

**Society of American Archivists  
Council Meeting  
January 23 – 26, 2012  
Chicago, Illinois**

**Standards Committee:**

***Describing Archives: A Content Standard (Revision)***

**(Prepared by Cory Nimer and Lisa Miller on behalf of the Standards Committee)**

The Standards Committee certifies that the Technical Subcommittee for *Describing Archives: A Content Standard* (TS-DACS) has complied with Council-adopted procedures relating to standards development, and recommends the adoption of the revised version of *Describing Archives: A Content Standard* as submitted by the subcommittee.

Should the revision presented in Attachment A (page 3) be adopted by the Council, the subcommittee should be encouraged to complete the substantial work remaining under their current charge, including the development of a companion website, the development of an implementation manual, and participation in educational and promotional activities. Issues related to publication and maintenance of the revised standard will be addressed separately, as needed.

**BACKGROUND AND DISCUSSION**

The first edition of *Describing Archives: A Content Standard* (DACS) was developed between 2001 and 2004, approved by the Council in March 2004, and placed under the direction of the DACS Working Group. In February 2010 the Working Group was re-established as a technical subcommittee under the direction of the Standards Committee. TS-DACS is currently chaired by Gordon Daines and comprises the following members: Hillel Arnold, Kathryn Bowers, Jacqueline Dean, Chatham Ewing, Steven Hensen, Mary Lacy, Sibyl Schaefer, and Claudia Thompson.

TS-DACS was charged first with reviewing the standard and making revisions as needed. Additional responsibilities included promoting the standard to the community, supporting educational efforts related to the standard, working to ensure compatibility with external standards, and fostering communication. From the outset, the subcommittee established an aggressive timeline for a revised version to be published in 2013.

During the process of revision, the subcommittee has provided multiple opportunities for community input. This has included two major calls for comment, a forum at the 2012 SAA Annual Meeting, and open subcommittee meetings. Based on the feedback received

from the community, the subcommittee made significant changes to the standard, including clarification of rules in Part I, expansion of Part II, and removal of Part III (see Appendix B, pages 2-3).

Despite these significant changes there remain some issues that the subcommittee did not address, which due to current circumstances within the archival community they preferred to defer for a future revision.

### **RECOMMENDATION**

**THAT the revision of *Describing Archives: A Content Standard* as submitted by the Standards Committee on behalf of the Technical Subcommittee on DACS (Appendix A) be adopted.**

**Support Statement:** The revised version of *Describing Archives: A Content Standard* is an important refinement of the standard that advances archival standards in its expansion of the rules for describing the creators. These changes will support the advancement of efforts by the archival community to participate in or develop automated authority networks. All requirements for Standards Committee review of this revision were met (see Appendix B).

**Fiscal Impact:** Following approval of the revised *Describing Archives: A Content Standard*, the Society will need to be involved in the printing and promotion of the new edition. There will also be significant involvement in the development of educational offerings to support the standard and in facilitating the production of supporting products, such as a website for extended examples and other materials.

**Appendix A**, the revised DACS text, begins on page 3 and spans 167 pages.

**Appendix B**, the DACS Revision Summary, begins on page 170 and spans 158 pages.

**Appendix C**, Bill Landis' markup referenced on page 62 of Appendix B, begins on page 329 and spans 347 pages.

*(Note: Uniform pagination was not applied because of the difference in formatting among the documents.)*

DESCRIBING  
**ARCHIVES**

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*A Content Standard*



Chicago

**THE SOCIETY OF AMERICAN ARCHIVISTS**  
**www.archivists.org**

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*Describing Archives: A Content Standard (DACS)* was officially adopted as a standard by the Council of the Society of American Archivists in March 2005, following review by the SAA Standards Committee, its Technical Subcommittee for Descriptive Standards, and the general archival community.

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# Contents

Preface	v
Acknowledgements	x
Statement of Principles	xii
Overview of Archival Description	xviii

## Part I—Describing Archival Materials

Introduction to Describing Archival Materials	3
1. Levels of Description	6
2. Identity Elements	
2.1 Reference Code	13
2.2 Name and Location of Repository	16
2.3 Title	17
2.4 Date	24
2.5 Extent	29
2.6 Name of Creator(s)	33
2.7 Administrative/Biographical History	37
3. Content and Structure Elements	
3.1 Scope and Content	48
3.2 System of Arrangement	53
4. Conditions of Access and Use Elements	
4.1 Conditions Governing Access	55
4.2 Physical Access	57
4.3 Technical Access	59
4.4 Conditions Governing Reproduction and Use	61
4.5 Languages and Scripts of the Material	64
4.6 Finding Aids	66
5. Acquisition and Appraisal Elements	
5.1 Custodial History	68
5.2 Immediate Source of Acquisition	70
5.3 Appraisal, Destruction, and Scheduling Information	72
5.4 Accruals	74
6. Related Materials Elements	

6.1	Existence and Location of Originals	75
6.2	Existence and Location of Copies	77
6.3	Related Archival Materials	79
6.4	Publication Note	81
7.	Note Elements	82
8.	Description Control Elements	87

## **Part II—Archival Authority Records**

	Introduction to Archival Authority Records	91
9.	Archival Authority Records	95
10.	Form of the Name	98
11.	Description of the Person, Family, or Corporate Body	101
12.	Related Persons, Families, and Corporate Bodies	108
13.	Authority Record Management	112
14.	Related Archival Materials and Other Resources	116

## **Appendices**

A.	2004 Preface	123
B.	Companion Standards	128
C.	Crosswalks	134

<b>Index</b>		?
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# Preface

*Describing Archives: A Content Standard* (DACS) was adopted as the official content standard of the U. S. archival community by the Society of American Archivists in 2004. 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*<sup>1</sup> which had served the U. S. archival community for more than two decades.

## Relationship to other Standards

DACS is related to other standards. Descriptions created according to DACS are shared electronically using encoding standards such as *MARC 21*, Encoded Archival Description (*EAD*), and Encoded Archival Context (*EAC*). There are also close connections with *Resource Description and Access (RDA)* and with standards promulgated by the International Council on Archives including *International Standard Archival Description--General (ISAD (G))*, the *International Standard Archival Authority Record for Corporate Bodies, Persons, and Families (ISAAR (CPF))*, and the *International Standard for Describing Functions (ISDF)*.

In particular, DACS largely conforms to the standards created by the International Council on Archives: *ISAD (G)*, and *ISAAR (CPF)*. All of the data elements of *ISAD (G)* and *ISAAR (CPF)* are incorporated into DACS, in some cases virtually word for word. The exception is the exclusion of the Level of Description element from *ISAD (G)*. It is hoped that these close ties will allow U. S. archivists to share information about their collections readily around the world. This revision continues to rely heavily on the ICA standards while recognizing that there is a growing convergence between museum, library and archival practice.

This growing convergence and the removal of a glossary from DACS make it important to carefully define the entities described in DACS. The following terms rely on the following definitions throughout DACS.

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.

Corporate body: an organization or group of people identified by a name and that acts, or may

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

act as a unit, or an institutional position held by a person.

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

## Revision Decisions

As a descriptive standard of the Society of American Archivists, DACS was placed on a periodic revision cycle. With the release of *Resource Description and Access (RDA)*<sup>2</sup> in 2010 the Council of the Society of American Archivists asked the Technical Subcommittee on *Describing Archives: A Content to Standard (TS-DACS)* to initiate a revision of DACS. TS-DACS was asked to pay particular attention to how DACS and RDA could be brought into closer alignment. TS-DACS was also charged to look at the relationship between DACS and the archival standards developed by the International Council on Archives.

In the fall of 2010 TS-DACS began soliciting feedback from the U. S. archival community on how DACS could better meet the needs of that community. Subcommittee members carefully reviewed that feedback and prioritized the changes recommended. It was recognized early on that one of the most important issues for the revision was to confront the growing convergence between archival, museum, and library descriptive standards—particularly the promulgation and adoption of RDA. Another significant issue was the need to align DACS with the descriptive standards developed and supported by the International Council on Archives. A final issue was the development of Encoded Archival Context and its adoption as an encoding standard by the Society of American Archivists and the need to provide guidance on the creation of archival authority records.

### *Resource Description and Access (RDA)*

A careful review of the descriptive rules in DACS and comparison with the descriptive rules contained in RDA quickly demonstrated that many of the rules in Part III of DACS had been superseded by RDA and that important archival rules (particularly those related to the creation of family names) had been included in RDA. This led to the most obvious change from *DACS 2004*—the removal of Part III.

RDA rules for titles provided by archivists ("devised titles") were in closer agreement with archival practices. *DACS 2004* had used the term "supplied" for these titles, in alignment with *ISAD (G)*. Recognizing the growing convergence between library, museum and archival descriptive standards, and the predominant use of the term "devised" by companion archival standards to DACS, as well as the greater clarity of the term, the subcommittee has chosen to change the term "supplied" to "devised."

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<sup>2</sup> Joint Steering Committee for Development of RDA, *Resource Description and Access* (Chicago, IL: American Library Association, 2010).



Finally, the subcommittee considers it important that the U. S. archival community continue to monitor the development of RDA. Its reliance on entities and their linkages provides promise for informing the developing archival conceptual model and for greater cooperation between archives and libraries in the future.

### *Standards of the International Council on Archives*

Part I of DACS was initially developed to mirror the components of the General International Standard Archival Description (ISAD(G)) developed by the International Council on Archives (ICA). Part II was designed to mirror the International Standard Archival Authority Record For Corporate Bodies, Persons and Families (ISAAR (CPF)). This structure and concordance is maintained in the revised version of DACS.

ICA has also developed standards for describing functions (International Standard for Describing Functions (ISDF)) and archival institutions (International Standard for Describing Institutions with Archival Holdings (ISDIAH)). These standards are not currently addressed by DACS.

ICA is currently in the process of developing “a single reference model for descriptive standards to enable archivists to describe different types of archival entities (archival materials, corporate bodies, persons or families, and functions) and to document these entities in relationship to each other at particular points of time, or over time.”<sup>3</sup> The purpose of this reference model is to bring the ICA descriptive standards into closer alignment with one another. The current revision of DACS recognizes the convergence of descriptive standards and TS-DACS will continue to monitor developments in this area with the goal of keeping DACS aligned with ICA descriptive standards.

### *Encoded Archival Context and the need for a content standard for archival authority records*

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. Part II of DACS has been reworked to contain rules for the creation of archival authority records. Part II is broken into six chapters to align with *ISAAR (CPF)*.

The decision to make Part II into rules for archival authority records also necessitated moving Chapters 9 (Identifying Creators) and 10 (Administrative/Biographical History) into Part I as chapters 2.6 and 2.7. Chapter 2.7 has been refocused on information necessary for understanding the collection in hand.

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<sup>3</sup> International Council on Archives. Committee on Best Practices and Standards, *Progress Report for Revising and Harmonising ICA Descriptive Standards*, July 2012. Available at <http://www.ica.org/13155/standards/cbps-progress-report-for-revising-and-harmonising-ica-descriptive-standards.html> (accessed November 6, 2012).

## *Digital records*

Perhaps the single area that received the most comments from community members was the need to make *DACS* more relevant to modern records, which increasingly include or consist exclusively of born-digital formats. Of particular concern were rules prescribing “papers,” “records,” and “collections” as the collective terms describing the nature of the archival unit. Commenters felt that these terms did not adequately convey the increasingly digital format of the records. However, there was no community consensus as to what terms should be employed instead. Subcommittee members considered this issue in-depth and decided to revise the corresponding rule in *DACS* to permit local practices for new collective terms (such as “personal archives” or “personal records”), TS-DACS recommends that this issue be re-addressed during the next revision of *DACS*.

In response to requests from community members for electronic records examples in *DACS*, a few such examples were added to Part I. These examples are meant to be illustrative of growing presence of digital records in archival collections. They will be more widely represented on the companion website to *DACS* described in the *Examples* section of this preface.

## *Examples*

Another recurring theme in the community feedback was the desire for more examples to be included in *DACS*. The subcommittee agreed that extensive and varied examples would be a valuable help in using *DACS*. However, several factors pushed the subcommittee's response in a different direction. The *DACS* revision cycle is coinciding with that for EAD; MARC is undergoing revisions as a result of RDA implementation, and will eventually be replaced; and EAC-CPF examples are just now becoming widely available. The subcommittee decided that the best way to respond to the desire for more examples would be to create a companion website to *DACS* where community members can submit examples and best practices. It was decided to move the encoding examples to this website as well. This will allow TS-DACS to respond more rapidly to changes in encoding standards and to keep these examples current and up-to-date. The print edition of *DACS* retains text examples illustrating specific rules and additional examples have been supplied as needed.

## **Comparison to *DACS* 2004**

Those accustomed to using *DACS* 2004 will have little difficulty continuing to utilize the revised *DACS*. *DACS* is now divided into two parts. Part I. Describing Archival Materials, and Part II. Archival Authority Records. The numbering schema from *DACS* 2004 has remained unchanged in Part I and a similar numbering schema has been developed for the revised Part II.

## **What’s New in *DACS*?**

<u>DACS 2013</u>	<u>DACS 2004</u>
Minimum, Optimum, Added Value indicated with each element	Minimum, Optimum, Added Value indicated in Chapter 1
Encoding examples not embedded in text	Encoding examples embedded in text
“Devised” used to indicate titles created by an archivist	“Supplied” used to indicate titles created by an archivist
Acronyms should be spelled out at least once	No guidance on acronyms
Abbreviations discouraged	No guidance on abbreviations
Square brackets not prescribed	No guidance on square brackets
“Papers”, “records”, “collection” not prescribed for titles	“Papers”, “records”, “collection” prescribed for titles
Part II covers Archival Authority Records	Part II covers Describing Creators
Chapter 2.6 discusses Identifying Creators	Chapter 9 discusses Identifying Creators
Chapter 2.7 discusses Administrative/Biographical History	Chapter 10 discusses Administrative/Biographical History
Part III eliminated	Part III discusses Forms of Names
Preface to 2004 edition included as Appendix A	Preface to 2004 edition
Relies on the SAA Glossary at <a href="http://www2.archivists.org/glossary">http://www2.archivists.org/glossary</a>	Glossary included as Appendix A
Number of crosswalks in Appendix C have been reduced	Crosswalks in Appendix C
Appendix D removed in favor of expanded examples on the companion website	Appendix D included full encoding examples

# Acknowledgements

Projects of this nature are dependent upon significant contributions of time by archivists and the support of the institutions that employ them. Therefore, special thanks are due to the American Heritage Center at the University of Wyoming; the Harvard University Archives; the L. Tom Perry Special Collections at Brigham Young University; the Library of Congress Manuscript Division; Rare Book, Manuscripts and Special Collections Library, Duke University; the Rockefeller Archive Center; Scholarly Resources and Special Collections at Case Western Reserve University; and the Special Collections Technical Services Department, University of North Carolina at Chapel Hill.

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# Statement of Principles

The following statement of principles forms the basis for the rules in this standard. It is a recapitulation of generally accepted archival principles as derived from theoretical works and a variety of other sources. These include earlier statements about description and descriptive standards found in the reports of working groups commissioned to investigate aspects of archival description,<sup>4</sup> national rules for description,<sup>5</sup> and statements of the ICA Committee on Descriptive Standards.<sup>6</sup> In recognizing the disparate nature of archival holdings, the statement is also grounded in accepted professional practice in the United States.

Holdings of archival repositories represent every possible type of material acquired from a wide variety of sources. How archives manage and describe their holdings is rooted in the nature of the materials, the context of their creation, and 200 years of archival theory. Archival descriptive practices have increasingly been applied to all of the materials held by archives regardless of their provenance or method of acquisition. These principles examine the nature of archival materials and their context, and reflect how those aspects are made apparent in description.

## The Nature of Archival Holdings

Archival collections are the natural result of the activities of individuals and organizations and serve as the recorded memory thereof. This distinctive relationship between records and the activities that generated them differentiates archives from other documentary resources.

### **Principle 1: Records in archives possess unique characteristics.**

Archival materials have traditionally been understood to consist of the documents organically created, accumulated, and/or used by a person or organization in the course of the conduct of affairs and preserved because of their continuing value. They most often consist of aggregations of documents (largely unpublished) and are managed as such, though archival institutions frequently hold discrete items that must also be treated

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<sup>4</sup> Working Group on Standards for Archival Description, "Archival Description Standards: Establishing a Process for their Development and Implementation," *American Archivist* 52, no. 4 (Fall 1989) (hereinafter cited as WGSAD Report), 440–43; *Toward Descriptive Standards: Report and Recommendations of the Canadian Working Group on Archival Descriptive Standards* (Ottawa: Bureau of Canadian Archivists, 1985), 6–9, 55–59, 63–64; Wendy M. Duff and Kent M. Haworth, "Advancing Archival Description: A Model for Rationalizing North American Descriptive Standards," *Archives and Manuscripts* 25, no. 2 (1997) (hereinafter cited as the Bentley Report), 198–99, 203–4.

<sup>5</sup> *Rules for Archival Description* (Ottawa, Bureau of Canadian Archivists, 1990), xi–xvi, rules 0.1, 0.2, 0.22, 1.0A1, 1.0A2 (hereinafter cited as *RAD*); Steven Hensen, comp., *Archives, Personal Papers, and Manuscripts*, 2<sup>nd</sup> ed. (Chicago: Society of American Archivists, 1989), rules 0.3, 0.9, 0.10, 0.12, 1.0A (hereinafter cited as *APPM*).

<sup>6</sup> ICA Statement of Principles, 8–16; ICA Committee on Descriptive Standards, *ISAD(G) : General International Standard Archival Description*, 2<sup>nd</sup> ed. (Ottawa: International Council on Archives, 1999), 7–12 (hereinafter cited as *ISAD(G)*).

consistently within the institution's descriptive system. In the course of their regular activities, individuals, archival repositories, and other institutions may also consciously acquire and assemble records that do not share a common provenance or origin but that reflect some common characteristic, such as a particular subject, theme, or form. Such collections are part of the holdings in most institutions and must be described in a way that is consistent with the rest of the holdings. All of these materials may be described using this standard.

**Principle 2: The principle of *respect des fonds* is the basis of archival arrangement and description.**

The records created, assembled, accumulated, and/or maintained and used by an organization or individual must be kept together (i.e., identified as belonging to the same aggregation) in their original order, if such order exists or has been maintained. They ought not be mixed or combined with the records of another individual or corporate body. This dictum is the natural and logical consequence of the organic nature of archival materials.<sup>7</sup> Inherent in the overarching principle of *respect des fonds* are two sub-principles—provenance and original order. The principle of provenance means that the records that were created, assembled, accumulated, and/or maintained by an organization or individual must be represented together, distinguishable from the records of any other organization or individual. The principle of original order means that the order of the records that was established by the creator should be maintained by physical and/or intellectual means whenever possible to preserve existing relationships between the documents and the evidential value inherent in their order. Together, these principles form the basis of archival arrangement and description.

In the context of this standard, the principle of provenance requires further elaboration. The statement that the records of one creator must be represented together does not mean that it is necessary (or even possible) to keep the records of one creator physically together. It does, however, mean that the provenance of the records must be clearly reflected in the description, that the description must enable retrieval by provenance, and that a descriptive system must be capable of representing together all the records of a single creator held by a single repository.

## The Relationship between Arrangement and Description

If the archival functions of arrangement and description are based on the principle of *respect des fonds*, what is the relationship between arrangement and description? While the two are intimately intertwined, it is possible to distinguish between them in the following way. *Arrangement* is the intellectual and/or physical processes of organizing documents in accordance with accepted archival principles, as well as the results of these processes. *Description* is the creation of an accurate representation of the archival material by the process of capturing, collating, analyzing, and organizing information that

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<sup>7</sup> S. Muller, J.A. Feith, and R. Fruin. *Manual for the arrangement and description of archives*. Translation of the second edition. Chicago, Society of American Archivists, 2002, p19. "An archival collection is an organic whole."

serves to identify archival material and to explain the context and records systems that produced it, as well as the results of these processes.

**Principle 3: Arrangement involves the identification of groupings within the material.**

Arrangement is the process of identifying the logical groupings of materials within the whole as they were established by the creator, of constructing a new organization when the original ordering has been lost, or of establishing an order when one never existed. The archivist then identifies further sub-groupings within each unit down to the level of granularity that is feasible or desirable, even to the individual item. This process creates hierarchical groupings of material, with each step in the hierarchy described as a level. By custom, archivists have assigned names to some, but not all, levels of arrangement. The most commonly identified are collection, record group, series, file (or filing unit), and item. A large or complex body of material may have many more levels. The archivist must determine for practical reasons which groupings will be treated as a unit for purposes of description. These may be defined as the entire corpus of material of the creator (papers, records, or collection), a convenient administrative grouping (record and manuscript groups), or a reflection of administrative record-keeping systems (series and filing units).

**Principle 4: Description reflects arrangement.**

Archival repositories must be able to describe holdings ranging from thousands of linear feet to a single item. The amount of description and level of detail will depend on the importance of the material, management needs and resources of the repository, and access requirements of the users. That being the case, an archival description may consist of a multilevel structure that begins with a description of the whole and proceeds through increasingly more detailed descriptions of the parts, or it may consist only of a description of the whole. Within a given body of material, the repository may choose to describe some parts at a greater level of detail than others. A single item may be described in minute detail, whether or not it is part of a larger body of material.

## **The Nature of Archival Description**

Archival holdings are varied in their nature and provenance, and archival description reflects this fact. If archival materials are to be described consistently within an institutional, regional, or national descriptive system, the rules must apply to a variety of forms and media created by, and acquired from, a variety of sources.

**Principle 5: The rules of description apply to all archival materials regardless of form or medium.**

It is acknowledged that archival materials come in a variety of forms and media, and rules for archival description must therefore accommodate all forms and media (and the relationships between them). Inherent in the principle of provenance—that the records created, assembled, accumulated, and/or maintained and used by an organization or individual must be kept together—is the assumption that no records are excluded from the description because of their particular form or medium. Different media of course



require different rules to describe their particular characteristics; for example, sound recordings may require some indication of playing speed, and photographs may require some indication of polarity and color.

**Principle 6: The principles of archival description apply equally to records created by corporate bodies, individuals, or families.**

The documents that are the product of the functions and activities of organizations may differ in extent, arrangement, subject matter, etc., from those that result from the activities of individuals or families. While there may be valid reasons to distinguish between them in the workflow of a repository, the principles of archival arrangement and description should be applied equally to materials created by individuals, families, or organizations.

**Principle 7: Archival descriptions may be presented at varying levels of detail to produce a variety of outputs.**

The nature and origins of a body of archival materials may be summarized in their entirety in a single collective description. However, the extent and complexity of archival materials may require a more detailed description of their various components as well. The resulting technique of multilevel description is "the preparation of descriptions that are related to one another in a part-to-whole relationship and that need complete identification of both parts and the comprehensive whole in multiple descriptive records."<sup>8</sup> This requires some elucidation regarding the order in which such information is presented and the relationships between description(s) of the parts and the description of the whole.<sup>9</sup>

**Principle 7.1: Levels of description correspond to levels of arrangement.**

The levels of arrangement determine the levels of description. However, because not all levels of arrangement are required or possible in all cases, it follows that not all levels of description are required. It is understood that description is an iterative and dynamic process; that is, descriptive information is recorded, reused, and enhanced at many stages in the management of archival holdings. For example, basic information is recorded when incoming material is accessioned, well before the material is arranged.

Furthermore, arrangement can change, particularly when a repository receives regular accruals of records from an ongoing organization. In that situation, the arrangement will not be complete until the organization ceases to exist. Thus, it is more appropriate to say that description reflects the current state of arrangement (whatever that may be) and can (and does) change as a result of further arrangement activities.<sup>10</sup>

**Principle 7.2: Relationships between levels of description must be clearly indicated.**

While the actual work of arrangement and description can proceed in any order that makes sense to the archivist, a descriptive system must be able to represent and maintain the relationships among the various parts of the hierarchy. Depending on the point at

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<sup>8</sup> *RAD*, p. D-5.

<sup>9</sup> The rules for multilevel description are found in *RAD*, rule 1.0A2 and in *ISAD(G)*, 12.

<sup>10</sup> *ISAD(G)*, Statement I-3, p. 7.

which the descriptive system is entered, an end user must be able to navigate to higher or lower levels of description.

**Principle 7.3: Information provided at each level of description must be appropriate to that level.**

When a multilevel description is created, the information provided at each level of description must be relevant to the material being described at that level. This means that it is inappropriate to provide detailed information about the contents of files in a description of a higher level. Similarly, archivists should provide administrative or biographical information appropriate to the materials being described at a given level (e.g., a series). This principle also implies that it is undesirable to repeat information recorded at higher levels of description. Information that is common to the component parts should be provided at the highest appropriate level.

## **The Creators of Archival Material**

An important aspect of understanding archival materials is the description of the context in which they were created.

**Principle 8: The creators of archival materials, as well as the materials themselves, must be described.**

Since the principle of provenance is fundamental to the arrangement and description of archival materials, it follows that the provenance, or the creator(s), of archival materials must be described as well. Except in cases where the creator or collector is truly unknown, this means that the creator or collector of the materials must be identified and included in (or linked to) the description of the materials. Moreover, the functions or activities of the creator(s) that produced the archival materials must be described. Finally, standardized access points must be provided that indicate not just the primary creator but also the relationships between successive creators, for example, the parts of a corporate body that has undergone reorganization(s). *DACS* includes rules for providing all of this information in a consistent way. The repository as collector does not need to be described.

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# 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* in order to construct a robust system of access. This section describes their roles 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.<sup>11</sup> 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. The archivist 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—the 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.<sup>12</sup>

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

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<sup>11</sup> See Appendix A for definitions of various access tools.

<sup>12</sup> See *MARC 21 Format for Bibliographic Data: Including Guidelines for Content Designation*. Prepared by the Network Development and MARC Standards Office, Library of Congress, in cooperation with Standards and Support, National Library of Canada. Washington, DC: Library of Congress, Cataloging Distribution Service, 1999; 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.

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 *EAD Tag Library*.

## 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, the archivist is instructed in section 3.1 of *DACS* 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*.<sup>13</sup> 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="lcs" >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.

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<sup>13</sup> The *Library of Congress Authorities* online resource combines the *Library of Congress Name Authority File* (LCNAF) and the *Library of Congress Subject Headings* (LCSH).

Access points fall into six broad categories:

- Names
- Places
- 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, or will be recorded following the rules in Part III.

## 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, 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 *Thesaurus for Graphic Materials II: Genre and Physical Characteristics Terms*, 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.



DRAFT



## **PART I**

# **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. Where more detailed guidance is required, archivists are referred to Appendix B, which lists 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, etc. 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, etc. 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. Additional examples are located on the companion website that is part of the Society of American Archivists' Standards Portal.

## CHAPTER 1

# Levels of Description

Archival material can be described at many different levels (see Statement of Principles: Principle 3)

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.<sup>14</sup>

*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 25 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

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<sup>14</sup> Refer to ISAD (G) for more information.



encoded, multilevel finding aids—intended for the use of archivists or researchers in managing and 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

The 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)<sup>15</sup> 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)
- Language and Scripts of the Material Element (4.5)

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<sup>15</sup> 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 includes:

- 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 included in Single-level Optimum above, plus any other relevant elements the repository wishes to include.

## **Requirements for Multilevel Descriptions**

The 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.

## 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)
- Language 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).*
  - *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 included 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 included 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 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.



## CHAPTER 2

# Identity Elements

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

## 2.1 Reference Code Element (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.<sup>16</sup>

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*

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<sup>16</sup> 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.<sup>17</sup>

US  
*Code for the United States*

Ca  
*Code for Canada*

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<sup>17</sup> 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 Element (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 Element (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 where 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 transcribing 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 title<sup>18</sup> that uniquely identifies the material, normally consisting of a name segment, a term indicating the nature of the unit being described,<sup>19</sup> 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, do not 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 body<sup>20</sup> 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.<sup>21</sup> 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

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<sup>18</sup> 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.

<sup>19</sup> The order of these elements is not prescribed.

<sup>20</sup> 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.

<sup>21</sup> 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).

elsewhere in the descriptive record (e.g., in the administrative/biographical history) or as an access point.

Bessye B. Bearden

*as opposed to the controlled form, "Bearden, Bessye B."*

WAPOR

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

**2.3.6.** If the name of the creator, assembler, or collector is not known, or if the repository has assembled the materials, 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)<sup>22</sup> 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 B. 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 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*

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<sup>22</sup> *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.



## 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. Haldemann 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  
*Collection is about Isadora Duncan, she is not the collector.*

Collection of Robert Browning materials  
*Collection is materials by Robert Browning, he is not the collector.*

## 2.4 Date Element (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 section 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 secondly, 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 (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.<sup>23</sup> 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 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

## Date Ranges

### Inclusive dates

**2.4.7.** If the materials comprising 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

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<sup>23</sup> 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.

**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  
*not* 1979-  
*not* 1979- (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.<sup>24</sup> Explain significant chronological gaps in the materials in the Scope and Content Element (3.1).

1827, 1952-1978  
1975, 2002

### Estimated date ranges

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<sup>24</sup> Repositories are encouraged to establish consistent policies and procedures regarding the maximum number of anomalous dates to record.

**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.<sup>25</sup>

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.<sup>26</sup>

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

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<sup>25</sup> 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.

<sup>26</sup> 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 Element (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 30 boxes or 20 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.<sup>27</sup>

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,<sup>28</sup> 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.<sup>29</sup>

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

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<sup>27</sup> 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.

<sup>28</sup> It is usually assumed that archival materials are generally 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.

<sup>29</sup> See especially *Art and Architecture Thesaurus*, *Thesaurus for Graphic Material*, and *Library of Congress Authorities* (full citations provided in Appendix B).



## Multiple Statements of Extent

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

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) Element (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, family, or person 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 compile 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 rule 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 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 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 #a William Smith family  
*MARC 21 encoding indicating that the entry is a family name.*

<corpname>Hal Leonard Publishing Corporation</corpname>  
*EAD encoding indicating that the entry is a corporate body.*

Personal name: Norton, Margaret Cross, 1891-1984.  
*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 Element (Optimum)

### Purpose and Scope

The purpose of this chapter 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, families, or persons 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 chapter 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 Sub-Elements**

**2.7.10.** Include in the Administrative/Biographical History all of the following sub-elements<sup>30</sup> that are relevant to the corporate body, family, or person 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 20, Bessye Banks married R. Howard Bearden. They had one son, Romare, who became an internationally renowned artist.

Mrs. Bearden managed the New York office of the E. C. Brown Real Estate Company of Philadelphia for many years. She was also the

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<sup>30</sup> The way in which the sub-elements are presented to users is a matter of institutional policy. Repositories may choose the order in which to present the sub-elements, or whether to present them in a narrative format or in a structured format with each element introduced by an introductory word or phrase.



New York representative for the Chicago "Defender," starting in 1927, and did free lance 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 B. 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- ) 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 whom Mary Susan raised: 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.<sup>31</sup>

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

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<sup>31</sup> 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*.

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' 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 where he 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. McKissck 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 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, 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 afterwards became a planter in Jefferson and Yazoo counties, Miss., and later in Davidson, Tenn., married Ann M. Greene (fl. 1820-1845). William Dudley Gale (fl. 1844-1881), their son, 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**

### **3.2 System of Arrangement**

## **3.1 Scope and Content Element (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; and
- 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, etc.

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.

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## Exclusions

**3.1.1.** Record information about the context in which the unit being described was created, used, etc., in the Administrative/Biographical History Element (see Chapter 10).

**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 prior to 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, 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 Shephard 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, since 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, blood-stained 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 Aguas), 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 Element (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 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.

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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  
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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
- 4.2 Physical Access
- 4.3 Technical Access
- 4.4 Conditions Governing Reproduction and Use
- 4.5 Languages and Scripts of the Material
- 4.6 Finding Aids

## 4.1 Conditions Governing Access Element (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; etc. 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 over ten years old are open to researchers; those under 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 75 years from the date of creation of the record.

Access to files containing information on University personnel matters is restricted for 50 years from the latest date of the materials in those files. Access to student records is restricted for 75 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 Element (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; and
- 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 Element (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 “42 slides” or “30 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 14 rectangular flat files stored in standard label EBCDIC. The files contain numeric and character data. The files are stored on 14 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 Element (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 4.4.8 and the first example under 4.4.12), 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

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

### General Rules

**4.4.6.** 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.

**4.4.7.** 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, etc. 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.

**4.4.8.** 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.

**4.4.9.** 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.

**4.4.10.** 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, etc. While copyright legislation may place statutory restrictions on reproduction (as well as other uses), reproduction may be restricted for other reasons, for example, the wishes of the donor, physical condition, etc.

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



**4.4.12.** 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 2010. 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, etc.

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

**4.4.14.** 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 Element (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 U.S. 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.”

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## 4.6 Finding Aids Element (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 12 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

### 5.2 Immediate Source of Acquisition

### 5.3 Appraisal, Destruction, and Scheduling Information

### 5.4 Accruals

## 5.1 Custodial History Element (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 prior to 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.

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## 5.2 Immediate Source of Acquisition Element (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 Element (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 merits 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.

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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 over 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.

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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 Element (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 50 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

6.2 Existence and Location of Copies

6.3 Related Archival Materials

6.4 Publication Note

## 6.1 Existence and Location of Originals Element (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, etc.

### 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 Element (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 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 Institution<sup>32</sup>

**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).

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<sup>32</sup> 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.

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

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 Element (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 Element (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* 37:1 (Winter 1987), 14-33.

## CHAPTER 7

# Notes Element

## 7.1 Notes Element (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 re-bound, 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 Web Site Collection, 1996-, UA 01.04, University of Texas at San Antonio Libraries Special Collections.

### Alpha-Numeric 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 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.

*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.

*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.

*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.

*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.

*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 re-processed in 2011 and brought together as a single collection.

*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.

*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.

*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.

*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.

*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.

*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.

*Frances Parsons Davis papers, Schlesinger Library,  
Radcliffe Institute*

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

*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.

*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.

*Harvard College Papers, 1st series, Harvard University  
Archives*

Weeding statement example:

Photostat copies of originals in the collection were removed.  
*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.

*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).

*Papers of Betty Friedan, Schlesinger Library, Radcliffe  
Institute*



## CHAPTER 8

# Description Control Element

## 8.1 Description Control Element (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, SAA, 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.

## **PART II**

# **Archival Authority Records**



# Introduction to Describing Creators

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 persons, families, and corporate bodies 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 8 in the Statement of Principles: that the creators of archival materials, as well as the materials themselves, must be described.

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

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

Chapter 2.6, *Identifying Creators*, 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.

Chapter 2.7 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 the rules in *DACS*, 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, Web sites, etc. 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; and
- 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.<sup>33</sup>

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 Chapter 2.7) embedded in descriptions of archival materials.

## **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, Chapter 2.6 and instructions for creating contextual information embedded in descriptions of archival materials are found in Part I, Chapter 2.7.

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

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<sup>33</sup> *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.

## **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 with 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.



## 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, and
- 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 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 it might be kept in 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); and
- Authority record identifier (see 13.2)

### **Added Value**

An authority record using DACS elements to provide added value for researchers includes:

- 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 rules in Chapter 2.6.

## CHAPTER 10

# Form of the Name

### 10.1 Authorized Form of the Name (Required)

#### 10.2 Type of Entity (Required)

#### 10.3 Variant 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., LC/NACO Authority File) 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; or
- 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 that 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 119.*

## 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, 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 persons, record their 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 persons, 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)

9th 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 Chapter 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, 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 of 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 re-election in 1976. He died 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 *Resource Description and Access*), 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 section 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 section 9.15-9.16.

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 section 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.

Artist (*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 which 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 section 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 (1612-82) married Hester Wotton, daughter of the second Baron Wotton. The fourth Viscount Campden (1641-89, created Earl of Gainsborough 1682) married Elizabeth Wriothsley, 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

**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 119.*

## CHAPTER 12

# Related Persons, Families, and Corporate Bodies

### 12.1. Names/Identifiers of Related Corporate Bodies, Persons, or Families

#### 12.2. Type of Related Entity

#### 12.3 Description of the 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>  
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 section 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 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 and 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 119.*

## 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.<sup>34</sup>

*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)*

### 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*.

---

<sup>34</sup> 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.

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. Language 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 119.*

## 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 an 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, web site, 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 119.*



## Archival Authority Record

### *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 Person, Family, or Corporate Body*

**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 Persons, Families and Corporate Bodies*

**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 *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 and 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.j0zpccks

**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*<sup>35</sup> 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))*<sup>36</sup> and the *International Standard Archival Authority Record for Corporate Bodies, Persons, and Families (ISAAR (CPF))*,<sup>37</sup> 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*

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<sup>35</sup> Steven Hensen, comp., *Archives, Personal Papers, and Manuscripts*, 2<sup>nd</sup> ed. (Chicago: Society of American Archivists, 1989). The first edition was published in 1983.

<sup>36</sup> ICA Committee on Descriptive Standards, *ISAD(G): General International Standard Archival Description*, 2<sup>nd</sup> ed. (Ottawa: International Council on Archives, 1999). Available online at <[http://www.ica.org/biblio/cds/isad\\_g\\_2e.pdf](http://www.ica.org/biblio/cds/isad_g_2e.pdf)>.

<sup>37</sup> 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](http://www.ica.org/biblio/isaar_eng.pdf)>.

*Archival Description (RAD)*,<sup>38</sup> accommodate all the data elements of *ISAD(G)* and *ISAAR (CPF)*, and be applicable to all types of archival descriptions. To do this, eight Canadian archivists, seven U.S. archivists, and the project manager<sup>39</sup> 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 (RAD2)*, 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

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<sup>38</sup> *Rules for Archival Description* (Ottawa, Bureau of Canadian Archivists, 1990). Available online at <<http://www.cdncouncilarchives.ca/archdescrules.html>>.

<sup>39</sup> The group comprised the members of the Canadian Committee on Archival Description (CCAD)—Hélène Cadieux, Tim Hutchinson, Bob Krawczyk, Lucie Pagé, 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.

has been officially sanctioned at least since the first edition of *APPM* was published by the Library of Congress in 1983.

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*<sup>40</sup> 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.

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<sup>40</sup> *Anglo-American Cataloging Rules*, 2<sup>nd</sup> ed., 2002 revision (Chicago: American Library Association; Ottawa: Canadian Library Association; London: Chartered Institute of Library and Information Professionals, 2002).

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 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*

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## 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 non-textual materials. Listed here are the most recent editions at the time of writing; however, where a standard is revised periodically, users are encouraged to use the most recent edition.

## Content Standards

### Published Materials

*Anglo-American Cataloging Rules*, 2nd edition, 2002 revision. Chicago: American Library Association; Ottawa: Canadian Library Association; London: Chartered Institute of Library and Information Professionals, 2002.

To be superseded by:

*RDA: Resource Description and Access* Print. Chicago: American Library Association; Ottawa: Canadian Library Association; London: Chartered Institute of Library and Information Professionals, 2011.

### Graphic Materials

Parker, Elisabeth Betz. *Graphic materials: rules for describing original items and historical collections*. Washington, D.C.: Library of Congress, 1982. Available online at <http://www.loc.gov/rr/print/gm/graphmat.html> (accessed May 2012)

To be superseded by *Descriptive Cataloging of Rare Materials (Graphic Materials)*. See link for updates.

<http://dcrmg.pbworks.com/w/page/6108102/FrontPage> (accessed May 2012)

### Cartographic Materials

*Cartographic Materials: A Manual of Interpretation for AACR2*. Edited by Hugo Stibbe, Vivien Cartmell, and Velma Parker. Chicago: American Library Association, Ottawa: Canadian Library Association, London: The Library Association, 1982.

*Geomatic data sets: cataloguing rules*. Edited by Velma Parker. Ottawa: Canadian General Standards Board, 1992.

