdl.handle.net/10079/fa/beinecke.osbmss>

Manuscripts Bound in Printed Books in the Osborn Collection

Type of related resource (14.2.1): Archival materials

Nature of Relationship to Resource (14.3.1): Creator

Date of Related Resource (14.4.1): Approximately 1786

Related Resource 3

Identifier and title (14.1.1):

<http://nrs.harvard.edu/urn-3:FHCL.Hough:hough01430>

Autograph File: G

Type of related resource (14.2.1): Archival Materials

Nature of Relationship to Resource (14.3.1): Creator

Description of Related Resource (14.2.2): Contains receipt for the profits from the first and second editions of Edward Gibbon's *History of the Decline and Fall of the Roman Empire*; also signed by Thomas Cadell

Date of Related Resource (14.4.1): 1776

Note that elements 10.4: Identifiers for Corporate Bodies, 11.4: Legal Status, 11.6: Mandates/Source of Authority, and 11.7: Internal Structure/Genealogy are not applicable in this example.

Appendices

Appendix A

2004 Preface

*Archives, Personal Papers, and Manuscripts*¹ has served the U.S. archival community as a content standard for catalog records for more than two decades. The advent of new technologies and descriptive tools, including the Web, XML, and EAD, have encouraged archivists to go beyond placing basic catalog records in online systems to putting full descriptions of their holdings, frequently enhanced with digital images, on the Web. Archival descriptions in an online environment, where not only researchers but other archivists can see them, have highlighted differences and similarities in practice between repositories and brought to the fore the need for a content standard for finding aids.

As a descriptive standard of the Society of American Archivists, *APPM* was placed on a review/revision schedule in the early 1990s. By the time EAD was launched in 1996, it was apparent that any revision of *APPM* should incorporate rules for finding aids as well as for catalog records. It was also thought that the two international standards, the *General International Standard Archival Description (ISAD(G))*² and the *International Standard Archival Authority Record for Corporate Bodies, Persons, and Families (ISAAR(CPF))*,³ should be accommodated, and that perhaps a joint Canadian/U.S. standard could be created.

To that end, discussions with descriptive standards experts in Canada began with a week-long Bentley Library Research Fellowship Program project in summer 1996. The results of that project were promising enough that the discussions continued and, in 1999, the Gladys Kreibel Delmas Foundation funded another joint meeting in Toronto, which produced the "Toronto Accord on Descriptive Standards." It seemed that there was enough common ground to pursue a joint project.

The CUSTARD Project

In 2001 the Society of American Archivists received a grant from the National Endowment for the Humanities, which was augmented by the Delmas Foundation, to embark on a joint U.S.-Canadian descriptive standard project called CUSTARD (Canadian-U.S. Task Force on Archival Description). The project as envisioned would produce a content standard that would replace *APPM* and possibly the Canadian *Rules for Archival Description (RAD)*,⁴ accommodate all the data elements of *ISAD(G)* and *ISAAR(CPF)*, and be applicable to

¹ Steven Hensen, comp., *Archives, Personal Papers, and Manuscripts*, 2nd ed. (Chicago: Society of American Archivists, 1989). The first edition was published in 1983.

² ICA Committee on Descriptive Standards, *ISAD(G): General International Standard Archival Description*, 2nd ed. (Ottawa: International Council on Archives, 1999). Available online at http://www.ica.org/biblio/cds/isad_g_2e.pdf.

³ ICA Ad Hoc Commission on Descriptive Standards, *ISAAR(CPF): International Standard Archival Authority Record for Corporate Bodies, Persons and Families* (Ottawa: International Council on Archives, 1996). Available online at http://www.ica.org/biblio/isaar_eng.pdf.

⁴ *_Rules for Archival Description_* (Ottawa: Bureau of Canadian Archivists, 1990). Available online at <http://www.cdncouncilarchives.ca/archdescrules.html>.

all types of archival descriptions. To do this, eight Canadian archivists, seven U.S. archivists, and the project manager⁵ met four times over two years to draft a set of rules.

By spring 2003 it had become apparent that there were enough significant differences between Canadian and U.S. practice that a joint content standard was not possible at this time. Consequently, the Canadians are using the CUSTARD project draft as the basis for a new edition of *RAD* (*_RAD_2*), and the U.S. archivists have distilled the draft into *Describing Archives: A Content Standard (DACS)*. Despite continued maintenance of two separate national standards, the dialogue between Canadian and U.S. archivists will surely continue.

Relationship to Other Standards

DACS is related to three other groups of standards. Descriptions created according to *DACS* may be stored and exchanged electronically using the syntax of data structure and communication protocols like *MARC 21* and *EAD*. Various thesauri and authority files may serve as the basis for indexing *DACS* records as described in the Overview of Archival Description. Most significantly, *DACS* is associated with other descriptive conventions, notably *APPM*, which it supersedes. That relationship is detailed in the following section. There are also close connections to the *Resource Description and Access (RDA)* and with the two conventions promulgated by the International Council on Archives: *ISAD(G)* and *ISAAR(CPF)*.

Like *APPM*, *DACS* was developed in part as a replacement for the skeletal rules in Chapter 4 of *AACR2*, which itself acknowledges the need for other cataloging codes. Its Rule 0.1 states, “These rules are designed for use in the construction of catalogues and other lists in general libraries of all sizes. They are not specifically intended for specialist and archival libraries, but such libraries are recommended to use the rules as the basis of their cataloguing and to augment their provisions as necessary.” In this way, *DACS* provides more specific guidance in the description of contemporary archival materials and eliminates some of the less user-friendly aspects of *AACR2*, including many abbreviations and the coded recording of uncertain dates, conventions necessitated by the space limitations of 3x5 catalog cards but no longer helpful or necessary in modern information systems. It also provides syntax for the recording of names when families have been identified as the creators of archival materials. While not included in *AACR2*, the use of family names as creators in the description of archives was part of previous bibliographic cataloging codes, has a long tradition in archival descriptive practice, and has been officially sanctioned at least since the first edition of *APPM* was published by the Library of Congress in 1983.

⁵ The group comprised the members of the Canadian Committee on Archival Description (CCAD)— H  l  ne Cadieux, Tim Hutchinson, Bob Krawczyk, Lucie Pag  , Mario Robert, Gerald Stone, Marlene van Ballegooye, Wendy Duff (who substituted for Kent Haworth), and editor and project manager Jean Dryden; and U.S. members Michael Fox, Steve Hensen, Lynn Holdzkom, Margit Kerwin, Kris Kiesling, Bill Landis, and Lydia Reid.

All 26 data elements of *ISAD(G)* and *ISAAR(CPF)* are incorporated into *DACS*, in some cases virtually word for word. The exception is the exclusion, for two reasons, of the Level of Description element from *ISAD(G)*. While five levels of arrangement and description are recognized in *ISAD(G)*, experienced archivists understand that complex holdings often include many more levels of hierarchy. At this time, there is no consensus in the U.S. as to how existing terminology might be applied when there are more than five levels of arrangement. There is no benefit in prescribing data that cannot be applied consistently, especially when such uniformity is a primary requirement for the use of the information. Moreover, the simple recording of the level element, even if it could be assigned in a standardized way, is obviously insufficient for linking together information in the various parts of a multilevel description. As a more pragmatic solution, Chapter 1 of *DACS* simply requires that an information system employ some means of linking together the various levels of description. This could involve linked *MARC* records, nested components in *EAD*, associated tables in a relational database, or some other local solution.