### Architectural Materials

Vicki Porter and Robin Thornes. *A Guide to the Description of Architectural Drawings*. New York: Published on behalf of the Getty Art History Information Program [by] G.K. Hall, c1994.

Waverly B. Lowell and Tawny Ryan Nelb. *Architectural Records: Managing Design and Construction Records*. Chicago: The Society of American Archivists, 2006.

## **Moving Image Materials**

*The FIAF Cataloguing Rules for Film Archives*. Munich: K.G. Saur, 1991.

*Archival Moving Image Materials: A Cataloging Manual*. 2<sup>nd</sup> ed. The AMIM Revision Committee, Motion Picture, Broadcasting, and Recorded Sound Division. Washington, D.C.: Library of Congress, Cataloging Distribution Service, 2000.

*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, or on-line at <<http://www.iasa-web.org/icat/icat001.htm>>.

## **Sound Recordings**

*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, or on-line at <<http://www.iasa-web.org/icat/icat001.htm>>.

Marion Matters, comp. *Oral History Cataloging Manual*. Chicago: Society of American Archivists, 1995.

## **Objects**

Murtha Baca, Visual Resources Association, et al. *Cataloging Cultural Objects: A Guide to describing Cultural Works and Their Images*. Chicago: American Library Association, 2006.

## **Datasets**

Federal Geographic Data Committee. FCDC-STD-001-1998. *Content Standard for Digital Geospatial Metadata* (revised June 1998). Federal Geographic Data Committee. Washington, D.C. Available online at: <http://www.fgdc.gov/metadata/csdgm/> (accessed May 2012)

## **Rare Books**

Association of College and Research Libraries. Rare Books and Manuscripts Section. Bibliographic Standards Committee. *Descriptive Cataloging of Rare Materials (Books)*. Washington : Cataloging Distribution Service, Library of Congress, 2007.

## **Serials**

Association of College and Research Libraries. Rare Books and Manuscripts Section. Bibliographic Standards Committee. *Descriptive Cataloging of Rare Materials (Serials)*. Washington : Cataloging Distribution Service, Library of Congress, 2008.

## **Manuscripts**

Gregory A. Pass; Association of College and Research Libraries. Rare Books and Manuscripts Section. Bibliographic Standards Committee. *Descriptive cataloging of ancient, medieval, Renaissance, and early modern manuscripts*. Chicago : Association of College and Research Libraries, 2002.

## Data Value Standards/Thesauri

*Art & Architecture Thesaurus, Version 3.0*. Los Angeles: The J. Paul Getty Trust, 2000. Available online at:

<[http://www.getty.edu/research/conducting\\_research/vocabularies/aat/](http://www.getty.edu/research/conducting_research/vocabularies/aat/)> (accessed May 2012)

*Categories for the Description of Works of Art. Version 2.0*. Los Angeles: The J. Paul Getty Trust and College Art Association, Inc., 2000. Available online at:

<[http://www.getty.edu/research/conducting\\_research/standards/cdwa/](http://www.getty.edu/research/conducting_research/standards/cdwa/)> (accessed April 2004)

*Dictionary of Occupational Titles*, 4th ed., rev. Washington, DC: U.S. Department of Labor, Employment and Training Administration, U.S. Employment Service, 1991.

Available online at: <<http://www.occupationalinfo.org>> (accessed May 2012)

*Library of Congress Authorities*. Washington, DC: The Library of Congress. Available online at: <<http://authorities.loc.gov/>>. This resource covers subjects, names (both personal and corporate), and titles. (accessed May 2012)

Library of Congress Authorities and Vocabularies. Washington D.C: The Library of Congress. Available online at <http://id.loc.gov/> (accessed May 2012). This resources covers the following authorities:

- LC Subject Headings
- LC Name Authority File
- LC Children's Subject Headings
- LC Genre/Form Terms
- Thesaurus for Graphic Materials
  
- MARC Relators
- MARC Countries
- MARC Geographic Areas
- MARC Languages
- ISO639-1 Languages
- ISO639-2 Languages
- ISO639-5 Languages

*Medical Subject Headings*. Bethesda, MD: National Library of Medicine, 2003.

Available online at: <<http://www.nlm.nih.gov/mesh/meshhome.htm>> (accessed May 2012)

*The Moving Image Genre-Form Guide*. Compiled by Brian Taves, Judi Hoffman, and Karen Lund. Coordinated by Motion Picture, Broadcasting, and Recorded Sound Division, Library of Congress, 1998. Available online at: <<http://www.loc.gov/rr/mopic/migintro.html>> (accessed May 2012)

*Revised Nomenclature for Museum Cataloging: A Revised and Expanded Version of Robert G. Chenhall's System for Classifying Man-made Objects*. Edited by James R. Blackaby and Patricia Greeno. Nashville, Tenn.: AASLH Press, 1989.

*Thesaurus for Graphic Materials I: Subject Terms (TGM I)*. Compiled by the Prints and Photographs Division, Library of Congress. Washington, D.C.: Cataloging Distribution Service, Library of Congress, 1995. Available online at: <<http://www.loc.gov/rr/print/tgm1/>> (accessed May 2012)

*Thesaurus for Graphic Materials II: Genre and Physical Characteristics Terms (TGM II)*. Compiled by the Prints and Photographs Division, Library of Congress. Washington, D.C.: Cataloging Distribution Service, Library of Congress, 1995. Available online at: <<http://www.loc.gov/rr/print/tgm2/>> (accessed May 2012)

*Getty Thesaurus of Geographic Names, Version 3.0*. Los Angeles: The J. Paul Getty Trust, 2000. Available online at: <<http://www.getty.edu/research/tools/vocabularies/tgn/index.html/>> (accessed May 2012)

*Unesco Thesaurus: A Structured List of Descriptors for Indexing and Retrieving Literature in the Fields of Education, Science, Social and Human Science, Culture, Communication and Information*. Paris: Unesco Publishing, 1995. Available online at: <<http://databases.unesco.org/thesaurus/>> and <<http://databases.unesco.org/thesaurus/>> (accessed May 2012)

*Union List of Artists' Names, Version 3.0*. Los Angeles: The J. Paul Getty Trust, 2000. Available online at: <<http://www.getty.edu/research/tools/vocabularies/ulan/index.htm/>> (accessed May 2012)

*USMARC Code List for Countries*. Prepared by Network Development and MARC Standards Office. Washington: Library of Congress Cataloging Distribution Service, 2003. Available online at: <<http://www.loc.gov/marc/countries/>> (accessed May 2012)

*USMARC Code List for Languages*. Prepared by Network Development and MARC Standards Office. Washington: Library of Congress Cataloging Distribution Service, 2003. Available online at: <<http://www.loc.gov/marc/languages/>> (accessed May 2012)

*USMARC Code List for Organizations*. Prepared by Network Development and MARC Standards Office. Washington: Library of Congress Cataloging Distribution Service, 2004. Available online at: <<http://www.loc.gov/marc/organizations/>> (accessed May 2012)

## Data Structure Standards

*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. Available online at: <<http://www.loc.gov/ead/tglib/>> (accessed May 2012)

*Encoded Archival Context - Corporate Bodies, Persons, and Families (EAC-CPF)*. Maintained by the Encoded Archival Context Working Group of the Society of American Archivists and Staatsbibliothek zu Berlin, 2010. Available online at: <http://www3.iath.virginia.edu/eac/cpf/tagLibrary/cpfTagLibrary.html> (accessed May 2012)

*MARC 21 Format for Bibliographic Data: Including Guidelines for Content Designation*. Prepared by the Network Development and MARC Standards Office, Library of Congress, in cooperation with Standards and Support, National Library of Canada. Washington, DC: Library of Congress, Cataloging Distribution Service, 1999. *MARC 21 Concise Format for Bibliographica Data* available online at: <<http://www.loc.gov/marc/bibliographic/>> (accessed May 2012)

*Metadata Object Description Schema*. Prepared by the Network Development and MARC Standards Office, Library of Congress. Washington D.C.: Library of Congress. Available online at: <http://www.loc.gov/standards/mods/> (accessed May 2012)

*Dublin Core Metadata Element Set, Version 1.1*. Dublin Core Metadata Initiative, 2012. Available online at: <http://dublincore.org/documents/dces/> (accessed May 2012)

*Categories for the Description of Works of Art*. rev. Edited by Murtha Baca and Patricia Harpring. Los Angeles: The J. Paul Getty Trust and College Art Association, Inc., 2009. Available online at: [http://www.getty.edu/research/publications/electronic\\_publications/cdwa/index.html](http://www.getty.edu/research/publications/electronic_publications/cdwa/index.html) (accessed May 2012)

*Metadata and Encoding Transmission Standard*. Prepared by the Network Development and MARC Standards Office, Library of Congress. Washington D.C.: Library of Congress. Available online at: <http://www.loc.gov/standards/mets/> (accessed May 2012)

*VRA Core Schema and Documentation*. Prepared by the Network Development and MARC Standards Office, Library of Congress and Visual Resources Association. Washington D.C.: Library of Congress. Available online at: <http://www.loc.gov/standards/vracore/schemas.html> (accessed May 2012)

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## APPENDIX C

# CROSSWALKS

### DACS to ISAAR(CPF) to EAC(CPF)

<i>DACS</i>	<i>ISAAR(CPF)</i>	<i>EAC-CPF</i>
<i>Chapter 2 Identity Elements</i>		
2.6 Name of Creator(s)	5.1 Identity area	<identity>
2.7 Administrative/ Biographical History Element	5.2.2 History	<biogHist>
2.7.13 Names	5.1.2 Authorized form(s) of name	<nameEntry> or <nameEntryParallel> with <authorizedForm>
2.7.14 Family information	5.2.7 Internal structure/Genealogy	<structureOrGenealogy>
2.7.15 Dates	5.2.1 Dates of existence	<existDates>
2.7.16 Place of residence	5.2.3 Places	<place> or <places>
2.7.17 Education	5.2.2 History	<biogHist>
2.7.18 Occupation, life, activities	5.2.5 Functions, occupations, and activities	<occupation> or <occupations>
2.7.19 Other relationships	5.2.8 General context	<relations>
2.7.20 Family relationships	5.2.7 Internal structure/Genealogy	<cpfRelation cpfRelationType="family" >
2.7.21 Other significant information	5.2.9 Other significant information	<generalContext>
2.7.22-23 Administrative history	5.2.2 History	<biogHist>
2.7.24 Dates of founding and/or dissolution	5.2.1 Dates of existence	<existDates>
2.7.25 Geographical areas	5.2.3 Places	<place> or <places>
2.7.26 Mandate	5.2.6 Mandates/Sources of authority	<mandate> or <mandates>
2.7.27 Functions	5.2.5 Functions, occupations, and activities	<function> or <functions>, <occupation> or <occupations>
2.7.28 Administrative structure	5.2.7 Internal structure/Genealogy	<structureOrGenealogy>
2.7.29 Predecessor and successor bodies	5.2.2 History	<cpfRelation cpfRelationType="tempora



		l-earlier"> or "temporal-later"
2.7.30 Amalgamations and mergers	5.2.2 History	<cpfRelation cpfRelationType="[value]" >
2.7.31 Name changes	5.2.2 History	<cpfRelation cpfRelationType="[value]" >
2.7.32 Names of officers	5.2.2 History	
2.7.33 Other significant information	5.2.8 General context	<generalContext>
<i>Part II: Chapter 9 Archival Authority records / Chapter 10 Form of the Name</i>		
10.1 Authorized form of the name	5.1.2 Authorized form(s) of name	<nameEntry> or <nameEntryParallel> with <authorizedForm>
10.2 Type of entity	5.1.1 Type of entity	<entityType>
10.3 Variant forms of names	5.1.3 Parallel forms of name	<nameEntryParallel>
10.3.2 Standardized form of the name according to other rules	5.1.4 Standardized forms of name according to other rules	<nameEntry> or <nameEntryParallel> with <authorizedForm>
10.3.3 Other forms of name	5.1.5 Other forms of name	<nameEntry> or <nameEntryParallel> with <alternativeForm>
10.4 Identifiers for corporate bodies	5.1.6 Identifiers for corporate bodies	<entityID>
<i>Chapter 11 Description of the Person, Family, or Corporate Body</i>		
11.1 Dates of existence	5.2.1 Dates of existence	<existDate>
11.2 Historical Summary	5.2.2 History	<biogHist>
11.3 Places	5.2.3 Places	<place> or <places>
11.4 Legal Status	5.2.4 Legal Status	<legalStatus> or <legalStatuses>
11.5 Functions, Occupations, and Activities	5.2.5 Functions, occupations and activities	<function> or <functions>, <occupation> or <occupations>
11.6 Mandates/Source of Authority	5.2.6 Mandates/Sources of authority	<mandate> or <mandates>
11.7 Internal Structure/Genealogy	5.2.7 Internal structure/Genealogy	<structureOrGenealogy>
<i>Chapter 12 Related Persons, Families, and Corporate Bodies</i>		
12.1-12.2 Authorized names of Related Corporate Bodies, Persons, or	5.3.1 Names/identifiers of related corporate bodies, persons or families	<cpfRelation> and <entityType>

Families		
12.3 Nature of relationship	5.3.2 Category of relationship	<cpfRelation cpfRelationType="[value]" >
12.3 Nature of relationship	5.3.3 Description of the relationship	<objectXMLWrap> or <objectBinWrap> or <relationEntry>
12.4 Dates of the relationship	5.3.4 Dates of the relationship	<cpfRelation>/<date> or <dateRange> or <dateSet>
<i>Authority Record Management</i>		
13.1 Repository code	5.4.2 Institution identifiers	<maintenanceAgency/agen cyCode and/or agencyName>
13.2 Authority record identifier	5.4.1 Authority record identifier	<recordId>
13.3 Rules or conventions	5.4.3 Rules and/or conventions	<conventionDeclaration>
13.4 Status	5.4.4 Status	<maintenanceStatus>
13.5 Level of detail	5.4.5 Level of detail	<localControl>
13.6 Date(s) of authority record creation and revision	5.4.6 Dates of creation, revision, or deletion	<maintenanceEvent>/<eve ntDateTime>
13.7 Language or scripts	5.4.7 Languages and scripts	<languageDeclaration>
13.8 Sources	5.4.8 Sources	<sources>
13.9 Maintenance information	5.4.9 Maintenance notes	<maintenanceEvent>/ <maintenanceDescription>
<i>Related Archival Materials and Other Resources</i>		
14.1 Identifiers and titles of related resources	6.1 Identifiers and titles of related resources	<objectXMLWrap> or <objectBinWrap> or <relationEntry>
14.2 Types of related resources	6.2 Types of related resources	<resourceRelation xlink:role="[value]">
14.3 Nature of relationship to related resources	6.3 Nature of relationships	<resourceRelation resourceRelationType="" [value]">
14.4 Dates of related resources and/or relationships	6.4 Dates of related resources and/or relationships	<resourceRelation>/<date> or <dateRange> or <dateSet>

## DACS to RDA

DACS	RDA
<i>Part I</i>	
2.1 Reference Code	2.15 Manifestations; 2.19 Item-level (they have an archival

	example here)
2.2 Name and Location of Repository	
2.3 Title	2.3.2.11.4
2.4 Date	2.7.6.7
2.5 Extent	3.4.1.11
2.6 Name of Creator	19, 21, 22
2.7 Administrative/Biographical History	9.17
2.7.13 Names	9.2
2.7.14 Family information	9.17
2.7.15 Dates	9.8-9.9
2.7.16 Place of residence	9.11; 9.8-9.9
2.7.17 Education	9.17
2.7.18 Occupation, Life, and Activities	9.15-9.16
2.7.19 Relationships	30 (Persons); 31 (Families); 32 (Corporations)
2.7.20 Family relationships	31 (Families)
2.7.21 Other information	9.17
2.7.22-2.7.23 Administrative history	11.11
2.7.24 Dates of founding and/or dissolution	11.4.3; 11.4.4
2.7.25 Geographical areas	11.3
2.7.26 Mandate	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 (maybe 3.21)
4.3 Technical Access	3.20
4.4 Conditions Governing Reproduction and Use	4.5

4.5 Languages and Scripts of Material	7.12; 7.13
4.6 Finding Aids	25.1 (related work)
5.1 Custodial history	2.17
5.2 Immediate Source of Acquisition	2.18
5.3 Appraisal, Destruction, and Scheduling Information	No RDA equivalent
5.4 Accruals	No RDA equivalent
6.1 Existence and Location of Originals	28.1 (related manifestations)
6.2 Existence and Location of Copies	28.1
6.3 Related Archival Materials	24.4.3 b (related works unstructured description)
6.4 Publication Note	25 (related work)
7.1 Notes	2.20 (manifestations/items)
8.1 Description Control	5.7 (work)
<b>Part II</b>	
9 Archival Authority records	19.2; 19.3
10.1 Authorized form of the name	9.19 (Person); 10.10 (Families); 11.13 (Corporate bodies)
10.2 Type of entity	-
10.3.1 Parallel forms of name	8.7 (variant forms)
10.3.2 Standardized form of the name according to other rules	9.19.2
10.3.3 Other forms of name	9.19.2
11 Identifiers for corporate bodies	11.12
11.1 Dates of existence	9.3 (Person); 10.4 (Family); 11.4 (Corporate bodies)
11.2 Historical summary	9.17 (person); 10.8 (family); 11.11 (corporate body)
11.3 Places	9.8-9.12 (person); 10.5 (family); 11.3 (corporate body)
11.4 Legal status	11.7
11.5 Functions, occupations, and activities	9.15-9.16 (person); 11.10 (corporate body)
11.6 Mandates/Sources of Authority	-
11.7 Internal Structure/Genealogy	10.8 (family); 11.11 (corporate body)
12.1 Names/Identifiers of Related Corporate Bodies, Persons, or Families	30 (person); 31 (families); 32 (corporate body)

12.2 Type of related entity	-
12.3 Nature of relationship	30.2 (person); 31.2 (family); 32.2 (corporate body)
12.4 Dates of the relationship	
13.1 Repository code	
13.2 Authority record identifier	
13.3 Rules or conventions	
13.4 Status	8.10
13.5 Level of detail	
13.6 Date(s) of authority record creation	
13.7 Language or scripts	8.4
13.8 Sources	8.12
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 resource	K, Relationship designators
14.4 Dates of related resources and/or relationships	

### **ISAD(G) to DACS**

<b>ISAD(G)</b>	<b>DACS</b>
<i>3.1 Identity Statement Area</i>	
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
<i>3.2 Context Area</i>	
3.2.1 Name of creator	2.6, Part II Describing Creators
3.2.2 Administrative/ Biographical history	2.7, 11.2 Admin/Biographical history
3.2.3 Archival history	5.1 Custodial history
3.2.4 Immediate source of acquisition	5.2 Immediate source of acquisition
<i>3.3 Context and Structure Area</i>	
3.3.1 Scope and content	3.1 Scope and content
3.3.2 Appraisal, destruction and scheduling	5.3 Appraisal/destruction/scheduling information
3.3.3 Accruals	5.4 Accruals
3.3.4 System of arrangement	3.2 System of arrangement
<i>3.4 Conditions of Access and Use Area</i>	

3.4.1 Conditions governing access	4.1 Conditions governing access
3.4.2 Conditions governing reproduction	4.4 Conditions governing reproduction and use
3.4.3 Language/scripts of material	4.5 Language/script
3.4.4 Physical characteristics and technical requirements	4.2 Physical access/4.3 Technical access
3.4.5 Finding aids	4.6 Finding aids
<b>3.5 Allied Materials Area</b>	
3.5.1 Existence and location of originals	6.1 Existence/location of originals
3.5.2 Existence and location of copies	6.2 Existence/location of copies
3.5.3 Related units of description	6.3 Related archival materials
3.5.4 Publication note	6.4 Publication note
<b>3.6 Notes Area</b>	
3.6.1 Note	7 Notes
<b>3.7 Description Control Area</b>	
3.7.1 Archivist's note	8.1.5 Archivist and date
3.7.2 Rules or conventions	8.1.4 Rules or conventions
3.7.3 Date(s) of descriptions	8.1.5 Archivist and date

## DACS to EAD and MARC

<b>DACS</b>	<b>EAD</b>	<b>MARC</b>
<i>1. Level of description</i>	<archdesc> and <c> LEVEL attribute	351\$c
<i>2. Identity Elements</i>		
2.1.3 Local identifier	<unitid>	099, 090
2.1.4 Repository identifier	<unitid> REPOSITORYCODE attribute	040\$a
2.1.5 Country identifier	<unitid> COUNTRYCODE attribute	The MARC21 format does not contain a straightforward mapping for this DACS subelement value.
2.2 Name and Location of Repository	<repository>	852, 524 (if the preferred citation indicates both the name and location of the repository)
2.3 Title	<unittitle>	245\$a
2.4 Date	<unitdate>	245\$f (\$g for bulk dates), 260\$c if

		recording data about formal publication, or for unpublished items that are collectively controlled
2.5 Extent	<physdesc> and subelements <extent>, <dimensions>, <genreform>, <physfacet>	300\$a and potentially other subfields
2.6 Name of creator(s)	<origination>	100, 110, or 111; 700, 710, or 711 for names in addition to that of the predominant creator
2.7 Admin/Biog history	<bioghist>	545
<i>3. Content and Structure Elements</i>		
3.1 Scope and content	<scopecontent>	520
3.2 System of arrangement	<arrangement>	351
<i>4. Access Elements</i>		
4.1 Conditions governing access	<accessrestrict>	506
4.2 Physical access	<accessrestrict>, <phystech>, <physloc>	340, 506
4.3 Technical access	<phystech>	340, 538
4.4 Conditions governing reproduction and use	<userrestrict>	540
4.5 Languages/scripts of the material	<langmaterial>	546
4.6 Finding aids	<otherfindaid>	555
<i>5. Acquisition and Appraisal Elements</i>		
5.1 Custodial history	<custodhist>	561
5.2 Immediate source of acquisition	<acqinfo>	541
5.3 Appraisal/destruction/scheduling information	<appraisal>	583
5.4 Accruals	<accruals>	584
<i>6. Related Materials Elements</i>		
6.1 Existence/location of originals	<originalsloc>	535
6.2 Existence/location of copies	<altformavail>	530, 533
6.3 Related archival materials	<relatedmaterial> <separatedmaterial>	544
6.4 Publication note	<bibliography><p> or <bibliography><bibref>	581

7. <i>Notes</i> <sup>41</sup>	<odd>, <note>	500
8. <i>Description control</i>	<processinfo>	583
8.1.4 Rules or conventions	<descrules>	040\$e
8.1.5 Archivist and date	<processinfo><p><date>	583

## DACS to ISAD(G)

DACS	ISAD(G)
1 <i>Levels of Description</i>	3.1.4 Level of description
2 <i>Identity Elements</i>	
2.1 Reference code	3.1.1 Reference code(s)
2.3 Title	3.1.2 Title
2.4 Date	3.1.3 Dates
2.5 Extent	3.1.5 Extent and medium of the unit
2.6 Name of creator(s)	3.2.1 Name of creator
2.7 Administrative/Biographical history	3.2.2 Administrative/Biographical history
3 <i>Content and Structure Elements</i>	
3.1 Scope and content	3.3.1 Scope and content
3.2 System of arrangement	3.3.4 System of arrangement
4 <i>Access Elements</i>	
4.1 Conditions governing access	3.4.1 Conditions governing access
4.2 Physical access	3.4.4 Physical characteristics and technical requirements
4.3 Technical access	3.4.4 Physical char. and technical req.
4.4 Conditions governing reproduction and use	3.4.2 Conditions governing reproduction
4.5 Languages/scripts of the material	3.4.3 Language/scripts of material
4.6 Finding aids	3.4.5 Finding aids
5 <i>Acquisition and Appraisal Elements</i>	
5.1 Custodial history	3.2.3 Archival history
5.2 Immediate source of acquisition	3.2.4 Immediate source of acquisition
5.3 Appraisal/destruction/scheduling	3.3.2 Appraisal, destruction, scheduling
5.4 Accruals	3.3.3 Accruals
6 <i>Related Materials Elements</i>	
6.1 Existence/location of originals	3.5.1 Existence and location of originals
6.2 Existence/location of copies	3.5.2 Existence and location of copies
6.3 Related archival materials	3.5.3 Related units of description
6.4 Publication note	3.5.4 Publication note

<sup>41</sup> Notes should only be encoded using the more generic <odd> and <note> elements (EAD) or 500 field (MARC21) when they do not correspond to a more specific EAD element or MARC21 field.



7 <i>Notes</i>	3.6.1 Note
8 <i>Description control</i>	3.7.1 Archivist's note
8.1.4 Rules or conventions	3.7.2 Rules or conventions
8.1.5 Archivist and date	3.7.3 Date(s) of descriptions
<i>Part II: Introduction to Describing Creators</i>	3.2.1 Name of creator
10 <i>Admin/Biographical history</i>	3.2.2 Administrative/Biographical history
11 <i>Description of the Person, Family, or Corporate Body</i>	
12 <i>Related Persons, Families, and Corporate Bodies</i>	
13 <i>Authority Record Management</i>	
14 <i>Related Archival Materials and Other Resources</i>	

# Describing Archives: A Content Standard Revision Summary

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## Purpose of DACS/Intended Audience

*Describing Archives: A Content Standard* (DACS) was adopted as the official content standard of the U. S. archival community by the Society of American Archivists in 2004. 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* which had served the U. S. archival community for more than two decades. DACS grew out of the joint U.S./Canadian project on archival description (CUSTARD).

## History/Revision Process Description

As a descriptive standard of the Society of American Archivists, DACS was placed on a periodic revision cycle. With the release of *Resource Description and Access* (RDA) in 2010 the Council of the Society of American Archivists asked the Technical Subcommittee on *Describing Archives: A Content to Standard* (TS-DACS) to initiate a revision of DACS. TS-DACS was asked to pay particular attention to how DACS and RDA could be brought into closer alignment. TS-DACS was also charged to look at the relationship between DACS and the archival standards developed by the International Council on Archives.

In the fall of 2010 TS-DACS began soliciting feedback from the U. S. archival community on what changes needed to be made to DACS in order for the standard to better meet the needs of the U. S. archival community. Feedback was obtained through a web form posted on the TS-DACS page on the website of the Society of American Archivists. Feedback was solicited via the following avenues:

- Archives and Archivists listserv of the Society of American Archivists
- AutoCat listserv
- Next Generation Catalogers listserv
- Description Section of the Society of American Archivists
- College and University Archives Section of the Society of American Archivists
- *Archival Outlook*
- *In the Loop*
- The homepage of the Society of American Archivists
- The Library of Congress
- DCRM working groups
- CCDA
- Standards Committee of the Society of American Archivists
- Open Forum on DACS at the 2011 SAA annual meeting

The feedback (see *Initial Feedback on DACS*) was collated and carefully analyzed by members of TS-DACS via several teleconferences. TS-DACS subdivided the work of revising DACS and spent the bulk of 2011

and 2012 creating a draft revision. The draft revision was completed shortly before the 2012 SAA annual meeting. Feedback was solicited via the following avenues on the revision draft:

- Archives and Archivists listserv of the Society of American Archivists
- AutoCat listserv
- Next Generation Catalogers listserv
- Description Section of the Society of American Archivists
- College and University Archives Section of the Society of American Archivists
- *Archival Outlook*
- *In the Loop*
- The homepage of the Society of American Archivists
- The Library of Congress
- DCRM working groups
- CCDA

The feedback (see *Revision Feedback*) on the revision was carefully considered and several modifications were made to the revision draft. A small subset of TS-DACS met at the Society of American Archivists headquarters in Chicago in late October 2012 to finalize the revision.

## TS-DACS members

Gordon Daines, Brigham Young University, chair of TS-DACS  
 Hillel Arnold, Rockefeller Archive Center  
 Kathryn Bowers, Harvard University Archives  
 Jacqueline Dean, University of North Carolina, Chapel Hill  
 Chatham Ewing, Case Western Reserve University  
 Steven Hensen, Duke University  
 Mary Lacy, The Library of Congress  
 Sibyl Schaefer, Rockefeller Archive Center  
 Claudia Thompson, American Heritage Center

## Significant Changes from 2004 version

<u>DACS 2013</u>	<u>DACS 2004</u>
Minimum, Optimum, Added Value indicated with each element	Minimum, Optimum, Added Value indicated in Chapter 1
Encoding examples not embedded in text	Encoding examples embedded in text
“Devised” used to indicate titles created by an archivist	“Supplied” used to indicate titles created by an archivist

Acronyms should be spelled out at least once	No guidance on acronyms
Abbreviations discouraged	No guidance on abbreviations
Square brackets not prescribed	No guidance on square brackets
"Papers", "records", "collection" not prescribed for titles as long as local decisions are documented.	"Papers", "records", "collection" prescribed for titles
Part II covers Archival Authority Records	Part II covers Describing Creators
Chapter 2.6 discusses Identifying Creators	Chapter 9 discusses Identifying Creators
Chapter 2.7 discusses Administrative/Biographical History	Chapter 10 discusses Administrative/Biographical History
Part III eliminated	Part III discusses Forms of Names
Relies on the SAA Glossary at <a href="http://www2.archivists.org/glossary">http://www2.archivists.org/glossary</a>	Glossary included as Appendix A
Number of crosswalks in Appendix C have been reduced	
2004 Preface included as Appendix A	
Number of Examples has been reduced in favor of creating a companion website that will feature examples and best practices. This includes removal of encoding examples.	Includes encoding examples

## Deferred Issues

Several issues were raised by community members for consideration as part of the revision of DACS that TS-DACS chose to defer because community consensus had not developed around the issues. These issues include:

- The question of whether or not we should move away from using the terms "papers," "records," and "collection" in light of digital materials.
- The relationship of DACS to the emerging conceptual model of archives.
- Whether or not a separate standard should be produced for archival authority records.
- The question of whether or not biographical and historical notes should be part of collection descriptions or whether they belong solely in archival authority records that are linked to collection descriptions.
- Tighter integration between DACS and library and museum standards for description.

## Availability of DACS

TS-DACS strongly recommends that DACS be available freely on the SAA website. This will facilitate access and use of the standard by all types of archival institutions. This would also allow the revision cycle of DACS to be more responsive. TS-DACS would like to see DACS presented as a set of webpages. When sections of DACS need to be reviewed and updated, then those sections could be reviewed and updated on the website and made immediately available to the public. TS-DACS realizes that DACS is a revenue generator for SAS and to help offset the revenue loss caused by this change and to provide guidance for archivists looking to implement DACS, TS-DACS has proposed the creation of a publication to be called *Implementing DACS* to the Publications Board.

## Maintenance Plan

TS-DACS recommends that DACS be placed on one of the following maintenance plans:

1. If DACS is to remain as a print publication only available for purchase through SAA, then it should be on a 3 year review cycle. This is necessary in order to keep DACS current and to reflect community best practices.
2. If DACS will be made freely available to the archival community as a website, then TS-DACS recommends that the review cycle be ongoing and that DACS be updated on an as-needed basis. This cycle presumes that sections of DACS would be reviewed and updated as community consensus builds and that those updates would be made available immediately on the website.

# Documentation of the Consultation Process

# Revision Comments 2011

**All comments were submitted via the web form on the SAA website and examples are part of this text**

# Suggested Revisions to *Describing Archives: A Content Standard (DACS)*

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May 25, 2011

## Not related to text—See Appendix 1

- Make DACS available online (possibly as a for fee service)

## Potential New Material—See Appendix 2

- Add a section that addresses the required descriptive elements for the finding per se (would correspond to the <eadheader>).
  - Author and publisher of the finding aid
  - Date it was created
  - Rules used in its creation
  - List of revisions
- Create an index that linked MARC/EAD codes with corresponding DACS elements.
- Discuss the use of abbreviations and square brackets with clear explanations.
- Elevate information in footnotes to the main text.
- Provide guidance on the use of acronyms.
- Add a title conventions element to DACS and make it required at the collection level in multi-level descriptions.
- Add appendices covering:
  - Applying DACS to folders
  - Applying DACS to electronic records
  - Applying DACS to non-textual materials
  - Working with DACS and companion standards

## Introductory Text—See Appendix 3

- Clarify the intent of “In a minimum description, this element may simply provide a short abstract of the scope and content of the materials being described” on p. 8 while in 3.1 DACS states that a brief summary of the scope and content and the biographical information may be combined to



create an abstract, but that “such an abstract does not serve as a substitute for the scope and content element.” (p. 35)

- Expand the discussion of access points and put it in one place (currently split between 2.6 and the Overview).
  - Explicitly state that names of creators are meant to be provenance access points.
- Add statements to the “statements of principles” that explain provenance/respect de fonds, original order, and archival ethics in the context of archival description.

## **Part I: Describing Archival Materials**

### ***Levels of Description—See Appendix 4***

- Require a title conventions note for both single-level minimum and multi-level minimum archival descriptions (Levels of Description).
- Rename “Levels of Description” as “Levels of detail in description”—make clear that it describes what elements are mandatory and which are optional.

### ***2.1 Reference Code—See Appendix 5***

- Add information on control numbers for component parts of archival collections.

### ***2.3 Title—See Appendix 6***

- Add guidance for including inclusive or bulk dates in supplied titles.
- Allow differentiation of titles by date.
- Provide guidance on additional format types useful for titles (video, film, computer files, etc.). Provide examples.
- Clarify how to determine the nature of archival materials in a record group when a personal name is heavily associated with the records.
  - Indicate that the role of an individual is the important point in determining the nature of archival material.
- Provide advice on when and how to transcribe folder titles.
- 2.3.6 refers archivists to rules 2.3.18-20 and 2.3.22 in cases where the repository has assembled the collection or creator is not known. 2.3.21 would also be relevant, and should be added to the list of rules referred to.
- Provide direction on which creator to record first in a title if there are multiple creators.
- Provide direction on choosing between personal/family and corporate body responsibility (papers v. records).
- Provide additional direction about choosing among multiple corporate names (2.3.17).
- Provide guidance on the creation of “good” titles as well as examples.

- Decide whether or not to remove AACR2 reference (2.3.2) and whether to add DCRM, CCO, RDA, etc.
- Clarify when to use supplied vs. formal titles. Add more detail to the rules.
- Provide guidance on aggregations that have titles—when do you use the title and when should you create new titles?
- Provide guidance on what to do when alternative titles exist.
- Provide guidance on devising titles for aggregations.
- Explicitly state that devised titles must be unique. They cannot be duplicated anywhere else in the description.
- Consider replacing papers with something that works in a digital environment.
- Replace the word “supply” with “devise”; would apply to all forms of the words.

### ***2.4 Date—See Appendix 7***

- Clarify how to describe a range of exact specific dates falling within the same month. Provide examples.
- Clarify 2.4.16 to discourage descriptions lacking dates.

### ***2.5 Extent—See Appendix 8***

- Add computer files/formats into extent types. Provide examples.
- Define a preferred expression of extent.

### ***2.6 Name of Creator(s)—See Appendix 9***

- Clarify the purpose of this element.
- Add rules assist archivists in choosing a main entry when they have multiple creators.

### ***2.7 Administrative/Biographical History—See Appendix 10***

- Make the Administrative/Biographical History a required element for minimum description at all levels

### ***3.1 Scope and Content—See Appendix 11***

- Clarifying wording, specifically use of the word “abstract.”

### ***3.2 System of Arrangement—See Appendix 12***

- Explicitly state that this element identifies the whole-part relationship to the next lowest level.
- Explain clearly when this element should be used and to what purpose.
- Provide additional guidance on the two components of arrangement statements—intellectual units and overall physical order of the units.
- Add a statement explaining that “arranged chronologically” implies that the arrangement is by date of document creation or have the examples specify what date is being used for chronological arrangement (i.e. diaries arranged chronologically by the creation date).
- Change the text in the second example on page 40 from “...arranged alphabetically with the exception of...” to “...arranged alphabetically by subject with the exception of...”

### ***4.3 Technical Access—See Appendix 13***

- Add information on computer files and include relevant examples.

## **Part II: Describing Creators—See Appendix 14**

- Make 10.15/10.26 required and 10.14/10.25 optional.

## **Part III: Forms of Names**

## **Appendices—See Appendix 15**

### ***Appendix A: Glossary***

- Provide a definition for “devised” titles.

### ***Appendix D: Full EAD and MARC 21 Examples***

- Have at least one example where a collection is shown with:

- How you would do it in MARC
- How you would it in EAD
- What it would look displayed

# Appendix 1: Not related to text

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DACS REVISION:  
Submitted: 1/4/2011

Name: Alexandra Myers  
Affiliation:  
E-mail: [alexandramyers@gmail.com](mailto:alexandramyers@gmail.com)  
Phone:  
Official Comment? No

-----  
DACS REFERENCE:

Other/No rule

-----  
BRIEF DESCRIPTION OF CHANGE:

Is DACS available as an online resource to paid members of SAA? Can you access an online copy (even paid, such as \$9 for the PDF)? At a recent contract job, my employer did not have this text and I was unsure how to proceed. My suggestion would be to make the newest version of DACS easily available as a ready reference. If it *is* already available, I apologize, as I am a recent graduate and am still learning about archival resources.

-----  
RATIONALE:

Please see above. Desire to quickly and authoritatively make processing decisions.

---

DACS REVISION:  
Submitted: 3/2/2011

Name: Lindsey Fresta  
Affiliation: student member  
E-mail: [lindsey.fresta@gmail.com](mailto:lindsey.fresta@gmail.com)  
Phone: 508-243-2441  
Official Comment? No

-----  
DACS REFERENCE:

Other/No rule

-----  
BRIEF DESCRIPTION OF CHANGE:

It would be extremely convenient for DACS to be available online via an electronic source!

-----  
RATIONALE:

This online access would be very helpful to those grad students who cannot afford to purchase DACS right away. Personally at our school the library only holds two copies and there are obviously way more than two students that need to use it! Keep up the great work!

## Appendix 2: Potential New Material

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DACS REVISION:

Submitted: 1/19/2011

Name: Michele Combs

Affiliation: Syracuse University

E-mail: [mrrothen@syr.edu](mailto:mrrothen@syr.edu)

Phone: 315-443-2081

Official Comment? No

-----  
DACS REFERENCE:

Other/No rule

-----  
BRIEF DESCRIPTION OF CHANGE:

Suggest adding a section that addresses the required descriptive elements for the finding aid per se, to correspond to EAD elements in the <eadheader> section -- for example, the author and publisher of the finding aid, the date it was created, rules used in its production, the list of revisions, etc.

-----  
RATIONALE:

These are important elements for a researcher, particularly the date the finding aid was created and the list of revisions. For example, it would help repeat visitors know whether anything in the collection or finding aid has changed, as well as encouraging them to ask additional questions if the finding aid was created many many years ago and later material may exist.

---

This comment was left on the SAA Facebook page after we posted the call on their. Nancy suggested that I send to your attention.

[Lorraine Nero](#) A useful enhancement would be to have an index. I created an index of Marc tags with matching page numbers to make it easier to use my DACS.

---

DACS REVISION:

Submitted: 4/13/2011

Name: Johanna Carll

Affiliation: Schlesinger Library, Radcliffe Insititute, Harvard University

E-mail: [jcarll@radcliffe.edu](mailto:jcarll@radcliffe.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

Other/No rule

-----  
BRIEF DESCRIPTION OF CHANGE:

Give greater prominence to instruction currently buried in footnotes, particularly those regarding the use of abbreviations and square brackets. Also explain the reason behind such instructions.

-----  
RATIONALE:

DACS provides an easily accessible and understood source to point to as reasoning for changing entrenched practices, but when rules/instructions are buried in footnotes, they are difficult to reference and are more easily ignored than information in the main text. Change is difficult and one of the strongest motivations for archivists to change their practices is a change in accepted archival standards. Therefore, the more straightforwardly DACS rules are stated, the more likely they are to be adopted.

---

DACS REVISION:

Submitted: 4/13/2011

Name: Johanna Carll

Affiliation: Schlesinger Library, Radcliffe Insitute, Harvard University

E-mail: [jcarll@radcliffe.edu](mailto:jcarll@radcliffe.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

Other/No rule

-----  
BRIEF DESCRIPTION OF CHANGE:

Address the use of acronyms.

-----  
RATIONALE:

The Schlesinger Library has a long history of using acronyms to refer to organizations in their archival descriptions. Sometimes, these acronyms are



widely known, such as NOW for National Organization for Women, but often they are known only to those familiar to the organization, such as BWHBC for the Boston Women's Health Book Collective. DACS has brought about a great deal of discussion about this practice, but since DACS doesn't directly address the use of acronyms, the decision to use acronyms remains at the processor's discretion. The current practice is to use the full name of the organization with the acronym (usually in the history) and then just the acronym throughout the remainder of the finding aid. As we have committed to using DACS, we would like to ensure that our practices are compliant.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment?

-----  
DACS REFERENCE:

Other/No rule

-----  
BRIEF DESCRIPTION OF CHANGE:

A title conventions note should be required at the collection level in multi-level descriptions and optional at other levels. It should be required in single-level descriptions if the title was devised or supplied.

Collection-level examples:

- o All titles were devised by the archivist.
- o All titles were devised by the archivist unless otherwise noted.
- o Series and sub-series titles were devised by the archivist. Folder titles are chiefly transcribed from the original folder tabs. Date portions of folder titles were supplied by the archivist from folder contents.
- o Series and sub-series titles were devised by the archivist. Folder titles are chiefly transcribed from the original folders. Any modifications or additions to folder titles appear in square brackets.

Series-level example:

- o The folder titles in the list below are formed from the text on the tabs of hanging folders followed by the text from the tabs of the conventional paper folders.
- o All titles in this series were supplied by the archivist from information on the outside of the manilla folders that originally housed the material.
- o This list was compiled with minor changes from the nine-part index prepared by the Office of \_\_\_\_\_. Archivists made minor changes to add new terms for obsolete words or obsolete place names. In a few cases, terms for ethnic groups

that may be considered offensive were replaced with newer terms and the obsolete terms were removed. All changes made by the archivists are in square brackets.

Single-level examples:

- o Title devised by cataloger.
- o Title devised by archivist.
- o Title transcribed from cover.
- o Title from caption.

-----  
RATIONALE:

Authenticity is of value to archival materials. Readers should be able clearly to distinguish the hand of the archivist from the hand of the creator of the records.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment?

-----  
DACS REFERENCE:

Other/No rule

-----  
BRIEF DESCRIPTION OF CHANGE:

Desirable appendices:

Applying DACS to folders

Applying DACS to electronic records

Applying DACS to non-textual materials

Working with DACS and companion standards

-----  
RATIONALE:

Frequently asked questions.

## Appendix 3 Introductory Text

---

DACS REVISION:

Submitted: 1/19/2011

Name: Michele Combs

Affiliation: Syracuse University

E-mail: [mrrothen@syr.edu](mailto:mrrothen@syr.edu)

Phone: 315-443-2081

Official Comment? No

-----  
DACS REFERENCE:

3.1 Scope and Content

-----  
BRIEF DESCRIPTION OF CHANGE:

Clarify wording, specifically use of the word "abstract."

In the DACS minimum description (p. 8), a note following the scope and content component says: "In a minimum description, this element may simply provide a short abstract of the scope and content of the materials being described."

Then in section 3.1, DACS states that a brief summary of the scope-and-content and the biographical information may be combined to create an abstract, but that "such an abstract does not serve as a substitute for the scope and content element" (p. 35).

-----  
RATIONALE:

The two statements appear contradictory since one of them says an abstract may suffice for the scope and content, but the other says no it won't. An extra layer of confusion potentially arises from the fact that EAD has an <abstract> element but DACS always maps the scope and content descriptive element to <scopecontent> not to <abstract>, even in cases of a DACS minimum description where (maybe) an abstract is OK. See? Confusing!

---

DACS REVISION:

Submitted: 4/13/2011

Name: Johanna Carll

Affiliation: Schlesinger Library, Radcliffe Insititute, Harvard University

E-mail: [jcarll@radcliffe.edu](mailto:jcarll@radcliffe.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

Other/No rule

-----  
BRIEF DESCRIPTION OF CHANGE:

Address the use of acronyms.

-----  
RATIONALE:

The Schlesinger Library has a long history of using acronyms to refer to organizations in their archival descriptions. Sometimes, these acronyms are widely known, such as NOW for National Organization for Women, but often they are known only to those familiar to the organization, such as BWHBC for the Boston Women's Health Book Collective. DACS has brought about a great deal of discussion about this practice, but since DACS doesn't directly address the use of acronyms, the decision to use acronyms remains at the processor's discretion. The current practice is to use the full name of the organization with the acronym (usually in the history) and then just the acronym throughout the remainder of the finding aid. As we have committed to using DACS, we would like to ensure that our practices are compliant.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

Statement of Principles

-----  
BRIEF DESCRIPTION OF CHANGE:

Archival description provides authentic and recognizable surrogates for archival materials.

Below are tests for to determine if the description meets these conditions.

\* Authenticity:

- o the description is accurate
- o the description is unbiased

- o the description indicates the source of its data, clearly distinguishing between data provided by the originator and data provided by the archivist
- o the description distinguishes between the state of the records as maintained by the originator and state of the records as altered by the treatment or processing actions of the archivist (and intermediate custodians, if known)

\* Recognition

- o the archival material meets user expectations raised by the reading of the description
- o a reader looking at the archival holding can identify its description
- o a reader looking at the description can identify the archival holding

-----  
RATIONALE:

This is my attempt to take the principals of provenance/respect de fonds and respect for original order and re-state them in the context of archival description, with a smattering of archival ethics thrown in. I'm not sure it succeeds!

---

# Appendix 4: Levels of Description

---

DACS REVISION:  
Submitted: 4/28/2011

Name: Jean Dryden  
Affiliation: College of Information Studies, University of Maryland  
E-mail: [jdryden@umd.edu](mailto:jdryden@umd.edu)  
Phone: 301-405-3777  
Official Comment? No

-----  
DACS REFERENCE:

1. Levels of Description

-----  
BRIEF DESCRIPTION OF CHANGE:

This chapter should be renamed Levels of detail in description, i.e., which elements are mandatory and which are optional.

-----  
RATIONALE:

The distinction between the traditional levels of arrangement & description (i.e., fonds/series/file/item) and levels of detail in descriptions must be clear. The title of Ch. 1 is highly ambiguous and thus confusing.

---

DACS REVISION:  
Submitted: 5/4/2011

Name: Kate Bowers  
Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS  
E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)  
Phone:  
Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

Choosing between personal/family and corporate body responsibility, and, hence, "papers" vs. "records"

Determine whether to consider an individual or individuals, family or families, or corporate body as originator. In making these determinations, consider the following:

Indications for personal/family responsibility:

- Correspondence is chiefly to or from an individual and concerns many aspects of that individual's life
- Material includes personal memorabilia, identity documents, and photographs of the individual in more than one role
- Correspondence is chiefly among family members and concerns a broad spectrum of family concerns

Examples:

Papers of Charles William Eliot, 1807-1945.

Abstract: Charles William Eliot (1834-1926) was President of Harvard University from March 12, 1869 to May 19, 1909. He also taught mathematics and chemistry at Harvard University (1858-1863) and at the Massachusetts Institute of Technology (1865-1869). The Papers document his personal and professional life.

Papers of James Bryant Conant, 1862-1987

Abstract: James Bryant Conant (1893-1978) was a chemist, educator and public servant. The wide variety of his interests and occupations are reflected in the title of his memoirs, *My Several Lives*. Conant's "several lives" included periods as a Harvard University chemistry professor, Harvard University president, national director of defense research, ambassador to Germany and as an author of critical works examining secondary education in the United States. This collection documents professional activities of James Bryant Conant and, to a lesser extent, provides information on Conant's personal and family life.

Indications of corporate body responsibility:

- The material is generated exclusively or predominantly by an individual acting in his or her role as a government official, business employee or officer, or association employee or officer
- Correspondence is chiefly with an individual or multiple individuals whose role/s were manager or operator of a business, or leader or officer of an association, or official in a government or institution
- The presence of business records such as ledgers or other financial records, annual reports, invoices and orders for goods, services, or supplies, procedural or policy documents.

Examples:

(this is a sub-series in the records of a laboratory)

Records of Senior Research Associate, Richard Little, 1965-1973 (6 boxes)

Scope and Content: Records regarding Bypass On Line Detector (B.O.L.D.) including experimental data, memos (typed and photostatic copies), notes, copies of drawings (blueprints), reports, data, correspondence, minutes, and proposals.

Records of the President of Harvard University, Charles W. Eliot, 1869-1930  
Abstract: Charles William Eliot (1834-1926) was President of Harvard University from March 12, 1869 to May 19, 1909. He transformed Harvard from a regional institution to a world-class university. The Records consist of official records produced by his administration.

Records of the President of Harvard University, James Bryant Conant, 1933-1955  
Scope and Content: These records document James B. Conant's tenure as President of Harvard University and illustrate his involvement in national affairs, his administrative duties, and the major events in Harvard's history that occurred during his presidency. The records include his official and unofficial correspondence, annual reports, handwritten and final drafts of speeches, manuscript notes and various drafts for Conant's book, Education and Liberty: the Role of the Schools In a Modern Democracy, and Conant's office calendars.

-----  
RATIONALE:

Distinguishing between records and papers can be difficult when an individual is prominent in the creation of archival material. However, it is crucial that institutional, organizational, and government records are identified as such: they are subject to policies and laws that may not apply to personal papers, such as restrictions on access, and their ownership is often public or corporate. Mis-characterizing records as personal papers can have severe consequences on the ability to digitize collections, since it can lead to inaccurate assumptions about who holds copyright.



# Appendix 5: Reference Code

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

2.1 Reference Code

-----  
BRIEF DESCRIPTION OF CHANGE:

Control numbers in multilevel descriptions for aggregations and items below the collection level.

A control number is the means by which an archival repository associates an archival description with the material being described.

In the case of analog holdings, the control number in the description associates the description with the physical holding, usually by indicating a unit identifier and/or a container and/or an item number.

In the case of digital holdings, the control number points electronically or resolves to the electronic holding.

It is wise to avoid the use of system numbers as control numbers because systems are inevitably replaced and system numbers will change when the system does.

For analog materials, transcribe or assign a control number that uniquely identifies an archival holding from the container, label, or holding. Typically, control numbers are:

- an accession number
- a call number
- a container number
- an item number
- some combination of the above

Examples:

- \* Box 1
- \* Volume 1
- \* Reel 1

- \* Box 1, Folder 1
- \* Box 1, Volume 1
- \* MS100, Box 1, Folder 1
- \* MS100, Box 1, Volume 1
- \* MS100, Box 1, Cassette 1
- \* MS100, Volume 1
- \* MS100, Portfolio 1
- \* MS100, Cassette 1
- \* Accession MS1999-01, Box 1
- \* Accession MS1999-01, Reel 1

Control number for digital objects

Record the control number of the digital object. The sources for control numbers for digital objects vary with the storage and retrieval systems. A digital objects typically have either

- a URI
- a persistent reference number such as a universally unique identifier . a system name and system number

Examples:

- \* <http://nrs.harvard.edu/urn-3:HUL.ARCH:3229165>
- \* XYZEmailArchiveSystem 0000012345

-----  
RATIONALE:

Reference code in DACS seems to me to apply only to the top-level. With the increase in born-digital and digitized analog holdings, it is important to identify control numbers for collection components.

(As far as I can tell, no where in DACS does it tell an archivist to record what box something is in!)

## Appendix 6: Title

---

DACS REVISION:

Submitted: 3/15/2011

Name: Trevor Thornton

Affiliation: New York Public Library

E-mail: [trevor\\_thornton@nypl.org](mailto:trevor_thornton@nypl.org)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

Add guidance for including inclusive or bulk dates in supplied titles.

-----  
RATIONALE:

Since many institutions' practice is to include dates in collection titles, perhaps DACS should include guidance on this so that a standard may be established. Use of dates in titles is useful for researchers as it allows them to quickly ascertain the temporal scope of the content.

---

DACS REVISION:

Submitted: 3/15/2011

Name: Daniel Hartwig

Affiliation: Stanford University

E-mail: [dhartwig@stanford.edu](mailto:dhartwig@stanford.edu)

Phone: 650-725-1161

Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

Please incorporate additional format types into titles/examples, e.g. video and film, computer files, etc.

-----  
RATIONALE:

Varying practice.

---

DACS REVISION:

Submitted: 3/23/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

2.3.18

Clarify how to determine the nature of archival materials in a record group when a personal name is heavily associated with the records.

Include an examination of the role of the individual within an organization as a means to determine whether the material is records or papers, even though an individual has primary responsibility for the creation of the record sub-group, series, subseries, etc.

Indicate that this role, rather the naming of an individual, is the fact upon which an archivist relies when considering the nature of the archival material. (i.e. the fact that the series creator is "Barak Obama," doesn't transform U.S. presidential records are his personal papers).

-----  
RATIONALE:

I teach at Simmons GSLIS, and I'm grading my students' DACS finding aids right now (12:30 am!)

One pattern I see is the use of "papers" in the titles for series or sub-series within records groups if series or sub-series is from a single named administrator.

The DACS assignment requires that students cite the DACS rule that they are using to determine titles. They keep citing 2.3.18 when they apply "papers" to records series.

NB: I realize that as a member of TS-DACS I could bring this up later, but I wanted to write this up while it was still fresh and my students' work was on my mind.]

---

DACS REVISION:  
Submitted: 3/23/2011

Name: Kate Bowers  
Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science  
E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)  
Phone:  
Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

2.3.2

Should we provide advice to archivists on transcribing folder titles?

-----  
RATIONALE:

Is a folder an aggregation, or an item?  
Is a folder title a 'formal' title?

The reason I ask these questions is that 2.3.2 refers archivists to AACR2 or other standards to transcribe formal titles. In the common sense of "formal," I suspect that something scrawled on the tab of a folder may not seem to meet the criteria. However, in the sense of a title given to something by its creator that is transcribed into a descriptive record, it may be 'formal.'

2.3.2 refers archivists to AACR2 when they find themselves facing a formal title. However, neither AACR2 and nor descriptive standards from our allied communities (DCRM, CCO, etc.) are going to provide archivists with practical guidance on transcription of folder titles.

I tend to think of DACS primarily (although I may be wrong in this) when I need to supply titles for aggregations. Hence my questions about aggregation/item and formal/supplied.

My observation is that many finding aids, especially for large 20th-century collections, are composed, if calculated by the sheer volume of text, chiefly of folder titles. Should DACS, therefore, provide guidance on supplying/transcribing folder titles? Perhaps an appendix could address this?

(apologies to the group for more late-night/early morning musings)

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

If more than one person, body or family is responsible ... record the name of the creator responsible for the largest extent of material being described first.

If creators are responsible for roughly equivalent extents of material, record the name of the creator of greatest significance in accordance with the archives' mission or collecting policy first.

If no creator fits the above criteria, choose the creator whose name is first alphabetically.

-----  
RATIONALE:

DACS currently provides no directive on which creator comes first, but I think the above may reflect what happens in practice.

Also, if we give direction about main entry that refers to "first named creator," then we need to give direction about who to name first.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS  
E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)  
Phone:  
Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

2.3.17

Choosing among multiple corporate names

If there are multiple possible corporate names associated with the creation of the archival material, consider the relationship between the archival material and corporate creators when determining the appropriate corporate body name to use in describing the various aggregations of the material.

Indications that a single named corporate body is responsible for an aggregation of material

- . Body changes name and/or role, and order of the archival materials reflect the change
- . Body splits, and archival materials also split
- . Two or more bodies join to form one body, and archival holdings are joint thereafter
- . Body is formed ad hoc, and archival holdings are specific to the ad hoc group

Indications that a single corporate body with multiple names is responsible for an aggregation of material

- . Files are in contiguous arrangement despite changes in leadership personnel, changes in office name, or administrative re-organization
- . Function of an administrative office and its personnel remain the same at the time of the change
- . A name changes in only a minor way
- . Material is not organized in accordance with administrative history
- . Chaotic or unorganized material cannot be arranged by the archivist to accord with administrative history
- . Interconnections among records render separation a disservice to researchers (e.g. parallel series appear to have been created by separate bodies, but are for use together)

Selecting a corporate name

1. Bulk of records

If the body has changed names and has a) ceased to exist, or, b) if it has not ceased to exist, but there are no accruals expected under the new name, use the name under which the body was known when it created the substantial bulk of the records.

Example: Records of the College Teas Association.

(The College Teas Association became Harvard Neighbors. The records are chiefly those of the College Teas Association, but there are also a few records from the Harvard Neighbors. These are especially to be found in the series on the development of Harvard Neighbors. Harvard Neighbors is a separate record group, accruals go into the Records of Harvard Neighbors, not the College Teas Association.)

Example: Records of the Harvard University Division of Engineering and Applied Sciences, 1912-1998 (This body was re-named as the Harvard School of Engineering and Applied Sciences in 2007, but the archival material being described does not contain any records created after the name change.)

## 2. Name of parent institution

If the creator is a variety of sub-units within a larger corporate body, and a single responsible sub-unit either cannot be identified, or has changed name multiple times such that a single form of name responsible for the largest extent of the records cannot be identified, use the name of the parent institution and identify the records' function in the title.

Example: Harvard University construction management records (Construction was managed by offices with specific responsibility for managing construction projects which were re-named, re-organized, and re-integrated multiple times over the life of the records, as well as by various Deans, departments responsible for buildings and grounds, and laboratory managers. Throughout these administrative changes, the records were transferred from responsible party to responsible party, accumulated as a whole before transfer to the archives.)

## 3. Latest name

3a. If the body has changed names and a) continues to exist and b) records created by that body form part of the material being described and c) accruals are expected, use the latest form of the name.

Example:

Records of the John F. Kennedy School of Government, 1939-1980 (name changed in 1966 from the Harvard Graduate School of Public Administration, records from both periods are among the archival material being described)

3b. If the name of the body has changed and a) the body has ceased to exist, b) no accruals are expected, and c) there is no substantial bulk created during the use of any particular name, use the latest name.

Example: Records of the Harvard University Christian Association and its predecessor organizations, 1802-1926.

(This particular set of records and the groups that created them has a lengthy and complex administrative history that involves mergers and name changes of various groups who eventually became the Association.)



-----  
RATIONALE:

2.3.17's simple solution, while straightforward, does not present options suited to the varied situations often faced by institutional archivists

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

I hope the committee can discuss guidance on making \_good\_ titles in DACS

Suggested text:

Titles should be:

- \* Accurate
- \* Authentic
- \* Unambiguous
- \* Unbiased
- \* Concise

-----  
RATIONALE:

In working with archival science students, I noticed that DACS does not provide guidance on what makes a \_good\_ title. Titles can be technically valid by DACS, but still not be ideal or even desirable.

Especially in the days of MPLP, where additional information like folder lists may not be available to provide a more in-depth surrogate for a collection, aggregation titles are increasingly important.

DACS as it currently stands is usually sufficient for the practiced archivist, but it could provide better guidance for the novice or for the non-archivist in an allied field.

In my teaching, in reviewing the work of interns, and even in reviewing the work of archivists who have been practicing for several years, I find violations of the above.

I have seen many titles (usually for sub-collection aggregations) that adhere to the letter of DACS rules, but fail to meet one or more of the above criteria.

Most troubling for me are inaccurate, biased, or inauthentic titles.

Examples:

Inaccurate: "Records of the Student Web Resources Office, 1969-1980" (when that office did not exist during the time the records were created, it was called the Student Publications Office).

Ambiguous: "Jane Smith Miscellanea, 1880-1922" (for a scrapbook, postcards, letters, and ephemera of an individual's alumni activities, it should be called something like Jane Smith Simmons College alumna materials, 1880-1922)

Inauthentic (by which I mean a skewed title or a misrepresentation that is not quite "wrong" but also not quite "right"): Photographs of Houses, 1922 (for construction progress photographs that also include photographs of completed building)

Biased: "Sexist letters" (when this is the opinion of the archivist rather than a designation of the letters assigned by the originator)

Concision can be at odds with the above, but it would prevent the creation of titles that are more like scope notes, e.g. : "Letters between John Q. Smith and his wife about feeding the cows, raising chickens, planting corn, and the children's health"

---

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACs REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

2.3.2

Remove? AACR2 reference?

Perhaps we need to make a reference to the DCRM family of materials, CCO, RDA or other standards.

-----  
RATIONALE:

You can no longer rely on the AACR2 reference.

RDA is both good and problematic, however, for archivists (too much to go into on this little form).

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

2.3.1? (Maybe a new rule or rules?)

Add some text that links DACS to the practicalities encountered by archivists. Perhaps...

Archivists usually work with aggregations of materials-- that is, with collections or groups of materials, rather than items. While, some items found in archival and manuscript collections have truly formal titles, most do not. Titles for individual items are usually transcribed from the item or supplied by the archivist from information on the item. Titles for some aggregations may already have titles, but such titles are often not adequate. Titles for collections and high-level aggregations (series, sub-series and other groupings above a folder level) are usually devised by archivists.

1) When an item has a formal title, transcribe it using the current library cataloging standard in use in the repository (AACR2, RDA). Materials to which this applies include monographic works and parts of works such as:

- o publications
- o portions of publications (e.g. book chapters)
- o journal articles
- o offprints

- o reprints
- o formal reports
- o procedure manuals
- o theses and dissertations
- o pamphlets
- o movies with titles on their cases or title screens
- o published sound recordings with titles on their cases
- o computer files with title screens

2) When describing an item that does not have a formal title, consult an appropriate standard such as CCO or the DCRM family of standards. Materials to which this applies include individual archival and manuscript materials such as:

- o monographic manuscripts
- o working elements of motion picture films
- o home movies or video
- o photographs with captions
- o individual documents such as single letters, receipts, poems, and diaries(?)

3) For aggregations that carry their own title, transcribe and/or modify the title according to the guidelines that follow. Materials to which this applies include

- o individual file folders
- o group file folders (e.g. labeled hanging folders)
- o electronic folders
- o sets of files or archival materials otherwise grouped and uniquely named, titled, or labeled by the creator (e.g. a box labeled "Writings," a file drawer labeled "VIP correspondence")

4) For aggregations that do not carry their own title, devise one according to the rules that follow. Add some text that links DACS to the practicalities encountered by archivists. Perhaps...

Archivists usually work with aggregations of materials-- that is, with collections or groups of materials, rather than items. While, some items found in archival and manuscript collections have truly formal titles, most do not. Titles for individual items are usually transcribed from the item or supplied by the archivist from information on the item. Titles for some aggregations may already have titles, but such titles are often not adequate. Titles for collections and high-level aggregations (series, sub-series and other groupings above a folder level) are usually devised by archivists.

1) When an item has a formal title, transcribe it using the current library cataloging standard in use in the repository (AACR2, RDA). Materials to which this applies include monographic works and parts of works such as:

- o publications
- o portions of publications (e.g. book chapters)
- o journal articles
- o offprints
- o reprints
- o formal reports
- o procedure manuals

- o theses and dissertations
- o pamphlets
- o movies with titles on their cases or title screens
- o published sound recordings with titles on their cases
- o computer files with title screens

2) When describing an item that does not have a formal title, consult an appropriate standard such as CCO or the DCRM family of standards. Materials to which this applies include individual archival and manuscript materials such as:

- o monographic manuscripts
- o working elements of motion picture films
- o home movies or video
- o photographs with captions
- o individual documents such as single letters, receipts, poems, and diaries(?)

3) For aggregations that carry their own title, transcribe and/or modify the title according to the guidelines that follow. Materials to which this applies include

- o individual file folders
- o group file folders (e.g. labeled hanging folders)
- o electronic folders
- o sets of files or archival materials otherwise grouped and uniquely named, titled, or labeled by the creator (e.g. a box labeled "Writings," a file drawer labeled "VIP correspondence")

4) For aggregations that do not carry their own title, devise one according to the rules that follow. Such groups include:

- o collections
- o record groups
- o record sub-groups
- o series
- o sub-series
- o other descriptive levels between sub-series and folder levels

-----  
RATIONALE:

Our world is more complex, and the related standards more numerous, than 2.3.1 indicates currently.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

New rule?

Aggregations with title information

If archival material has a that does not present problems for archival description, transcribe it.

1) Transcribe a title and creator from the archival holding exactly as to wording and spelling but not as to spacing, punctuation, or capitalization

1a) For hanging folders, transcribe the label of the hanging folder; if the folders within the hanging folder also have titles, transcribe these either as unitary items within an aggregation defined by the hanging folder, or, optionally, transcribe the hanging folder title for each included folder and use the individual folder titles as sub-title data. Typically, if all the folders within the parent aggregation are hanging folders and there are 10 or more folders within the hanging folder, use the hanging folder as the title of the subordinate aggregation; if only some of the folders within the parent aggregation are hanging folders or there are 10 or fewer folders within the hanging folder, use the sub-title method.

Example of subordinate aggregation method:

Anti-Protons  
Cycle 1  
Cycle 2  
Cycle 3  
etc. .

Example of subtitle method:

Anti-Protons: Cycle 1  
Anti-Protons: Cycle 2  
Anti-Protons: Cycle 3

2) Problems with titles

NOTE: When modifying an otherwise transcribed title or statement of origination, some archives place supplied data in square brackets. Whether you use this method or not, record your decision in a "title convention" note.

2a) Misleading titles

If the title or statement of origination is misleading, modify it by providing explanatory text

Example:

Squirrel food [crank mail]

2b) Generic titles

If the title is generic, optionally modify it or devise one.

Examples:

[Worksheets on morale, 1940-1941]  
(Folder had been labeled, "Miscellaneous")

American Academy of Arts and Sciences  
(Folder had been labeled AAAS.)

[Unfiled letters]  
(Folder had been labeled "to file")

2c) Originator's opinion expressed in a title If a title for an aggregation interprets the record, expresses an opinion, or implies a prejudice, clarify in a note that the opinion is that of the creator rather than the archivist.

Example: Unimportant letters

Note: The title of this sub-series comes from the label on the drawer in Smith's home office that held these materials.

Example: VIP correspondence

Wald kept these letters in a box labeled "VIPs".

Example: Confidential files

Smith kept these files together in a box labeled "Confidential". Archivists could not determine how these differ from similar files lacking this designation, but preserved the distinction she created.

-----  
RATIONALE:

DACS doesn't discuss aggregations that have title information available-- since archivists encounter this, especially with folders, we should discuss it.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

## 2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

New rule(?)

Additional titles

If the archival material has been previously described or cited, optionally transcribe additional titles from

- . existing or obsolete catalogs
- . existing or obsolete finding aids
- . publications, printed sources

Optionally record additional titles that come from

- . oral tradition within the corporate body that created the materials
- . traditional titles used within in the repository, whether or not they have been previously included in written documentation

Precede each with explanatory text.

Example:

- o Traditionally known as: College Book I.
- o Smith's history refers to this as: The big red record book.
- o Title from obsolete shelflist: Correspondence and other papers.

-----  
RATIONALE:

Alternate titles exist, rarely but sometimes significantly. Especially important are titles that might be misleading when used in the repository but are familiar in the office of origin for institutional records.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----



BRIEF DESCRIPTION OF CHANGE:

New rule? Revision of several rules?

Devising a title for an aggregation

For an aggregation lacking a title, devise a title.

In a single-level description or at the highest level of a multi-level description, record a name segment and term indicating the nature or unifying aspect of the aggregation. At lower levels in a multi-level description, record the name segment only if it differs from that of the top level.

The nature or unifying aspect of the aggregation includes organic, archivist-created, and artificial factors that reflect the provenance, original order, and/or arrangement of the collection. More than one factor may be instrumental in unifying an aggregation.

- 1) Nature (insert 2.3.18 here)
- 2) Unifying aspects commonly found in archival aggregations

- o Creator/s

Creator is always used, if known, at the top level of a multilevel description. However, it is not exclusive to top level descriptions.

Examples:

- Records fo the NOW Legal Defense and Education Fund
- Papers of Jane Q. Smith (if "papers" continues in use)
- Georgina Lowell collection of U. S. Civil War photographs
- Papers of the Widell and Lewis Families
- Papers of John and Isabel Smith

Other factors are commonly found in lower levels of archival description; however, not exclusively so, particularly when an entire collection consists of materials of a single type.

- o Function/s

Examples:

- Disciplinary records
- Travel reimbursement requests
- Grant applications
- Construction management records
- Security and air raid precautions files
- Admission and financial aid records
- Personnel policy and sebaticals

- o Activity/ies

Examples:

- Writing
- Fundraisers
- Trip to Paris
- Writing and editing

- Fundraising and development travel
- o Role/s
  - Examples:
    - Counsel to the President
    - Inspectors' Committee membership
    - Lectureship and moot court judge files
    - Chairman and vice-chairman files
    - Walter Edmonds Dumeaux Harvard Overseer materials
- o Recipient/s or class of recipient
  - Examples:
    - Correspondence with individuals
    - Correspondence with publishers and distributors
    - Dealers and vendors
    - Correspondence with George Adams Smith
    - Letters between Charles Darwin and Jeffries Wyman
- o Event/s or class of event
  - Examples:
    - Chicago Exposition
    - Dance and music recitals
    - Exhibitions
    - Wedding reception
    - A. E. Verill's Diary of the Anticosti Expedition
- o Topic/s class of topics
  - Examples:
    - General subject files
    - Biomechanics of genetic engineering
    - Drug and alcohol treatment study
    - Prisons
    - The R. Abid Fan collection of Yankee's memorabilia
- o Filing system or convention
  - Examples:
    - Alphabetical files
    - Students: File I
    - Students: File II
    - Alphabetical correspondence files
    - Chronological correspondence files
    - "A" plates
    - "B" plates
- o Custodial history or point of origin
  - Examples:
    - Stolen ROTC files
    - Records compiled by Dr. Roger W. Rickman
    - Cyclotron records discovered by Buildings and Grounds
    - Files from home office
    - Files from campus study

o Artificiality or organic nature of the organization of materials

Examples:

- Images arranged by photographer number
- Images arranged by archivists

o Date or date range

Examples:

- 1987-1988
- FY2000-FY2009

o Alphabetical range

Examples:

- A
- Ab-Be
- Berenson-Bernard

o Geographical area/s

Examples:

- North and South America
- Arequipa

o Form/s

Examples:

- Oral histories
- Minutes
- Drama, poetry, and fiction

o Genre/s

Examples:

- Audio recordings
- Transcriptions
- Tragedies and comedies

o Media

Examples:

- Reel-to-reel tapes
- Carbon copies
- Betacam and VHS video recordings

o Size

Examples:

- 5-inch reels
- legal-size folders
- 16 mm film

-----  
RATIONALE:

I think experienced archivists often use the factors I attempted to outline here. New archivists (certainly my students) and those in allied professions, however,

have trouble applying the notions of provenance, original order, and of knowing what practices archivists use, especially in the lower levels of an archival hierarchy.

It would be well to attempt to document these practices.

---

DACS REVISION:  
Submitted: 5/4/2011

Name: Kate Bowers  
Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS  
E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)  
Phone:  
Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

Devised titles must be unique. Siblings in a multi-level description may not have identical titles.

-----  
RATIONALE:

I know this is implied in DACS already, but it would add emphasis if it were stated independently. (Students again!)

---

DACS REVISION:  
Submitted: 5/4/2011

Name: Kate Bowers  
Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS  
E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)  
Phone:  
Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

### 2.3.18

Discuss replacing the word "papers" with something that would work in the electronic world.

#### Suggestions:

- \* Archive
- \* Personal archive

#### Examples to ponder:

- o John Q. Smith archive
- o John Q. Smith personal archive

-----  
RATIONALE:

"Papers" is already misleading to non-archivists. In my experience, faculty members often assume it means scholarly publications. "Can't you get all of my papers via JSTOR?"

And we have already had many laypeople assume it means that we do not take electronic or other formats of materials-- e.g. "I don't have any papers, I do everything pretty much online."

This is a good moment to step away from this term that is so easily misinterpreted by potential donors, and indeed, new archives users.

---

#### DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate.bowers@harvard.edu](mailto:kate.bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

2.3 Title

-----  
BRIEF DESCRIPTION OF CHANGE:

In references throughout DACS to archivist-created titles, replace the word "supply" (and various tenses) with "devise" (and its various tenses).

-----  
RATIONALE:

Brings DACS in line with other cataloging standards (DCRM)

## Appendix 7: Date

---

DACS REVISION:

Submitted: 2/15/2011

Name: Eira Tansey

Affiliation: Tulane University

E-mail: [etansey@tulane.edu](mailto:etansey@tulane.edu)

Phone: 504-865-5603

Official Comment? No

-----  
DACS REFERENCE:

2.4 Date

-----  
BRIEF DESCRIPTION OF CHANGE:

Clearer rule needed for how to describe a range of exact specific dates falling within the same month. For example, 2.4.14 only shows a single date but not how to express a range of specific dates. Say you have a folder of material from March 17-18, 1906. Should it be expressed 1906 March 17-18 or 1906 March 17-March 18?

-----  
RATIONALE:

In older item-level manuscript collections that have 2-3 items per folder, this issue comes up frequently. Clarification on this rule would eliminate ambiguity.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment?

-----  
DACS REFERENCE:

2.4 Date

-----  
BRIEF DESCRIPTION OF CHANGE:

2.4.16

Clarify this rule to discourage descriptions lacking dates.

Encourage quarter- or even half-century dates, if necessary to get some kind of date information.

Express desirability of dates based on the overall context of the collection, rather than the descriptive level. (I.e. the need for dates at lower levels in collections with large date spans, less need for dates at lower levels in collections with narrow date spans.)

I'm sorry I haven't written language for this!

-----

RATIONALE:

2.4.16 implies that dates at higher levels are required, but this could be stated more clearly. Also, descriptive level is not necessarily the best method of determining how valuable date information is at the lower levels of description-- a collection with a small date range may not need dates at the series level.



# Appendix 8: Extent

---

DACS REVISION:

Submitted: 3/15/2011

Name: Daniel Hartwig

Affiliation: Stanford University

E-mail: [dhartwig@stanford.edu](mailto:dhartwig@stanford.edu)

Phone: 650-725-1161

Official Comment? No

-----  
DACS REFERENCE:

2.5 Extent

-----  
BRIEF DESCRIPTION OF CHANGE:

Please incorporate computer files/formats into extent types.

-----  
RATIONALE:

Varying practice.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment?

-----  
DACS REFERENCE:

2.5 Extent

-----  
BRIEF DESCRIPTION OF CHANGE:

Could we agree on a \_preferred\_ expression of extent?

Trial balloon text:

Express extent of physical holdings in a number of standard units of measurement of length or volume, followed by the number of containers in parenthesis.

- o 1 cubic foot (3 document boxes)
- o 50.5 cubic feet (50 record cartons and 1 flat box)
- o .3 linear foot (1 box)

Express the extent of digital holdings that are not contained on physical media in gigabytes

- o 34 gigabytes

Express hybrid digital and analog holdings together in one phrase

- o 1 cubic foot and 34 gigabytes

Optionally, also provide counts of specific media or file types

- o 1 cubic foot (3 document boxes; 34 video tapes; 100 photographs)
- o 34 gigabytes (1 digital video file)
- o 0.001 gigabytes (1 text file)

-----  
RATIONALE:

Back to the interns and students and allied professions here! I know that archivists are faced with all kinds of strange things to measure and legacy methods that need to be accommodated-- but novices or people first approaching description want more definitive notions of what is appropriate.

Secondarily, I think we have an opportunity to declare how we want to express digital sizes (the idea being this applies to digital objects that do not reside on media in the collection.)

# Appendix 9: Name of Creator(s)

---

DACS REVISION:

Submitted: 4/13/2011

Name: Johanna Carll

Affiliation: Schlesinger Library, Radcliffe Insitute, Harvard University

E-mail: [jcarll@radcliffe.edu](mailto:jcarll@radcliffe.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

Other/No rule

-----  
BRIEF DESCRIPTION OF CHANGE:

Address the use of acronyms.

-----  
RATIONALE:

The Schlesinger Library has a long history of using acronyms to refer to organizations in their archival descriptions. Sometimes, these acronyms are widely known, such as NOW for National Organization for Women, but often they are known only to those familiar to the organization, such as BWHBC for the Boston Women's Health Book Collective. DACS has brought about a great deal of discussion about this practice, but since DACS doesn't directly address the use of acronyms, the decision to use acronyms remains at the processor's discretion. The current practice is to use the full name of the organization with the acronym (usually in the history) and then just the acronym throughout the remainder of the finding aid. As we have committed to using DACS, we would like to ensure that our practices are compliant.

---

DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment? No

-----  
DACS REFERENCE:

## 2.6 Name of Creator(s)

-----  
BRIEF DESCRIPTION OF CHANGE:

Add rules that assist archivists in choosing a main entry when they have multiple creators.

Something like:

When system requirements demand the selection of a single name as main entry, use the name of the creator from the title area.

If there are multiple creators, use the first named creator

(but since DACS does not tell you to put the most important creator first, then maybe it should, or ...)

If there are multiple creators, use the creator responsible for the largest extent of the material

If creators are responsible for roughly equivalent extents of material, use the creator of greatest significance in accordance with the archives' mission or collecting policy

If no creator fits the above criteria, choose the creator whose controlled name form is first alphabetically.

-----  
RATIONALE:

Many, many archivists face the necessity to designate a main entry because they use MARC-based catalogs.

# Appendix 10:

## Administrative/Biographical History

---

DACS REVISION:  
Submitted: 1/12/2011

Name: Lisa Miller  
Affiliation: Hoover Institution, Stanford University  
E-mail: [lisa.miller@stanford.edu](mailto:lisa.miller@stanford.edu)  
Phone: 650-724-2961  
Official Comment? No

-----  
DACS REFERENCE:

2.7 Administrative/Biographical History

-----  
BRIEF DESCRIPTION OF CHANGE:

Add the Admin/Bio History element to the set of required elements for minimum description at all levels.

-----  
RATIONALE:

1. Context is essential to understanding archival collections. This element presents the highest level of context; it applies to the entirety of the collection.
2. Understanding the activities of the creator of the collection is the first step in understanding the creator's collection. Particularly for collections created by people who are not well known, this element frames the entire collection for the researcher. Three collections about World War II, the John Betheridge papers, the Mary Jones papers, and the Bert Washington papers can be difficult to understand and distinguish. Once you add a biographical note they become meaningful. If the finding aids explain that Betheridge was a sailor on a submarine in the Pacific, Jones was a nurse with the Red Cross in Albania, and Washington was stationed in an army outpost in Alaska, this short piece of data focuses the researcher's understanding, tells the researcher volumes about what sort of information will be in the collection and whether it is relevant to their interest, and makes archives in general less opaque and remote. It provides an "A ha" moment for anyone who looks at a finding aid.
3. A single sentence can provide the intellectual framework for a collection, so making this element mandatory need not become a significant resource commitment. Something as simple as "Nurse for Red Cross during World War II" or "Gay man who grew up in Milwaukee" or "Autograph collector in the 1930s" might be sufficient, depending on the thrust of the collection.

# Appendix 11: Scope and Content

---

DACS REVISION:

Submitted: 1/19/2011

Name: Michele Combs

Affiliation: Syracuse University

E-mail: [mrrothen@syr.edu](mailto:mrrothen@syr.edu)

Phone: 315-443-2081

Official Comment? No

-----  
DACS REFERENCE:

3.1 Scope and Content

-----  
BRIEF DESCRIPTION OF CHANGE:

Clarify wording, specifically use of the word "abstract."

In the DACS minimum description (p. 8), a note following the scope and content component says: "In a minimum description, this element may simply provide a short abstract of the scope and content of the materials being described."

Then in section 3.1, DACS states that a brief summary of the scope-and-content and the biographical information may be combined to create an abstract, but that "such an abstract does not serve as a substitute for the scope and content element" (p. 35).