Comparison to *APPM*

Those accustomed to using *APPM* will have little difficulty adopting this new standard. Everything that was in the second edition of *APPM* is here, and more. While *APPM* was a content standard intended specifically for the creation of catalog records, *DACS* can be used to create any type or level of description of archival and manuscript materials, including catalog records and full finding aids. In addition, *DACS* moves away from the bibliographic model represented by the *Anglo-American Cataloging Rules*⁶ and to a certain extent followed by *APPM*, to reflect a more thoroughly archival approach to description.

Structurally speaking, *APPM* is divided into two parts and *DACS* three: *APPM* comprises Part I. Description, and Part II. Headings and Uniform Titles; *DACS* comprises Part I. Describing Archival Materials, Part II. Describing Creators, and Part III. Forms of Names. The organization of the data elements is different in several instances. Many of the elements in the *APPM* Note Area (1.7) are now rearranged into different conceptual areas or even separate chapters in *DACS*. For example, Biographical/Historical Note (*APPM* 1.7B1) is now Chapter 10 Administrative/Biographical History in Part II of *DACS*. In this, as in many other cases, significantly more guidance as to the content of the data element is provided. In addition, the numbering system has been simplified in *DACS*. Within each data element, only the rules themselves are numbered. The exceptions to this are Chapters 12–14, which, as they are drawn from *AACR2*, follow that standard's numbering system. Further, *DACS* simply omits areas mentioned in *APPM* that have little or no relevance to the description of archival materials, such as bibliographic series, parallel titles, statements of responsibility, etc.

The Statement of Principles, a revision of the principles developed early in the CUSTARD project, provides a concise articulation of the nature of archival materials and how that

⁶ *Anglo-American Cataloging Rules*, 2nd ed., 2002 revision (Chicago: American Library Association; Ottawa: Canadian Library Association; London: Chartered Institute of Library and Information Professionals, 2002).

nature translates into descriptive tools. The statement forms the underpinnings of the rules themselves.

DACS

The Overview of Archival Description discusses various types of descriptive tools and the importance of providing access points or index terms to lead researchers to them. While names of creators and functions are powerful access mechanisms for the context of materials, the importance of topical subjects, documentary forms, geographic names, and other types of index terms are emphasized in this section.

Chapter 1 outlines the *DACS* elements that must be included in different levels of descriptions, “level” referring both to the hierarchy of the materials themselves (i.e., whether a given description encompasses the entirety of an individual’s papers or a single letter therein) and to the amount of detail provided in the description. The chapter articulates specific data elements that should be included in descriptions ranging from accession records to full finding aids, from a collection-level MARC 21 record to a fully encoded EAD instance. “Requiredness” of specific data elements was cumbersome to articulate in the context of each rule due to varying needs and practices at different levels of description, so this information has been placed in text boxes on pages 8–11.

DACS also contains a “commentary” for many data elements and occasionally for a specific rule. The commentaries serve to amplify, explain, or provide greater context for the element or rule, particularly in areas where archival practice has been less than uniform in the past.

DACS integrates rules for describing archival and manuscript materials and collections. Gone is the notion of the “artificial” collection. Materials that are gathered together by a person, family, or organization irrespective of their provenance are intentionally and consciously assembled for some purpose. Most repositories in the U.S. have such collections, and they need to be handled and described the same way as materials traditionally considered to be “organic.”

DACS contains no specific rules for the description of particular media, e.g., sound recordings, maps, photographs, etc. Standards for the description of such materials are created and maintained by other groups in the library and archival communities, and to reproduce these rules or try to supersede them here would be both presumptuous and a maintenance nightmare. Archivists who need such specialized rules should consult media-specific standards, which are listed in Appendix B.

Finally, while *DACS* is designed to be output neutral, it nevertheless provides examples encoded in both EAD and MARC 21 for each data element in Part I, and for Chapters 9 and 10, as these are the two output systems currently used by most archivists.

Kris Kiesling

Co-chair, CUSTARD Project Steering Committee

Appendix B

Companion Standards

As indicated in the Overview, DACS includes basic rules for the types of holdings found in many archives, but they do not include all the rules needed to describe every possible type of document. Where further guidance is required, the following standards provide more detailed rules for describing published materials and particular types of nontextual materials. For the most comprehensive and up-to-date listing of standards, see the Society of American Archivists' Standards Portal: <http://www2.archivists.org/standards>.

Content Standards

Architectural Materials

Lowell, Waverly B., and Tawny Ryan Nelb. *Architectural Records: Managing Design and Construction Records*. Chicago: Society of American Archivists, 2006.

Porter, Vicki, and Robin Thornes. *A Guide to the Description of Architectural Drawings*. New York: G. K. Hall, 1994, on behalf of the Getty Art History Information Program.
http://www.getty.edu/research/publications/electronic_publications/fda/index.html.

Cartographic Materials

Descriptive Cataloging of Rare Materials (Cartographic). Association of College and Research Libraries, Rare Books and Manuscripts Section. <http://rbms.info/dcrm/dcrmc/>.

Datasets

Federal Geographic Data Committee. FCDC-STD-001-1998. *Content Standard for Digital Geospatial Metadata* (revised June 1998). Washington, DC: Federal Geographic Data Committee, 1998. <http://www.fgdc.gov/metadata/csdgm>.

Graphic Materials

Descriptive Cataloging of Rare Materials (Graphics). Association of College and Research Libraries, Rare Books and Manuscripts Section. <http://rbms.info/dcrm/dcrmg/>.

Manuscripts

Descriptive Cataloging of Rare Materials (Manuscripts). Association of College and Research Libraries, Rare Books and Manuscripts Section. <http://rbms.info/dcrm/dcrmmss/>.

Pass, Gregory A. *Descriptive Cataloging of Ancient, Medieval, Renaissance, and Early Modern Manuscripts*. Chicago: American Library Association, 2004.
<http://rbms.info/dcrm/amremm/>.

Moving Image Materials and Sound Recordings

AMIM Revision Committee, Motion Picture, Broadcasting, and Recorded Sound Division. *Archival Moving Image Materials: A Cataloging Manual*. 2nd ed. Washington, DC: Library of Congress, Cataloging Distribution Service, 2000.

The FIAF Moving Image Cataloguing Manual. International Federation of Film Archives. <http://www.fiafnet.org/pages/E-Resources/Cataloguing-Manual.html>.

The IASA Cataloguing Rules: A Manual for the Description of Sound Recordings and Related Audiovisual Media. Stockholm: International Association of Sound and Audiovisual Archives, 1999. <http://www.iasa-web.org/icat/icat001.htm>.

Matters, Marion, comp. *Oral History Cataloging Manual*. Chicago: Society of American Archivists, 1995.

Music

Archival Description of Notated Music: A Supplement to Describing Archives: A Content Standard. Music Library Association. Forthcoming.

Descriptive Cataloging of Rare Materials (Music). Association of College and Research Libraries, Rare Books and Manuscripts Section. <http://rbms.info/dcrm/dcrmm/>.

Objects

Baca, Murtha, Patricia Harpring, Elisa Lanzi, Linda McRae, and Ann Whiteside, on behalf of the Visual Resources Association. *Cataloging Cultural Objects: A Guide to Describing Cultural Works and Their Images*. Chicago: American Library Association, 2006. <http://cco.vrafoundation.org/>.

Published Materials

RDA: Resource Description and Access. RDA Steering Committee. <http://rda-rsc.org/>.