-----  
RATIONALE:

The two statements appear contradictory since one of them says an abstract may suffice for the scope and content, but the other says no it won't. An extra layer of confusion potentially arises from the fact that EAD has an <abstract> element but DACS always maps the scope and content descriptive element to <scopecontent> not to <abstract>, even in cases of a DACS minimum description where (maybe) an abstract is OK. See? Confusing!

# Appendix 12: System of Arrangement

---

DACS REVISION:  
Submitted: 1/14/2011

Name: Lisa Miller  
Affiliation: Hoover institution, Stanford University  
E-mail: [lisa.miller@stanford.edu](mailto:lisa.miller@stanford.edu)  
Phone: 650-724-2961  
Official Comment? No

-----  
DACS REFERENCE:

3.2 System of Arrangement

-----  
BRIEF DESCRIPTION OF CHANGE:

In my SAA DACS workshop materials (Bill Landis, 11/3/2006, p. 30) one point made about this element is that it "Identifies the whole-part relationship to next lowest level." I recommend that this very important and helpful point be explicitly added to the guidance in DACS itself. At the same time, specifying that the arrangement statement should reach only one level lower seems vaguely contradictory to 3.2.2., which appears to suggest that anything goes concerning relationships and levels. Note also that the second example under 3.2.2. provides three levels of arrangement in one statement.

-----  
RATIONALE:

The SAA DACS workshop materials seem to conflict with the guidance in 3.2.2. Examining and resolving this apparent contradiction is important.

---

DACS REVISION:  
Submitted: 1/14/2011

Name: Lisa Miller  
Affiliation: Hoover institution, Stanford University  
E-mail: [lisa.miller@stanford.edu](mailto:lisa.miller@stanford.edu)  
Phone: 650-724-2961  
Official Comment? No

-----  
DACS REFERENCE:

3.2 System of Arrangement

-----  
BRIEF DESCRIPTION OF CHANGE:

Additional guidance on arrangement statements and best practice for them would be very helpful. Arrangement statements cover two components, the intellectual units used and the overall physical order of those units. An example that distinguishes these is "Arranged by subject but in no apparent order." A discussion of these two components would help many processing archivists.

I see some arrangement statements that blur these two components, and I am not sure whether they are acceptable. For example, "Arranged chronologically by title," which refers to this arrangement:

Title 1, 1960  
Title 2, 1963  
Title 3, 1982  
Title 4, 1985

Is this an acceptable arrangement statement? Should the intellectual unit on which the overall order is based always be listed first in the container list? For these questions, DACS provides little guidance.

-----  
RATIONALE:

Arrangement statements must be precise. Particularly when there is no container list, they are essential to understanding how the material can be searched and accessed.

---

DACS REVISION:

Submitted: 1/14/2011

Name: Lisa Miller

Affiliation: Hoover institution, Stanford University

E-mail: [lisa.miller@stanford.edu](mailto:lisa.miller@stanford.edu)

Phone: 650-724-2961

Official Comment? No

-----  
DACS REFERENCE:

3.2 System of Arrangement

-----  
BRIEF DESCRIPTION OF CHANGE:

Additional guidance on arrangement statements and best practice for them would be very helpful. Arrangement statements cover two components, the intellectual units used and the overall physical order of those units. An example that distinguishes



these is "Arranged by subject but in no apparent order." A discussion of these two components would help many processing archivists.

I see some arrangement statements that blur these two components, and I am not sure whether they are acceptable. For example, "Arranged chronologically by title," which refers to this arrangement:

Title 1, 1960  
Title 2, 1963  
Title 3, 1982  
Title 4, 1985

Is this an acceptable arrangement statement? Should the intellectual unit on which the overall order is based always be listed first in the container list? For these questions, DACS provides little guidance.

-----  
RATIONALE:

Arrangement statements must be precise. Particularly when there is no container list, they are essential to understanding how the material can be searched and accessed.

---

DACS REVISION:

Submitted: 1/14/2011

Name: Lisa Miller

Affiliation: Hoover institution, Stanford University

E-mail: [lisa.miller@stanford.edu](mailto:lisa.miller@stanford.edu)

Phone: 650-724-2961

Official Comment? No

-----  
DACS REFERENCE:

3.2 System of Arrangement

-----  
BRIEF DESCRIPTION OF CHANGE:

I suggest changing "...arranged alphabetically with the exception of..." to something like "...arranged alphabetically by subject with the exception of..."

-----  
RATIONALE:

Arrangement statements need to be precise. Particularly if there is no container list, they are essential to understanding how the material can be searched and accessed. It is important to use an example that indicates the intellectual units that are in alphabetical order. Otherwise it is not clear what the intellectual units are for each subseries in series 3--physical form, subject, correspondent? Is it the same for all five subseries?

# Appendix 13: Technical Access

---

DACS REVISION:

Submitted: 3/15/2011

Name: Daniel Hartwig

Affiliation: Stanford University

E-mail: [dhartwig@stanford.edu](mailto:dhartwig@stanford.edu)

Phone: 650-725-1161

Official Comment? No

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DACS REFERENCE:

4.3 Technical Access

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BRIEF DESCRIPTION OF CHANGE:

Please expand this section to address computer files and include relevant examples.

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RATIONALE:

Varying practice.

# Appendix 14: Describing Creators

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DACS REVISION:

Submitted: 5/4/2011

Name: Kate Bowers

Affiliation: Harvard University / Simmons College Graduate School of Library and Information Science / TS-DACS

E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)

Phone:

Official Comment?

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DACS REFERENCE:

10. Administrative/Biographical History

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BRIEF DESCRIPTION OF CHANGE:

10.15

I would like to see 10.15/10.26 as required and 10.14/10.25 as optional.

Essentially:

Provide a brief summary of the most relevant aspects of a family, personal, or administrative history. (required)

Examples:

- o Emily Dickinson (1830-1886) was an American poet. She resided in Amherst, Massachusetts.

- o The Harvard Advocate is the oldest of Harvard University's student magazines. It publishes short stories, verses, essays and articles, reviews of books, interviews, photographs, and plays.

- o American Defense, Harvard Group was organized by Harvard faculty members after the fall of France in June, 1940. It strove to alert Americans to the threat of Axis power and to marshal aid to American allies in Europe and Asia. After the Japanese attack on Pearl Harbor in 1941, the Group helped mobilize support for America's war effort.

Optionally, provide more extensive historical information....

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RATIONALE:

Inverting the demands -- for a brief history first and addendum of a longer history if desirable -- may be of assistance in reducing backlogs.

Well known creators may need no introduction.

# Appendix 15: Appendices

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DACS REVISION:

Submitted: 3/18/2011

Name: Moses Carr

Affiliation: MIT Library employee, Simmons College GSLIS student

E-mail: [mfcarr@mit.edu](mailto:mfcarr@mit.edu)

Phone:

Official Comment? No

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DACS REFERENCE:

App. D: Full EAD and MARC 21 Examples

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BRIEF DESCRIPTION OF CHANGE:

I don't know if this makes sense or not, but it seems to me (and this could just be a function of how my brain works), that it'd be good to have at least one example where you showed back to back the same collection presented three ways:

- 1) How you would do it in MARC
- 2) How you would it in EAD
- 3) What the end of result of the EAD encoded finding aid looks like (i.e., how it would display).

I understand that it's very valuable and important to show examples of how a collection would be done in EAD, but at the same time I find myself thinking that it would be nice to see the final result as well (the finding aid as it displays on the web, without all the distracting tags around the elements).

I understand now that the separate MARC and EAD example sections cover the same collections, but it took me quite a while before I discovered this. And again, I think it would be good to have at least one example where the handling of the same collection in EAD and MARC and the EAD as it displays on the web were shown back to back.

Another suggestion: How about examples of multilevel minimum and optimum descriptions?

Just my two cents.

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RATIONALE:

I explained above

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DACS REVISION:  
Submitted: 5/4/2011

Name: Kate Bowers  
Affiliation: Harvard University / Simmons College Graduate School of Library and  
Information Science / TS-DACS  
E-mail: [kate\\_bowers@harvard.edu](mailto:kate_bowers@harvard.edu)  
Phone:  
Official Comment? No

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DACS REFERENCE:

App. A: Glossary

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BRIEF DESCRIPTION OF CHANGE:

If we do go with "devising" titles, suggestions for glossary:

Devised title = created by the archivist Supplied title = data was recorded by  
the archivist from a specified source Transcribed title = copied from the  
material being described

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RATIONALE:

RDA places a greater emphasis on transcription-- we may need to be more nuanced  
in how we discuss archival sourcing of title information

DCRM is now using the terms "devised" and "supplied"

# Revision Comments 2012

**Comment summary on the Draft Revision received in the fall 2012. All email comments are included at the end of the chart. Comments received as attached Word documents after the email that they were attached to. The PDF submitted by Bill Landis is included as a separate attachment to the Revision Package (Appendix C).**

DACS section/p. number of the revision	Comment	Type of Change (no comment indicates that the committee needs to discuss the issue)	Decisions made
2.3.4	some examples are just the name of the creator, others include the word "papers" or "records" or "collection" -- should they all be consistent?	editorial	Made examples consistent
2.3.11 and 2.3.20	"Paul Hibbet Clyde and Mary Kestler family papers digital records" I really question the encouragement of the use of the term "digital records" in the title, for a number of reasons. If the collection consisted of letters that were in electronic form, you'd still call it "Correspondence." If the collection consisted solely of photographs, regardless of whether they were paper or jpgs, you'd still call them "Photographs." The use of the term "digital files" is just as generic as "papers" so it adds nothing to the researcher's	editorial	Committee agreed with the comment and the change was made.



	<p>knowledge. These days, whether something is digital or physical hardly matters any more: more and more collections consist of both types of material, and more and more collections are being digitized, in whole or in part. I would argue that information about whether the material is digital or analog -- and details about the genre/form, such as audiocassette or jpg files or gelatin prints -- belongs in the scope and content, or possibly in the technical access section, not in the title. Certainly "family papers digital records" is redundant, since the first phrase is just as vague as the second!</p>		
2.3.21	<p>This seems likely to lead to cumbersome titles. Again, it seems that -- unless the collection consists entirely, or almost entirely, of a single format like photographs -- listing the various forms e.g. "correspondence, flyers and other material" should be done in the abstract or scope and content note.</p>		<p>Committee felt that the current rule was adequate.</p>
3.1	<p>notably, there are no examples of a scope and content statement for a collection that consists solely of digital files. Should there be, so as to give guidelines on what sort of information should be included here, and what should be deferred to the Technical Access (or other) section(s)?</p>		<p>Deferred; Committee felt that these types of examples are better suited for the companion website.</p>
in 2.6 Name of	<p>Some "supplied" and some</p>	<p>editorial</p>	<p>Made corrections</p>

Creator(s) Element section	"devised"		
p. 146 of the document (124 on the printed page), the heading Definition is missing an "l" in the middle		editorial	Made correction
References to AACR2 should either be deleted or changed to "RDA or AACR2"		editorial	Suggested change made
Chapter1, Levels of Description:	<p>Second paragraph (new text):  Given that the first sentence states that a finding aid can consist of either a single level of description or multiple levels of description, the third sentence is not quite logical. How can a finding aid combine both a single-level and multiple-levels of description? Would something similar to the following be slightly clearer?</p> <p>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.</p>	editorial	Sentence reworded
Requirements for Single-level Descriptions:	The Scope and Content element is included in single-level minimum but also (described as an <i>additional</i> element) in single-level optimum description.	editorial	Change made

2.3 Title Element	<p>The use of “devised” is more descriptive than “supplied” of the process of providing titles for materials that lack formal titles. This is a positive change in DACS.</p> <p>In footnote 21 (p. 20), the two occurrences of “supplied” should be changed to “devised”.</p>	editorial	Change made; convergence with library standards (RDA, DRCM suite) and the importance of cultural heritage institutions working together drove this change.
2.4 Date Element	<p>DACS should provide guidance on how to state a range of single dates.</p> <p>It is unclear in DACS whether providing a range of dates followed by the word “undated” (for one or more undated portions of the unit described) is acceptable. Guidance would be helpful.</p>		Looked at dates in terms of general guidance and decided that the advice given by DACS was adequate
2.5.5 and 2.5.6	“audio cassettes” should employ the more commonly used spelling, “audiocassettes”	editorial	Change made
Should companion standards be listed that are no longer available?			Companion standards will be listed on companion website
2.5.10 and 2.5.11 are useful but might be more so if examples combining both size and type of electronic material were provided.	<p>Something like the following might be more helpful:</p> <p>3 directories containing 48 pdf files</p> <p>approximately 275 digital image and audio files (12.4 GB) on 1 portable hard drive</p>	editorial	Change made

2.6.3 commentary, third sentence	Change "...recorded as access points" to " <b>be</b> recorded as access points"	editorial	Change made
2.6.4	In addition to AACR2 and RDA, include ISAAR(CPF) in the list of rules for formulating standardized names.	editorial	Change made
9 Authority Records	<p>Page 127, first sentence: Delete "with the".</p> <p>If the archivist is to record a name in the authority record in accordance with, e.g., RDA or AACR2, what should be done when those standards conflict with the instructions in DACS chapter 9? Or is only the authorized name – the heading, i.e., that will be used in access points – to conform with RDA, AACR2, or other standard, while additional elements included in the authority record should comply with chapter 9?</p> <p>9.8: Make this optional or clarify that variant names <i>that have already been established according to other conventions</i> should be given as variants, but that it is not required to establish such variants. It would be too much to expect archivists to establish names according to more than one standard.</p> <p>9.14: How is "period of activity" to be stated? The examples show only the dates.</p>		Changes made
Pg. 20	In the segment which has examples, beginning with "Graciany Miranda Archilla papers"	editorial	Change made

	-- shouldn't the two new examples have titles as well. They are just corporate names and don't match the other examples which incorporate names with their titles.		
Pg. 21	Should the Bessye B. Bearden examples retain "papers" -- that example is mentioned later and it has "papers"	editorial	Change made
Pg. 37-38	Under "Sources of Information" section, the word "supplied" is used throughout -- should it be "devised" as had been used previously in the document	editorial	Change made
Pg. 124	the word "definition" is misspelled	editorial	Change made
9.5 (authorized form of the name)	the file isn't called "Library of Congress Authorities," it's called the LC/NACO Authority File, and second, if archival catalogers intend to continue contributing to the LC/NACO authority file (and I certainly hope they do), after March 31, 2013 only RDA can be used (not AACR2) to create or update authority records. I'd recommend dropping the reference to AACR2.	editorial	Change made
p. vi	replacing AACR2 with RDA, and elsewhere throughout the document. AACR2 is still being used but it is not being updated at all by the Joint Steering Committee—as far as they're concerned it's a dead document	editorial	Change made
Margaret Nichols	Copyediting (see track changes document)	editorial	Changes made
p. 7	"Most finding aids combine a variety of levels of description."		Clarification made

	<i>Comment:</i> I'm not sure this statement is stated in such a way that it would be understood. What I take it to mean is that in a collection one series could have material described at just 1 level; whereas another series could be more granular and go down to 5 levels. Not all series need to have the same number of levels of description.		
p.9	<i>Comment:</i> A caveat/note needs to be added here "if known" like it is in the rules for the element. Does not need the whole note that was originally here, but does at least need "if known"	editorial	Change made
p. 10	Single-level Optimum: Scope and Content Element-- <i>Comment:</i> If the notes are being removed for both of these levels for Scope and Content then there is no need to list this again.	editorial	Change made
p. 11	Multilevel Minimum: See comment for Single-level Minimum for Name of Creator(s) Element, p. 9.	editorial	Change made
2.3.4	Examples: The two new ones do not seem to have the nature of the archival unit included and is a little confusing to me; however it was removed from the first example under 2.3.5; I understand that since the rule concerning the archival unit has not been described yet I can see why this would be left out of the examples; but it should be consistently left out of the examples.	editorial	Change made
2.3.7-9	Name segment for more than one		Changes made

	<p><b>person.</b> <i>Comment:</i> Since these rules are for persons, not corporate bodies, and there is a rule for more than one corporate body (2.3.16) then the examples under 2.3.8 and 2.3.9 should not be used here. Not sure what to do about the 2.3.9 example as this is a great example of more than one type of creator; perhaps there should be a rule after 2.3.18, before Nature of the archival unit, about more than one type of creator?</p>		
2.3.11	<p>is this a made up example? Maybe DACS does not have the same editorial rules as the DCRM series where all examples need to be real world examples; otherwise it is a good example.</p>	editorial	Change made
2.3.16	<p>add at end of rule something like? "and indicate relationship(s) in the Administrative History or the Scope and Content."</p>	editorial	Change made
2.4.4	<p>Perhaps a newer example is called for? See <a href="http://arcat.library.wisc.edu/cgi-bin/Pwebrecon.cgi?BBID=33151">http://arcat.library.wisc.edu/cgi-bin/Pwebrecon.cgi?BBID=33151</a> from WHS: "October 24, 1788 (typescript copy, circa 1932)"</p>		Examples will be updated on website
2.4.5	<p>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 and follow it with the year(s) of the Gregorian or Julian calendar in parentheses. Specify the name of the calendar, such as Republican, Jewish, Chinese, in a note (see</p>		Change made

	<p>7.1.2)</p> <p>2628 (1968)</p> <p>Note: Dated in accordance with the Chinese calendar.</p> <p>an 14 (i.e., 1805)</p> <p>Note: Dated in accordance with the French Republican calendar.”</p> <p>Comment: Why the inconsistent treatment of dates? Why not normalize all dates, and then present the date as it appears on the item in a note, if considered important, as we do?</p> <p>Suggested rewording:</p> <p>“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 7.1.2)”</p>		
2.5	<p>Information about extent:</p> <p>“ . Derive the information from the materials themselves or take it from transfer documents”</p> <p>Comment: Too narrow. Add another example, e.g.</p> <p>“ ... transfer documents, published descriptions, or other reliable</p>		Change made



	sources”?		
2.5.7	<p>last example: add ‘0’ before .5 to make it more clear that it is only half a linear foot. “0.5 linear feet”</p> <p>Also 2 new examples are about electronic records which have not been discussed yet; perhaps move rules about states of extent for electronic records?</p>	editorial	Change made
2.5.10	<p>Examples: spell out “megabyte and gigabyte,” etc.</p> <p>add an example for # of floppy discs, CD-Roms, etc.</p>	editorial	Change made
2.6 p. 37	<p>“A collector or <b>compiler</b> of materials <b>by format or subject</b> (e.g. Vietnam War memorabilia ... relating to suffragettes), is considered the creator of the collection.”</p>	editorial	Change made
2.6.3	<p>This rule does not really say the source of the information which would be from the collection itself, accession paperwork, or outside sources. Really doesn’t make sense to bunt to the devised title rules</p>		Change made
2.6.5	<p>place “e.g. creator ...” in parenthesis.</p>	editorial	Change made
2.6.7	<p>example confusing; does not seem to follow format of other examples here</p>		Change made

2.7 p. 41	paragraph in commentary: change "MARC21" to "catalog"	editorial	Change made
	Need to update rule numbers from 10 to 2 in several places:  2.7.5: point to 2.7.6-2.7.33  2.7.11: point to 2.7.12-2.7.21  2.7.22: point to 2.7.23-2.7.33	editorial	Changes made
4.5	If DACS is format neutral, why is Languages and Scripts of the Material (4.5) a required element? What if you catalogue something that has no language content, such as a pure graphic? Do you have to supply a note saying: "No language content"?		Change made
7.1.7	reword last part of sentence from "... that title can be recorded in a note." to "... record in a note." or "... record variant title in a note."  Example:  Former title: Wisconsin State Sanatorium records  <i>Comment:</i> Name change to Wisconsin State Tuberculosis Sanatorium (See Wisconsin Historical Society Series 2248)	editorial	Change made
p. 104	should this not point to the new chapter 9? I feel like the third step leaves me hanging	editorial	Change made

p. 105, paragraph 3	This 2 <sup>nd</sup> to last sentence needs to be removed or changed “Rules for achieving this consistency are provided in Part III.” As <i>Part III</i> no longer exists in DACS.	editorial	Change made
p. 124	Definition spelled wrong; extra period after first sentence under Definition	editorial	Change made
p. 126, under Minimum	Authorized form of name ( <b>see 9.5</b> ); Type of entity ( <b>see 9.6</b> ); Dates of existence ( <b>see 9.12-9.17</b> ); and Authority record identifier ( <b>see 9.37</b> )	editorial	Change made
p. 127	sentence does not make sense “An authority record with the using DACS elements to provide added value for researchers includes:”	editorial	Change made
9.4	This rule is pointing to itself; perhaps have it point to Chapter 2.6	editorial	Change made
9.10	I’m not sure I would use Samuel Clemens aka Mark Twain as an example. As even though this is <b>not</b> Library of Congress Name Authorities, they are recorded as separate entities in the LCNAF. Although looking at the rules for LCNAF, not sure this really matters with DACS Authorities		Example reviewed
9.12	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: <ul style="list-style-type: none"> <li>● Record exact dates in [year] [month] [day] format.</li> <li>● Indicate a probable date by adding a question mark following the year.</li> <li>● If the year is uncertain but</li> </ul>		Change made

	<p>known to be either one of two years, record the date in the form [year] or [year].</p> <ul style="list-style-type: none"> <li>● If the year can only be approximated, record the date in the form approximately [year].</li> </ul>		
9.13	<p>Isn't it possible that the exact year is known but not the exact month and day is known? No examples show this and the rules make it seem like if I do not know the year month day then it should be recorded as approximate.</p>		Change made
9.13	<p>For persons, record their date of birth and/or date of death. Where exact dates are not known, record approximate dates.</p> <p>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)</p> <p>9.14. For persons, 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.</p> <p>1841-1874  12th century”</p> <p>Comment: I'm puzzled/troubled by the use of "exact dates" to mean exact day. Many of the sources available to a cataloger will give only a year of birth and/or death. These are not questionable or uncertain or approximate dates. Seems like this is setting an unrealistic standard for what sort of information will be available to a cataloger. Also: if your month or your day is probable, wouldn't the question mark go after the</p>		Change made

	<p>questionable element, not after the year? And “active” or “flourished” should be the qualifier following active dates, no?</p> <p>Suggested rewording:</p> <p>“Record dates in [year] [month] [day] format. Indicate a probable date by adding a question mark If the date is uncertain but known to be one of two possibilities, record the date in the form [date] or [date] ● If the date can only be approximated, record the date in the form “approximately [date].</p>		
9.13	<p>For persons, record their date of birth and/or date of death. Where the exact dates are not known, record approximate dates. 1884 May 8 (date of birth) 1884 May (date of birth) 1884 (date of birth) 1884 May 8? (date of birth) 1884 May 8 or 9 (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)</p>		Change made
9.14	<p>For persons, 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)”</p>		Change made
9.15-9.16	<p>Does not give me option of what to do when dates of specific activity are unknown for corporate bodies; 9.15 add sentence “If specific years cannot be established, record the</p>	editorial	Change made

	century or centuries in which the corporation was active.”		
9.19	line 3: “as” is repeated; line 6: “as described in section 9.12-9.17”	editorial	Change made
9.22:	U.S. I think this needs to be spelled out ... at least according to LC	editorial	Change made
p.145-146	Archival Authority Record: This needs to either be updated or deleted		Updated
Part II, chapter 9	I think one of the challenges in creating an archival authority systems is developing procedures for deciding what names warrant the effort of detailed records. Many repositories will probably want to create detailed records for lesser-known names within their areas of specialization, while avoiding duplication of effort for names that are already well-documented in standard reference sources and biographies. One way that DACS could offer some guidance would be to use a lesser-known name, rather than Humphrey, as an example of an added value record. I think Humphrey would be a good example for using the “Related Archival Materials and Other Resources” element to point to existing biographical information. The commentary on this element should allow citations to printed sources in both electronic and print-based authority files.		Change made
page 126	it would probably be better to provide a more complete added value level of description  , it would be helpful if definitions were provided for the different entities listed in this section either		Change made

	<p>in the text, in a footnote, or in a glossary. I would recommend that the CNEDA entity definitions be adopted, which disallow the creation of headings for personas, bibliographic identities, and animals, but otherwise would not create significant divergence from library authority file structures. These are:</p> <p>Person: "Individuo de la especie humana."</p> <p>Family: "Dos o más personas relacionadas por matrimonio, nacimiento, adopción u otra situación jurídica similar, o bien por presentarse ellos mismos como una familia."</p> <p>Corporate body: "Organización o grupo de personas identificado por un nombre propio y que actúa, o puede actuar, como una unidad, o bien un cargo institucional desempeñado por una persona."</p> <p>This definition of corporate body in particular is the same as is found in ISAAR(CPF), and</p>		
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	similar to that found in ISAD(G), DACS, and RAD.		
9.7	<p>Finally, I think that some statement about the purpose of variant name entries would be useful prior to 9.7. This might be something similar to the notes in AACR2 in 26.1B1 and 26.1A given below:</p> <p>"26.1B1. 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."</p> <p>"26.1A. ...In case of doubt as to whether to make a reference, make it."</p>		Change made
	While recognizing that DACS-compliant description is output neutral, DACS2004 offered MARC and EAD examples, which helped users understand the relationship between the descriptive information they were generating and the way it worked with widely implemented data structure standards. MARC cataloging has changed with RDA implementation, and some	website	Felt this could be addressed on the proposed companion website



	<p>guidance on (and examples of) this would be useful. Additionally, while we know EAD is currently being revised, encoded examples are still needed, and the section on Archival Authority Records could include examples of EAC-CPF encoding.</p>		
	<p>Messier examples are needed. Titles for hybrid collections, audiovisual collections, architectural records, and other formats should be included. It should also be overtly stated that formats used in titles should come from a controlled vocabulary (such as AAT).</p> <p>Rule 7.1.8, for example, has a great list of note examples. Could the "Nature of the archival unit" rule be re-written using this model to include more "difficult" situations?</p> <p>DACS needs to be more prescriptive and instructive; it shrinks from giving guidance, especially for messy situations, which is when you need your content standard most.</p>	website	Felt this could be addressed on the proposed companion website
	<p>More examples from government and institutional archives are needed; examples are still very manuscript-heavy, and skewed towards academic institutions.</p>	website	Felt this could be addressed on the proposed companion website

9	<p>New discovery systems are likely to pull data both from descriptions and from records for corporate bodies, persons, and families. DACS could be more explicit about which parts of the standard are intended for descriptions of collections and which pertain to records for persons, corporate bodies, and families.</p> <p>We are unclear as to the need for two separate sections on creating biographical and administrative histories. Regardless of having a formalized archival authority file or not, much of the descriptive content is the same in both the authority record and in the bio/admin narrative. Would it not make more sense to users to have one section on archival authority control and specify which pieces of the authority file should be used to generate the narrative found in the finding aid (since that is where we are going anyway)? This would make it easier for people to adopt EAC-CPF since pieces of the description could better map to the standard.</p> <p>What is the role now for biographical and historical notes in collection descriptions? Are the references in Part I to Part II legacies of the old structure of DACS, or are they intended to indicate that collection descriptions rules are the same as rules for descriptions of corporations, persons, and</p>		Deferred pending the development and implementation of new discovery systems
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	families?		
5	<i>What is the role now for biographical and historical notes in collection descriptions? Are the references in Part I to Part II legacies of the old structure of DACS, or are they intended to indicate that collection descriptions rules are the same as rules for descriptions of corporations, persons, and families?</i>		Larger discussion deferred; rules provided to allow for biographical and historical notes in collection descriptions
	There are places where "supplied" is still used instead of "devised."	editorial	Change made
2.7.8/2.7.9	Are 2.7.8 and 2.7.9 giving guidance for both EAD and EAC in the same place? The solution may be one note in a finding aid, but the same data may exist in two separate entity records.		Clarification made
2.3.19	Change "Kate Bowers" example to a real example (in 2.3.19).	editorial	Change made
	Example using the word materials for the nature of a collection is bad; "materials" is as bad as "miscellaneous!"	editorial	Change made
9	References between sections can be problematic. For example, "more information in Chapter 9 or Part II."	editorial	Change made
	There is a circular reference to and from 2.6. (You would think that determining the creator of the records would come before titling them unless completely	editorial	Change made

	unknown?)		
	One other small thing, the updated heading for Kent MacLean Haworth seems to have been cut out of the online draft in 9.6 and should be restored.	editorial	Change made
Paragraph on Examples (p. 5)	Paragraph on Examples (p. 5) will need to be rewritten if most MARC and EAD examples have been removed, and to clarify when they appear; it looks like these occur only when the rule indicates that information can be given in text or in a code. EAC-CPF examples should be mentioned here as well.		Change made
Page 127	Delete "with the".	editorial	Change made
	If the archivist is to record a name in the authority record in accordance with, e.g., RDA or AACR2, what should be done when those standards conflict with the instructions in DACS chapter 9? Or is only the authorized name – the heading, i.e., that will be used in access points – to conform with RDA, AACR2, or other standard, while additional elements included in the authority record should comply with chapter 9?		Clarification made
9.8	Make this optional or clarify that variant names that have already been established according to other conventions should be given as variants, but that it is not required to establish such variants.		Change made

	It would be too much to expect archivists to establish names according to more than one standard.		
9.14	How is "period of activity" to be stated? The examples show only the dates. We suggest amending the first example to "active 1841-1874" (RDA uses "active" to replace the old "fl.")	editorial	Change made
9.17	Still unhappy with the changes to family names, although this may be necessary in relation to RDA. Cataloger believes this will be detrimental to description/research.		Comment reviewed
	I would also like to point out and inaccurate example referencing a Schlesinger Library finding aid. In section 2.1.3, E.1 is used as an example of a unique identifier, but it is actually only a unique identifier when used in conjunction with the collection identifier. It would be accurate to say MC 666 E.1 is a unique identifier, but as the designation E.1 can be found in multiple finding aids, it is inaccurate to say that E.1 alone is a unique identifier.	editorial	Change made
1.1. Preamble parts	You may be waiting until you're farther along with this draft, but I hope TS-DACS will be updating the Preface, Acknowledgments, and Overview of Archival Description to make them specific to DACS 2013. I think it is important that you provide some grounding for why these changes were undertaken and address the scope of the		Preamble updated

	revision as TS-DACS undertook it, especially at a broad level the things you chose not to address in this revision.		
1.2. Encoding examples at the end of each chapter in Part I.	I think it is a mistake to remove these. I know that you're moving fully encoded examples to the Standards Portal, which is a great thing. Nonetheless, removing element-specific examples of encoding in EAD and USMARC here forces people who don't really know those structure standards to wade through fully encoded examples elsewhere. I think element-specific examples serve a useful purpose at the end of each Part I chapter and that they should be updated and retained.		Committee agreed that the examples should be moved to the website for ease of maintenance.
2.3.4	where existing examples include all segments of the supplied title, but the new ones do not, with no explanation about the difference. I think you perhaps underestimate the role of DACS in teaching. If you want the 2.3.4 examples to illustrate only the name segment, then you need to change all of them, I think.	editorial	Change made
2.3.6	It seems unuseful to identify the source of an example unless it helps to explain something about the example. In both of these examples that is not the case. Again, seems gratuitous and definitely introduces an inconsistency within examples in	editorial	Change made

	the chapter.		
2.3.8	Rule is explicitly about personal names, so why would you use an example with a corporate name? And what does "additional records" mean? Additional to what? This is a great instance of a gratuitous example that doesn't seem to illustrate any rule at all and, I'd argue, will just add confusion for users of DACS.	editorial	Change made
2.3.10	Another completely off-the-wall, gratuitous example IMHO. Grieg <b>family personal</b> archives? Isn't that a contradiction in very fundamental terminology?	editorial	Change made
2.3.12	AS long as 2.3.18 contains definitions limiting records to use with corporate bodies, this is just a plain old bad example. The upshot of lacing chapter 2.3 with these kinds of disembodied examples will be, I predict, complete confusion and inability to adequately teach the standard.	editorial	Change made
New examples in 2.5 Extent	Some of these use terminology quite sloppily, see comments on 2.5.10 and 2.5.11. Since DACS encourages use of thesauri for material types in Extent, I think you should probably look for a better term, for example, that "directories" and "digital files." Just because someone is using these someplace doesn't mean they're good examples of application of standards!	editorial	Change made
Element chapters throughout Part I	I like that you've chosen to indicate requiredness at the beginning of each element	editorial	Change made

	<p>chapter, but I think your terminology needs to be consistent with that in Chapter 1 or it will cause confusion. Chapter 1 uses Minimum/Optimum/Added Value. You seem to be using Required/Optimum/Added Value. I'd suggest changing them one place or the other so that they're parallel. I have no objection to just going with Required. Everyone in DACS workshops seems to understand Minimum as Required anyway.</p>		
Use of labels in the text of examples throughout Part II	<p>Awful! You need to do something graphically to indicate that the labels aren't part of the example of what should go into the data content based on the rule being illustrated. I'm not sure I get why you would even include textual labels, since encoding authority files in the 21<sup>st</sup> century seems to me to assume some kind of data capture in a data structure other than print.</p>	editorial	Change made
	<p>Generally, I think the presentation of Chapter 9 needs some work. The number of rules is exhausting, and most archivists will have no referent for understanding this atomized view of the data content of an archival authority record. Is there any way to group them meaningfully and perhaps provide encoded examples of that chunk or grouping of rules? I'd hate to see the importance of finally having an ISAAR-based data content standard for</p>		Authority records section broken into multiple chapters



	archival authority data lost because of off-putting presentation.		
2.1 p. 4	I think you're making a big mistake lumping the AACR-specified use of square brackets in with abbreviations and acronyms. Many, many archivists are and will continue to be confused by the very specific bibliographic usage of square brackets to indicate information not found on the chief source of information. I think in this introduction, since you've chosen to introduce square brackets, you need to explicitly mention that you mean square brackets as regular punctuation, like parentheses, and not the specific instance of square brackets as used by bibliographic catalogers to indicate that information did not come from the chief source of information. As one strategy, you could do this with a footnote referencing rule 2.3.3. In my comment on this page, I indicated a hopefulness that you'd address this distinction elsewhere, but you don't. I think you have to, given that DACS continues to be an educational as well as a standards document for the U.S. archival community. Also, see my comment on rule 2.4.16. DACS actually does explicitly provide some standards for usage of abbreviations!	editorial	Deferred; there is no consensus on the use of square brackets in the archival community

2.2. Chapter 1. Levels of Description, p. 7	In your new introductory sentences, I think you need to footnote the discussion of levels in sections 1 and 2 of ISAD(G) to remind DACS users of the broader context of this discussion of levels in archival description.		Change made
2.3. Title Element. Purpose and Scope, p. 19	I continue to be troubled by your decision to change <i>supplied</i> to <i>devised</i> , but if you're going to do that I think it is a huge cop out for you not to explain why, right here. It can be a footnote, but you absolutely must explain why you think it is important enough to reverse precedent set in ISAD(G) and nearly a decade of DACS education by changing this terminology in DACS 2013. The fact that you didn't explain it here makes me think you don't have a solid explanation, in which case I think you need to revisit your decision.		Explained in preface
Rule 2.3.19	I actually think you've managed to water this rule down to the point where it is meaningless. I fully support, and think it is time, doing away with the papers/records/collection distinction from APPM/DACS 2004 and replacing it with a single term. I'd vote for the term records, modified when meaningful by adjectives like personal, business, financial. By adding the sentence "However, other terms are acceptable to describe an archival unit," you're essentially saying that there's just		Add optionally rule: If these terms do not work for the materials you are working with, use an appropriate term for aggregation and document it.  Deferred larger discussion on what terms should be used.

	no need for this part of the content standard. I emphatically disagree, and I think you're going in absolutely the wrong direction here. We should be taking the end-user meaninglessness that we know is papers/records/collections and doing something constructive about it, not just saying, essentially, "anything goes."		
2.4.4	This example doesn't really illustrate the rule it is attached to. These are not two types of dates as defined in the Purpose and Scope for this element. These are the date(s) of creation for two different versions of the same document. Its a good example, but not really relevant for this rule. I'm also not sold on the use of parentheses here and think it is misleading in terms of DACS without some explanation. Parentheses in DACS are typically used to enclose parallel information, as in the examples in 2.4.5. The date of the manuscript copy in this 2.4.4 example isn't parallel, it is a different version of the same document.	editorial	Change made
2.5.4	The example you've deleted is a legitimate way of recording extent at lower levels of description. I think the language of 2.5.4 needs to be tweaked to better accommodate the example rather than deleting the example. Something like "... physical extent as linear or cubic feet, number of		Committee disagreed with this comment

	<p>items, number of containers or carriers, or specific container information." Without this, DACS really offers nothing in terms of a rule for expressing extent in a useful way at the file and item levels in a multilevel description. Since this is one of the required minimum elements, I think you'd be forcing archivists to add an extent statement at lower levels of description in addition to the box/folder listing, which seems unnecessary to me.</p>		
2.5.8	<p>Some of your examples introduce things like labels (in this case, "Linear feet:") where the rule doesn't explicitly call for labels, nor should it. Labels are not content! EAD encoding has been fighting that battle successfully for over a decade and it would be a big mistake for DACS, either explicitly or tacitly (as here), to suggest otherwise. If you can't get the point of the rule across without adding labels, my hunch is that it's just a bad example.</p>	editorial	Change made
2.6.6	<p>I think you've copied the former Chapter 11 rules here, but one thing needs to be taken into account. Chapter 11 in DACS 2004 was explicitly about creating Name of Creator(s) in authority systems, but now that you've moved these into Part I that is no longer an assumption. You're decision to include a textual label as part of the data content for this element is, I think, ill advised. You seem to be doing it because you've copied</p>	editorial	Change made

	<p>this rule over verbatim from Chapter 11 without analyzing whether or not it is still relevant. I don't really think it is. I also think you wouldn't need this encoding here if you retained a few examples of element-specific encoding at the end of each chapter.</p>		
Part II, p. 102	<p>Your title here doesn't match that given for Part II in the Table of Contents. Whatever version you choose, it should also match that of the Introduction to ... on page 104.</p>	editorial	Change made
Introduction to Describing Creators, pages 104-107	<p>I think you have to be really consistent in describing and cross-referencing what you've done with former chapters 9 &amp; 10. This will likely be the most confusing thing about DACS 2013, so the more hand-holding and referencing you do in your text, the better off DACS users will be in their transition from 2004 to 2013.</p>		Changes made
9.5, p. 127	<p>I'm not sure we should use "disambiguation" as the benchmark for providing fuller forms of names in the Authorized Form of Name. Disambiguation is very much a bibliographic authority construct. DACS 2004, in rule 12.18, gives archivists license to go beyond bibliographic traditions and rules in establishing authorized forms of names according to archival principles. Unless there's a good ISAAR(CPF)-based reason to change this and return to the</p>		Change made

	<p>bibliographic principle of disambiguation here, I think it is a mistake to do so. You really need to capture the spirit of rule 12.18 in DACS 2004 here, since that was one rule that was unique to archival content standards and did not come from AACR2.</p>		
<p>Rules for Historical Summary (9.18-9.29)</p>	<p>Without pouring over them in detail, these seem very different to me than the rules in 2.7, and the examples are very different as well. I'm not sure I understand why, if as you claim this part of Chapter 9 and Chapter 2.7 provide different ways of doing the same thing 1) in the description or 2) in a separate authority system, there's any difference at all in the rules or the examples in terms of data content? Maybe having much more similarity would reinforce the common nature of the activity of describing creators, regardless of whether the description ends up in a finding aid or an authority record. In fact, you'd do everyone a real service in terms of comprehension of what's going on if you explicitly crosswalked the rules in chapter 2.6 and 2.7 to the relevant parts of chapter 9!</p>		<p>Comment discussed; Committee felt the rules are clear and usable as written</p>
<p>Table C3, p. 225-226</p>	<p>You'll redo the crosswalk between ISAAR(CPF) AND DACS 2013, right? And perhaps add in a crosswalk to EAD-CPF? And some of the other DACS 2004 crosswalks where the DACS numbering has changed in DACS 2013?</p>		<p>Changes made</p>

First, thanks for providing a redlined copy -- makes it so much easier to identify the changes! Also, lots of work clearly went into this so kudos to the committee working on it. Some thoughts/questions follow:

Section 2.3.4 -- some examples are just the name of the creator, others include the word "papers" or "records" or "collection" -- should they all be consistent?

Very much approve the change from "supplied" to "devised" -- much better word

2.3.11 and 2.3.20 -- "Paul Hibbet Clyde and Mary Kestler family papers digital records" I really question the encouragement of the use of the term "digital records" in the title, for a number of reasons. If the collection consisted of letters that were in electronic form, you'd still call it "Correspondence." If the collection consisted solely of photographs, regardless of whether they were paper or jpgs, you'd still call them "Photographs." The use of the term "digital files" is just as generic as "papers" so it adds nothing to the researcher's knowledge. These days, whether something is digital or physical hardly matters any more: more and more collections consist of both types of material, and more and more collections are being digitized, in whole or in part. I would argue that information about whether the material is digital or analog -- and details about the genre/form, such as audiocassette or jpg files or gelatin prints -- belongs in the scope and content, or possibly in the technical access section, not in the title. Certainly "family papers digital records" is redundant, since the first phrase is just as vague as the second!

2.3.21 -- This seems likely to lead to cumbersome titles. Again, it seems that - unless the collection consists entirely, or almost entirely, of a single format like photographs -- listing the various forms e.g. "correspondence, flyers and other material" should be done in the abstract or scope and content note.

2.5.10 and 2.5. 11 -- nice to see extent guidelines for electronic records!

2.6 -- really like the rewrite on this section.

2.7.12 -- glad to see this recommendation in there. We've been doing this for a long time (it follows Wikipedia's guidelines for biographical articles) as it gives the researcher a quick summary and also simplifies extracting a short-but-useful bio for things like MARC records or summary displays.

3.1 -- notably, there are no examples of a scope and content statement for a collection that consists solely of digital files. Should there be, so as to give guidelines on what sort of information should be included here, and what should be deferred to the Technical Access (or other) section(s)?

Michele

++++  
Michele Combs  
Lead Archivist  
Special Collections Research Center

Syracuse University  
315-443-2081  
[mrrothen@syr.edu](mailto:mrrothen@syr.edu)  
scrc.syr.edu  
[library-blog.syr.edu/scrc](http://library-blog.syr.edu/scrc)

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Dear Gordon,

I was pleased to see that the DACS revision document is being provided in electronic format. Are there plans to provide the final revision in electronic format as well? I find that I rely quite heavily on the electronic copy of RAD, and it would be extremely useful to have DACS available electronically as well.

Best,

Misty

Misty De Meo  
Digital Collections Technician | Technicienne des collections numériques  
Canadian Museum for Human Rights | Musée canadien des droits de la personne  
400-269 rue Main Street  
Winnipeg (Manitoba) R3C 1B3  
T. 204.289.2155  
F. 204.289.2001  
TTY | ATS: 204.289.2050  
Toll Free | Sans frais: 1.877.6037  
[misty.de.meo@museumforhumanrights.ca](mailto:misty.de.meo@museumforhumanrights.ca) | [misty.de.meo@museepourlesdroitsdelapersonne.ca](mailto:misty.de.meo@museepourlesdroitsdelapersonne.ca)

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Gordon,

This looks great! I noticed just a couple of things that may need correcting. First, in 2.6 Name of Creator(s) Element section that has been newly added (pp. 59-62), the word “supplied” (as in supplied title) is used several times whereas elsewhere in the document this has been changed to “devised” – I think that’s a good change and ought to be consistently used throughout. Also, on p. 146 of the document (124 on the printed page), the heading Definition is missing an i in the middle.

Overall, I’m really impressed with this effort – your group has done a fantastic job. All the changes you’ve made were needed and I don’t see anything unnecessary that has been added. Where you’ve moved things around, it contributes to ease of understanding. You’ve succeeded in updating the information and making it more concise and organized.

I can’t wait to see the completed new version and to share it with my staff!

Best regards,

Cathi

<\*>-----<\*>-----<\*>-----<\*>-----<\*>  
*Cathi Carmack*



Director, Archival Technical Services  
Tennessee State Library & Archives  
403 7th Ave. North  
Nashville, TN 37243  
ph: 615.253.3468  
fax: 615.532.5315  
[cathi.carmack@tn.gov](mailto:cathi.carmack@tn.gov)

<\*>-----<\*>-----<\*>-----<\*>-----<\*>

*The Mission of the Office of the Secretary of State is to exceed the expectations of our customers, the taxpayers, by operating at the highest levels of accuracy, cost-effectiveness, and accountability in a customer-centered environment.*

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**From:** Seeger, Nancy

**Sent:** Wednesday, July 18, 2012 3:45 PM

**To:** Lacy, Mary

**Subject:** RE: DACS revision available for comment

Mary,

Thank you for the opportunity to look at the new DACS. I really think it looks great and will be very helpful. It makes much better sense to get rid of the authority rules, and to update for EAC etc. I do miss some of the examples though!

If I can be so bold, I hope you don't mind if I make the following comments:

Pg. 20. In the segment which has examples, beginning with "Graciany Miranda Archilla papers" -- shouldn't the two new examples have titles as well. They are just corporate names and don't match the other examples which incorporate names with their titles.

Pg. 21. Should the Bessye B. Bearden examples retain "papers" -- that example is mentioned later and it has "papers"

Pg. 37-38 Under "Sources of Information" section, the word "supplied" is used throughout -- should it be "devised" as had been used previously in the document

Pg. 124 Under "Authority Records" -- the word "definition" is misspelled

Thank you!

Nancy

---

Gordon,

I haven't had time to go all the way through this, but just glancing at 9.5 (authorized form of the name), first, the file isn't called "Library of Congress Authorities," it's called the LC/NACO Authority File, and second, if archival catalogers intend to continue contributing to the LC/NACO authority file (and I certainly hope they do), after March 31, 2013 only RDA can be used (not AACR2) to create or update authority records. I'd recommend dropping the reference to AACR2.

Similarly, I'd rework the language on p. vi, probably replacing AACR2 with RDA, and elsewhere throughout the document. AACR2 is still being used but it is not being updated at all by the Joint Steering Committee—as far as they're concerned it's a dead document.

Bob

Robert L. Maxwell  
Special Collections and Ancient Languages Catalog Librarian  
Genre/Form Authorities Librarian  
6728 Harold B. Lee Library  
Brigham Young University  
Provo, UT 84602  
(801)422-5568

"We should set an example for all the world, rather than confine ourselves to the course which has been heretofore pursued"—Eliza R. Snow, 1842.

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Hello,

I can contribute the attached files which reflect my work using MODS crosswalked to EAD (based on DACS). I had a great deal of difficulty locating any information about this process when I compiled it a couple of years ago. They are not the greatest, but perhaps they will be of some use to the working group.

The .xsl document is a very messy transformation document that turns the needed MODS fields into EAD tagged fields. I don't know that this is a great example, but again, perhaps someone would find it useful to consider. I was never able to locate an example of a similar stylesheet for MODS to EAD online, so perhaps this would be of use to whoever is working on the crosswalk appendix.

The word document shows which fields were completed in the MODS record, and how they are encoded in an EAD finding aid. Because information for each MODS record represents an "item" in a larger collection, when going into the larger finding aid, repeated top level information (such as repository information) is not transferred over (and therefore is not listed on the attached chart). One of the finding aids these were used to create is currently online at <http://library.wustl.edu/units/spec/archives/guides/pdf/assem80s.pdf>.

Thank you for your work on this project.

Sincerely,  
Miranda

```
<?xml version="1.0" encoding="UTF-8"?>
<xsl:stylesheet xmlns:xsl="http://www.w3.org/1999/XSL/Transform" version="1.0">
  <xd:doc xmlns:xd="http://www.oxygenxml.com/ns/doc/xsl" scope="stylesheet">
    <xd:desc>
      <xd:p><xd:b>Created on:</xd:b> May 17, 2011</xd:p>
      <xd:p><xd:b>Author:</xd:b> mrectenwald</xd:p>
    </xd:desc>
  </xd:doc>
</xsl:stylesheet>
```

```

</xd:doc>
<mods:mods xmlns:ead="http://www.loc.gov/ead/ead.xsd"
xmlns:mods="http://www.loc.gov/mods/v3"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="http://www.loc.gov/mods/v3
http://www.loc.gov/standards/mods/v3/mods-3-4.xsd">
<xsl:output method="xml" indent="yes"/>
<xsl:template match="/">
  <ead>
    <eadheader langencoding="iso639-2b" countryencoding="iso3166-1"
repositoryencoding="iso15511"></eadheader>
    <dsc type="in-depth">
      <head>Collection Contents</head>
      <c01 level="series">
        <did>
          <unittitle>
            <unitdate type="inclusive">
              <xsl:value-of select="mods:originInfo/mods:copyrightDate"/>
            </unitdate>
          </unittitle>
        </did>
        <c02 level="item">
          <did>
            <xsl:value-of select="mods:identifier">
              <unittitle>
                <persname role="speaker">
                  <xsl:value-of select="mods:name/mods:displayForm"/>
                </persname>
                <xsl:value-of select="mods:titleInfo/mods:title"/>
                <xsl:if test="mods:subTitle!=NULL">
                  <xsl:text>: </xsl:text>
                  <xsl:value-of select="mods:subTitle"/>
                </xsl:if>
                <unitdate datechar="program">
                  <xsl:value-of select="mods:originInfo/mods:dateIssued"/>
                </unitdate>
              </unittitle>
            </xsl:value-of>
          </did>
        </c02>

```

```

</c01>
</dsc>
</ead>
</xsl:template>
</mods:mods>
</xsl:stylesheet>

```

University Archives, Department of Special Collections  
Assembly Series Metadata  
MODS – EAD Crosswalk

MODS	EAD	Info
<mods:titleInfo>		---
<mods:title>		Assembly Series Lectures
<mods:titleInfo>		---
<mods:title>	<unittitle>	[lecture title]
<mods:subTitle/>	<note label=<"named lecture"><p>	[named lecture series title]
<mods:name>		---
<mods:namePart type="termsOfAddress"/>		[Dr., Mr., Mrs.]
<mods:namePart type="family">		[last name of speaker]
<mods:namePart type="given">		[first name of speaker]
<mods:displayForm>	<persname>	[first last name]
<mods:affiliation>		Sometimes BLANK or [University, organization]
<mods:role>		---
<mods:roleTerm>	<persname role="">	[Speaker, Moderator]
<mods:description/>		BLANK
<mods:typeOfResource>		Sound recording-nonmusical
<mods:genre>		[Lecture, Concert]
<mods:originInfo>		---
<mods:place>		---
<mods:placeTerm type="text">		[Graham Chapel, Steinberg Hall]
<mods:publisher>		Washington University in St. Louis
<mods:dateIssued>	<unitdate>	[mm dd, yyyy] (date of lecture)
<mods:dateCreated encoding="iso8601" point="start">		eg. 20090818T1352Z-5:00 (for summer Central Daylight Time) or 20091218T1352Z-6:00 (for winter Central Standard Time) or BLANK
<mods:dateCreated encoding="iso8601" point="end">		eg. 20090818T1352Z-5:00 (for summer Central Daylight Time) or 20091218T1352Z-6:00 (for winter Central Standard Time) or BLANK
<mods:dateCaptured encoding="iso8601" point="start">		
<mods:dateCaptured encoding="iso8601" point="end">		
<mods:dateModified/>		BLANK

<mods:copyrightDate>		[yyyy]
<mods:dateOther/>		BLANK
<mods:language>		---
<mods:languageTerm/>		BLANK
<mods:physicalDescription>		---
<mods:form>	<physdesc>	electronic sound recording/sound cassette; sound recording/sound-tape reel *May decide to get more MARC specific and do global change at a later time
<mods:reformattingQuality>		preservation, access, replacement (choose one)
<mods:internetMediaType>	<physdesc>	audio/wav, audio/mp3
<mods:extent/>	<physdesc><extent>	[### minutes – round up to nearest whole minute]
<mods:digitalOrigin>		born digital, digitized other analog, reformatted digital (choose one)
<mods:note>	<physdesc><physfacet>	eg. 80 minutes part A; 11 minutes part B eg. note if .wav file not at Archives
<mods:abstract>	<bioghist><p>	[insert information from lecture program, ASL website, or publicity]
<mods:note type="admin">	<note label="admin"><p>	Any info not included anywhere else, eg. Recordings for additional related lectures on previous day not held in University Archives.
<mods:subject>		---
<mods:topic/>		BLANK
<mods:geographic/>		BLANK
<mods:temporal/>		BLANK
<mods:titleInfo/>		BLANK
*<mods:name>		---
<mods:namePart>	<note label="sponsor"><p>	[lecture sponsor name]
<mods:role>		---
<mods:roleTerm>	---	Sponsor [remove word "sponsor" if not have information]
<mods:genre/>		BLANK
<mods:hierarchicalGeographic>		---
<mods:continent/>		BLANK
<mods:country/>		BLANK
<mods:province/>		BLANK
<mods:region/>		BLANK
<mods:state/>		BLANK
<mods:territory/>		BLANK
<mods:county/>		BLANK
<mods:city/>		BLANK
<mods:island/>		BLANK
<mods:area/>		BLANK
<mods:extraterrestrialArea/>		BLANK
<mods:citySection/>		BLANK
<mods:occupation/>		BLANK

<mods:classification/>		BLANK
<mods:relatedItem> <!-- Can use any MODS element from schema -->		BLANK
<mods:identifier type="University Archives id">	<did><unitid>	[Archives assigned id #, eg. ASL1997-08]
<mods:identifier type="audio recording id">		[Roger CD #, eg. CD090503]
<mods:identifier type="audio recording id2">		[Roger mp3 #, eg. A090503_Smith.mp3]
<mods:location>		---
<mods:physicalLocation>		University Archives, Department of Special Collections, Washington University Libraries, One Brookings Drive, Campus Box 1061, St. Louis, MO 63130
<mods:shelfLocator/>		BLANK
<mods:url/>		<a href="#">\\lib-lsw102\assemblyseries\ASL_2009\ASL_audiofiles_wav_2009</a>
<mods:holdingSimple>		---
<mods:copyInformation>		---
<mods:form/>		BLANK
<mods:subLocation/>		BLANK
<mods:shelfLocator/>		BLANK
<mods:electronicLocator/>		BLANK
<mods:note/>		BLANK
<mods:enumerationAndChronology/>		BLANK
<mods:holdingExternal/> <!-- (Extensible to use other holdings schemas) -->		BLANK
<mods:accessCondition/> <!-- (Extensible to allow for other more detailed rights schemas.) -->		[<ead:accessrestrict><p>eg. There are no access restrictions on this item. OR There are some access restrictions on this item, please consult the University Archives at (314) 935-5444 or spec@wumail.wustl.edu</p></ead:accessrestrict>]
<mods:extension/> <!-- (Extensible to allow for other more detailed rights schemas.) -->		BLANK
<mods:recordInfo/>		---
<mods:recordContentSource/>		BLANK
<mods:recordCreationDate/>		[yyyymmdd] (date mods xml record recreated)
<mods:recordChangeDate/>		BLANK
<mods:recordIdentifier/>		BLANK
<mods:recordOrigin/>		[Office of Public Affairs - Printed program, or Office of Public Affairs - Assembly Series website, or other information]
<mods:languageOfCataloging/>		---
<mods:languageTerm/>		BLANK


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Dear Gordon,

Thanks very much for alerting the RBMS DCRM(MSS) editorial team to the availability of the revised text of DACS. Several of us are looking through the text this week, so you will likely be receiving our various comments soon, either as a group or in the form of e-mails from various editorial team members.

Since my comments on the revised Chapter 9 consist solely of little copy-edits, I thought it best to just send you a Word version of that chapter with suggested edits highlighted using Track Changes. The proposed edits really are very small. Overall the text seems very clear and straightforward to me, and the examples chosen illustrate the rules well. Congratulations on all the fine work your committee has done! More to come ...

Best regards,

Margaret Nichols

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Margaret Nichols  
Rare Materials Cataloging Coordinator  
Cataloging & Metadata Services  
Cornell University  
Tel. (607) 255-3530 / 255-5752  
[mnr1@cornell.edu](mailto:mnr1@cornell.edu)

## CHAPTER 9 Authority Records Purpose and Scope

The purpose of this chapter 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.

This chapter also 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 records 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 2.7,
  - Relationships Area: references to related persons, families, and corporate bodies, and
  - 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 and

#### AUTHORITY RECORDS 125

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 it might be kept in 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

#### DESCRIBING ARCHIVES: A CONTENT STANDARD 126

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 (element 11.5);
- Type of entity (element 11.6);
- Dates of existence (element 11.X); and
- Authority record identifier (element 11.19)

### **Added Value**

#### AUTHORITY RECORDS 127

| An authority record ~~with the~~ using DACS elements to provide added value for researchers includes:

- 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 rules in Chapter 9.

#### Form of the Name

#### Authorized Form

**9.5.** Record the name of the entity being described in the authority record in accordance with standardized vocabularies (e.g., Library of Congress Authorities) or with rules for formulating standardized names such as those found in AACR2 or RDA. Name entry should be unique and may include dates, place, jurisdiction, occupation, epithet, or other qualifiers as needed for disambiguation.

Haworth, Kent MacLean, 1946-  
Stibbe, Hugo L. P.

**9.6.** Indicate by codes or text whether the entity named in the heading 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><corpname>

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

#### DESCRIBING ARCHIVES: A CONTENT STANDARD 128

Personal name: Norton, Margaret Cross, 1891-1984

#### Variant forms of names

**9.7** 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

**9.8.** 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

#### AUTHORITY RECORDS 129

*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

**9.9.** 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; or
- 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

## DESCRIBING ARCHIVES: A CONTENT STANDARD 130

### 9.10. 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

### Identifiers for Corporate Bodies

#### 9.11. 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

### Description of the Person, Family, or Corporate Body

#### Dates of Existence

#### 9.12 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].

#### 9.13. For persons, record their 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*)

**9.14.** For persons, 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  
12th century

#### AUTHORITY RECORDS 131

**9.15.** For corporate bodies, record the date of establishment/foundation/enabling legislation and dissolution.

1970 (*date of establishment*)  
1670? (*date of establishment*)  
1842 (*date of dissolution*)

**9.16.** 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

**9.17.** 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*)  
9th century (*end date of activity*)

#### Historical Summary

**9.18.** 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, supply dates as an integral component of the narrative description. For additional guidelines see Chapter 2.6.

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, he began working for the

#### DESCRIBING ARCHIVES: A CONTENT STANDARD 132

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 of 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 re-election in 1976. He died January 13, 1978 of cancer.

#### Places

**9.19.** 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 Resource Description and Access), or as ~~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 section 11.X) 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>

Place of death: Baltimore, Md.

**9.20.** 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*)

AUTHORITY RECORDS 133

Juneau, Alaska (*place of residence*)

**9.21.** 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*)

**9.22.** 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*)

U.S. (*name of jurisdiction*)

#### Legal Status

**9.23.** 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 section 9.15-9.16.

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

#### Functions, Occupations, and Activities

**9.24.** 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 section 9.12-9.17.

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

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

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

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

Structural analysis (*function; from Art & Architecture Thesaurus*)

### DESCRIBING ARCHIVES: A CONTENT STANDARD 134

Zoning (*function; from Art & Architecture Thesaurus*)

#### Mandates/Source of Authority

**9.27.** For corporate bodies, record the title of any document, law, directive, or charter which 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 section 9.15-9.16.

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*)

#### Internal Structure/Genealogy

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

**9.29.** 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*

#### AUTHORITY RECORDS 135

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.

**9.30.** 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 (1612-82) married Hester Wotton, daughter of the second Baron Wotton. The fourth Viscount Campden (1641-89, created Earl of Gainsborough 1682) married Elizabeth Wriothsley, 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.

#### Related Persons, Families, and Corporate Bodies

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.

**9.31.** 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*)

DESCRIBING ARCHIVES: A CONTENT STANDARD 136

**9.32.** Indicate by codes or text whether the related entity is a corporate body, a person, or a family.

Corporate body: Division of Game and Fish

<entityType>person</entityType>

*EAC-CPF encoding indicating that the related entity is a person.*

**9.33 .** 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*)

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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.*

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**9.34.** 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.

Minnesota. Dept. of Game and Fish (*entity described in archival authority record*)

Successor: Minnesota. Division of Game and Fish

*Relation type value from Resource Description and Access Appendix K to specifically indicate relationship between entities.*

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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 an ontology to indicate specifically the nature of the relationship between Hubert H. Humphrey and Muriel Buck Brown Humphrey.*

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## AUTHORITY RECORDS 137

**9.35.** Record when relevant the commencement date of the relationship or succession date, and, when relevant, the cessation date of the relationship.

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].

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*)

## Authority Record Management

## Repository Code

**9.36.** 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.<sup>1</sup>

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*)

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## DESCRIBING ARCHIVES: A CONTENT STANDARD 138

### Authority Record Identifier

**9.37.** 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)*)

### Rules or Conventions

**9.38.** 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)*

*Anglo-American Cataloguing Rules, 2nd edition (AACR2)*

*Resource Description and Access (RDA)*

**9.39.** 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

**9.40.** Include reference to any system(s) of dating used to identify dates in the authority record.

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<sup>1</sup> 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.

ISO 8601-Data elements and interchange formats-Information interchange-Representation of dates and times, 2nd ed., Geneva: International Standards Organization, 2000.

#### Status

**9.41.** 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.

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#### AUTHORITY RECORDS 139

```
<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.)*

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**9.42.** Alternately, record the current status of the record using the following terms: draft, finalized, revised, or obsolete.

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Authority record is obsolete.

#### Level of detail

**9.43.** 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)*

#### Date(s) of Authority Record Creation and Revision

**9.44.** 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.

#### Language or scripts

**9.45.** Record the language or scripts of the archival authority record if it is to be exchanged internationally.

#### DESCRIBING ARCHIVES: A CONTENT STANDARD 140

Language and scripts: English

```
<languageDeclaration>
```

```
<language languageCode="eng">English</language>
```

```
<script scriptCode="Latn">Latin</script>
```

```
</languageDeclaration>
```

*(EAC-CPF encoding indicating that the archival authority record is written in English)*

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#### Sources

**9.46.** 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.

#### Maintenance information

**9.47.** 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.

#### Related Archival Materials and Other 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.

#### Identifiers and titles of related resources

**9.48.** Provide the unique identifiers/reference codes or titles for the related resources necessary to establish a connection between the entity and the related resource.

#### AUTHORITY RECORDS 141

Hubert H. Humphrey papers: a summary guide, including the papers of Muriel Buck Humphrey Brown. St. Paul, Minnesota. Minnesota Historical Society, 1983.

A biography of Vice-President Humphrey is available at

<http://gi.grolier.com/presidents/ea/vp/vphumph.html>

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

US MMeT-C UA032

Boston School of Occupational Therapy, records

## DESCRIBING ARCHIVES: A CONTENT STANDARD 142

### Types of related resources

**9.49.** Identify the type of related resources, such as archival materials, finding aid or other archival description, monograph, journal article, web site, 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 is archival records.*

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**9.50** Optionally, include a brief description of the related resource .

*Related resource: G. Hubert Smith papers*

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*Letter and personal narrative*

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### Nature of relationships

**9.51** 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).

```
<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.*

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### Dates of related resources or relationships

**9.52** 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, circa 1970  
Remarks to Peace Corps Trainees, 8 September 1962

## AUTHORITY RECORDS 143

## DESCRIBING ARCHIVES: A CONTENT STANDARD 144

### Archival Authority Record

**Authorized Form (11.4):** Humphrey, Hubert H. (Hubert Horatio),  
1911-1978

**Type of Heading (11.6):** Person

**Form according to other rules (11.9):** Humphrey, Hubert Horatio, 1911-1978 (pre-AACR form)

**Dates (10.18):** 1911-05-27/1978-01-13

**Description (11.12):**

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~~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, and 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 of 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 re-election in 1976. He died January 13, 1978 of cancer.

**Places (10.19):**

Born: Wallace, South Dakota

Lived: Minneapolis and St. Paul, Minnesota; Washington, DC

**Occupation, life, activities (10.21):**

Registered pharmacist

University professor

**AUTHORITY RECORDS 145**

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Dear Gordon,

I am submitting a document of compiled comments on the DACS draft from the members of the DCRM (Manuscripts) editorial team. Thank you for giving us the opportunity to give feedback.

Warm regards,

Jenny Nelson

Comments on DACS, "2<sup>nd</sup> edition" draft by Alison E. Bridger, editor for DCRM(MSS) and Cataloging Archivist, Wisconsin Historical Society

General Questions:

- Why is the glossary being removed?
- Why are all of the EAD and MARC examples being removed, first at the end of each element and then Appendix D?

p. 4: *Comment*: I like the addition of the final paragraph on this page as it give institutions a little more flexibility, especially when several different standards are used to describe materials.

p. 7: "Most finding aids combine a variety of levels of description." *Comment*: I'm not sure this statement is stated in such a way that it would be understood. What I take it to mean is that in a collection one series could have material described at just 1 level; whereas another series could be more granular and go down to 5 levels. Not all series need to have the same number of levels of description.

p.9: Single-level Minimum: Name of Creator(s) Element -- *Comment*: A caveat/note needs to be added here "if known" like it is in the rules for the element. Does not need the whole note that was originally here, but does at least need "if known"

p. 10: Single-level Optimum: Scope and Content Element-- *Comment*: If the notes are being removed for both of these levels for Scope and Content then there is no need to list this again.

p. 11: Multilevel Minimum: See comment for Single-level Minimum for Name of Creator(s) Element, p. 9.

*General Comment*: Thank you for adding "(Required)" at the rule level for each of the elements for the Minimum description.

### 2.3 Title Element

Devised title:

*Comment*: glad to see that this is being switched from "supplied title"; may want to add a footnote explaining that they used to be called "supplied title."

*Suggested edits*: There were a few places where "supplied title" still appears in the rules

p. 19 "[Supplied] titles generally have two parts:"

p. 20, Foot note 21: 2 instances of supplied

p. 24: 2.3.21 "Optionally, if one or two specific ..." also see 2<sup>nd</sup> example under this rule on the next page

p. 37: 2.6.3: 4 instances of supplied (1 of them is as "supplying" change to "devising"?)

p. 38: 2.6.4

p. 39: 2.6.7 and 2.6.8

Index [I know this will be revised but thought I would point out anyway]: abstract of contents vs. devised title; also index supplied title with a "see devised title" note.

"2.3.3: When devising title information, composes a brief title that uniquely identifies the material, normally consisting of a name segment, a term indicating the nature of the unit being described, and optionally a topical segment as instructed in the following rules. Do not enclose supplied devised titles in square brackets"

Comment: "Uniquely" is too high a bar (and unique within what context? the finding aid? all the finding aids in your repository? all the finding aids in the world?). DCRM-MSS considered but rejected "uniquely" in favor of:

... devise a brief title ... that concisely characterizes the item being described while containing sufficient information to identify the item"

We suggest DACS consider similar wording

2.3.4: Examples: The two new ones do not seem to have the nature of the archival unit included and is a little confusing to me; however it was removed from the first example under 2.3.5; I understand that since the rule concerning the archival unit has not been described yet I can see why this would be left out of the examples; but it should be consistently left out of the examples.

2.3.7-9: Name segment for more than one **person**. *Comment:* Since these rules are for persons, not corporate bodies, and there is a rule for more than one corporate body (2.3.16) then the examples under 2.3.8 and 2.3.9 should not be used here. Not sure what to do about the 2.3.9 example as this is a great example of more than one type of creator; perhaps there should be a rule after 2.3.18, before Nature of the archival unit, about more than one type of creator?

2.3.11: is this a made up example? Maybe DACS does not have the same editorial rules as the DCRM series where all examples need to be real world examples; otherwise it is a good example.

2.3.16: add at end of rule something like? "and indicate relationship(s) in the Administrative History or the Scope and Content."

2.3.19: "The following examples are not intended to cover all possibilities" *Comment:* Is this not true of many of the rules?

#### **2.4 Date Element**

2.4.4: Perhaps a newer example is called for? See <http://arc.library.wisc.edu/cgi-bin/Pwebrecon.cgi?BBID=33151> from WHS: "October 24, 1788 (typescript copy, circa 1932)"

Normalizing dates

"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 and follow it with the year(s) of the Gregorian or Julian calendar in parentheses. Specify the name of the calendar, such as Republican, Jewish, Chinese, in a note (see 7.1.2)

2628 (1968)

Note: Dated in accordance with the Chinese calendar.

an 14 (i.e., 1805)

Note: Dated in accordance with the French Republican calendar."

Comment: Why the inconsistent treatment of dates? Why not normalize all dates, and then present the date as it appears on the item in a note, if considered important, as we do?

Suggested rewording:

"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 7.1.2)"

#### **2.5 Extent Element**

Information about extent:

"2.5.2. Derive the information from the materials themselves or take it from transfer documents"

Comment: Too narrow. Add another example, e.g.

" ... transfer documents, published descriptions, or other reliable sources"?

2.5.7: last example: add '0' before .5 to make it more clear that it is only half a linear foot. "0.5 linear feet"



2.5.7: Also 2 new examples are about electronic records which have not been discussed yet; perhaps move rules about states of extent for electronic records?

2.5.10: Examples: spell out “megabyte and gigabyte,” etc.

2.5.10: add an example for # of floppy discs, CD-Roms, etc.

2.5.11: File format as seen in the example seems like information that should go elsewhere in the description; however if it was qualified by how many files by that format there are (like in 2.5.5) then it makes more sense: so “25 pdfs (88 kilobytes)”

## 2.6 Name of Creator(s) Element

p. 37 2<sup>nd</sup> paragraph (consider edits in bold): “A collector or **compiler** of materials **by format or subject** (e.g. Vietnam War memorabilia ... relating to suffragettes), is considered the creator of the collection.”

2.6.1: edit “Chapter 9”

2.6.3: This rule does not really say the source of the information which would be from the collection itself, accession paperwork, or outside sources. Really doesn’t make sense to bunt to the devised title rules

2.6.5: place “e.g. creator ...” in parenthesis.

2.6.7: Q: Why just from the Administrative/Biographical History; why not also from the Scope and Content or elsewhere in the description?

2.6.7: example confusing; does not seem to follow format of other examples here

## 2.7 Administrative/Biographical History Element

p. 41 2<sup>nd</sup> paragraph in commentary: change “MARC21” to “catalog”

Need to update rule numbers from 10 to 2 in several places:

2.7.5: point to 2.7.6-2.7.33

2.7.11: point to 2.7.12-2.7.21

2.7.22: point to 2.7.23-2.7.33

4.5: If DACS is format neutral, why is Languages and Scripts of the Material (4.5) a required element?

What if you catalogue something that has no language content, such as a pure graphic? Do you have to supply a note saying: “No language content”?

## Chapter 6 Related Materials Elements

6.2.3.: Dead link in the 4th example. Is it this instead:

<http://www.mnhs.org/library/Christie/intropage.html>

## Chapter 7 Notes Element

7.1.7 reword last part of sentence from “... that title can be recorded in a note.” to “... record in a note.” or “... record variant title in a note.”

Example:

Former title: Wisconsin State Sanatorium records

*Comment:* Name change to Wisconsin State Tuberculosis Sanatorium (See Wisconsin

Historical Society Series 2248)

7.1.8 extra space before number

## Part II Archival Authority Records

p. 104,;3<sup>rd</sup> point: should this not point to the new chapter 9? I feel like the third step leaves me hanging

p. 105, paragraph 3: This 2<sup>nd</sup> to last sentence needs to be removed or changed “Rules for achieving this consistency are provided in Part III.” As *Part III* no longer exists in DACS.

No mention of EAC-CPF in introduction? I guess this is covered by *ISAAR(CPF)*

p. 124 Definition spelled wrong; extra period after first sentence under Definition

p. 126, under Minimum:

- Authorized form of name (see 9.5);
- Type of entity (see 9.6);
- Dates of existence (see 9.12-9.17); and

- Authority record identifier (**see 9.37**)

p. 127: sentence does not make sense “An authority record with the using DACS elements to provide added value for researchers includes:”

9.4: This rule is pointing to itself; perhaps have it point to Chapter 2.6?

9.10: I’m not sure I would use Samuel Clemens aka Mark Twain as an example. As even though this is **not** Library of Congress Name Authorities, they are recorded as separate entities in the LCNAF. Although looking at the rules for LCNAF, not sure this really matters with DACS Authorities ...

9.12: “Record exact dates in [year] [month] [day] format.” While I see doing this for items I’m not so sure about doing this for people ... although with authority files perhaps this is best?

“9.12 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].

9.13: Isn’t it possible that the exact year is known but not the exact month and day is known? No examples show this and the rules make it seem like if I do not know the year month day then it should be recorded as approximate.

9.13. For persons, record their 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)

9.14. For persons, 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

12th century”

Comment: I’m puzzled/troubled by the use of “exact dates” to mean exact day. Many of the sources available to a cataloger will give only a year of birth and/or death. These are not questionable or uncertain or approximate dates. Seems like this is setting an unrealistic standard for what sort of information will be available to a cataloger. Also: if your month or your day is probable, wouldn’t the question mark go after the questionable element, not after the year? And “active” or “flourished” should be the qualifier following active dates, no?

Suggested rewording:

“Record dates in [year] [month] [day] format.

Indicate a probable date by adding a question mark

If the date is uncertain but known to be one of two possibilities, record the date in the form [date] or [date]

- If the date can only be approximated, record the date in the form “approximately [date].

9.13. For persons, record their date of birth and/or date of death. Where the exact dates are not known, record approximate dates.

1884 May 8 (date of birth)

1884 May (date of birth)

1884 (date of birth)

1884 May 8? (date of birth)

1884 May 8 or 9 (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)

9.14. For persons, 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)”

9.15-9.16: Does not give me option of what to do when dates of specific activity are unknown for corporate bodies; 9.15 add sentence “If specific years cannot be established, record the century or centuries in which the corporation was active.”

9.19, line 3: “as” is repeated; line 6: “as described in section 9.12-9.17”

9.22: Example: U.S. I think this needs to be spelled out ... at least according to LC

p.145-146 Archival Authority Record: This needs to either be updated or deleted.

#### **Appendix B Companion Standards**

Under Content Standards there is no mention of DCRM(MSS); although there is mention of DCRM(G)

P. 242, the two entries for The IASA Cataloguing Rules: Is this the correct link? <http://www.iasa-web.org/iasa-cataloguing-rules>

P. 243: Categories for the Description of Works of Art: direct link:  
[http://www.getty.edu/research/publications/electronic\\_publications/cdwa/index.html](http://www.getty.edu/research/publications/electronic_publications/cdwa/index.html)

P. 244: Medical Subject Headings: The new link works if it ends “html” not “htm” as it is now.

P. 244: Union List of Artists' Names: The new link works if it ends “html” not “htm” as it is now.

P. 246: MARC 21 Format for Bibliographic Data: Including Guidelines for Content Designation: Title has been shortened to MARC 21 Format for Bibliographic Data.

## Appendix C: Crosswalks

P. 221: Add the three new tables to the list of crosswalks (Table C1-C7): DACS to MODS, DACS to Dublin Core, DACS to RDA.

P. 221, ISAAR(CPF): a final version is available at <http://www.icacds.org.uk/eng/standards.htm>

P. 221, MARC 21: the link takes you to the overall MARC 21 website which is not confined to the concise edition.

### Table C1: APPM to DACS

- P. 222: 1.5B in APPM is called "Statement of extent", not "Extent"
- P. 222: APPM 1.7B15 Preferred Citation would map to DACS 7.1.5 Citation
- P. 223: Headings for Persons. The DACS entry should read "12 Form of Names for Persons and Families" not "... People and Families"

### Table C3: ISAAR(CPF) to DACS

- P. 225-226: Delete the table or leave blank all cells in the DACS column as DACS no longer has the "Describing Creators" chapters.

### Table C7: DACS to ISAAR(CPF)

- P. 225-226: Delete the table or leave blank all cells in the DACS column as DACS no longer has the "Describing Creators" chapters.

Tables C4, C5, C6, and the three new tables not reviewed.

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Hi Gordon,

I just tried to send the email below directly to the TS-DACS, but since I'm no longer a member of the listserv, it bounced back. Here it is...

Marcy

**From:** Marcy Flynn [<mailto:silverim@centurylink.net>]

**Sent:** Wednesday, September 12, 2012 12:01 PM

**To:** 'SAA Technical Subcommittee on DACS'

**Subject:** RE: [ts-dacs] DACS revision for community review

Hi DACS TS members,

Attached please find comments on the DACS revision that I prepared as an outgrowth of work I was doing for DCRM(G), mostly related to collection level description.

Basically, the document contains 3 tables and 1 list:

1. Basic comparison of introductory narrative including abbreviations
2. Comparison of minimal requirements between G and DACS
3. Comparison of a few specific rules used in G and DACS
4. List of questions and comments that stemmed from reading through DACS

I have one specific observation about instructions related to the description of copies and/or reproductions. I wonder if DACS should provide more specific instruction about how to manage different types of duplicates. This pertains to several formats typically found in archives, including graphic materials (particularly photographic materials like negatives, slides and other generations and variations), but also to sound recordings, moving images and born digital materials. For example, is it appropriate to list the location of original negatives or differentiate between iterations of the same work?

I hope these comments help in your discussions. Please don't hesitate to ask if you have any questions or would like clarification on any points. One goal in sharing these comparisons is that if there are instructions that can mesh better, perhaps they can be considered now, before the two draft standards are finalized. If you have any comments or suggestions to share with the DCRM(G) editorial team, I encourage you to send them along. The current draft of DCRM(G) is available on the wiki at <http://dcrmg.pbworks.com/w/page/6108102/FrontPage>.