Rare Books

Descriptive Cataloging of Rare Materials (Books). Association of College and Research Libraries, Rare Books and Manuscripts Section. <http://rbms.info/dcrm/dcrmb/>.

Rare Serials

Descriptive Cataloging of Rare Materials (Serials). Association of College and Research Libraries, Rare Books and Manuscripts Section. <http://rbms.info/dcrm/dcrms/>.

Data Structure Standards

Categories for the Description of Works of Art. J. Paul Getty Trust, Getty Vocabulary Program. http://www.getty.edu/research/publications/electronic_publications/cdwa/index.html.

Dublin Core Metadata Element Set. Dublin Core Metadata Initiative.
<http://dublincore.org/documents/dces/>.

Encoded Archival Context—Corporate Bodies, Persons, and Families. Society of American Archivists, Technical Subcommittee on Encoded Archival Standards.
<http://eac.staatsbibliothek-berlin.de/>.

Encoded Archival Description. Society of American Archivists, Technical Subcommittee on Encoded Archival Standards. <http://www.loc.gov/ead/index.html>.

MARC 21. Library of Congress, Network Development & MARC Standards Office.
<http://www.loc.gov/marc/>.

Metadata Encoding and Transmission Standard. Library of Congress, Network Development & MARC Standards Office. <http://www.loc.gov/standards/mets/>.

Metadata Object Description Schema. Library of Congress, Network Development & MARC Standards Office. <http://www.loc.gov/standards/mods/>.

Preservation Metadata Implementation Strategies. Library of Congress.
<http://www.loc.gov/standards/premis/>.

VRA Core. Visual Resources Association. <http://www.loc.gov/standards/vracore/>.

Data Value Standards/Thesauri

Art & Architecture Thesaurus. J. Paul Getty Trust.
<http://www.getty.edu/research/tools/vocabularies/aat/index.html>.

Dictionary of Occupational Titles. 4th ed., rev. Washington, DC: U.S. Department of Labor, Employment and Training Administration, U.S. Employment Service, 1991.
<http://www.occupationalinfo.org>.

Getty Thesaurus of Geographic Names. J. Paul Getty Trust.
<http://www.getty.edu/research/tools/vocabularies/tgn/index.html>.

Library of Congress Authorities. Library of Congress. <http://authorities.loc.gov/>. This resource covers the following authorities:

- LC Subject Headings
- LC Name Authority File
- LC Title Authority File

Library of Congress Linked Data Service: Authorities and Vocabularies. Library of Congress. <http://id.loc.gov/>. This resource covers the following authorities:

- LC Subject Headings
- LC Name Authority File
- LC Classification
- LC Children's Subject Headings

- LC Genre/Form Terms
- LC Medium of Performance Thesaurus for Music
- LC Demographic Group Terms
- Thesaurus for Graphic Materials
- AFS Ethnographic Thesaurus
- Cultural Heritage Organizations
- MARC Relators
- MARC Countries
- MARC Geographic Areas
- MARC Languages
- MARC Genre Terms
- ISO639-1 Languages
- ISO639-2 Languages
- ISO639-5 Languages
- Extended Date/Time Format

Medical Subject Headings. National Library of Medicine. <https://www.nlm.nih.gov/mesh/>.

Nomenclature 4.0 for Museum Cataloging. American Association for State and Local History. <http://community.aaslh.org/nomenclature/>.

Taves, Brian, Judi Hoffman, and Karen Lund, comps. *The Moving Image Genre-form Guide*. Washington, DC: Library of Congress, Motion Picture, Broadcasting, and Recorded Sound Division, 1998. <http://www.loc.gov/rr/mopic/migintro.html>.

Thesaurus for Graphic Materials I: Subject Terms. Library of Congress, Prints and Photographs Division. <http://www.loc.gov/rr/print/tgm1/>.

Thesaurus for Graphic Materials II: Genre and Physical Characteristics Terms. Library of Congress, Prints and Photographs Division. <http://www.loc.gov/rr/print/tgm2/>.

UNESCO Thesaurus. UNESCO. <http://vocabularies.unesco.org/thesaurus>.

Union List of Artists' Names. J. Paul Getty Trust. <http://www.getty.edu/research/tools/vocabularies/ulan/index.html>.