All the best,  
Marcy Flynn

DACS comments

DRAFT

11 September 2012

TABLE 1: Comparison of scope and basic rules

	DCRM(G)	DACS
<b>Use of companion standards:</b>	II.2: companion standard to DACS; different than CCO III.2.5: RDA B1.3: Archival and bibliographic description conventions for graphic material collections are closely related, but the bibliographic emphasis in DCRM(G) aligns item-level and collection-level practices for consistency across published and unpublished resources. Rules for archival description, which emphasize hierarchical structures, are addressed in specialized sets of rules such as DACS.	Principles apply regardless of form or medium, and "require different rules to describe their particular characteristics" (pp. xii-xiv) "Where more detailed guidance is required, archivists are referred to Appendix B, which lists specialized standards for various types of material. (p. 3) 2.5 "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.
<b>Rules:</b>	I.5: They do not address the construction and assignment of controlled headings used as main and added entries, although brief instructions relating to headings and other access points do appear...	Part I=description of archival materials; Part II=info about creators (p. xii)
<b>Rule options:</b>	IV.: Optionally If considered important Alternative rule RDA alternative	Required, if known Required Added value
<b>Abbreviations</b>	Uses square brackets	Does not use square brackets

<b>and punctuation</b>	s.n. and ca. ok 4C11 use [s.n.] if unknown, supplied publisher names RDA alternative: use approximately instead of ca. Use cm or mm or diam RDA alternative: use diameter	2.5.3: footnote 32 recommends spelling out extent terms instead of abbreviating them 4.4.9: no mention of logo for “c”
<b>Transcription:</b> DACS recommends using companion standards for transcription rules.	Principle III.2.2: Rules provide for accurate representations of the entity as it describes itself, notably through instructions regarding transcription, transposition, and omission. OG. Transcribe information in the form and order in which it is presented in the source...	“archivists rarely transcribe descriptive information directly from archival materials; rather, they summarize or interpolate information that appears in the materials or supply information from appropriate external sources...” (p. 3) 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.
<b>Unpublished</b>	I.4: scope includes items, collections, published and unpublished OA: unpublished “(though they may exist in multiple instances)” 7a4.1 distinguished between local and general notes with general notes valid for all instances of material and local notes applying only to example in hand, even if published or available in multiples (so all photos would technically use local notes, as would unique works like drawings)	Aggregations of documents (largely unpublished) (p. xi)
<b>Collections and Single items</b>	p. 7: instructions for collection-level records grouped as an appendix X, p. 19: Groups of items mentioned in precataloging decisions, expanded in x.1.1 OA: For instructions on cataloging collections, whether assembled prior to acquisition (e.g. by an artist or collector) or locally for cataloging purposes, see Appendix B. 5D2.1 example of a roll of negatives: 36 photographs : safety negatives ; 35 mm (roll format), is this multipart? 1B5.2 Is “Lower West Side, Buffalo, N.Y., 1972-77” an example for a multipart resource or collection? 7B17 Relationship note. When material is related by provenance or hierarchy to a larger unit or collection, give the title or other designation for the larger unit or collection... X.1.1: “Transcription of text, central to many	“A single item may be described in minute detail, whether or not it is part of a larger body of material.” (p. xiii) Rules may be applied to discrete items (p. 3) Item level examples in 2.3.22

	rules for describing items, is largely irrelevant for collections, resulting in simpler instructions." [MLF not sure this last part is true]	
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	DCRM(G)	DACS
<a href="#">Minimal level requirements</a>	<p>Basic required elements, 0B</p> <p>No Reference code element in G</p> <p>No requirement for name and location of repository; D3.2 "Optionally, add information in accordance with institutional policy, for example, the language of the material, or the repository name."</p> <p><a href="#">Title proper, 1B</a></p> <p><a href="#">GMD [graphic] or [still image], 1C</a></p>	<p>Minimum single level description (p. 9) <i>at any level</i></p> <p><a href="#">Reference code element, 2.1</a></p> <p><a href="#">Name and location of repository element 2.2</a></p> <p><a href="#">Title element, 2.3</a></p> <p>No GMD</p>

TABLE 2: Comparison of Minimal level requirements



	<p>Place of publication, etc., 4B  Date of production or publication, 4D  Extent, 5B  Dimensions (always indicate what was measured)  Not mentioned: 1B1.2 and 7B3.1 Always make a note of the title proper.</p> <p>7B19.1 Restrictions on access “Optionally, always note terms of access.”  7B19.2 Optionally, always make a note on limits to use and reproduction.</p> <p>0F.1.3: In notes, give information other than titled, citations, and quotations in the language and script of the cataloging agency  7B2.1 Make notes on the language of the text, if present, unless this is apparent from the rest of the description</p>	<p>No place of publication, distribution...  Date element, 2.4  Extent element, 2.5  No dimensions required</p> <p>No source of title note</p> <p>Name of creator(s) element, 2.6  Scope and content element, 3.1  Conditions governing access element, 4.1</p> <p>Language and scripts of the material element, 4.5 Derive the information from the materials themselves.  4.5.2: add rule if no language is present? (e.g. still images, sounds, moving images, 3D objects)</p>
Optimal level requirements	7B13. Bio/historical note. May include nationality, occupation, training, etc.	Single-level optimum (p. 10) also includes: Administrative/Biographical History element, 2.7 Access points

Table 3: Comparison of some specific G and DACS rules

	DCRM(G)	DACS
<p><b>Devising titles:</b> Very similar instruction in G and DACS, except for the use of square brackets</p>	<p>1F2 Cataloger-devised title for untitled material, use square brackets, give factual content clearly and concisely. "Include the following kinds of information in the devised title, as appropriate and feasible: The subject type or form or material..., and identification of the main subject(s) depicted..., geographical location(s) depicted...; date or span of dates.</p> <p>1B1.2 If a date appears in the source in such a way as to constitute part of the title, transcribe it as such...</p>	<p>Devised title including format:</p> <p>2.3.20: Where the material being described consists solely of one or two specific forms, supply those forms for the nature of the archival unit. Express the forms in their order of predominance.</p> <p>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 phrase "and other material" in the devised title...</p> <p>2.3.3: Do not enclose devised titles in square brackets.</p> <p>p. 98 examples include notes that refer to the use of square brackets.</p> <p>No rule on this noted, but typically date appears within the title field in MARC although it is generally not a transcribed date</p>
<p><b>Dates:</b> Very similar instruction in G and DACS for date ranges and patterns, location of date in bibliographic record typically differs</p>	<p>4D1.1 Transcribe date of production for unpublished material</p> <p>4D1.2 Transcribe dates as they appear on the material, including day and month</p> <p>4D6 Patterns for conjectural date</p> <p>4D8 Date in multipart resources</p>	<p>2.4.12: Estimated date ranges</p>
<p><b>No date:</b></p>	<p>Is it ok per G not to provide a date, whether using an abbreviation or stating [undated]? Could not find a corresponding rule. Is it required that even a very broad estimate be provided?</p>	<p>2.4.16: use "undated" instead of n.d. or s.d.</p>
<p><b>Copyright related to description</b></p>	<p>4D7.2 If no date of publication...and it is likely that the copyright date represents the date of production, supply it in square brackets. Include a ? if the date is conjectural.</p> <p>7A5.2 Quotation example of copyright statement. "Entered according..."</p>	<p>2.4: No mention of how copyright date is handled as a source of date information.</p>
<p><b>Copyright related to terms of access and use</b></p>	<p>7B19.1 Terms of access, use and reproduction. When the material is not generally available to researchers, or when access and handling are restricted, explain the nature and extent of the restrictions if considered important...Optionally, always note terms of access.</p>	<p>4.4.8 example: Copyright restrictions may apply.</p> <p>4.4.6 Give information about copyright status and any other conditions governing the reproduction, publication, and further use...of the unit being described after access has been provided</p>

	7B19.2 When access to material has been granted but its use is restricted, explain the nature and extent of the restrictions if considered important...Optionally, always make a note.	
<b>Reproductions</b>	<p>5C3.2 Reproductive prints. If considered important, provide the type of original. 1 print : wood engraving of a painting.</p> <p>7B14.Characteristics of original of a copy. If considered important, give the location of the original(s), the dimensions, and other relevant information if it is readily available. Original: Art Gallery of Ontario, circa 1784-1790, oil on canvas, 267.3 x 364.5 cm</p> <p>7B23. Additional physical format. If considered important, record information concerning a different physical format in which the described item is available. A digital surrogate is also available Reference copy also available in FOREIGN GEOG FILE - Bahama Islands</p> <p>Glossary, <b>Copy</b>. In the context of graphic materials, a reproduction or re-drawing of an original image created by another hand.</p> <p><b>Reproductive print</b>. An original print (usually engraving) that is either a copy in another medium of an original work or is a print based on another work in a different medium.</p> <p><b>Transparency</b>. A positive image on a translucent support (usually film or glass), created for viewing through transmitted light or projection, or as an intermediary in photographic or photomechanical reproduction. Typical forms include lantern slides, 35mm slides, and 4x5 color film transparencies.</p>	<p>2.4.1: If the material being described is a reproduction, record the details about the reproduction, including the date(s) or reproduction, if known, in the Scope and Content Element...</p> <p>3.1.7: If the material being described is a reproduction, indicate that fact, and if considered important, also indicate the date of reproduction.</p> <p>3.1.7 reproduction as part of scope and content</p> <p>6.1: Existence and location of originals element. To use when "the materials being described consist of copies, and the originals are not held by the repository."</p> <p>6.2.4: "If appropriate, record information to distinguish between multiple generations of the material." This includes the example, "Prints in this series made from copy negatives, produced in 1974, of the original photographs." And "Modern silver gelatin print from original negative made 1915."</p> <p>6.4.2: Record info about published transcriptions or facsimiles in 6.2 Existence and Location of Copies element</p>
<b>Size/dimension:</b> Required in G, optional in DACS	<p>Required (always indicate what was measured)</p> <p>App B, Dimensions. Optionally, provide details of the dimensions of the items and/or their containers.</p> <p>5C5.1 Record the file format for digital originals in electronic form. Information about derivative and other associated files may be provided in a note, if considered important.</p> <p>5C5.2 Record file size or cumulative file size</p>	<p>2.5.8: size/dimension not required though 2.5.10 provides option to describe size in extent for electronic records. "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."</p> <p>2.5.11: can include file format types as well as size, normally the file name extension</p>

	in parentheses following the file format. 5C3. If considered important, also record other technical information in parentheses following the file size. 1 photograph : digital, JPEG (651 KB, 2000 x 1196 pixels) 5D0.3 Born-digital images. Omit the dimensions and format element for born-digital images.	
<b>Extent:</b> Similar instruction in G and DACS	5B1.1 Record extent as an Arabic numeral indicating the number of physical or logical units issued. App B, 300 field example: 12 cartons, 3 oversized boxes	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. 16 boxes
<b>Geographic place:</b> G uses geographic place to represent place of production, no corresponding use in DACS aside from possibly Scope & Contents note (though meaning differs).	4B1.1 Names of places associated with publishers, distributors and sellers. For unpublished material, supply place of production. Should this be clarified in terms of how to manage photos and works on paper? For example, if location of studio is known, is that used as the place? 4B1.3 "...drawings or photographic prints of a place are not necessarily produced in that place." May need further explanation of how to determine place than this instruction. 4A2.1 "For unpublished material, this area may consist only of the place and date of production."	3.1: Scope and content element includes geographic area(s) and places to which the records pertain
<b>Numbers:</b> Similar instruction in G and DACS	7A4.3 "Include in local notes one or more of the following identifiers, if considered important," including repository name, item call number, physical location 7B22 Source. Add the year or years of accession (and accession number if considered important) to the name of the donor or source.	5.2.5: Optionally, record identifying number(s) of the acquisitions, such as an accession number or a reference code. 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. Examples include ISBN and neg nos.
<b>Record control:</b> G uses MARC coding to indicate description control. DACS also includes narrative explanation.	App A A2.4: Use the value a when G is used with AACR2 conventions and access points. Use the value l when G is used with RDA conventions and access points. A3: Apply the code dcrmg in 040\$e for gm... No narrative example similar to DACS provided.	8.1 Description control element to document the creation of the descriptive record, including use of sources, rules, cataloger name and date of record. 8.1.4 example: "Collection description based on DACS, with the exception of descriptions of oral histories, which use the Oral History Cataloging Manual (Chicago, SAA, 1995).

DACS notes

Will need to update intro on Access points depending on how this area is handled ultimately. Did not note when supplied is used instead of devised since TS DACS already knows this has to be replaced.

P. xxi: Add ICA Functions to list?

p. 10: Scope and content element appears in both Single-level minimum and optimum

p. 19: The first sentence of 2.3 uses "formal" but the first sentence in 2.3.2 is "When recording a formal title, transcribe the information..." Would it be clearer to use transcribed in both sentences?

p. 23: 2.3.19: not sure about use of past tense in this revision.

p. 30: 2.4.14 on format of dates (and footnote 31), may benefit from referencing ISO standard 8601

p. 32: "If the material type has been provided in the title statement, do not repeat it in the statement of extent."

Should this be optional instead of as stated in 2.5 with an exclusion in 2.5.1 "Record information about physical characteristics that affect the use of the unit being described in the Physical Access Element (4.2)."

2.6.3: awkward

4.1.4: Should the meaning of "reliable" be defined in terms of selecting sources of information? This rule (Chapter 4, Conditions of access and use) states: "Derive the information from a reliable source, such as donor agreements, statutes and regulations and repository policies." [The same statement is used 4.4.5 and 7.1.1, perhaps elsewhere too.]

4.1.1-4.1.3, 4.2.1-4.2.3, 4.3.1-4.3.3 and 4.4.1-4.4.3: These exclusion areas read similarly, but could be clarified, perhaps the use of terms like "access" and "use" could be reviewed.

4.2.5: 1<sup>st</sup> example, how does "Records are heavily foxed." impact physical access? Should this be a note instead?

4.1.5: Is it important to distinguish between access and use conditions. 4.4.10 example: "Material in this collection is in the public domain." Should this move this to 4.1.5?

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**Mr. J. Gordon Daines, III**  
**University Archivist**  
**Brigham Young University**  
**L. Tom Perry Special Collections**

**Chair**

**Technical Subcommittee on Describing Archives: A Content Standard (TS-DACS)**

Email: [gordon\\_daines@byu.edu](mailto:gordon_daines@byu.edu)

Hello Mr Daines -

At the invitation posted at <http://www2.archivists.org/feedback-solicited-for-dacs-revisions>, I am sending you a document we prepared here at UCLA.

As you'll see our work implicates generally the revised content on pages 104-105, 133, 135 and Rule 14.23 (Courts).

At a later date (if this is helpful), I'll be happy to provide you and the committee with a matrix showing which textual revisions are at issue with the authority work mentioned in the document.

As we hoped to make plain, the most acute shortcoming in the current version of DACS is the absence of a rule for those legal materials (cases) and the litigation (activities, evidence of activity) that

happen in courts. Whether this would be a separately numbered rule, or an extension of a revised rule - the absence of the rule is worth considering.

In our thinking - DACS works well when it considers a minimal descriptive effort (which would apply at the container level) that will allow separate repositories to electronically 'mash' together an Authority Record where the litigated case is at the center. The EAC / EAD elements that would be involved in such an effort could benefit from enhanced DACS commentary, examples and rules specifications.

Court case records have a 'nexus' organization. They are highly distributed (and duplicated). Therefore the task of ordering a physical + digital collection (which may be in scattered quadrants) makes several enhancement to DACS indispensable.

I am on the steering committee of the Government Records section (term 2012-2014), and I am sure there are many within that section who would be interested in helping overcome this professional challenge.

Thank you for your important work.

Our document

Christopher Felker  
Page 1 of 17 | 2 August 2012

**Describing archives a content standard  
Multi level optimum + added value EAD / EAC descriptions  
in the absence of DACS guidance  
Case references (DACs 14.23, 14.23A, 14.26)  
Courts of the United States**

**level 1 (district / trial + variants) courts**

US federated states (50, 4 formally titled Commonwealths | 94 courts)  
federal district (1 | 1 of 94 courts)  
Individual federated states (50, 4 formally titled Commonwealths | 1,912 courts)  
unincorporated organized territories (4 | 3 of 94 courts)  
unincorporated unorganized territories (~1 , 11 total)  
Court of International Trade  
United States Court of Federal Claims  
military courts (unified system applicable to the Army, Navy-Marine Corps, Air Force and Coast Guard | 4 courts)  
military commission (administered by the Department of Defense, Office of the Convening Authority, Office of the Chief Prosecutor, Office of the Chief Defense Counsel, Military Commissions Trial Judiciary | Guantánamo Bay Cuba)

**level 2 (intermediate appeals + variants) courts**

US regional circuits (12)  
Individual federated states (50, 4 formally titled Commonwealths | 104 courts)  
United States Court of Appeals for the Armed Forces (worldwide jurisdiction)  
United States Court of Military Commission Review

**level 3 (final appeal) courts**

United States supreme court (1)  
Individual federated states (50, 4 formally titled Commonwealths | 58 courts)

**and all non US jurisdictions**

The UCLA Civil Rights Project (collection 0787) has been processed using localized archival description rules for court cases. These rules adhere to a micro-descriptive scheme designed to enhance and further develop new methods and tools to

- › **extract** and **assemble** archival authority descriptions
- › **enhance** methods for **matching** and **combining** records describing the same case
- › **develop** methods for accommodating descriptive data
- › **add** geographic coordinates to places where court related documents circulate
- › **develop** timeline or map rendering of chronological biographies or histories

- › **enable** users to query social professional networks
  - › **develop** graphical displays of complex, dense networks
  - › **develop** graphical displays of organizational charts
  - › **develop** sequential displays of legal organizations / actions merging or dividing
- This document discusses current limitations existing archival descriptive frameworks – DACS – and the work of UCLA staff to compensate for the gaps in the professional standard. We look forward to starting a conversation within the archival community (especially those currently working with litigation records) on revisions and amendments.

DACS of course aims to not only make the records more easily discovered and accessed but also, and at the same time, build unprecedented resources that provide better access to the socio historical contexts. DACS rules should be expanded and refined to include case naming conventions that show the people involved in the litigation, law firms and their attorneys, judges and their court appointed experts and advocacy groups – all of whom created the records.

We advocate entering into Memoranda of Understandings with NARA Federal Records Centers, law schools within affiliated campus systems (4 within the UC system) and a hub (Civil Rights Litigation Clearinghouse) to construct international standard authority records for cases centered within geographic regions. Using improved DACS standards, it is possible to construct linked data that will be an exciting and scalable experiment in extracting information from a cross collaborative collection in ways that are impossible with smaller, individualized collections.

Merging the social, the data and the substantive subject matter a civil rights collection can become one of the most exciting media laboratories with instantaneous applications for teaching, data curation and public service.

**The archives / special collections profession is committed to the discovery, location and use of distributed historical court case records. So is UCLA.**

Persons use archival records as primary evidence for the lives and work of historical persons and the events in which they participated. Courts, and court systems produce enormous quantities of records which by their nature arrange parties (individuals + organizations) and issues of great historical / primary value. Most US court records are unavailable in digital form before 1998. Many federated states lag significantly behind the Federal courts in providing access to court records. Proprietary publishers currently impose significant monetary costs and physical limits on access to court records.

Christopher Felker  
Page 2 of 17 | 2 August 2012

Each calendar year, closed court case files in the United States represent 367,000 archival appraisal opportunities.

The predominant type of record the United States courts create and maintain is a case file, which contains a docket sheet and all documents filed in a case. Approximately 10% of the litigation in any given year in the United States is handled in the federal judicial system. 90% of United States litigation moves through 1.17% of cases filed in US district courts were adjudicated through a trial.

**Court case paper and digital records reflect integral collaborations**

The majority of court records in the United States are paper. These records are the product of localized aspects of interaction common in litigation. The paper records evolved hand-in-hand with organizational work practice common to court systems, which are governed by localized operating (procedural) rules.

Although paper is the ubiquitous artifact in support of collaborative work – even in “high-tech” research environments – archivists familiar with legal materials understand their inherent nature frequently disrupts the principle of respect des fonds as a basis of archival arrangement and description. As court cases accessions rely more on born digital materials (disk images that preserve the creator’s arrangement, and XML expressed documents), local repositories may adopt processing scheme that reassert the respect des fonds principle.

Collections that incorporate legal documents show that paper documents are written on, read from, stacked, and filed many times over the records continuum. The documents were brought to meetings, exchanged, distributed, and discussed. The legal communities in many nations (and especially the US and the Commonwealth countries) are a 'club' whose members are persons with: 4 years of general college education, 3 years of legal education in core and elective subject matter approved by a national professional association and state (bar) accreditation which licenses them to appear in courts.

These legal professionals have particular interest in the facts and circumstances surrounding the emergence of legally significant social imbalances or transgressions of enforceable rules. They develop and manipulate policies to overcome social imbalances and/or allegations of rule breaking. And they are trained in applying data to develop corrective policy criteria to induce courts to provide remedies (in civil matters, the remedy is based in fairness: in criminal matters, the remedy is based on justice).

Christopher Felker

Page 3 of 17 | 2 August 2012

**ISO 15489** Information and documentation – Records

management, defines record keeping metadata as: Data describing context, content and structure of records and their management through time.

**Australia's localized version of ISO**

**15489** (widely considered to be 10–30 years ahead of the US with respect to implementing archival standards) has a definition that adds the concept of 'domains' and operational terms:

[record keeping metadata] is structured or semi-structured information that enables the creation, management and use of records through time and across domains.

**Recordkeeping metadata can be used to identify, authenticate and contextualise records and the people, processes and systems that create, manage, maintain and use them.**

Their work involves advice, research, investigations and data gathering which is incorporated into legal actions tailored to the jurisdiction and the particular problems presented in the case. The resulting legal records blend objective assessments and subjective arguments in documents – examples are briefs, memoranda – which are used to support motions (requests for judicial action). The courts – through its judicial officers – relies on these collaborative documents for its decision-making. The production of legal documents is heavily dependent on the exercise of professional judgement. To ensure the adequacy of these judgements, the law firms and courts are organized so that these documents go through extensive and thorough review. Most archival attention is focused on published opinions and related documents. However, the publication rates range between 59%–93% in United States appeals courts (intermediate). The percentages are far lower in United States district courts. Legal work supports the interweaving of discussion with activities centered around documents in a group situation, such as marking up or reading through. These social processes surrounding the discussion of the document are vital, but it is equally critical that interacting with legal documents not disrupt this complex social interaction, or force participants to break away from any ongoing collaborative activity. Legal



documents also provide at-a-glance information so that people who are co present can discern the activities of others with respect to the document being discussed. Teams of reviewers (at many levels of a court, law firm or advocacy organization) can and do sit around desks arguing and discussing the documents in question, marking sections, pointing out parts, and exchanging pages in ways that reflect and support the local interaction processes.

Because of these interactions and collaborations – adequate archival processing of paper legal materials requires a sufficient archival encoded record (EAD / EAC) to capture the social dimensions of the records, but rules that ensure the process is as minimal and compact as possible (and free from the need for technical support and skills generally above that of a practitioner). The original use of the document helped their users to tell whether the person next to them was turning toward or away from the document, helped them to see approximately where in the document they were, and told them whether a colleague was flicking through pages, or is setting it aside. In part, it is the physicality of the paper medium and the ease with which it could be manipulated which gives a sense of the activities of others and helps the group coordinate and focus their discussion.

Of course the original interactions and its nuances are lost at the archival stages of a paper document' s continuum, but a good set of descriptive rules (DACS) and a strong commitment to ultra simple, micro descriptive techniques importantly restores a measure of the social networks involved. In collections with blended digital content, these paper documents can be displayed alongside audio and video recordings of the proceedings.

What makes court cases distinctive among records series is the fact that large swaths of civil legal subject matter can be expressed in class actions (where a discrete number

Christopher Felker

Page 4 of 17 | 2 August 2012

1 Table S-3 Judicial Business 2011 – Types of Opinions or Orders Filed in Cases Terminated on the Merits (2011) – Administrative Office of the United States Courts

of named plaintiffs, generally less than 100 represent a class of persons that can number in the many thousands). In cases involving certain subjects (even where they are not procedurally a true class action) invite the participation of numerous third parties – individuals, corporations and advocacy groups or associations.

#### **Civil cases invite multiple actual parties, and third parties**

Many controversies brought to the judiciary affect more than the immediate adversaries. Through judicial recognition and ingenuity and persistence, third parties find representation in the judicial process in two major ways: sponsorship (initiating, financing, and conducting) litigation and the submission of friends of the court (amicus curiae) briefs. Private interest groups, federal, state, local and municipal governments and their elected / appointed components – School Boards, City Councils also participate. Collection 0787, and our prospective collaborations with other institutions / repositories involve cases in school segregation and reapportionment, fair housing and education – each is among the most important and complex domestic issues of the past 50 years. These cases, and their associated judicial documents are among those most at risk of remaining hidden in the Federal Records Centers. There are implementation gaps and serious cost barriers associated with the Public Access to Court Electronic Records PACER – a United States government legal documentation system. As a result, there is the potential to lose archival opportunities in connection with perhaps as many as 300,000 court cases each year<sup>2</sup>.

UCLA' s collection has micro-descriptive EAC records for **79 school desegregation** cases (nature of suit code 440 and/or 448), 3 voting (nature of suit code 441), 1 equal employment (nature of suit code 442), **35 fair housing** cases (nature of suit code 443), **22 education cases** (nature of suit code 448). A review of other existing collections UCLA collections may produce additional examples of these (or other) case types. The official clearinghouse for civil rights litigations has acquired / coded **49 / 9 school desegregation cases** (nature of suit code 440 and/or 448), 13 / 11 voting (nature of

suit code 441), 2825 / 211 equal employment (nature of suit code 442), **124 / 0 fair housing cases** (nature of suit code 443), **26 / 1 education cases** (nature of suit code 448).

We propose using 2 cases, the Los Angeles school desegregation case (Crawford @ UCLA) and the San Francisco case (NAACP SF Branch) as starting points.

Christopher Felker

Page 5 of 17 | 2 August 2012

2 Approximately 10,000 cases per year in 2011 are classified in the aggregate as other statutory actions. The distinctive nature of suit codes relating to United States civil rights cases are 440 other civil rights 441 voting 442 employment 443 housing accommodations 444 welfare 445 disabilities employment 446 disabilities other 448 education. Where the case was not tried, the official court records are eligible for destruction subject to the review of an appointed independent expert committee who advises the Judicial Conference Committee on Court Administration and Case Management CACM (records subcommittee). The civil rights battlefields in public education has shifted away from remedying segregation to the preservation of affirmative action policies, especially in admissions practices and funding.  
3 Housed at the University of Michigan Law School; the repository collects documents and information from civil rights cases in specific case categories across the United States. It is available to scholars, teachers, students, policymakers, advocates, and the public, to allow greater understanding of civil rights litigation. It has a faculty director appointed within the Law School, it receives technical support from MPublishing, a component of the University of Michigan Libraries, current support from Washington University Saint Louis Law School, historical support during the first 5 years from Washington University's Center for Empirical Research in the Law, and government support from the National Science Foundation grant SES-0718831, for a project titled "The Litigation Process in Government-Initiated Discrimination Suits," which funded document acquisition and coding for employment cases initiated by the United States Equal Employment Opportunity Commission from 1997 to 2006 (post PACER implementation).

**A principle or rule established in a previous American legal case is either binding on or persuasive for a court or other tribunal when deciding subsequent cases with similar issues or facts.**

**Court records are distributed**

In the United States (and in the 54 independent nations which were former British colonies, the Commonwealth of Nations), parties litigate disputed questions of fact before a tribunal. The tribunal is completely passive. It does not conduct independent investigations. It cannot recognize, without the parties' assistance, all information contained in the evidence presented. Instead, it determines the appropriate legal sanctions to impose based solely on the information identified and presented by the parties. This is the archive dynamic: information presented in the past continues to inform the judiciary across the decades through the application of an Anglo American legal doctrine.

When a federal case is filed, it is held in the US district court for approximately 15 years. Thereafter, the case is transferred to one of the Federal Records Centers in **17 cities**. The National Archives charges the courts a storage fee for holding these documents: in 2010 the fee was \$6.2 million. In 2010, the **US Judicial Conference Committee on Court Administration and Case Management CACM**, estimated that half of the closed case files currently in storage at federal retention centers (for which storage fees are charged) would be immediately eligible for disposal under the existing retention schedule with the National Archives and Records Administration. We discovered from primary sources (persons on the CACM) that **all suit code 440: Civil Rights – Other (411,699 existing cases) were provided a permanent proposed disposition**. These case files document the national experience as well as citizens' rights and government accountability in the arena of civil rights. These records are held in the Federal Records Centers and to a lesser degree in archives and manuscript libraries, large and small. Persons looking to thoroughly research a case (or trying to assess the quantity of materials available) may need to search many different archives, following clues, hunches, and leads to find the records relevant to their topic (and it is likely that – based on the current state of archival description – many records will remain undiscovered). Staff at the National Archives and

Records Administration have been engaged with the policies and operating processes of US court records since 2011.

With UCLA's collection 0787, it is possible to envision creating an International Standard Authority Record for individual court cases, and linking that data to other repositories. However, this work would be easier if DACS standards were improved upon.

Christopher Felker

Page 6 of 17 | 2 August 2012

4 Herren, Omar. Records disposition authority NI-021-10-2. The appraisal read "a random selection of cases from eight different courts around the country was examined for this suit code. Cases involved a variety of police brutality issues, treatment of the disabled and children, prison conditions, home schooling, bilingual education, reverse discrimination, privacy rights, separation of church and state, abortion rights, political solicitation, and additional areas of conflict between the government and the citizen. Large proportions of cases terminated both before and after pre-trial were seen as historically significant either in themselves or as part of a totality of similar cases, because they document important trends and patterns in American social and cultural experience. Issues that were later assigned specific suit codes, such as disability access and voting, were first covered here; undoubtedly, there are additional civil rights developments currently being captured here that will later have their own codes. Many of these issues are related to policy shifts, including treatment of the mentally disabled and physically handicapped, the relationship between privacy and technology, church-state relations, discrimination against a variety of minorities and/or majority populations, minority education, prisoner housing, and similar interactions among population groups and between individuals and groups and the government at all levels. While a portion of these cases may be seen as routine, retention of all of the cases is the only feasible method of documenting the judicial process with regard to the broad range of statutes in this area of civil rights, their use and their effect." Documentation provided by Margo Schlanger, director Civil Rights Litigation Clearinghouse, University of Michigan Law School on 08 31 2012.

5 The NARA Record Groups are: RG 21 Records of the District Courts of the United States, RG 116 Records of the Administrative Office of the United States Courts, RG 123 Records of the United States Court of Claims, RG 172 Records of the United States Commerce Court, RG 205 Records of the Court of Claims Section, RG 267 Records of the Supreme Court of the United States, RG 276 Records of the United States Court of Appeals, RG 308 Records of the U.S. Tax Court, RG 321 Records of the U.S. Court of International Trade

6 Arian Ravanbakhsh, Electronic Records Policy Specialist

#### **United States district court (level 1)**

The case records of the U.S. circuit courts are organized into series according to the types of jurisdiction exercised by the courts. Each subset of case records contains case files and other jurisdictionally specific materials, including dockets, order and judgment books, and other documents related to that aspect of the courts' business. Case files contain the original papers submitted by the parties as well as other documents issued by the courts in those proceedings. Case files may also contain transcripts of testimony or exhibits introduced at trial, although the parties usually retained exhibits. Case files are arranged either chronologically by date of filing, numerically by case number, or in some cases, both chronologically and by case number. Case names and numbers can be found in docket books and related indexes. Within each case file, records may be organized in loose chronological fashion, by type of proceeding or document, or by some other method. The clerks' organizational schemes have been largely preserved in Record Group 21 at the various regional branches of the National Archives.

#### **Appeals court (level 2)**

The historical records of the twelve regional U.S. courts of appeals have been accessioned by the National Archives and Records Administration (NARA) and are deposited at its regional branches as part of Record Group 276. Newer records are located in the offices of the respective clerks of court, in the circuit libraries, or in one of the federal records centers. The records of the U.S. Court of Appeals for the Federal Circuit have not yet been accessioned by NARA. Once accessioned, these records will make up Record Group 504 at the National Archives in Washington, D.C. The records of the U.S. courts of appeals are made up of general and administrative records, as well as case materials.

Court of appeals case records generally consist of three types of records: (1) transcripts of the official record from the lower court or federal agency, including printed copies of the proceedings of the trial or hearing as well as copies of papers that were filed in the trial; (2) documents submitted to the court of appeals by the parties, including briefs, appendices, petitions, and answers; and (3) papers produced during the appellate proceedings, including stipulations, agreements, motions,

correspondence between the court and the parties, judgments, orders, decrees, mandates sent to district courts or received from the Supreme Court, and judicial opinions.

The organization of court of appeals case records varies significantly from court to court. Some clerks collected all of the various materials related to specific cases into "case files." Other courts filed the three types of case records listed above as distinct sets of records. Whether stored in integrated case files or by type of record, court of appeals case records are arranged by case number, which may be obtained from a court's alphabetically arranged indexes or docket.

Christopher Felker

Page 7 of 17 | 2 August 2012

7 Jonathan White. Guide to research in federal judicial history (2010). Federal Judicial Center Federal Judicial History Office at 36

Several courts of appeals separated matters related to the courts' original jurisdiction (such as the review of decisions by federal agencies or commissions, petitions for various writs or rehearings, and motions to vacate sentences or stay court orders) from the court's appellate jurisdiction records. Some courts also set apart materials from certain types.

### **Final appeals (level 3)**

The historical records of the Supreme Court make up Record Group 267 at the National Archives in Washington, D.C. Record Group 267 contains general records, case records, the records of the clerk, and the records of the marshal of the Supreme Court. Nontextual records, including sound recordings, are held at the National Archives at College Park, Maryland.

The Supreme Court's appellate case records consist of case files, indexes, opinions, copies of mandates sent to lower courts, and miscellaneous papers in undocketed cases.

Appellate case files contain transcripts of proceedings from lower courts, petitions for writs of error or certiorari, briefs, motions, orders, judgments, decrees, mandates, agreements, bonds, depositions, writs, and other papers. Appellate case files from 1792 to 1933 are arranged in one numerical sequence (case numbers 1-38,700).

Since 1934, appellate case files have been arranged by term and thereunder by case number.

The Supreme Court's appellate jurisdiction records include a numerically arranged collection of manuscript opinions and revised printed appellate opinions, including both majority and dissenting opinions. The National Archives published an Index to the Manuscript and Revised Printed Opinions of the Supreme Court of the United States in the National Archives, 1808-1873 (Washington, D.C.: The National Archives, 1965), which includes citations to both appellate and original jurisdiction cases.

### **Judicial collections (chambers papers)**

The preservation of a judge's personal papers and records establishes a foundation for historical studies that document the role of the federal judiciary in American life. The personal papers of a judge offer a perspective and a level of detail not available in the official records of the courts. Research collections based on judges' papers are often the most valuable source for illuminating the judicial process. A significant portion of the historical record of the federal courts is lost because there are few memoranda of understanding that provide for a systematic transition of these papers to archival repositories. The existing collections are highly distributed.

The chambers papers of a federal judge remain the private property of that judge or the judge's heirs, and it is the prerogative of the judge or the judge's heirs to determine the disposition of those papers. Neither federal statute nor the policies of the Judicial

Christopher Felker

Page 8 of 17 | 2 August 2012

8 Jonathan White. Guide to research in federal judicial history (2010). Federal Judicial Center Federal Judicial History Office at 38-42

9 Jonathan White. Guide to research in federal judicial history (2010). Federal Judicial Center Federal Judicial History Office at 43

Civil and human rights, environment,  
constitutional interpretation, energy,  
healthcare liability, insurance, financial

regulation and shareholder actions, consumer protection, fair housing, foreclosures, bankruptcies, education, labor, employment, international trade, immigration, public records are all legal subjects that frequently invite the participation of third parties (persons not directly involved in the main case, but who are affected by the outcomes).

Conference of the United States make any provision for the preservation of federal judges' papers. Judges' staffs or the clerks of court cannot determine where the papers go, and the National Archives cannot accept the collections as part of the records of the courts. There are no court funds available for the preservation of judges' papers, and the federal records centers do not provide temporary storage of judges' chambers papers<sup>10</sup>.

**Current DACS rules pertain to courts as institutions, but do not address the naming conventions of court cases. How can the social identities and networks of litigation participants be identified in archival records?**

The relationship between access to information and access to justice is at the heart of civil litigation. Private parties (and public agencies who litigate) have many available points of access to their information when they decide to file a lawsuit. Intellectually and historically the connections between these parties and their information sources are opaque. Lawyers can talk to their clients and other willing witnesses. Documents can be gathered. Specific rules or practices may sometimes limit the information needed before a formal lawsuit is brought. Many controversies brought to the judiciary affect more than the immediate adversaries.

Two ways by which third parties find representation in the judicial process are through the sponsorship (initiating, financing, and conducting) of litigation, and the filing of amicus curiae briefs.

In describing these cases then, we paid careful attention to bringing each of the parties unique identities into the record (at least within a non viewable metadata field).

**Description of social identities needs to be associated with itemized records**

If rendered in a consistent form and included in electronic indexes standardized metadata terms can 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 dealing with court cases 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 using less precise full-text searches<sup>11</sup>.

One of the archival principles on which DACS rests requires that, in processing legal collections, it is necessary to describe at an optimum level the court cases as well as the places these cases are adjudicated.

Christopher Felker

Page 9 of 17 | 2 August 2012

<sup>10</sup> See A Guide to the Preservation of Federal Judges' Papers Second Edition (2009), Federal Judicial History Office Federal Judicial Center at 1.

<sup>11</sup> DACS at xviii + xix

This fundamental principle is

**Principle 6: The principles of archival description apply equally to records created by corporate bodies, individuals, or families.**

**The documents that are the product of the functions and activities of organizations may differ in extent, arrangement, subject matter, etc., from those that result from the activities of individuals or families. While there may be valid reasons to distinguish between them in the workflow of a repository,**

**the principles of archival arrangement and description should be applied equally to materials created by individuals, families, or organizations.**

The most important function of any descriptive rule is the ability to create access points for researchers who will search an archival finding aid electronically<sup>12</sup>.

When using online finding aids, users prefer to find information quickly via search, rather than navigate the finding aid's hierarchy as archivists may have intended. In particular, a number of studies<sup>13</sup> show that many users prefer to find information immediately by using a search function rather than by navigating the finding aid's hierarchy. Because of "More Product, Less Process" imperatives in archival processing, realistically there will be only 1 opportunity in the processing of most collections to create a record that is useful for locating the social interactions.

Search engines such as Google produce results according to a type of statistical distribution where a high-frequency population is followed by a low-frequency population which gradually "tails off." This tail is often long, meaning that the total number of infrequently used keywords outnumbers the total of the top ten keywords.

We were particularly guided by Michelle Light's recommendation to provide only a level of description necessary to allow a user to reach within 3-4 feet of analog (container) materials based on search results<sup>14</sup>.

In practice that involved establishing a simple division (and physical grouping) of case documents into pleadings, then supplemental case information. Archival processors use DACS to construct titles for series, subseries, and folders. Until the methods for producing born digital finding aids improve, the existing DACS rules set needs to address an ability to record numbers of long tail, unique keywords (in a metadata repository field) while producing title name segments that won't distract a human (who probably won't read the title much anyway, having found records relevant to a more specific term that was the basis of their search strategy).

Christopher Felker

Page 10 of 17 | 2 August 2012

<sup>12</sup> O' English, Mark. "Applying Web Analytics to Online Finding Aids: Page Views, Pathways, and Learning about Users." *Journal Western Archives* volume 2.1 2011.

<sup>13</sup> Prom, Christopher J. "User Interactions with Electronic Finding Aids in a Controlled Setting." *American Archivist* 67.2 (2004): at 257-258. MetaPress. Web. 20 May 2009; Nimer, Cory. "What Do

You Mean It Doesn't Make Sense? Redesigning Finding Aids from the User's Perspective." *Journal of Archival Organization* 6.4 (2008): at 228. Informaworld. Web. 8 February 2008; Scheir, Wendy.

"First Entry: Report on a Qualitative Exploratory Study of Novice User Experience with Online Finding Aids." *Journal of Archival Organization*, 3.4 (2005): 49-85. Informaworld. Web. 27 March 2009.

<sup>14</sup> Light, Michelle. "EAD @ 10 The endangerment of trees," presentation to the California Archivists Conference 2008.

DACS, in its best form, will motivate processors to think carefully about the value of the description in an online environment before investing in the description itself.

**A descriptive rule should produce simple text**

Plain text (in software) means that any file will incorporate a sequence of characters with no extra typography that has to be interpreted by machines. The best method for entering plain text elements is to produce a string of characters using only a comma as a separator (comma separated values CSV). Adherence to relatively simple file format is widely supported by consumer, business, and scientific software applications. It also serves the archival common use of moving tabular data between programs that natively operate on incompatible (often proprietary and/or undocumented) formats.

Almost all software programs support some variation of CSV at least as an alternative import / export format.

Google Instant, the current state of the art search query tool reduces the length of text to produce an effect where a user reads an intended search string faster than they type, which saves time. Predictions help guide users searches, and those predictions avoid pronouns, prepositions, conjunctions, interjections and most adjectives.

At UCLA, we have incorporated this understanding into both strands of the court case naming rules.

**How we overcame a DACS deficiency**

Court cases (the papers filed by the parties for consideration by the Court (pleadings) and the related supplemental information (everything else, but particularly attorney work product, data, legal research, and out of court communications) touch 2 of the 6

primary categories of access points: A documentary forms, B functions + activities. These documents also touch on 5 DACS elements: Title Element (shared) (2.3) Extent Element (2.5), Scope and Content Element (3.1), Administrative/Biographical History Element (2.7, Chapter 10).

To work well as an access point, DACS asserts any terms associated with court cases should have these elements (though not necessarily in a simple inventory list without an associated metadata repository linked to those records).

We focused on the creation of metadata (a secondary DACS consideration). We based our construct on **ISO 25964 Thesauri and Interoperability with other vocabularies** and **ISO 11179-5 Information technology specification and standardization of data elements**.

This standard is slanted differently (towards machines rather than humans) than DACS. These standards favors the design of web pages that are machine readable as well as human readable, so that computers can query and connect web content automatically, thus improving our ability to exploit the information potential.

Christopher Felker

Page 11 of 17 | 2 August 2012

#### Arrangement of EAD / EAC metadata

##### smallest scale (container listing)

<unitid countrycode="us" label="docket number"> (federal cases)

<unitid countrycode="us.california" label="docket number"> (state cases)

<unittitle>National Association Advancement Colored People San Francisco (city) branch NAACP (+35 parties) against California Education Department CA ED (+24 parties): complaint</unittitle>

Identified plaintiff is first listed party

First names are not included

Party appears most frequently in procedural history lists (ex Lexis)

count number of parties total, these are enumerated in <odd>

substitute against for 'v.'

Identified government defendant is the largest administrative division

Identified corporate defendant is the largest administrative division

Identified person defendant is functionally described

For example 'Arnold Schwarzenegger' is California governor

<corpname encodinganalog="110" source="lcnaf">United States. District Court (California : Northern District)</corpname>

<address>

<addressline>37°46'52.94" N 122°25'04.62" W</addressline>

</address>

<unitdate type="pleading" normal="19880423">04 23 1988</date>

Christopher Felker

Page 12 of 17 | 2 August 2012

#### Arrangement of EAD / EAC metadata

##### intermediate scale (DACS primary description / finding aids)

<dsc type="court cases">

<c level="series">

<did>

<unitid>Series 1</unitid>

<unittitle>pleadings</unittitle>

</did>

<did>

<unitid>Series 2</unitid>

<unittitle>case file</unittitle>

</did>

<scopecontent>[...]</scopecontent>

<bioghist>[...]</bioghist>

</c>

This is where we stored all of the parties litigation identities, taking care to separate firstnames and last names and including occupational information with dates.

<odd>[...]</odd>

This is where we stored all of legal authorities which were the basis of the

parties claims.

<mandates>

<mandate>

<term>[...] <term>

<mandate>

<mandates>

Christopher Felker

Page 13 of 17 | 2 August 2012

### Some discussion about Global Legal Information Network GLIN (US Library of Congress) records

GLIN records use the base standard XML and are drafted using Resource Description Framework RDF specifications <sup>15</sup>. There are surprisingly few records available in GLIN – 7 judicial decisions dated 2006–2009. That suggests that the creation of these records is a very new phenomenon or has been discontinued because of resource constraints. We are mindful that over description can make processing a slow affair, and the method we used to create XML records (within Oxygen 14) relies on micro descriptive elements that are likely far less extensive than most users of DACS would agree are acceptable (DACS is aligned with Metadata Encoding and Transmission Standard METS headers).

We decided the GLIN adoption of the field ‘title’ was opaque (even in the same original case, parties often express the headers differently). We like the fact that our localized naming convention depends more on the frequency with which a party’s name appears in proprietary databases like LEXIS. Until social network and archival content query tools become more available, the Google ngram viewer is a useful free starting point to assess the usefulness of a term. The ‘Perry’ in the example record (**footnote 15**) refers to the Texas governor. We are convinced most researchers would be more inclined to seek out functional titles – who has sued the Texas governor (and why?) rather than proper names.

We liked the division of parties into plaintiffs and defendants. The use of the loan abbreviation et al – very common among legal practitioners – nevertheless obscures by collapsing the networked identities of the numerous parties. Moving forward, enumerating those parties in the EAD tag <odd> is the best mechanism for making sure those names are associated with actual records.

We thought it important – if for no other reason that existing archival workflows are extremely unsettled, in many cases relying on exports of columned data – that proper names be divided into separate ‘last name’ + ‘first name’ fields – with the proviso that in many pragmatic searches, the first name can be omitted where processing speed is a factor.

Christopher Felker

Page 14 of 17 | 2 August 2012

```
15 <rdf:RDF xmlns:rdf="http://www.w3.org/1999/02/22-rdf-syntax-ns#"
xmlns:dc="http://purl.org/dc/elements/1.1/"
xmlns:dcterms="http://purl.org/dc/terms/"
xmlns:skos="http://www.w3.org/2004/02/skos/core#"
xmlns:rdfs="c://rdf-schema#"
xmlns:glin="http://www.glin.gov/Ontology#">
<glin:JudicialDecision rdf:about="http://content.glin.gov/summary/186358">
<dc:identifier>186358</dc:identifier>
<dc:title>League of United Latin American Citizens v. Perry</dc:title>
<dcterms:coverage rdf:resource="http://content.glin.gov/jurisdiction#237" />
<dcterms:issued rdf:datatype="http://purl.org/dc/terms/W3CDTF">2006-06-28</dcterms:issued>
<glin:decisionNumber>05-204; 05-254; 05-276; 05-439</glin:decisionNumber>
<glin:court rdf:resource="http://content.glin.gov/court#1" />
<glin:plaintiffs>League of United Latin American Citizens, et al.; Travis County, Texas, et al.; Eddie Jackson, et al.; GI Forum of Texas, et
al.</glin:plaintiffs>
<glin:defendants>Rick Perry, Governor of Texas, et al.</glin:defendants>
<dcterms:modified rdf:datatype="http://purl.org/dc/terms/W3CDTF">2006-11-22T21:22:58Z</dcterms:modified>
<glin:publicationInfo rdf:parseType="Resource">
<glin:publication rdf:resource="http://content.glin.gov/publication#141" />
<dcterms:issued rdf:datatype="http://purl.org/dc/terms/W3CDTF">2006-06-28</dcterms:issued>
<glin:issueNumber>Volume 548 (forthcoming)</glin:issueNumber>
<glin:fullText rdf:resource="http://content.glin.gov/summary/186358/fullText/143539" />
</glin:publicationInfo>
</glin:JudicialDecision>
```

We also agree that the field ‘decision number’ is equivalent to a docket number – and



while meaningless to almost every researcher – this number is the best key for arranging all the records in a particular case.

On a secondary (2d link) – each GLIN summary record displayed permits users to download the RDF/XML copy. GLIN does not utilize a permanent URL schema, so that links may require significant maintenance if embedded in UC / OAC (or other) finding aids.

#### **Some discussion about Civil Rights Clearinghouse CRC (University of Michigan Law School) records**

CRC records have 6 segments: **case profile, issues + causes of action, case details, additional resources, documents** (dockets + general documents), **people** (judges, monitors / masters, lawyers (for each party)).

CRC records are presented in a XHTML format that is produced + maintained by The University of Michigan Library's MPublishing group. We are thankful to the clearinghouse director, Margo Schlanger for providing us access to the site, and for agreeing to work with UCLA in the future to provide links, and perhaps a distribution point for authority records.

Because it is tailored to specifically this class of record, the CRC site is a gold standard. In just 1 example of the many user oriented features – the CRC allows users to register and create a 'compartment' for storing records that are of particular interest. If coupled with Google Analytics – this compartment can prove to be an invaluable asset for collection development and management.

CRC adopts the combined court (in Bluebook format) + docket number as one key to finding case specific information. UCLA adopted the docket number identifier – we created 'humped' expressions where letters are in lower case, omitting all punctuation. The CRC also uses their own case identification scheme for example ED-CO-0001 to delineate the type of case (education), the state/territory (Colorado), and the number in the CRC sequence (first=0001). This enables them to gather social information, particularly among the attorneys and judges who are involved in dozens, if not hundreds of cases. We love this scheme – but the addition of another identifier, and the possible need to transform the scheme to different (smaller than states) administrative levels made us pause in adopting this, or a similar linking tag. Nevertheless, we will link back in the finding aid to these records (which are permalinked) using the Encoded Archival Context tag @xlink:href to designate absolute Uniform Resource Identifiers URI – to specify locators (URLs), names (URNs), or both.

We coded approximately 5% of the collection's folder level content with this enhanced EAC metadata as part of phase 1 of the Arcadia project.

The CRC segment **issues + causes of action** are within UCLA's scheme (at the intermediate level) under the EAC tag <mandates>.

Christopher Felker

Page 15 of 17 | 2 August 2012

The CRC segment **case profile**

(**summary**) is within UCLA's scheme (at the largest – collection / finding aid – level) under the EAD tag

<scopecontent>. We recognize the CRC's work by incorporating their summaries for the 11 cases that overlap with collection 0787, and we provide the CRC's preferred citation (based on the legal profession's Bluebook standard), for example Lauren Cutson. Case Summary 05 26 2005, Jackson v. Artisan (No. 88-C-64, E.D. Wis., July 19, 1990), available as document no. JCWI-0002-0001, at <http://>

[clearinghouse.net](http://clearinghouse.net).

Christopher Felker

Page 16 of 17 | 2 August 2012

The CRC segment **case details** is within UCLA' s scheme (at the intermediate level) under the EAD tag <bioghist>. Note here the concept of 'creator' (in a narrow archival sense) actually means the collective contributors to the digital + paper (analog) case file.

The CRC segment **people** is within UCLA' s scheme (at the largest - collection / finding aid - level) under the EAD tag <odd>.

We are mightily impressed with the CRC, and look forward to partnering with them in phase 2 of the Arcadia project (or in some other sustainable future capacity).

Christopher Felker  
Page 17 of 17 | 2 August 2012

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Gordon,

I think the revision is quite good overall, and has many valuable improvements. I have a few comments, listed below.

Thanks for the opportunity to comment,

Karen

Karen Spicher  
Archivist  
Beinecke Rare Book and Manuscript Library  
Yale University  
P.O. Box 208240  
New Haven, CT 06520-8240  
e-mail: [karen.spicher@yale.edu](mailto:karen.spicher@yale.edu)  
Tel: (203) 432-4205  
Fax: (203) 432-4047

Part I

2.3 Title Element

There are several remaining uses of "supplied" which should be changed to "devised."

Part II, Introduction to Describing creators

There is a reference to Part III, though Part III has been deleted:

“Consistency requires that the name of a creator be identical each time it is used as an access point in the descriptive system. ...Rules for achieving this consistency are provided in Part III.”

Part II, chapter 9

I think one of the challenges in creating an archival authority systems is developing procedures for deciding what names warrant the effort of detailed records. Many repositories will probably want to create detailed records for lesser-known names within their areas of specialization, while avoiding duplication of effort for names that are already well-documented in standard reference sources and biographies. One way that DACS could offer some guidance would be to use a lesser-known name, rather than Humphrey, as an example of an added value record. I think Humphrey would be a good example for using the “Related Archival Materials and Other Resources” element to point to existing biographical information. The commentary on this element should allow citations to printed sources in both electronic and print-based authority files.

Appendix B. Companion Standards

Should add the following DCRM manuals, which are in progress:

DCRM (Manuscripts) (This is especially important)

DCRM (Cartographic)

DCRM (Music)

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Gordon:

Kate Bowers is away on vacation so I’m submitting DACS comments (attached) from the Harvard archives and special collections community.

Regards,  
Robin

Robin McElheny

Associate University Archivist for Collections and Public Services

Harvard University Archives

Pusey Library

Cambridge, MA 02138

Email: [robin\\_mcelheny@harvard.edu](mailto:robin_mcelheny@harvard.edu)

Phone: 617-495-2461

Fax: 617-495-8011

Harvard University archives and manuscripts community questions and comments on the draft revision of DACS

Submitted to Gordon Daines on 9/13/2012

Summary of a meeting that took place Friday, August 17, 2012

**Participants:**

Kate Bowers                      Harvard University Archives

Robert Burton	Weissman Preservation Center
Johanna Carll	Schlesinger Library
Heather Christian	Countway Library
Suzanne Denison	Houghton Library
Alison Harris	Houghton Library
Virginia Hunt	Harvard University Archives
Ben Johnson	Baker Library Historical Collections
Robin McElheny	Harvard University Archives
Ashley Nary	Houghton Library
Emily Novak Gustainis	Countway Library
Fran O'Donnell	Divinity School Manuscripts and Archives
Jennifer Pelose	Harvard University Archives
Bonnie Salt	Houghton Library
Jessica Sedgwick	Countway Library
Linda Takata	Harvard Library Shared Services
Melanie Wisner	Houghton Library

## Comments/Questions

### Focus

Participants in the meeting expressed concerns regarding the lack of information about new descriptive standards, especially the DRCM suite of standards for rare and special materials and RDA. To this end, the suggestions in the “Potential New Material” section of the TS-DACS Annual Report (July 2011) would benefit the community, particularly guidance and examples of working with companion standards:

- Applying DACS to folders
- Applying DACS to electronic records
- Applying DACS to non-textual materials
- Working with DACS and companion standards

Additionally, DACS still has a pronounced document or narrative focus that seems out of synch with the rise of atomized data and metadata. New delivery and discovery environments for structured data are not served by the current document-centered rules (including systems that enable the automatic creation of finding aids from databases). For example, while direction on the creation of archival authority records indicates the form the authority record takes could be paper, or an Excel document, or a local database, etc., the example provided clearly implies the use of EAC-CPF, which, while still not atomizing all data in discrete fields, points to a linked data environment, as does RDA, and revisions to EAD (more data, less document). As description and the means of its delivery become ever more entwined, more guidance will be needed.

*Why adhere to a publication schedule? Could you wait until some of these standards gel, and then provide a document that would be more helpful to the community?*

*Can DACS address how our content should change in light of this new environment, for example, Princeton's recently released site ([findingaids.princeton.edu/](http://findingaids.princeton.edu/))?*

### **Description and Encoding Examples**

1. While recognizing that DACS-compliant description is output neutral, DACS2004 offered MARC and EAD examples, which helped users understand the relationship between the descriptive information they were generating and the way it worked with widely implemented data structure standards. MARC cataloging has changed with RDA implementation, and some guidance on (and examples of) this would be useful. Additionally, while we know EAD is currently being revised, encoded examples are still needed, and the section on Archival Authority Records could include examples of EAC-CPF encoding.
2. Messier examples are needed. Titles for hybrid collections, audiovisual collections, architectural records, and other formats should be included. It should also be overtly stated that formats used in titles should come from a controlled vocabulary (such as AAT).

Rule 7.1.8, for example, has a great list of note examples. Could the "Nature of the archival unit" rule be re-written using this model to include more "difficult" situations?

DACS needs to be more prescriptive and instructive; it shrinks from giving guidance, especially for messy situations, which is when you need your content standard most.

3. More examples from government and institutional archives are needed; examples are still very manuscript-heavy, and skewed towards academic institutions.

### **Structure (new "Part II")**

New discovery systems are likely to pull data both from descriptions and from records for corporate bodies, persons, and families. DACS could be more explicit about which parts of the standard are intended for descriptions of collections and which pertain to records for persons, corporate bodies, and families.

We are unclear as to the need for two separate sections on creating biographical and administrative histories. Regardless of having a formalized archival authority file or not, much of the descriptive content is the same in both the authority record and in the bio/admin narrative. Would it not make more sense to users to have one section on archival authority control and specify which pieces of the authority file should be used to generate the narrative found in the finding aid (since that is where we are going anyway)? This would make it easier for people to adopt EAC-CPF since pieces of the description could better map to the standard. *What is the role now for biographical and historical notes in collection descriptions? Are the references in Part I to Part II legacies of the old structure of DACS, or are they intended to indicate that collection descriptions rules are the same as rules for descriptions of corporations, persons, and families?*

### Other Things

Guidance/examples are provided for accruals/additions, weeded material, and talking about related and associated collections. There is no real descriptive guidance for talking about deaccessioned portions of a collection, notably in chapter 5, which addresses the appraisal process (particularly with regards to institutional records). Accession information and numbers have a “place” in DACS, but it might be helpful to have a descriptive area for record identifying numbers for deaccessions or internal transfers and related content that doesn’t easily map to the other rules.

### Tweaks

- There are places where "supplied" is still used instead of "devised."
- References between sections can be problematic. For example, "more information in Chapter 9 or Part II."
- There is a circular reference to and from 2.6. (You would think that determining the creator of the records would come before titling them unless completely unknown?)
- Are 2.7.8 and 2.7.9 giving guidance for both EAD and EAC in the same place? The solution may be one note in a finding aid, but the same data may exist in two separate entity records.
- Change "Kate Bowers" example to a real example (in 2.3.19).
- Example using the word materials for the nature of a collection is bad; "materials" is as bad as "miscellaneous!"

---

Gordon,

Just a few quick personal comments on the chapter 9 revision—

First, it would probably be better to provide a more complete added value level of description on page 126 (e.g., includes at a minimum a summary historical note).

Second, it would be helpful if definitions were provided for the different entities listed in this section either in the text, in a footnote, or in a glossary. I would recommend that the CNEDA entity definitions be adopted, which disallow the creation of headings for personas, bibliographic identities, and animals, but otherwise would not create significant divergence from library authority file structures. These are:

Person: "Individuo de la especie humana."

Family: "Dos o más personas relacionadas por matrimonio, nacimiento, adopción u otra situación jurídica similar, o bien por presentarse ellos mismos como una familia."

Corporate body: "Organización o grupo de personas identificado por un nombre propio y que actúa, o puede actuar, como una unidad, o bien un cargo institucional desempeñado por una persona."

This definition of corporate body in particular is the same as is found in ISAAR(CPF), and similar to that found in ISAD(G), DACS, and RAD.

Finally, I think that some statement about the purpose of variant name entries would be useful prior to 9.7. This might be something similar to the notes in AACR2 in 26.1B1 and 26.1A given below:

"26.1B1. 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."

"26.1A. ...In case of doubt as to whether to make a reference, make it."

One other small thing, the updated heading for Kent MacLean Haworth seems to have been cut out of the online draft in 9.6 and should be restored.

Thanks,

Cory Nimer  
Manuscripts Cataloger/Metadata Specialist  
Brigham Young University  
1108 HBLL  
(801) 422-6091

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Gordon,  
Attached please find combined comments from reviewers at the Library of Congress. Some of these were submitted previously by individuals, but these reflect discussions of the group who reviewed the draft.

Thanks,  
Mary

Mary Lacy  
Manuscript Division, Library of Congress  
202-707-8799  
[mlac@loc.gov](mailto:mlac@loc.gov)  
Comments on revisions to DACS  
Library of Congress comments compiled by Mary Lacy, Manuscript Division

General comments:

Reviewers were pleased overall with the content of the revision, and happy to see the new section on archival authority records and to see part III removed. Although understanding that the companion website will provide additional examples, reviewers regretted the loss of MARC and EAD encoding examples, as well as the full text examples found in the Appendix D (where sample EAC-CPF encoding would be a useful addition.) Reviewers were happy to note that changes in formulating titles are determined by the institution (no mandated move away from "papers".) Some of the copy-editing problems that were caught (occasional references to "supplied" rather than "devised", pp. 37-38) we know that TS-DACS is already aware of.

#### General Comments and Questions

- References to AACR2 should either be deleted or changed to "RDA or AACR2" (as is done in 2.6), given that RDA will be the predominant North American bibliographic content standard beginning in 2013.
- There is concern that description of digital material should not obscure the content of the material. While extent, for instance, must be expressed for the digital format, titles and other descriptions of content (such as sound recordings, moving images, maps) should not be obscured by describing them as electronic files.

#### Preface:

- We are assuming that the preface to the 2013 edition will be written after the other text is finalized. The remainder of the prefatory matter should be reviewed as well.

#### Introduction:

- Paragraph on Examples (p. 5) will need to be rewritten if most MARC and EAD examples have been removed, and to clarify when they appear; it looks like these occur only when the rule indicates that information can be given in text or in a code. EAC-CPF examples should be mentioned here as well.

#### Chapter1, Levels of Description:

- Second paragraph (new text): Given that the first sentence states that a finding aid can consist of either a single level of description or multiple levels of description, the third sentence is not quite logical. Can a finding aid combine both a single-level and multiple-levels of description? Would something similar to the following be slightly clearer (*if* it accurately conveys the intention of the second paragraph)?

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.

- Fourth paragraph (existing text): Copy editing issue. "Twenty-five" is spelled out in the first sentence of the fourth paragraph, but the number 25 is used in the first sentence of the sixth paragraph.

#### Requirements for Single-level Descriptions:



- The Scope and Content element is included in single-level minimum but also (described as an *additional* element) in single-level optimum description.

## Chapter 2, Identity Elements

### 2.3.4 and 2.3.5, Name Segment

- There is a discrepancy in the examples in that some of them include the Nature of the archival unit element (papers, records, etc.) but some do not. Although we understand that the name segment alone is discussed here, we believe that the examples would be clearer when the name segment isn't given alone (we believe that archivists can distinguish that not everything given in an example directly illustrates that text alone). See comments:  
Pg. 20. In the segment which has examples, beginning with "Graciany Miranda Archilla papers" - - shouldn't the two new examples have titles as well. They are just corporate names and don't match the other examples which incorporate names with their titles.

Pg. 21. Should the Bessye B. Bearden examples retain "papers" -- that example is mentioned later and it has "papers"

For examples:

Ray Charles oral history, National Visionary Leadership Project

(In our MARC cataloging we have the date element in the title)

Ray Charles oral history, 2002-10-16 : National Visionary Leadership Project

### 2.4 Date Element

- It is unclear in DACS whether providing a range of dates followed by the word "undated" (for one or more undated portions of the unit described) is acceptable. Guidance would be helpful. If additional guidance and examples regarding dates are planned for the accompanying website for DACS, that would address the problem.
- 2.4.4: Reviewers found the example (but not the rule) unclear

### 2.5 Extent Element

- The examples in 2.5.5 and 2.5.6 for "audio cassettes" should employ the more commonly used spelling, "audiocassettes". This is the form used in both RDA and AAT. If users of DACS were consulting either of these standards, as DACS recommends, "audio cassettes" would not be the form used in a description based primarily on DACS. If DACS prefers to use the equivalent term from AACR2 or the *IASA Cataloguing Rules*, "sound cassettes" would be appropriate. *Note:* Much as I still admire Marion Matters's *Oral History Cataloging Manual* (listed in Appendix B), it is no longer available from the SAA or Cataloger's Desktop. Should companion standards be listed that are no longer available?
- 2.5.10 and 2.5.11 are useful but might be more so if examples combining both size and type of electronic material were provided. Additional examples on the accompanying website would be helpful, e.g.:  
3 directories containing 48 pdf files

Approximately 275 digital image and audio files (12.4 GB) on 1 portable hard drive

95 audio files : digital, WAV files (96 kHz, 24 bit)

## 2.6 Name of Creator(s) Element

- 2.6.3 commentary, third sentence: Change “...recorded as access points” to “be recorded as access points”.
- 2.6.4: In addition to AACR2 and RDA, include ISAAR(CPF) in the list of rules for formulating standardized names.

## Chapter 9, Authority Records

- Page 124: heading "Definition" is misspelled
- Page 127, first sentence: Delete “with the”.
- If the archivist is to record a name in the authority record in accordance with, e.g., RDA or AACR2, what should be done when those standards conflict with the instructions in DACS chapter 9? Or is only the authorized name – the heading, i.e., that will be used in access points – to conform with RDA, AACR2, or other standard, while additional elements included in the authority record should comply with chapter 9?
- 9.8: Make this optional or clarify that variant names that have already been established according to other conventions should be given as variants, but that it is not required to establish such variants. It would be too much to expect archivists to establish names according to more than one standard.
- 9.14: How is “period of activity” to be stated? The examples show only the dates. We suggest amending the first example to "active 1841-1874" (RDA uses "active" to replace the old "fl.")
- 9.17: Still unhappy with the changes to family names, although this may be necessary in relation to RDA. Cataloger believes this will be detrimental to description/research.

---

Hi Gordon,

Took a while to get my head back in this, but I hope these comments make sense and are useful. I made a lot of comments on the PDF of the draft itself, and then tried to summarize and highlight the things I thought were most important in the attached Word document. This seems to be shaping up quite well, though I think there's some need for some fundamental discussions of issues like the square brackets, where I think this draft glossed over really important differences between the generic square bracket and those used based on bibliographic traditions. I also think the challenge of presentation of the new Part II will at some point be an important one to address. As it is now, with an uninterrupted, atomized presentation of 52 rules, it kind of boggles the mind :-)

Anyway, I admire the organizational work you've done to move this this far!

Cheers,

Bill

Bill Landis  
Head of Public Services

Manuscripts and Archives  
Yale University Library  
<http://www.library.yale.edu/mssa>  
[bill.landis@yale.edu](mailto:bill.landis@yale.edu)

DACS revision comments – Bill Landis

Generally, I think these edits represent a real improvement in the structure of DACS. I especially like slicing off Part III and freeing this archival content standard from its legacy of inclusion of selected rules from AACR2 for formulating names. Congrats on moving that forward.

I also think that you've done a nice job turning Part II into a data content standard for archival authority file records based on ISAAR(CPF) and aimed at encoding in EAC-CPF. Starting to bring these international content standards (ISAD & ISAAR) together for the benefit of archivists in the U.S. through DACS seems like a major step in the right direction.

I've made a lot of comments on the attached PDF of the draft that you released for comments. They represent my thoughts as I moved through the pages (and pages and pages ...) of the revision. I don't know how useful they'll be to TS-DACS. I'm going to try to summarize the major thrust of my comments below.

#### 1. General:

##### 1.1. Preamble parts

You may be waiting until you're farther along with this draft, but I hope TS-DACS will be updating the Preface, Acknowledgments, and Overview of Archival Description to make them specific to DACS 2013. I think it is important that you provide some grounding for why these changes were undertaken and address the scope of the revision as TS-DACS undertook it, especially at a broad level the things you chose not to address in this revision.

##### 1.2. Encoding examples at the end of each chapter in Part I.

I think it is a mistake to remove these. I know that you're moving fully encoded examples to the Standards Portal, which is a great thing. Nonetheless, removing element-specific examples of encoding in EAD and USMARC here forces people who don't really know those structure standards to wade through fully encoded examples elsewhere. I think element-specific examples serve a useful purpose at the end of each Part I chapter and that they should be updated and retained.

##### 1.3. Examples in Chapter 2.3.

Many of the new examples in Chapter 2.3 seem gratuitous to me. I actually think you've managed to make this chapter a laughing stock, frankly. The new examples do things that differ markedly from other examples without explanation. For example:

- 2.3.4, where existing examples include all segments of the supplied title, but the new ones do not, with no explanation about the difference. I think you perhaps underestimate the role of DACS in teaching. If you want the 2.3.4 examples to illustrate only the name segment, then you need to change all of them, I think.
- 2.3.6. It seems unuseful to identify the source of an example unless it helps to explain something about the example. In both of these examples that is not the case. Again, seems gratuitous and definitely introduces an inconsistency within examples in the chapter.
- 2.3.8. Rule is explicitly about personal names, so why would you use an example with a corporate name? And what does "additional records" mean? Additional to what? This is a

great instance of a gratuitous example that doesn't seem to illustrate any rule at all and, I'd argue, will just add confusion for users of DACS.

- 2.3.10. Another completely off-the-wall, gratuitous example IMHO. Grieg **family personal** archives? Isn't that a contradiction in very fundamental terminology?
- 2.3.12. AS long as 2.3.18 contains definitions limiting records to use with corporate bodies, this is just a plain old bad example. The upshot of lacing chapter 2.3 with these kinds of disembodied examples will be, I predict, complete confusion and inability to adequately teach the standard.

#### 1.4. New examples in 2.5 Extent.

Some of these use terminology quite sloppily, see comments on 2.5.10 and 2.5.11. Since DACS encourages use of thesauri for material types in Extent, I think you should probably look for a better term, for example, that "directories" and "digital files." Just because someone is using these someplace doesn't mean they're good examples of application of standards!

1.5. Element chapters throughout Part I. I like that you've chosen to indicate requiredness at the beginning of each element chapter, but I think your terminology needs to be consistent with that in Chapter 1 or it will cause confusion. Chapter 1 uses Minimum/Optimum/Added Value. You seem to be using Required/Optimum/Added Value. I'd suggest changing them one place or the other so that they're parallel. I have no objection to just going with Required. Everyone in DACS workshops seems to understand Minimum as Required anyway.

#### 1.6. Use of labels in the text of examples throughout Part II.

Awful! You need to do something graphically to indicate that the labels aren't part of the example of what should go into the data content based on the rule being illustrated. I'm not sure I get why you would even include textual labels, since encoding authority files in the 21<sup>st</sup> century seems to me to assume some kind of data capture in a data structure other than print.

Generally, I think the presentation of Chapter 9 needs some work. The number of rules is exhausting, and most archivists will have no referent for understanding this atomized view of the data content of an archival authority record. Is there any way to group them meaningfully and perhaps provide encoded examples of that chunk or grouping of rules? I'd hate to see the importance of finally having an ISAAR-based data content standard for archival authority data lost because of off-putting presentation.

## 2. Specific:

### 2.1. Introduction to Describing Archival Materials, p. 4 of PDF.

I think you're making a big mistake lumping the AACR-specified use of square brackets in with abbreviations and acronyms. Many, many archivists are and will continue to be confused by the very specific bibliographic usage of square brackets to indicate information not found on the chief source of information. I think in this introduction, since you've chosen to introduce square brackets, you need to explicitly mention that you mean square brackets as regular punctuation, like parentheses, and not the specific instance of square brackets as used by bibliographic catalogers to indicate that information did not come from the chief source of information. As one strategy, you could do this with a footnote referencing rule 2.3.3. In my comment on this page, I indicated a hopefulness that you'd address this distinction elsewhere, but you don't. I think you have to, given that DACS continues to be an educational as well as a standards document for the U.S. archival community. Also, see my comment on rule 2.4.16. DACS actually does explicitly provide some standards for usage of abbreviations!

2.2. Chapter 1. Levels of Description, p. 7 of PDF.

In your new introductory sentences, I think you need to footnote the discussion of levels in sections 1 and 2 of ISAD(G) to remind DACS users of the broader context of this discussion of levels in archival description.

2.3. Chapter 2.3. Title Element. Purpose and Scope, p. 19 of PDF.

I continue to be troubled by your decision to change *supplied* to *devised*, but if you're going to do that I think it is a huge cop out for you not to explain why, right here. It can be a footnote, but you absolutely must explain why you think it is important enough to reverse precedent set in ISAD(G) and nearly a decade of DACS education by changing this terminology in DACS 2013. The fact that you didn't explain it here makes me think you don't have a solid explanation, in which case I think you need to revisit your decision.

2.4. Rule 2.3.19. I actually think you've managed to water this rule down to the point where it is meaningless. I fully support, and think it is time, doing away with the papers/records/collection distinction from APPM/DACS 2004 and replacing it with a single term. I'd vote for the term records, modified when meaningful by adjectives like personal, business, financial. By adding the sentence "However, other terms are acceptable to describe an archival unit," you're essentially saying that there's just no need for this part of the content standard. I emphatically disagree, and I think you're going in absolutely the wrong direction here. We should be taking the end-user meaningfulness that we know is papers/records/collections and doing something constructive about it, not just saying, essentially, "anything goes."

2.5. Rule 2.4.4. This example doesn't really illustrate the rule it is attached to. These are not two types of dates as defined in the Purpose and Scope for this element. These are the date(s) of creation for two different versions of the same document. Its a good example, but not really relevant for this rule. I'm also not sold on the use of parentheses here and think it is misleading in terms of DACS without some explanation. Parentheses in DACS are typically used to enclose parallel information, as in the examples in 2.4.5. The date of the manuscript copy in this 2.4.4 example isn't parallel, it is a different version of the same document.

2.6. Rule 2.5.4. The example you've deleted is a legitimate way of recording extent at lower levels of description. I think the language of 2.5.4 needs to be tweaked to better accommodate the example rather than deleting the example. Something like "... physical extent as linear or cubic feet, number of items, number of containers or carriers, or specific container information." Without this, DACS really offers nothing in terms of a rule for expressing extent in a useful way at the file and item levels in a multilevel description. Since this is one of the required minimum elements, I think you'd be forcing archivists to add an extent statement at lower levels of description in addition to the box/folder listing, which seems unnecessary to me.

2.7. Rule 2.5.8. Some of your examples introduce things like labels (in this case, "Linear feet:") where the rule doesn't explicitly call for labels, nor should it. Labels are not content! EAD encoding has been fighting that battle successfully for over a decade and it would be a big mistake for DACS, either explicitly or tacitly (as here), to suggest otherwise. If you can't get the point of the rule across without adding labels, my hunch is that it's just a bad example.

2.8. Rule 2.6.6. I think you've copied the former Chapter 11 rules here, but one thing needs to be taken into account. Chapter 11 in DACS 2004 was explicitly about creating Name of Creator(s) in authority systems, but now that you've moved these into Part I that is no longer an assumption.

You're decision to include a textual label as part of the data content for this element is, I think, ill advised. You seem to be doing it because you've copied this rule over verbatim from Chapter 11 without analyzing whether or not it is still relevant. I don't really think it is. I also think you wouldn't need this encoding here if you retained a few examples of element-specific encoding at the end of each chapter.

2.9. Part II, p. 102.

Your title here doesn't match that given for Part II in the Table of Contents. Whatever version you choose, it should also match that of the Introduction to ... on page 104.

2.10. Introduction to Describing Creators, pages 104-107.

I think you have to be really consistent in describing and cross-referencing what you've done with former chapters 9 & 10. This will likely be the most confusing thing about DACS 2013, so the more hand-holding and referencing you do in your text, the better off DACS users will be in their transition from 2004 to 2013.

2.11. Rule 9.5, p. 127.

I'm not sure we should use "disambiguation" as the benchmark for providing fuller forms of names in the Authorized Form of Name. Disambiguation is very much a bibliographic authority construct. DACS 2004, in rule 12.18, gives archivists license to go beyond bibliographic traditions and rules in establishing authorized forms of names according to archival principles. Unless there's a good ISAAR(CPF)-based reason to change this and return to the bibliographic principle of disambiguation here, I think it is a mistake to do so. You really need to capture the spirit of rule 12.18 in DACS 2004 here, since that was one rule that was unique to archival content standards and did not come from AACR2.

2.12. Rules for Historical Summary (9.18-9.29).

Without pouring over them in detail, these seem very different to me than the rules in 2.7, and the examples are very different as well. I'm not sure I understand why, if as you claim this part of Chapter 9 and Chapter 2.7 provide different ways of doing the same thing 1) in the description or 2) in a separate authority system, there's any difference at all in the rules or the examples in terms of data content? Maybe having much more similarity would reinforce the common nature of the activity of describing creators, regardless of whether the description ends up in a finding aid or an authority record. In fact, you'd do everyone a real service in terms of comprehension of what's going on if you explicitly crosswalked the rules in chapter 2.6 and 2.7 to the relevant parts of chapter 9!

2.13. Table C3, p. 225-226.

You'll redo the crosswalk between ISAAR(CPF) AND DACS 2013, right? And perhaps add in a crosswalk to EAD-CPF? And some of the other DACS 2004 crosswalks where the DACS numbering has changed in DACS 2013?

---

Hi Gordon,

Here are a few comments from the Georgia Tech Archives re: the revision of DACS. I hope you find them useful. Please let me know if you have any questions.

Thanks and sincerely,

Christine

--

Christine D. de Catanzaro, Ph.D., M.L.I.S.  
Access Archivist  
Subject Librarian - Music

Georgia Tech Archives  
Library and Information Center  
704 Cherry Street  
Atlanta, GA 30332-0900

Phone: 404-385-0107  
Fax: 404-894-9421

E-mail: [decatanzaro@gatech.edu](mailto:decatanzaro@gatech.edu)

### **Comments - DACS Revisions**

Georgia Tech Archives  
September 2012

#### **Chapter 1**

-pp. 9-10: There is an inconsistency now between “Single-level minimum” and “Single-level optimum.” Originally, with the note included, the single-level minimum would include an abstract, while the single-level optimum would include a fuller scope and content note (at least, that’s how we interpreted it). Now, without the note, it’s confusing.

#### **Chapters 2-7**

-We really like the addition of the words “Required” “Optimal” and “Added Value” to the elements.

-We think that the section on the Administrative/Biographical History is much clearer now with the additions of headings.

#### **Chapter 9**

-We like the fact that this chapter is bringing DACS into line with the EAC-CPF standard. This will be of particular help when we formally adopt EAC at our Archives.

-We miss the rules for forming personal names and corporate bodies. we always treated those rules as a kind of précis of AACR2. Since RDA will be published soon, it will be an **adjustment. We can see why the decision was made to omit the rules as well. But we’d** like to see a similar section/précis of RDA in the new DACS.

DESCRIBING  
**ARCHIVES**

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*A Content Standard*



Chicago



THE SOCIETY OF AMERICAN ARCHIVISTS  
www.archivists.org

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# Contents

Preface	v
Acknowledgements	ix
Statement of Principles	xi
Overview of Archival Description	xvii

## Part I—Describing Archival Materials

Introduction to Describing Archival Materials	3
1. Levels of Description	7
2. Identity Elements	
2.1 Reference Code	13
2.2 Name and Location of Repository	16
2.3 Title	17
2.4 Date	24
2.5 Extent	29
2.6 Name of Creator(s)	33
2.7 Administrative/Biographical History	34
3. Content and Structure Elements	
3.1 Scope and Content	35
3.2 System of Arrangement	40
4. Conditions of Access and Use Elements	
4.1 Conditions Governing Access	43
4.2 Physical Access	46
4.3 Technical Access	48
4.4 Conditions Governing Reproduction and Use	50
4.5 Languages and Scripts of the Material	54
4.6 Finding Aids	56
5. Acquisition and Appraisal Elements	
5.1 Custodial History	59
5.2 Immediate Source of Acquisition	61
5.3 Appraisal, Destruction, and Scheduling Information	63
5.4 Accruals	66

6.	Related Materials Elements	
6.1	Existence and Location of Originals	69
6.2	Existence and Location of Copies	71
6.3	Related Archival Materials	73
6.4	Publication Note	75
7.	Note Elements	77
8.	Description Control Elements	81

## Part II—Describing Creators

	Introduction to Describing Creators	85
<del>9.</del>	<del>Identifying Creators</del>	<del>89</del>
<del>10.</del>	<del>Administrative/Biographical History</del>	<del>93</del>
<del>11.</del>	<del>Authority Records</del>	<del>105</del>

## Part III—Forms of Names

	Introduction to Forms of Names	117
<del>12.</del>	<del>Form of Names for Persons and Families</del>	<del>119</del>
<del>13.</del>	<del>Form of Geographic Names</del>	<del>153</del>
<del>14.</del>	<del>Form of Names for Corporate Bodies</del>	<del>159</del>

## Appendices

<del>A.</del>	<del>Glossary</del>	<del>201</del>
B.	Companion Standards	209
C.	Crosswalks	213
<del>D.</del>	<del>Full EAD and MARC 21 Examples</del>	<del>225</del>

	Index	271
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## Preface

*Archives, Personal Papers, and Manuscripts*<sup>1</sup> 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))*<sup>2</sup> and the *International Standard Archival Authority Record for Corporate Bodies, Persons, and Families (ISAAR (CPF))*,<sup>3</sup> 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)*,<sup>4</sup> accommodate all the data elements of *ISAD(G)* and *ISAAR (CPF)*, and be applicable to all types of archival descriptions. To do this, eight Canadian

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

<sup>2</sup> ICA Committee on Descriptive Standards, *ISAD(G): General International Standard Archival Description*, 2<sup>nd</sup> ed. (Ottawa: International Council on Archives, 1999). Available online at <[http://www.ica.org/biblio/cds/isad\\_g\\_2e.pdf](http://www.ica.org/biblio/cds/isad_g_2e.pdf)>.