Appendix C

Crosswalks

DACS to ISAAR(CPF) to EAC(CPF)

```
<tr>
  <td><strong>DACS</strong></td>
  <td><strong>ISAAR(CPF)</strong></td>
  <td><strong>EAC-CPF</strong></td>
</tr>
<tr>
  <td colspan="3"><em>Chapter 2 Identity Elements</em></td>
</tr>
<tr>
  <td>2.6 Name of Creator(s)</td>
  <td>5.1 Identity area</td>
  <td><code>&lt;identity&gt;</code></td>
</tr>
<tr>
  <td>2.7 Administrative/ Biographical History</td>
  <td>5.2.2 History</td>
  <td><code>&lt;biogHist&gt;</code></td>
</tr>
<tr>
  <td>2.7.13 Names</td>
  <td>5.1.2 Authorized form(s) of name</td>
  <td><code>&lt;nameEntry&gt;</code> or <code>&lt;nameEntryParallel&gt;</code>
  > with <code>&lt;authorizedForm&gt;</code></td>
</tr>
<tr>
  <td>2.7.14 Family information</td>
  <td>5.2.7 Internal structure/Genealogy</td>
  <td><code>&lt;structureOrGenealogy&gt;</code></td>
</tr>
<tr>
  <td>2.7.15 Dates</td>
  <td>5.2.1 Dates of existence</td>
  <td><code>&lt;existDates&gt;</code></td>
</tr>
<tr>
  <td>2.7.16 Place of residence</td>
  <td>5.2.3 Places</td>
  <td><code>&lt;place&gt;</code> or <code>&lt;places&gt;</code></td>
</tr>
<tr>
  <td>2.7.17 Education</td>
  <td>5.2.2 History</td>
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    <td><code>&lt;biogHist&gt;</code></td>
</tr>
<tr>
    <td>2.7.18 Occupation, life, and activities</td>
    <td>5.2.5 Functions, occupations, and activities</td>
    <td><code>&lt;occupation&gt;</code> or <code>&lt;occupations&gt;</code></td>
>
</tr>
<tr>
    <td>2.7.19 Other relationships</td>
    <td>5.2.8 General context</td>
    <td><code>&lt;relations&gt;</code></td>
</tr>
<tr>
    <td>2.7.20 Family relationships</td>
    <td>5.2.7 Internal structure/Genealogy</td>
    <td><code>&lt;cpfRelation cpfRelationType="family"&gt;</code></td>
</tr>
<tr>
    <td>2.7.21 Other significant information</td>
    <td>5.2.9 Other significant information</td>
    <td><code>&lt;generalContext&gt;</code></td>
</tr>
<tr>
    <td>2.7.22-23 Administrative history</td>
    <td>5.2.2 History</td>
    <td><code>&lt;biogHist&gt;</code></td>
</tr>
<tr>
    <td>2.7.24 Dates of founding and/or dissolution</td>
    <td>5.2.1 Dates of existence</td>
    <td><code>&lt;existDates&gt;</code></td>
</tr>
<tr>
    <td>2.7.25 Geographical areas</td>
    <td>5.2.3 Places</td>
    <td><code>&lt;place&gt;</code> or <code>&lt;places&gt;</code></td>
</tr>
<tr>
    <td>2.7.26 Mandate</td>
    <td>5.2.6 Mandates/Sources of authority</td>
    <td><code>&lt;mandate&gt;</code> or <code>&lt;mandates&gt;</code></td>
</tr>
<tr>
    <td>2.7.27 Functions</td>
    <td>5.2.5 Functions, occupations, and activities</td>
    <td><code>&lt;function&gt;</code> or <code>&lt;functions&gt;</code>, <code>
&lt;occupation&gt;</code> or <code>&lt;occupations&gt;</code></td>
</tr>
<tr>

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    <td>2.7.28 Administrative structure</td>
    <td>5.2.7 Internal structure/Genealogy</td>
    <td><code>&lt;structureOrGenealogy&gt;</code></td>
</tr>
<tr>
    <td>2.7.29 Predecessor and successor bodies</td>
    <td>5.2.2 History</td>
    <td><code>&lt;cpfRelation cpfRelationType="temporal-earlier"&gt;</code> or
<code>"temporal-later"</code></td>
</tr>
<tr>
    <td>2.7.30 Amalgamations and mergers</td>
    <td>5.2.2 History</td>
    <td><code>&lt;cpfRelation cpfRelationType="[value]"&gt;</code></td>
</tr>
<tr>
    <td>2.7.31 Name changes</td>
    <td>5.2.2 History</td>
    <td><code>&lt;cpfRelation cpfRelationType="[value]"&gt;</code></td>
</tr>
<tr>
    <td>2.7.32 Names of officers</td>
    <td>5.2.2 History</td>
</tr>
<tr>
    <td>2.7.33 Other significant information</td>
    <td>5.2.8 General context</td>
    <td><code>&lt;generalContext&gt;</code></td>
</tr>
<tr>
    <td colspan="3"><em>Part II: Chapter 9 Archival Authority Records/Chapter 1
0 Form of the Name</em></td>
</tr>
<tr>
    <td>10.1 Authorized Form of the Name</td>
    <td>5.1.2 Authorized form(s) of name</td>
    <td><code>&lt;nameEntry&gt;</code> or <code>&lt;nameEntryParallel&gt;</code>
> with <code>&lt;authorizedForm&gt;</code></td>
</tr>
<tr>
    <td>10.2 Type of Entity</td>
    <td>5.1.1 Type of entity</td>
    <td><code>&lt;entityType&gt;</code></td>
</tr>
<tr>
    <td>10.3 Variant Forms of Names</td>
    <td>5.1.3 Parallel forms of name</td>
    <td><code>&lt;nameEntryParallel&gt;</code></td>
</tr>
<tr>

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    <td>10.3.2 Standardized form of the name according to other rules</td>
    <td>5.1.4 Standardized forms of name according to other rules</td>
    <td><code>&lt;nameEntry&gt;</code> or <code>&lt;nameEntryParallel&gt;</code>
> with <code>&lt;authorizedForm&gt;</code></td>
</tr>
<tr>
    <td>10.3.3 Other forms of name</td>
    <td>5.1.5 Other forms of name</td>
    <td><code>&lt;nameEntry&gt;</code> or <code>&lt;nameEntryParallel&gt;</code>
> with <code>&lt;alternativeForm&gt;</code></td>
</tr>
<tr>
    <td>10.4 Identifiers for Corporate Bodies</td>
    <td>5.1.6 Identifiers for corporate bodies</td>
    <td><code>&lt;entityID&gt;</code></td>
</tr>
<tr>
    <td colspan="3"><em>Chapter 11 Description of the Person, Family, or Corpor
ate Body</em></td>
</tr>
<tr>
    <td>11.1 Dates of Existence</td>
    <td>5.2.1 Dates of existence</td>
    <td><code>&lt;existDate&gt;</code></td>
</tr>
<tr>
    <td>11.2 Historical Summary</td>
    <td>5.2.2 History</td>
    <td><code>&lt;biogHist&gt;</code></td>
</tr>
<tr>
    <td>11.3 Places</td>
    <td>5.2.3 Places</td>
    <td><code>&lt;place&gt;</code> or <code>&lt;places&gt;</code></td>
</tr>
<tr>
    <td>11.4 Legal Status</td>
    <td>5.2.4 Legal Status</td>
    <td><code>&lt;legalStatus&gt;</code> or <code>&lt;legalStatuses&gt;</code><
/td>
</tr>
<tr>
    <td>11.5 Functions, Occupations, and Activities</td>
    <td>5.2.5 Functions, occupations, and activities</td>
    <td><code>&lt;function&gt;</code> or <code>&lt;functions&gt;</code>, <code>
&lt;occupation&gt;</code> or <code>&lt;occupations&gt;</code></td>
</tr>
<tr>
    <td>11.6 Mandates/Source of Authority</td>
    <td>5.2.6 Mandates/Sources of authority</td>

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    <td><code>&lt;mandate&gt;</code> or <code>&lt;mandates&gt;</code></td>
</tr>
<tr>
    <td>11.7 Internal Structure/Genealogy</td>
    <td>5.2.7 Internal structure/Genealogy</td>
    <td><code>&lt;structureOrGenealogy&gt;</code></td>
</tr>
<tr>
    <td colspan="3"><em>Chapter 12 Related Corporate Bodies, Persons, and Families</em></td>
</tr>
<tr>
    <td>12.1-12.2 Names/Identifiers of Related Corporate Bodies, Persons, or Families <em>and</em> Type of Related Entity</td>
    <td>5.3.1 Names/identifiers of related corporate bodies, persons or families</td>
    <td><code>&lt;cpfRelation&gt;</code> and <code>&lt;entityType&gt;</code></td>
</tr>
<tr>
    <td>12.3 Nature of Relationship</td>
    <td>5.3.2 Category of relationship</td>
    <td><code>&lt;cpfRelation cpfRelationType="[value]"&gt;</code></td>
</tr>
<tr>
    <td>12.3 Nature of Relationship</td>
    <td>5.3.3 Description of the relationship</td>
    <td><code>&lt;objectXMLWrap&gt;</code> or <code>&lt;objectBinWrap&gt;</code> or <code>&lt;relationEntry&gt;</code></td>
</tr>
<tr>
    <td>12.4 Dates of the Relationship</td>
    <td>5.3.4 Dates of the relationship</td>
    <td><code>&lt;cpfRelation&gt;/&lt;date&gt;</code> or <code>&lt;dateRange&gt;</code> or <code>&lt;dateSet&gt;</code></td>
</tr>
<tr>
    <td colspan="3"><em>Authority Record Management</em></td>
</tr>
<tr>
    <td>13.1 Repository Code</td>
    <td>5.4.2 Institution identifiers</td>
    <td><code>&lt;maintenanceAgency/agencyCode</code> and/or <code>&lt;agencyName&gt;</code></td>
</tr>
<tr>
    <td>13.2 Authority Record Identifier</td>
    <td>5.4.1 Authority record identifier</td>
    <td><code>&lt;recordId&gt;</code></td>
</tr>

```

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<tr>
  <td>13.3 Rules or Conventions</td>
  <td>5.4.3 Rules and/or conventions</td>
  <td><code>&lt;conventionDeclaration&gt;</code></td>
</tr>
<tr>
  <td>13.4 Status</td>
  <td>5.4.4 Status</td>
  <td><code>&lt;maintenanceStatus&gt;</code></td>
</tr>
<tr>
  <td>13.5 Level of Detail</td>
  <td>5.4.5 Level of detail</td>
  <td><code>&lt;localControl&gt;</code></td>
</tr>
<tr>
  <td>13.6 Date(s) of Authority Record Creation and Revision</td>
  <td>5.4.6 Dates of creation, revision, or deletion</td>
  <td><code>&lt;maintenanceEvent&gt;/&lt;eventDateTime&gt;</code></td>
</tr>
<tr>
  <td>13.7 Languages or Scripts</td>
  <td>5.4.7 Languages and scripts</td>
  <td><code>&lt;languageDeclaration&gt;</code></td>
</tr>
<tr>
  <td>13.8 Sources</td>
  <td>5.4.8 Sources</td>
  <td><code>&lt;sources&gt;</code></td>
</tr>
<tr>
  <td>13.9 Maintenance Information</td>
  <td>5.4.9 Maintenance notes</td>
  <td><code>&lt;maintenanceEvent&gt;/&lt;maintenanceDescription&gt;</code></td>
</tr>
<tr>
  <td colspan="3"><em>Related Archival Materials and Other Resources</em></td>
</tr>
<tr>
  <td>14.1 Identifiers and Titles of Related Resources</td>
  <td>6.1 Identifiers and titles of related resources</td>
  <td><code>&lt;objectXMLWrap&gt;</code> or <code>&lt;objectBinWrap&gt;</code>
  > or <code>&lt;relationEntry&gt;</code></td>
</tr>
<tr>
  <td>14.2 Types of Related Resources</td>
  <td>6.2 Types of related resources</td>
  <td><code>&lt;resourceRelation xlink:role="[value]"&gt;</code></td>

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</tr>
<tr>
  <td>14.3 Nature of Relationship to Related Resources</td>
  <td>6.3 Nature of relationships</td>
  <td><code>&lt;resourceRelation resourceRelationType=" [value]"&gt;</code></td>
</tr>
<tr>
  <td>14.4 Dates of Related Resources and/or Relationships</td>
  <td>6.4 Dates of related resources and/or relationships</td>
  <td><code>&lt;resourceRelation>/<date&gt;</code> or <code>&lt;dateRange&gt;</code> or <code>&lt;dateSet&gt;</code></td>
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DACS to RDA

```

<tr>
  <td><strong>DACs</strong></td>
  <td><strong>RDA</strong></td>
</tr>
<tr>
  <td colspan="3"><em>Part I</em></td>
</tr>
<tr>
  <td>2.1 Reference Code</td>
  <td>2.15 Manifestations; 2.19 Item-level (They have an archival example here.)</td>
</tr>
<tr>
  <td>2.2 Name and Location of Repository</td>
</tr>
<tr>
  <td>2.3 Title</td>
  <td>2.3.2.11.4</td>
</tr>
<tr>
  <td>2.4 Date</td>
  <td>2.7.6.7</td>
</tr>
<tr>
  <td>2.5 Extent</td>
  <td>3.4.1.11</td>
</tr>
<tr>
  <td>2.6 Name of Creator(s)</td>
  <td>19, 21, 22</td>
</tr>
<tr>
  <td>2.7 Administrative/Biographical History</td>
  <td>9.17</td>
</tr>

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<tr>	<td>2.7.13 Names</td>	<td>9.2</td>
</tr>	<td>2.7.14 Family information</td>	<td>9.17</td>
</tr>	<td>2.7.15 Dates</td>	<td>9.8-9.9</td>
</tr>	<td>2.7.16 Place of residence</td>	<td>9.11; 9.8-9.9</td>
</tr>	<td>2.7.17 Education</td>	<td>9.17</td>
</tr>	<td>2.7.18 Occupation, life, and activities</td>	<td>9.15-9.16</td>
</tr>	<td>2.7.19 Relationships</td>	<td>30 (Persons); 31 (Families); 32 (Corporations)</td>
</tr>	<td>2.7.20 Family relationships</td>	<td>31 (Families)</td>
</tr>	<td>2.7.21 Other information</td>	<td>9.17</td>
</tr>	<td>2.7.22-2.7.23 Administrative history</td>	<td>11.11</td>
</tr>	<td>2.7.24 Dates of founding and/or dissolution</td>	<td>11.4.3; 11.4.4</td>
</tr>	<td>2.7.25 Geographical areas</td>	<td>11.3</td>
</tr>	<td>2.7.26 Mandate</td>	

11.11	
2.7.27 Functions	11.10
2.7.28 Administrative Structure	No RDA equivalent
2.7.29 Predecessor and successor bodies	32 (related bodies)
2.7.30 Amalgamations and mergers	
2.7.31 Name changes	RDA wants you to create a separate record for each name.
2.7.32 Chief Officers	30 (related persons)
2.7.33 Other significant information	
3.1 Scope and Content	7.10
3.2 System of Arrangement	7.8
4.1 Conditions Governing Access	4.4
4.2 Physical Access	No RDA equivalent (perhaps 3.21)
4.3 Technical Access	3.20
4.4 Conditions Governing Reproduction and Use	

<td>4.5</td>	
</tr>	
<tr>	
<td>4.5 Languages and Scripts of the Material</td>	
<td>7.12; 7.13</td>	
</tr>	
<tr>	
<td>4.6 Finding Aids</td>	
<td>25.1 (related work)</td>	
</tr>	
<tr>	
<td>5.1 Custodial History</td>	
<td>2.17</td>	
</tr>	
<tr>	
<td>5.2 Immediate Source of Acquisition</td>	
<td>2.18</td>	
</tr>	
<tr>	
<td>5.3 Appraisal, Destruction, and Scheduling Information</td>	
<td>No RDA equivalent</td>	
</tr>	
<tr>	
<td>5.4 Accruals</td>	
<td>No RDA equivalent</td>	
</tr>	
<tr>	
<td>6.1 Existence and Location of Originals</td>	
<td>28.1 (related manifestations)</td>	
</tr>	
<tr>	
<td>6.2 Existence and Location of Copies</td>	
<td>28.1</td>	
</tr>	
<tr>	
<td>6.3 Related Archival Materials</td>	
<td>24.4.3 b (related works unstructured description)</td>	
</tr>	
<tr>	
<td>6.4 Publication Note</td>	
<td>25 (related work)</td>	
</tr>	
<tr>	
<td>7.1 Notes</td>	
<td>2.20 (manifestations/items)</td>	
</tr>	
<tr>	
<td>8.1 Description Control</td>	
<td>5.7 (work)</td>	
</tr>	

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<tr>
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</tr>
<tr>
  <td>9 Archival Authority Records</td>
  <td>19.2; 19.3</td>
</tr>
<tr>
  <td>10.1 Authorized Form of the Name</td>
  <td>9.19 (Person); 10.10 (Families); 11.13 (Corporate bodies)</td>
</tr>
<tr>
  <td>10.2 Type of Entity</td>
</tr>
<tr>
  <td>10.3.1 Parallel forms of name</td>
  <td>8.7 (variant forms)</td>
</tr>
<tr>
  <td>10.3.2 Standardized form of the name according to other rules</td>
  <td>9.19.2</td>
</tr>
<tr>
  <td>10.3.3 Other forms of name</td>
  <td>9.19.2</td>
</tr>
<tr>
  <td>11 Description of the Person, Family, or Corporate Body</td>
  <td>11.12</td>
</tr>
<tr>
  <td>11.1 Dates of Existence</td>
  <td>9.3 (Person); 10.4 (Family); 11.4 (Corporate bodies)</td>
</tr>
<tr>
  <td>11.2 Historical Summary</td>
  <td>9.17 (Person); 10.8 (Family); 11.11 (Corporate body)</td>
</tr>
<tr>
  <td>11.3 Places</td>
  <td>9.8–9.12 (Person); 10.5 (Family); 11.3 (Corporate body)</td>
</tr>
<tr>
  <td>11.4 Legal Status</td>
  <td>11.7</td>
</tr>
<tr>
  <td>11.5 Functions, Occupations, and Activities</td>
  <td>9.15–9.16 (Person); 11.10 (Corporate body)</td>
</tr>

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<tr>
  <td>11.6 Mandates/Sources of Authority</td>
</tr>
<tr>
  <td>11.7 Internal Structure/Genealogy</td>
  <td>10.8 (Family); 11.11 (Corporate body)</td>
</tr>
<tr>
  <td>12.1 Names/Identifiers of Related Corporate Bodies, Persons, or Families</td>
  <td>30 (Person); 31 (Families); 32 (Corporate body)</td>
</tr>
<tr>
  <td>12.2 Type of Related Entity</td>
</tr>
<tr>
  <td>12.3 Nature of Relationship</td>
  <td>30.2 (Person); 31.2 (Family); 32.2 (Corporate body)</td>
</tr>
<tr>
  <td>12.4 Dates of the Relationship</td>
</tr>
<tr>
  <td>13.1 Repository Code</td>
</tr>
<tr>
  <td>13.2 Authority Record Identifier</td>
</tr>
<tr>
  <td>13.3 Rules or Conventions</td>
</tr>
<tr>
  <td>13.4 Status</td>
  <td>8.10</td>
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<tr>
  <td>13.5 Level of Detail</td>
</tr>
<tr>
  <td>13.6 Date(s) of Authority Record Creation and Revision</td>
</tr>
<tr>
  <td>13.7 Languages or Scripts</td>
  <td>8.4</td>
</tr>
<tr>
  <td>13.8 Sources</td>
  <td>8.12</td>
</tr>
<tr>

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13.9 Maintenance Information
14.1 Identifiers and Titles of Related Resources
18-22
14.2 Types of Related Resources
14.3 Nature of Relationship to Related Resources
K, Relationship designators
14.4 Dates of Related Resources and/or Relationships

ISAD(G) to DACS

ISAD(G)	DACS
3.1 Identity Statement Area	
3.1.1 Reference code(s)	2.1 Reference Code
3.1.2 Title	2.3 Title
3.1.3 Dates	2.4 Date
3.1.4 Level of description	1 Levels of Description
3.1.5 Extent and medium of the unit	2.5 Extent
3.2 Context Area	
3.2.1 Name of creator	

```

    <td>2.6, Part II Describing Creators</td>
</tr>
<tr>
    <td>3.2.2 Administrative/ Biographical history</td>
    <td>2.7, 11.2 Administrative/Biographical History</td>
</tr>
<tr>
    <td>3.2.3 Archival history</td>
    <td>5.1 Custodial History</td>
</tr>
<tr>
    <td>3.2.4 Immediate source of acquisition</td>
    <td>5.2 Immediate Source of Acquisition</td>
</tr>
<tr>
    <td colspan="2"><em>3.3 Context and Structure Area</em></td>
</tr>
<tr>
    <td>3.3.1 Scope and content</td>
    <td>3.1 Scope and content</td>
</tr>
<tr>
    <td>3.3.2 Appraisal, destruction and scheduling</td>
    <td>5.3 Appraisal, Destruction, and Scheduling Information</td>
</tr>
<tr>
    <td>3.3.3 Accruals</td>
    <td>5.4 Accruals</td>
</tr>
<tr>
    <td>3.3.4 System of arrangement</td>
    <td>3.2 System of Arrangement</td>
</tr>
<tr>
    <td colspan="2"><em>3.4 Conditions of Access and Use Area</em></td>
</tr>
<tr>
    <td>3.4.1 Conditions governing access</td>
    <td>4.1 Conditions Governing Access</td>
</tr>
<tr>
    <td>3.4.2 Conditions governing reproduction</td>
    <td>4.4 Conditions Governing Reproduction and Use</td>
</tr>
<tr>
    <td>3.4.3 Language/scripts of material</td>
    <td>4.5 Languages and Scripts of the Material</td>
</tr>
<tr>
    <td>3.4.4 Physical characteristics and technical requirements</td>

```

```

    <td>4.2 Physical Access/4.3 Technical Access</td>
</tr>
<tr>
    <td>3.4.5 Finding aids</td>
    <td>4.6 Finding Aids</td>
</tr>
<tr>
    <td colspan="2"><em>3.5 Allied Materials Area</em></td>
</tr>
<tr>
    <td>3.5.1 Existence and location of originals</td>
    <td>6.1 Existence and Location of Originals</td>
</tr>
<tr>
    <td>3.5.2 Existence and location of copies</td>
    <td>6.2 Existence and Location of Copies</td>
</tr>
<tr>
    <td>3.5.3 Related units of description</td>
    <td>6.3 Related Archival Materials</td>
</tr>
<tr>
    <td>3.5.4 Publication note</td>
    <td>6.4 Publication Note</td>
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<tr>
    <td colspan="2"><em>3.6 Notes Area</em></td>
</tr>
<tr>
    <td>3.6.1 Note</td>
    <td>7 Notes</td>
</tr>
<tr>
    <td colspan="2"><em>3.7 Description Control Area</em></td>
</tr>
<tr>
    <td>3.7.1 Archivist's note</td>
    <td>8.1.5 Archivist and date</td>
</tr>
<tr>
    <td>3.7.2 Rules or conventions</td>
    <td>8.1.4 Rules or conventions</td>
</tr>
<tr>
    <td>3.7.3 Date(s) of descriptions</td>
    <td>8.1.5 Archivist and date</td>
</tr>

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DACS to EAD and MARC

```
<tr>
  <td><strong>DACs</strong></td>
  <td><strong>EAD</strong></td>
  <td><strong>MARC</strong></td>
</tr>
<tr>
  <td><em>1 Level of Description</em></td>
  <td><code>&lt;archdesc&gt;</code> and <code>&lt;c&gt;</code> level attribut
e</td>
  <td><code>351$c</code></td>
</tr>
<tr>
  <td colspan="3"><em>2 Identity Elements</em></td>
</tr>
<tr>
  <td>2.1.3 Local identifier</td>
  <td><code>&lt;unitid&gt;</code></td>
  <td><code>099</code>, <code>090</code></td>
</tr>
<tr>
  <td>2.1.4 Repository identifier</td>
  <td><code>&lt;unitid&gt;</code> repositorycode attribute</code></td>
  <td><code>040$a</code></td>
</tr>
<tr>
  <td>2.1.5 Country identifier</td>
  <td><code>&lt;unitid&gt;</code> countrycode attribute</code></td>
  <td>The MARC21 format does not contain a straightforward mapping for this D
ACS subelement value.</td>
</tr>
<tr>
  <td>2.2 Name and Location of Repository</td>
  <td><code>&lt;repository&gt;</code></td>
  <td><code>852</code>, <code>524</code> (if the preferred citation indicates
both the name and location of the repository)</td>
</tr>
<tr>
  <td>2.3 Title</td>
  <td><code>&lt;unittitle&gt;</code></td>
  <td><code>245$a</code></td>
</tr>
<tr>
  <td>2.4 Date</td>
  <td><code>&lt;unitdate&gt;</code></td>
  <td><code>264 _0 $c</code></td>
</tr>
<tr>
  <td>2.5 Extent</td>
```

```

    <td><code>&lt;physdesc&gt;</code> and subelements <code>&lt;extent&gt;</code>
e>, <code>&lt;dimensions&gt;</code>, <code>&lt;genreform&gt;</code>, <code>&lt;
t;physfacet&gt;</code></td>
    <td><code>300$a</code> and potentially other subfields</td>
</tr>
<tr>
    <td>2.6 Name of Creator(s)</td>
    <td><code>&lt;origination&gt;</code></td>
    <td><code>100</code>, <code>110</code>, or <code>111</code>; <code>700</cod
e>, <code>710</code>, or <code>711</code> for names in addition to that of th
e predominant creator</td>
</tr>
<tr>
    <td>2.7 Admininstrative/Biographical History</td>
    <td><code>&lt;bioghist&gt;</code></td>
    <td><code>545</code></td>
</tr>
<tr>
    <td colspan="3"><em>3 Content and Structure Elements</em></td>
</tr>
<tr>
    <td>3.1 Scope and Content</td>
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    <td><code>520</code></td>
</tr>
<tr>
    <td>3.2 System of Arrangement</td>
    <td><code>&lt;arrangement&gt;</code></td>
    <td><code>351</code></td>
</tr>
<tr>
    <td colspan="3"><em>4 Access Elements</em></td>
</tr>
<tr>
    <td>4.1 Conditions Governing Access</td>
    <td><code>&lt;accessrestrict&gt;</code></td>
    <td><code>506</code></td>
</tr>
<tr>
    <td>4.2 Physical Access</td>
    <td><code>&lt;accessrestrict&gt;</code>, <code>&lt;phystech&gt;</code>, <co
de>&lt;physloc&gt;</code></td>
    <td><code>340</code>, <code>506</code></td>
</tr>
<tr>
    <td>4.3 Technical Access</td>
    <td><code>&lt;phystech&gt;</code></td>
    <td><code>340</code>, <code>538</code></td>
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    <td>4.4 Conditions Governing Reproduction and Use</td>
    <td><code>&lt;userrestrict&gt;</code></td>
    <td><code>540</code></td>
</tr>
<tr>
    <td>4.5 Languages and Scripts of the Material</td>
    <td><code>&lt;langmaterial&gt;</code></td>
    <td><code>546</code></td>
</tr>
<tr>
    <td>4.6 Finding Aids</td>
    <td><code>&lt;otherfindaid&gt;</code></td>
    <td><code>555</code></td>
</tr>
<tr>
    <td colspan="3"><em>5 Acquisition and Appraisal Elements</em></td>
</tr>
<tr>
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    <td><code>561</code></td>
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<tr>
    <td>5.2 Immediate Source of Acquisition</td>
    <td><code>&lt;acqinfo&gt;</code></td>
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</tr>
<tr>
    <td>5.3 Appraisal, Destruction, and Scheduling Information</td>
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<tr>
    <td>5.4 Accruals</td>
    <td><code>&lt;accruals&gt;</code></td>
    <td><code>584</code></td>
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<tr>
    <td colspan="3"><em>6 Related Materials Elements</em></td>
</tr>
<tr>
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    <td><code>535</code></td>
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<tr>
    <td>6.2 Existence and Location of Copies</td>
    <td><code>&lt;altformavail&gt;</code></td>
    <td><code>530</code>, <code>533</code></td>
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  <td><code>544</code></td>
</tr>
<tr>
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  <td><code>&lt;bibliography&gt;&lt;p&gt;</code> or <code>&lt;bibliography&gt;&lt;bibref&gt;</code></td>
  <td><code>581</code></td>
</tr>
<tr>
  <td><em>7 Notes</em><sup>1</sup></td>
  <td><code>&lt;odd&gt;</code>, <code>&lt;note&gt;</code></td>
  <td><code>500</code></td>
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<tr>
  <td><em>8 Description Control</em></td>
  <td><code>&lt;processinfo&gt;</code></td>
  <td><code>583</code></td>
</tr>
<tr>
  <td>8.1.4 Rules or conventions</td>
  <td><code>&lt;descrules&gt;</code></td>
  <td><code>040$e</code></td>
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  <td>8.1.5 Archivist and date</td>
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DACS to ISAD(G)

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  <td><strong>ISAD(G)</strong></td>
</tr>
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  <td>3.1.4 Level of description</td>
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<tr>
  <td colspan="2"><em>2 Identity Elements</em></td>
</tr>
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¹ Notes should only be encoded using the more generic and elements (EAD) or 500 field (MARC 21) when they do not correspond to a more specific EAD element or MARC 21 field.

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    <td>2.1 Reference Code</td>
    <td>3.1.1 Reference code(s)</td>
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    <td>3.1.2 Title</td>
</tr>
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    <td>3.1.3 Dates</td>
</tr>
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    <td>3.1.5 Extent and medium of the unit</td>
</tr>
<tr>
    <td>2.6 Name of Creator(s)</td>
    <td>3.2.1 Name of creator</td>
</tr>
<tr>
    <td>2.7 Administrative/Biographical History</td>
    <td>3.2.2 Administrative/Biographical history</td>
</tr>
<tr>
    <td colspan="2"><em>3 Content and Structure Elements</em></td>
</tr>
<tr>
    <td>3.1 Scope and Content</td>
    <td>3.3.1 Scope and content</td>
</tr>
<tr>
    <td>3.2 System of Arrangement</td>
    <td>3.3.4 System of arrangement</td>
</tr>
<tr>
    <td colspan="2"><em>4 Access Elements</em></td>
</tr>
<tr>
    <td>4.1 Conditions Governing Access</td>
    <td>3.4.1 Conditions governing access</td>
</tr>
<tr>
    <td>4.2 Physical Access</td>
    <td>3.4.4 Physical characteristics and technical requirements</td>
</tr>
<tr>
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    <td>3.4.4 Physical char. and technical req.</td>
</tr>
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    <td>4.4 Conditions Governing Reproduction and Use</td>
    <td>3.4.2 Conditions governing reproduction</td>
</tr>
<tr>
    <td>4.5 Languages and Scripts of the Material</td>
    <td>3.4.3 Language/scripts of material</td>
</tr>
<tr>
    <td>4.6 Finding Aids</td>
    <td>3.4.5 Finding aids</td>
</tr>
<tr>
    <td colspan="2"><em>5 Acquisition and Appraisal Elements</em></td>
</tr>
<tr>
    <td>5.1 Custodial History</td>
    <td>3.2.3 Archival history</td>
</tr>
<tr>
    <td>5.2 Immediate Source of Acquisition</td>
    <td>3.2.4 Immediate source of acquisition</td>
</tr>
<tr>
    <td>5.3 Appraisal, Destruction, and Scheduling Information</td>
    <td>3.3.2 Appraisal, destruction, scheduling</td>
</tr>
<tr>
    <td>5.4 Accruals</td>
    <td>3.3.3 Accruals</td>
</tr>
<tr>
    <td colspan="2"><em>6 Related Materials Elements</em></td>
</tr>
<tr>
    <td>6.1 Existence and Location of Originals</td>
    <td>3.5.1 Existence and location of originals</td>
</tr>
<tr>
    <td>6.2 Existence and Location of Copies</td>
    <td>3.5.2 Existence and location of copies</td>
</tr>
<tr>
    <td>6.3 Related Archival Materials</td>
    <td>3.5.3 Related units of description</td>
</tr>
<tr>
    <td>6.4 Publication Note</td>
    <td>3.5.4 Publication note</td>
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    <td><em>7 Notes</em></td>
    <td>3.6.1 Note</td>
</tr>
<tr>
    <td><em>8 Description Control</em></td>
    <td>3.7.1 Archivist's note</td>
</tr>
<tr>
    <td>8.1.4 Rules or conventions</td>
    <td>3.7.2 Rules or conventions</td>
</tr>
<tr>
    <td>8.1.5 Archivist and date</td>
    <td>3.7.3 Date(s) of descriptions</td>
</tr>
<tr>
    <td><em>Part II: Introduction to Describing Creators</em></td>
    <td>3.2.1 Name of creator</td>
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    <td><em>10 Form of the Name</em></td>
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    <td><em>11 Description of the Person, Family, or Corporate Body</em></td>
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    <td><em>12 Related Corporate Bodies, Persons, and Families</em></td>
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    <td><em>13 Authority Record Management</em></td>
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```

Appendix D

Changelog Versioning System

The versioning system for DACS borrows from standard practices in software versioning. It combines two common forms of software versioning: semantic versioning and chronological versioning.

Each version of DACS is written as **DACS** followed by a series of numbers, for instance **DACS 2019.0.2**. The numbers are incremented in accordance to the type of change being made. Changes can be classified as **major, minor, or bug fixes**.

The first number represents **the year of a major update** to DACS. SAA defines a major change as one that changes the application or interpretation of the standard so much as to make previously compliant use of the standard suddenly non-compliant. Examples may include:

- Adding a new element (required or optional)
- Making significant alterations to how an element is used (going from required to optional or optional to required) or how an element is defined to the point it would impact practical use
- Would the change make the answer to the question “Does this change how people use/educate/write about it?” be “yes?”
- Creating a new appendix
- Significant revision to preambles, principles, appendices

The second number also represents a **major change**, in the event of two major changes in the same calendar year. In most cases, this number will remain zero.

The third number represents a **minor change**. SAA defines a minor change as one that does not affect the application or interpretation of the standard and would not result in a user’s current application of the standard being non-compliant. Examples may include: * Updating links in an appendix or standard * Updating crosswalks based on changes to adjacent/companion standards * Making suggestions for use/providing use case examples * Changes made to file structure on GitHub

The fourth number represents a **"bug" fix**. Examples of this include: * Correcting a typo * Correcting a grammatical error * Correcting an error in Markdown

In other words, the structure of DACS version naming is **DACS Year.Major.Minor.Bug**

To learn more about semantic versioning, visit <https://semver.org/>

In order to view the files that correspond to each version, go to the Releases page and click on the tag-shaped icon on the left-hand side of the version you would like to view. The version numbers on the releases page match what is found in the changelog, but may not be in the same order.

What is a changelog?

A changelog is a form of documentation traditionally used in versioned software. It keeps a chronological record of all of the changes made in each version of a project. Below, you will find short descriptions of each change that was made to DACS, delimited by a unique version number. The oldest changes are at the bottom of the document, the most recent changes are at the top.

The changelog is to be updated with each new subsequent change made to DACS and given a new version number and release.

DACS Versions

DACS 2019.0.3

- Introduces the new DACS website.
- Fixes to filenames of appendices.
- Adds bullets and links to chapter title appendices for better structure and formatting in the web version of DACS.

DACS 2019.0.2

- Introduces new versioning system to DACS.
- Introduces the changelog.

DACS 2019.0.1

- Files have been renamed so they will order correctly when using the bash find to cat commands. This makes it one command to combine all the markdown, and a second to reformat in html, pdf, etc.
- Adds tables of contents with relative links at the top, and for each chapter based on the 2nd edition PDF.

DACS 2019

This update changes the Preface and the Statement of Principles in order to better align both with current archival theory and practice as well as the International Council on Archives (ICA) draft data model for archival description, Records in Contexts (RiC).² The preface revision is not hugely substantive but rather a reorganization and update of existing information. The revision to the Statement of Principles is total.

There are two primary and equally important justifications for the revisions. First, the revision is proposed following a deep analysis of the current Statement of Principles (hereafter referred to as current principles) and the extent to which it represents archival values, theory and practice, and is teachable and clear. Second is the release of Records in Contexts and the desire by the technical subcommittee to bring DACS in better alignment with its underlying concepts and structure and, in turn, current archival theory that undergirds RiC.

DACS 2015.0.2.1

Minor corrections to Appendix B.

DACS 2015.0.2

Complete overhaul and update of appendix:

- New standards added, superseded ones removed.
- Links added to existing citations.
- Full bibliographic citations from modern (i.e. online) standards removed.
- Version details removed, as they change frequently.
- Categories, subcategories, and standards alphabetized.

DACS 2015.0.1.2

Updated text to remove reference to Part III, which was eliminated during the DACS revision in 2013.

DACS 2015.0.1.1

Authorized by 2016 change request to remove mention of the DACS companion website since TS-DACS decided to focus on educational offerings rather than creating the website. A few references to the website were missed at that time. Deleted a reference to the website in the Digital Records section and changed the entry about Appendix D in the What's New in DACS table.

DACS 2015.0.1

Removes reference of companion website from Preface.

DACS 2015.0.0.2

Adds missing chapter title to Chapter 14.

DACS 2015.0.0.1

Migration of DACS to GitHub.

DACS 2015

The revisions are as follows:

- Commentary bullet 2 in 2.3.3 was changed to “When the repository is responsible for assembling a collection, provide, as part of the devised title, the institution’s name as the collector.” The revision changed “do not provide” to “provide” creating an affirmative burden for institutions to identify themselves as the collector when they are responsible for the creation of a collection.

- 2.3.6 was changed to ““If the name of the creator, assembler, or collector is not known, do not record a name. In such cases, devise the nature of the archival materials for the title as instructed in rules 2.3.18-2.3.20 and 2.3.22.” This revision removed the phrase “or if the repository has assembled the materials” from the rule.

DACS 2013

Major update to DACS. For full information on changes made and the process with which these changes were made, see

<https://drive.google.com/file/d/0Bz6WyYWOjAasUTFvYjNuMk42Ri10TjFrbkxyck9iRC1kdXdB/view>

Changes include:

- Major structural changes
- Removal of Part III
- Clarifications and corrections as suggested by feedback

DACS 2004.0.2

This version of DACS includes an index, which was previously not a feature of the document.

DACS 2004.0.1

This update of DACS adds an endorsement by the SAA.

DACS 2004

This is the original version of DACS, first released in 2004.

DESCRIBING
ARCHIVES

A Content Standard

DACS 2019.0.3

The Society of American Archivists (SAA) adopted *Describing Archives: A Content Standard* (DACS) as the official content standard of the U.S. archival community in 2005. DACS is an output-neutral set of rules for describing archives, personal papers, and manuscript collections, and can be applied to all material types. DACS is part of an ecosystem of interrelated and, in some cases, interdependent standards which support the process of archival description. DACS is compatible with ISAD(G): General International Standard Archival Description, 2nd ed. (International Council on Archives, 1999) and ISAAR(CPF): International Standard Archival Authority Records for Corporate Bodies, Persons and Families, 2nd ed. (International Council on Archives, 2003).

Since 2013, DACS has been on a continuous revision cycle; this means that DACS may be revised as needs from the community arise. This version—DACS 2019.0.3—as well as the most current version and a history of revisions are available at the GitHub site of SAA’s Technical Subcommittee on DACS: <https://github.com/saa-ts-dacs/dacs>.



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