<sup>3</sup> 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](http://www.ica.org/biblio/isaar_eng.pdf)>.

<sup>4</sup> *Rules for Archival Description* (Ottawa, Bureau of Canadian Archivists, 1990). Available online at <<http://www.cdncouncilarchives.ca/archdescrules.html>>.

archivists, seven U.S. archivists, and the project manager<sup>5</sup> 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 (RAD2)*, 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 *Anglo-American Cataloguing Rules (AACR2)* 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.

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

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<sup>5</sup> The group comprised the members of the Canadian Committee on Archival Description (CCAD)—Hélène Cadieux, Tim Hutchinson, Bob Krawczyk, Lucie Pagé, Mario Robert, Gerald Stone, Marlene van Ballegoie, 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.

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*<sup>6</sup> 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 nature translates into descriptive tools. The statement forms the underpinnings of the rules themselves.

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<sup>6</sup> *Anglo-American Cataloging Rules*, 2<sup>nd</sup> ed., 2002 revision (Chicago: American Library Association; Ottawa: Canadian Library Association; London: Chartered Institute of Library and Information Professionals, 2002).

## **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.

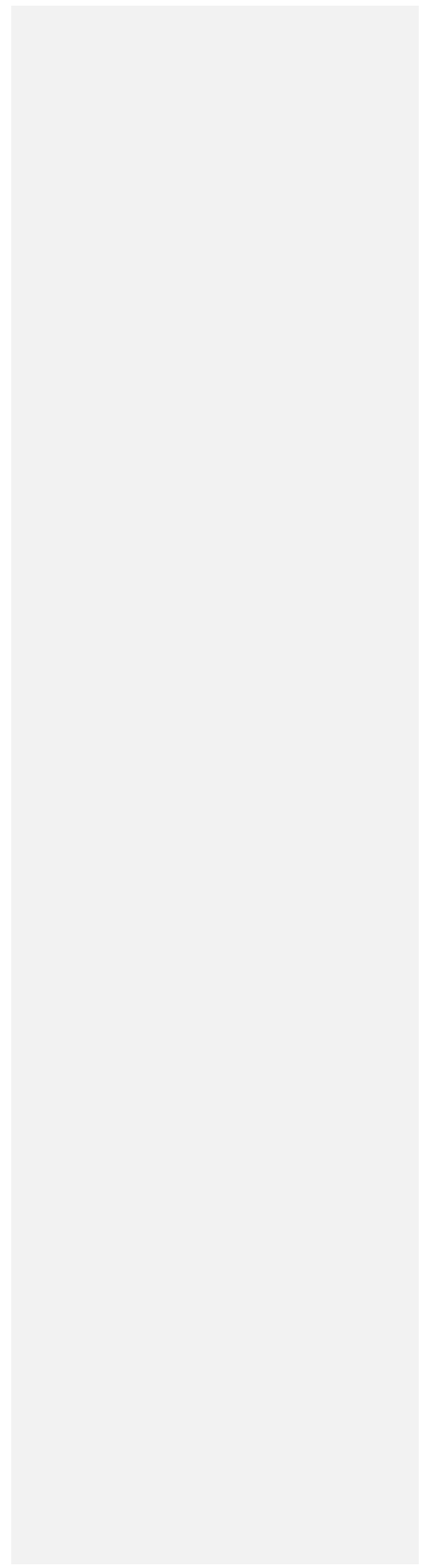
KRIS KIESLING  
*Co-chair, CUSTARD Project Steering Committee*

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# Statement of Principles

The following statement of principles forms the basis for the rules in this standard. It is a recapitulation of generally accepted archival principles as derived from theoretical works and a variety of other sources. These include earlier statements about description and descriptive standards found in the reports of working groups commissioned to investigate aspects of archival description,<sup>7</sup> national rules for description,<sup>8</sup> and statements of the ICA Committee on Descriptive Standards.<sup>9</sup> In recognizing the disparate nature of archival holdings, the statement is also grounded in accepted professional practice in the United States.

Holdings of archival repositories represent every possible type of material acquired from a wide variety of sources. How archives manage and describe their holdings is rooted in the nature of the materials, the context of their creation, and 200 years of archival theory. Archival descriptive practices have increasingly been applied to all of the materials held by archives regardless of their provenance or method of acquisition. These principles examine the nature of archival materials and their context, and reflect how those aspects are made apparent in description.

## The Nature of Archival Holdings

Archival collections are the natural result of the activities of individuals and organizations and serve as the recorded memory thereof. This distinctive relationship between records and the activities that generated them differentiates archives from other documentary resources.

### Principle 1: Records in archives possess unique characteristics.

Archival materials have traditionally been understood to consist of the documents organically created, accumulated, and/or used by a person or organization in the course of the conduct of affairs and preserved because of their continuing value. They most often consist of aggregations of documents (largely unpublished) and are managed as such, though archival institutions frequently hold discrete items that must also be treated

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<sup>7</sup> Working Group on Standards for Archival Description, "Archival Description Standards: Establishing a Process for their Development and Implementation," *American Archivist* 52, no. 4 (Fall 1989) (hereinafter cited as WGSAD Report), 440–43; *Toward Descriptive Standards: Report and Recommendations of the Canadian Working Group on Archival Descriptive Standards* (Ottawa: Bureau of Canadian Archivists, 1985), 6–9, 55–59, 63–64; Wendy M. Duff and Kent M. Haworth, "Advancing Archival Description: A Model for Rationalizing North American Descriptive Standards," *Archives and Manuscripts* 25, no. 2 (1997) (hereinafter cited as the Bentley Report), 198–99, 203–4.

<sup>8</sup> *Rules for Archival Description* (Ottawa, Bureau of Canadian Archivists, 1990), xi–xvi, rules 0.1, 0.2, 0.22, 1.0A1, 1.0A2 (hereinafter cited as *RAD*); Steven Hensen, comp., *Archives, Personal Papers, and Manuscripts*, 2<sup>nd</sup> ed. (Chicago: Society of American Archivists, 1989), rules 0.3, 0.9, 0.10, 0.12, 1.0A (hereinafter cited as *APPM*).

<sup>9</sup> ICA Statement of Principles, 8–16; ICA Committee on Descriptive Standards, *ISAD(G) : General International Standard Archival Description*, 2<sup>nd</sup> ed. (Ottawa: International Council on Archives, 1999), 7–12 (hereinafter cited as *ISAD(G)*).

consistently within the institution's descriptive system. In the course of their regular activities, individuals, archival repositories, and other institutions may also consciously acquire and assemble records that do not share a common provenance or origin but that reflect some common characteristic, such as a particular subject, theme, or form. Such collections are part of the holdings in most institutions and must be described in a way that is consistent with the rest of the holdings. All of these materials may be described using this standard.

**Principle 2:** The principle of *respect des fonds* is the basis of archival arrangement and description.

The records created, assembled, accumulated, and/or maintained and used by an organization or individual must be kept together (i.e., identified as belonging to the same aggregation) in their original order, if such order exists or has been maintained. They ought not be mixed or combined with the records of another individual or corporate body. This dictum is the natural and logical consequence of the organic nature of archival materials.<sup>10</sup> Inherent in the overarching principle of *respect des fonds* are two sub-principles—provenance and original order. The principle of provenance means that the records that were created, assembled, accumulated, and/or maintained by an organization or individual must be represented together, distinguishable from the records of any other organization or individual. The principle of original order means that the order of the records that was established by the creator should be maintained by physical and/or intellectual means whenever possible to preserve existing relationships between the documents and the evidential value inherent in their order. Together, these principles form the basis of archival arrangement and description.

In the context of this standard, the principle of provenance requires further elaboration. The statement that the records of one creator must be represented together does not mean that it is necessary (or even possible) to keep the records of one creator physically together. It does, however, mean that the provenance of the records must be clearly reflected in the description, that the description must enable retrieval by provenance, and that a descriptive system must be capable of representing together all the records of a single creator held by a single repository.

### The Relationship between Arrangement and Description

If the archival functions of arrangement and description are based on the principle of *respect des fonds*, what is the relationship between arrangement and description? While the two are intimately intertwined, it is possible to distinguish between them in the following way. *Arrangement* is the intellectual and/or physical processes of organizing documents in accordance with accepted archival principles, as well as the results of these processes. *Description* is the creation of an accurate representation of the archival material by the process of capturing, collating, analyzing, and organizing information that

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<sup>10</sup> S. Muller, J.A. Feith, and R. Fruin. *Manual for the arrangement and description of archives*. Translation of the second edition. Chicago, Society of American Archivists, 2002, p19. "An archival collection is an organic whole."

serves to identify archival material and to explain the context and records systems that produced it, as well as the results of these processes.

**Principle 3: Arrangement involves the identification of groupings within the material.**

Arrangement is the process of identifying the logical groupings of materials within the whole as they were established by the creator, of constructing a new organization when the original ordering has been lost, or of establishing an order when one never existed. The archivist then identifies further sub-groupings within each unit down to the level of granularity that is feasible or desirable, even to the individual item. This process creates hierarchical groupings of material, with each step in the hierarchy described as a level. By custom, archivists have assigned names to some, but not all, levels of arrangement. The most commonly identified are collection, record group, series, file (or filing unit), and item. A large or complex body of material may have many more levels. The archivist must determine for practical reasons which groupings will be treated as a unit for purposes of description. These may be defined as the entire corpus of material of the creator (papers, records, or collection), a convenient administrative grouping (record and manuscript groups), or a reflection of administrative record-keeping systems (series and filing units).

**Principle 4: Description reflects arrangement.**

Archival repositories must be able to describe holdings ranging from thousands of linear feet to a single item. The amount of description and level of detail will depend on the importance of the material, management needs and resources of the repository, and access requirements of the users. That being the case, an archival description may consist of a multilevel structure that begins with a description of the whole and proceeds through increasingly more detailed descriptions of the parts, or it may consist only of a description of the whole. Within a given body of material, the repository may choose to describe some parts at a greater level of detail than others. A single item may be described in minute detail, whether or not it is part of a larger body of material.

## **The Nature of Archival Description**

Archival holdings are varied in their nature and provenance, and archival description reflects this fact. If archival materials are to be described consistently within an institutional, regional, or national descriptive system, the rules must apply to a variety of forms and media created by, and acquired from, a variety of sources.

**Principle 5: The rules of description apply to all archival materials regardless of form or medium.**

It is acknowledged that archival materials come in a variety of forms and media, and rules for archival description must therefore accommodate all forms and media (and the relationships between them). Inherent in the principle of provenance—that the records created, assembled, accumulated, and/or maintained and used by an organization or individual must be kept together—is the assumption that no records are excluded from the description because of their particular form or medium. Different media of course

require different rules to describe their particular characteristics; for example, sound recordings may require some indication of playing speed, and photographs may require some indication of polarity and color.

**Principle 6:** The principles of archival description apply equally to records created by corporate bodies, individuals, or families.

The documents that are the product of the functions and activities of organizations may differ in extent, arrangement, subject matter, etc., from those that result from the activities of individuals or families. While there may be valid reasons to distinguish between them in the workflow of a repository, the principles of archival arrangement and description should be applied equally to materials created by individuals, families, or organizations.

**Principle 7:** Archival descriptions may be presented at varying levels of detail to produce a variety of outputs.

The nature and origins of a body of archival materials may be summarized in their entirety in a single collective description. However, the extent and complexity of archival materials may require a more detailed description of their various components as well. The resulting technique of multilevel description is "the preparation of descriptions that are related to one another in a part-to-whole relationship and that need complete identification of both parts and the comprehensive whole in multiple descriptive records."<sup>11</sup> This requires some elucidation regarding the order in which such information is presented and the relationships between description(s) of the parts and the description of the whole.<sup>12</sup>

**Principle 7.1:** Levels of description correspond to levels of arrangement.

The levels of arrangement determine the levels of description. However, because not all levels of arrangement are required or possible in all cases, it follows that not all levels of description are required. It is understood that description is an iterative and dynamic process; that is, descriptive information is recorded, reused, and enhanced at many stages in the management of archival holdings. For example, basic information is recorded when incoming material is accessioned, well before the material is arranged.

Furthermore, arrangement can change, particularly when a repository receives regular accruals of records from an ongoing organization. In that situation, the arrangement will not be complete until the organization ceases to exist. Thus, it is more appropriate to say that description reflects the current state of arrangement (whatever that may be) and can (and does) change as a result of further arrangement activities.<sup>13</sup>

**Principle 7.2:** Relationships between levels of description must be clearly indicated.

While the actual work of arrangement and description can proceed in any order that makes sense to the archivist, a descriptive system must be able to represent and maintain the relationships among the various parts of the hierarchy. Depending on the point at

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<sup>11</sup> *RAD*, p. D-5.

<sup>12</sup> The rules for multilevel description are found in *RAD*, rule 1.0A2 and in *ISAD(G)*, 12.

<sup>13</sup> *ISAD(G)*, Statement I-3, p. 7.

which the descriptive system is entered, an end user must be able to navigate to higher or lower levels of description.

**Principle 7.3: Information provided at each level of description must be appropriate to that level.**

When a multilevel description is created, the information provided at each level of description must be relevant to the material being described at that level. This means that it is inappropriate to provide detailed information about the contents of files in a description of a higher level. Similarly, archivists should provide administrative or biographical information appropriate to the materials being described at a given level (e.g., a series). This principle also implies that it is undesirable to repeat information recorded at higher levels of description. Information that is common to the component parts should be provided at the highest appropriate level.

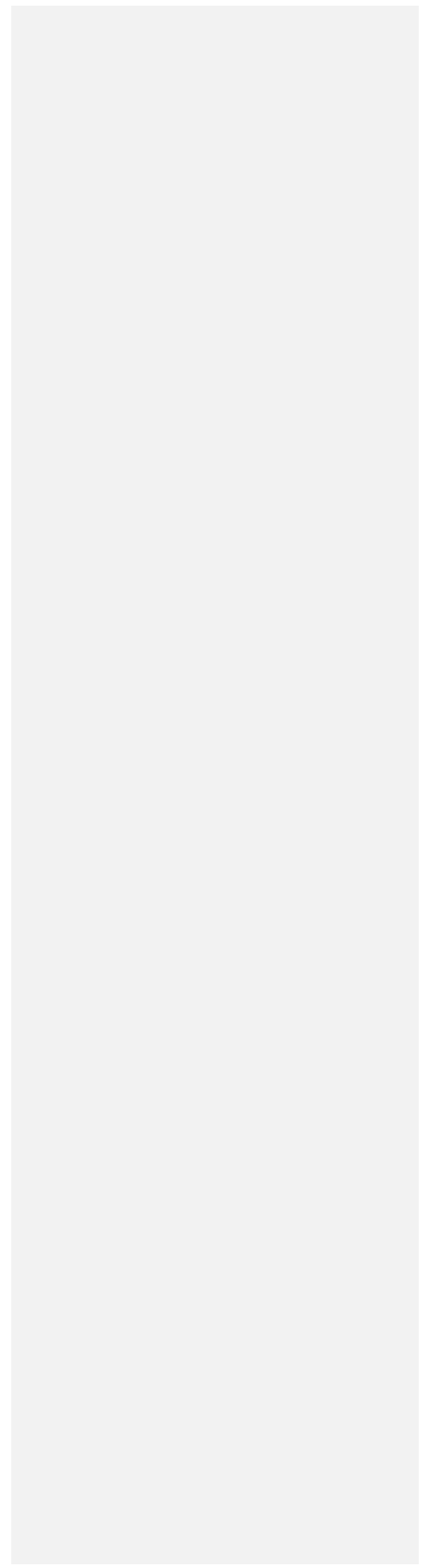
### **The Creators of Archival Material**

An important aspect of understanding archival materials is the description of the context in which they were created.

**Principle 8: The creators of archival materials, as well as the materials themselves, must be described.**

Since the principle of provenance is fundamental to the arrangement and description of archival materials, it follows that the provenance, or the creator(s), of archival materials must be described as well. Except in cases where the creator or collector is truly unknown, this means that the creator or collector of the materials must be identified and included in (or linked to) the description of the materials. Moreover, the functions or activities of the creator(s) that produced the archival materials must be described.

Finally, standardized access points must be provided that indicate not just the primary creator but also the relationships between successive creators, for example, the parts of a corporate body that has undergone reorganization(s). *DACS* includes rules for providing all of this information in a consistent way. The repository as collector does not need to be described.



# 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* in order to construct a robust system of access. This section describes their roles 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.<sup>14</sup> 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. The archivist 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—the 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.<sup>15</sup>

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

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<sup>14</sup> See Appendix A for definitions of various access tools.

<sup>15</sup> See *MARC 21 Format for Bibliographic Data: Including Guidelines for Content Designation*. Prepared by the Network Development and MARC Standards Office, Library of Congress, in cooperation with Standards and Support, National Library of Canada. Washington, DC: Library of Congress, Cataloging Distribution Service, 1999; 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.



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 *EAD Tag Library*.

## 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, the archivist is instructed in section 3.1 of *DACS* 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*.<sup>16</sup> 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.

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<sup>16</sup> The *Library of Congress Authorities* online resource combines the *Library of Congress Name Authority File* (LCNAF) and the *Library of Congress Subject Headings* (LCSH).

Access points fall into six broad categories:

- Names
- Places
- 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, or will be recorded following the rules in Part III.

### 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, Chapter 9)
- Title Element (2.3)
- Scope and Content Element (3.1)
- Administrative/Biographical History Element (2.7, Chapter 10)
- 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.

Part III provides directions on how to render these personal, family, and corporate names in a standardized form. The *Library of Congress Authorities* database should be consulted first to determine whether or not a standardized form of name for a given individual or organization has already been established.

### 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, Chapter 9)
- Title Element (2.3)
- Scope and Content Element (3.1)
- Administrative/Biographical History Element (2.7, Chapter 10)

Guidance on the formation of geographic names in general is found in Chapter 13 of *DACS*. The form of name for many places has already been established in the *Library of Congress Authorities* database. Another general purpose source is the *Getty Thesaurus of Geographic Names*. For places in the United States not found in these sources, archivists should consult the U.S. Board on Geographic Names *Gazetteer of the United States of America*. For places outside the United States that are not included in the Library of Congress or Getty lists, consult the GEOnet Names Server (GNS).

### 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, Chapter 10)

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, 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 *Thesaurus for Graphic Materials II: Genre and Physical Characteristics Terms*, 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, Chapter 10)

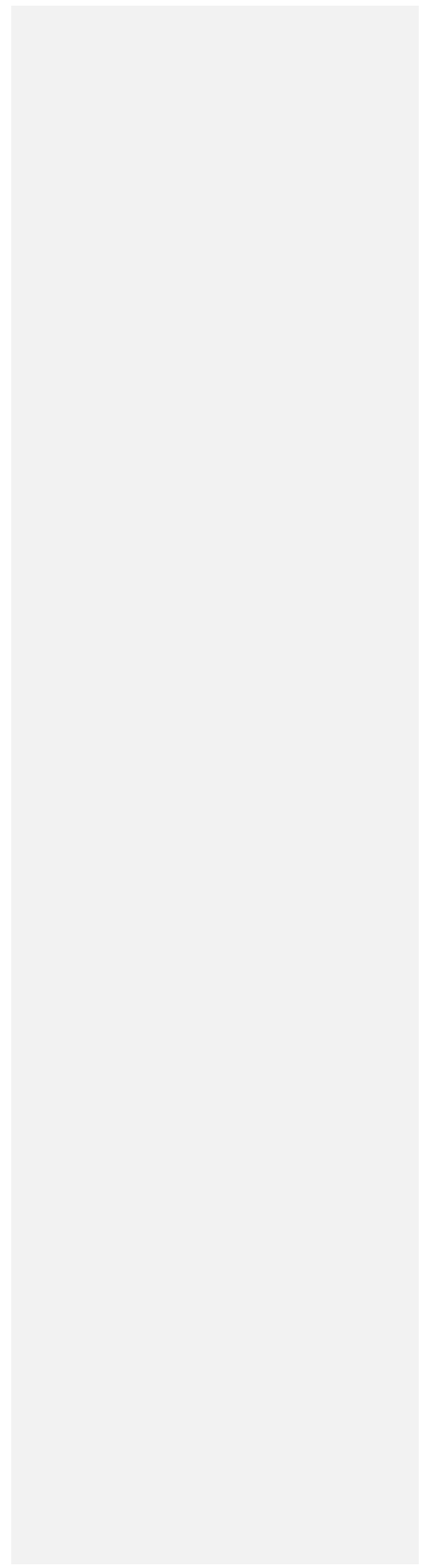
Again, the *Library of Congress Authorities* is a widely used source of terms noting occupations and avocations. The U.S. Department of Labor's *Dictionary of Occupational Titles* provides a structured enumeration of job titles.

### 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:

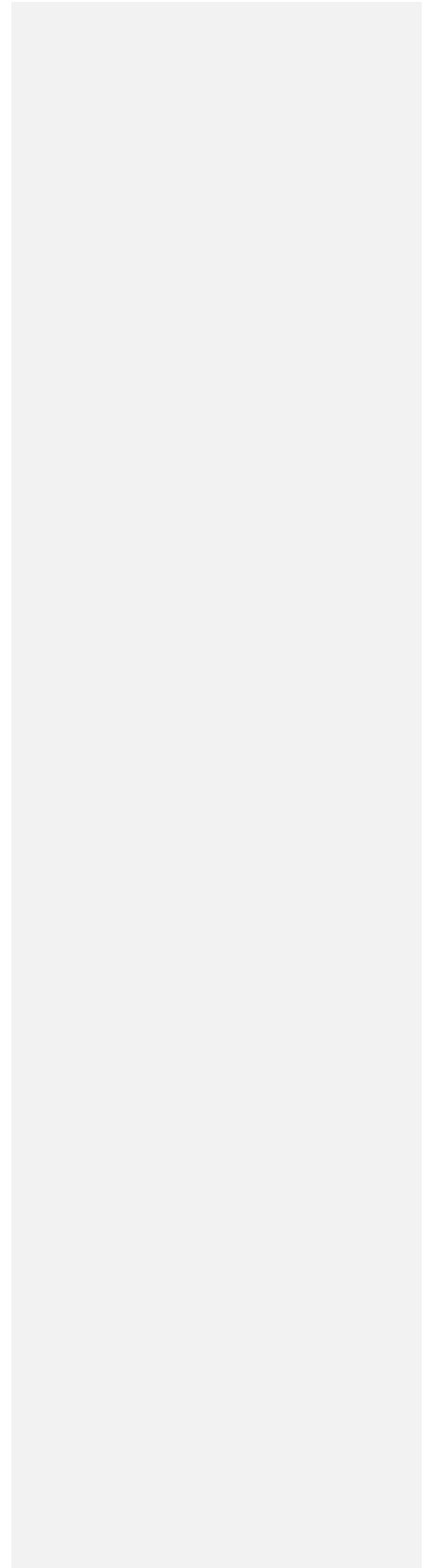
- Title Element (2.3)
- Scope and Content Element (3.1)
- Administrative/Biographical History Element (2.7, Chapter 10)

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



**PART I**

# **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. Where more detailed guidance is required, archivists are referred to Appendix B, which lists 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 supply 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 such as square brackets, abbreviations, acronyms, etc. *DACS* does not prescribe standards for such usages. However, it is recommended that internal consistency be maintained and that abbreviations and acronyms 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, etc. 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.

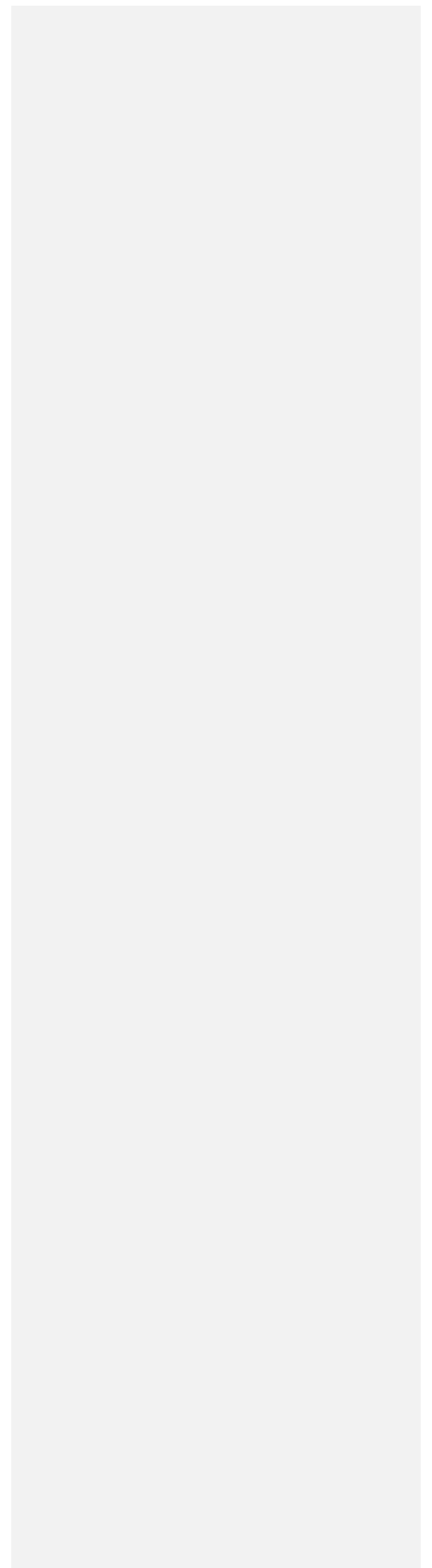
## Examples

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.

While the rules themselves are output neutral, examples are encoded in EAD and MARC 21, two widely used output mechanisms for archival descriptions, at the end of each chapter or section in Part I. The EAD examples frequently include attributes within elements. These are intended to illustrate aspects of the rules, and do not indicate that a specific attribute is required.<sup>17</sup> The MARC 21 examples include a blank space before and after each subfield for the sake of clarity. The fields that do not consist of standardized codes have a subfield a (⌘a) at the beginning. Some systems require that ⌘a be made explicit; others assume the ⌘a is always the first subfield. Where MARC 21 two-position field indicators are not required or are not defined, a “b” (blank) is given in their place.

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<sup>17</sup> See the *EAD Tag Library* for available attributes and their use.



## CHAPTER 1

# Levels of Description

Archival material can be described at many different levels (see Statement of Principles: Principle 3)

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). Most finding aids combine a variety of levels of description.



*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 25 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 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

The 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)<sup>18</sup> 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 Minimum

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) *Note: At minimum, the person(s), family(ies) or organization(s) responsible for the creation or accumulation of the materials being described must be identified 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)
- Language and Scripts of the Material Element (4.5)

<sup>18</sup> 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 includes:

- All of the elements included in Single-level 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 material being described.*
- 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 included in Single-level Optimum above, plus any other relevant elements the repository wishes to include.

## Requirements for Multilevel Descriptions

The 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.

## Multilevel Minimum

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) *Note: ~~At minimum, the person(s), family(ies), or organization(s) responsible for the creation or accumulation of the materials being described must be identified 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)
- Language 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).*
  - *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 included 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**

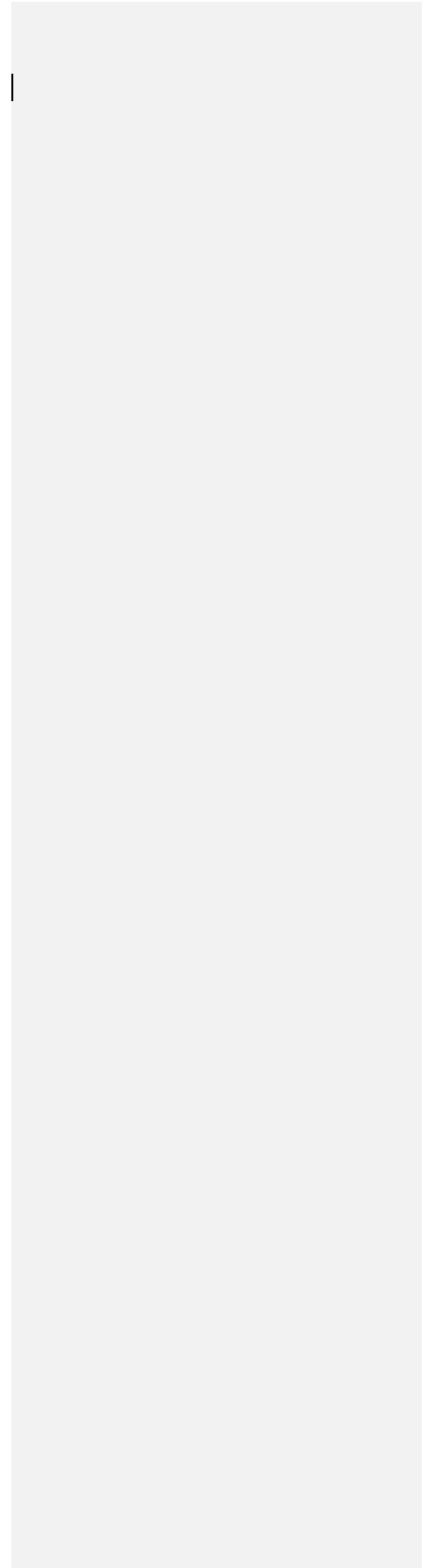
A multilevel description using *DACS* elements to provide added value for researchers should include:

- All of the elements included 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 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.

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## CHAPTER 2

# Identity Elements

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

## 2.1 Reference Code Element **(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, supply 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)  
*Record series number and image number for a photograph from Records of the Office of News and Public Affairs : Photographs, Harvard University Archives*

<http://nrs.harvard.edu/urn-3:RAD.SCHL.WAX:4740894>  
*URI for born-digital content, Arthur and Elizabeth Schlesinger Library on the History of Women in America*

E. 1  
*Control number for an electronic medium carrying born-digital content, from the finding aid for Additional records of the National Organization for Women, Arthur and Elizabeth Schlesinger Library on the History of Women in America*

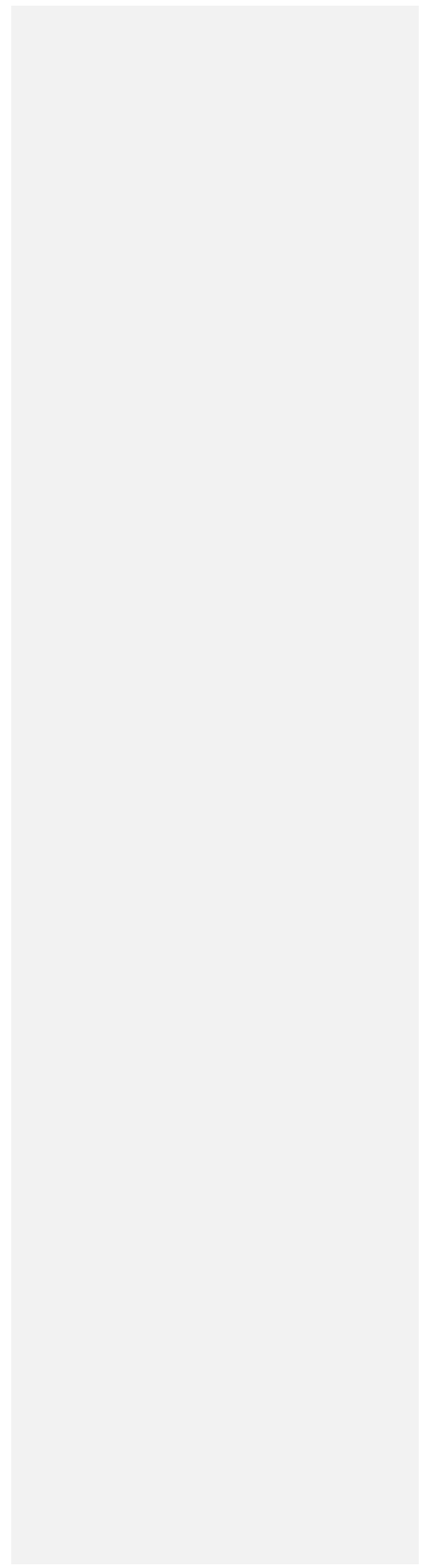
### Repository Identifier

2.1.4. Provide a repository code assigned by the national organization responsible for assigning and maintaining repository identifiers.<sup>19</sup>

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*

<sup>19</sup> 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.<sup>20</sup>

US

*Code for the United States*



Ca

*Code for Canada*

### EXAMPLES OF ENCODING FOR 2.1 REFERENCE CODE ELEMENT

#### Encoding at the highest level of description in EAD:

```
<unitid countrycode="us" repositorycode="cui">MS-SEA016</unitid>
```

```
<unitid countrycode="us" repositorycode="cus">MSS-0112</unitid>
```

#### Encoding at the highest level of description in MARC 21:

```
008 bb 031014i19781998cau eng d
```

```
040 bb ta CUI te daes te CUI
```

```
099 b9 ta MS-SEA 016
```

```
852 bb ta University of California, Irvine Libraries. te 525  
Adjunct Lane, Irvine, CA 20033 1126. tn cau
```

```
008 bb 941228i19461998cau eng d
```

```
040 bb ta CUS te daes te CUS
```

```
099 b9 ta MSS-0112
```

<sup>20</sup> 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 Element (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.

### EXAMPLES OF ENCODING FOR 2.2 NAME AND LOCATION OF REPOSITORY ELEMENT

#### Encoding in EAD:

```
<repository>  
<corpname>The University of Texas at Austin  
<subarea>Harry Ransom Humanities Research Center</subarea>  
</corpname>  
</repository>
```

#### Encoding in MARC 21:

```
852 bb #a Alabama Department of Archives and History. #e 624  
Washington Avenue, Montgomery, AL 36310-0100.
```

## 2.3 Title Element (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 supplied-devised or formal.

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

Supplied 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 supplied-devised. The archivist must use professional judgment to determine when it is appropriate to supply-devised a title rather than transcribing 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 supplying-devised 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, from the prescribed source as described in the appropriate chapters in AACR2 (which specify that formal titles are recorded exactly as to wording, order, and spelling, but not necessarily as to punctuation or capitalization) or to specialized standards for various types of material cited in Appendix B. Rules for transcribing formal titles are not provided here.

### General Rules



2.3.3. When supplying-devising title information, compose a brief title<sup>21</sup> that uniquely identifies the material, normally consisting of a name segment, a term indicating the nature of the unit being described,<sup>22</sup> and optionally a topical segment as instructed in the following rules. Do not enclose supplied-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, do not provide, as part of the supplied-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 body<sup>23</sup> predominantly responsible for the creation, assembly, accumulation, and/or maintenance of the materials.

Graciany Miranda Archilla papers

Bacot family papers

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

Wisconsin Environmental Policy Act files

Cameron family account book

Caroline and Erwin Swann collection of caricature and cartoon

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.<sup>24</sup> 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



<sup>21</sup> The supplied title should not be mistaken for a statement or abstract of the content of the unit being described; the supplied 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.

<sup>22</sup> The order of these elements is not prescribed.

<sup>23</sup> 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.

<sup>24</sup> 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).

elsewhere in the descriptive record (e.g., in the administrative/biographical history) or as an access point.

Bessye B. Bearden ~~papers~~  
*Not as opposed to the controlled form, "Bearden, Bessye B.," papers*

WAPOR records  
*The controlled form **Name of Creator(s) Element is** World Association for Public Opinion Research, **appears in the Name of Creator (s) Element***

2.3.6. If the name of the creator, assembler, or collector is not known, or if the repository has assembled the materials, do not record a name. In such cases, supply 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*  
*Example from the Bancroft Library, University of California, Berkeley*



*Performing Arts publications collection*  
*Example from the University of Minnesota Libraries, Performing Arts Archives, Manuscripts Division*

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.



*Additional records of the National Organization for Women*  
*Collection includes records of the National Organization for Women, various NOW political action committees, and the Now Foundation. Example from the Arthur and Elizabeth Schlesinger Library on the History of Women in America.*

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

*Records of Howe, Manning & Almy, Inc. and the Papers of Lois Lilley Howe, Eleanor Manning O'Connor, and Mary Almy*  
*Example from the Massachusetts Institute of Technology, Institute Archives and Special Collections*

## 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 personal archives

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~~ digital records

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 [9.92.6.7](#).

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 [9.92.6.7](#).

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”, “records”, or “collection”. Traditionally, w](#)Where the materials being described consisted of ~~three or more forms of~~ documents created, assembled, ~~accumulated, and/or~~ maintained ~~and used~~ by a government agency or private organization such as a business or club, ~~supply~~ the word “records” ~~was used for the nature of the archival unit~~. Where the materials being described consisted of ~~three or more forms of~~ documents created, assembled, ~~accumulated, and/or~~ maintained ~~and used~~ by a person or family, ~~supply~~ the word “papers” ~~was used for the nature of the archival unit~~. When describing an intentionally assembled collection, ~~supply~~ the word “collection” ~~was used to indicate the nature of the unit being described. However, other terms are acceptable to describe an archival unit. The following examples are not intended to cover all possibilities. This rule is generally only applied to the highest level of the archival unit being described.~~<sup>25</sup>

<sup>25</sup> “Papers,” “records,” and “collection” include materials in all media.



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  
[Kate Bowers personal archives](#)  
[William O. Owens materials](#)

2.3.1920. Where the materials being described consist solely of one or two specific forms, supply those form(s)<sup>26</sup> 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 digital files](#)

Speeches  
*Supplied-Devised title for a series within the Bessye B. Bearden papers*

Audio and video recordings  
*Supplied-Devised title for a series within the Jacques Derrida papers*

National Academy of Sciences correspondence  
*Supplied-Devised title for a file within the Frederick Reines papers*

Council for Refugee Rights correspondence and reports  
*Supplied-Devised title for a file within the Project Ngoc records*

2.3.2021. 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 phrase “and other material” in the supplied title and indicate the specific forms of material in the Scope and Content Element.

---

<sup>26</sup> *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 [supplying-describing](#) form(s) of material as part of the [supplied-devised](#) title.

James M. Woodbury diary, letters, and other material

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

*Supplied title for a file within the Genoveva de Arteaga papers*

### Topic of the archival unit

2.3.2422. Optionally, supply 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

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

Russian referendum collection

*Supplied-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. Haldemann regarding the Watergate break-in

2.3.2223. 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

*Collection is about Isadora Duncan, she is not the collector.*

Collection of Robert Browning materials

*Collection is materials by Robert Browning, he is not the collector.*

## EXAMPLES OF ENCODING FOR 2.3 TITLE ELEMENT

### Encoding of supplied titles in EAD:

~~<unittitle>British American Tobacco Company records</unittitle>~~

~~<unittitle>James M. Woodbury diary, letters, and other material</unittitle>~~

~~<unittitle>Speeches</unittitle>~~

### Encoding of supplied titles in MARC 21:

~~245 00 #a Project Ngoc records, #f 1978-1998~~

~~245 00 #a Clarence McGehee collection on Ruth St. Denis, #f 1908-1937~~

~~245 10 #a William Dickson Pearsall #k letter, #f 1892~~

## 2.4 Date Element (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 section 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 secondly, 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 AACR2 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 AACR2 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 (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.<sup>27</sup> When recording multiple date types, explain each in the Scope and Content Element (3.1).



1641 (manuscript copy, 1656 May 2)  
Two dates from the description of the Deed of sale to Henry Dunster of land on Sudbury River, reflecting both the date on the deed and the date of the manuscript copy made for use in litigation over the property fifteen years later.

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,<sup>28</sup> record the date as found and follow it with the year(s) of the Gregorian or Julian calendar in parentheses. Specify the name of the calendar, such as Republican, Jewish, Chinese, in a note (see 7.1.2)

2628 (1968)  
*Note: Dated in accordance with the Chinese calendar.*

an 14 (i.e., 1805)  
*Note: Dated in accordance with the French Republican calendar.*

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

## Date Ranges

Inclusive dates

---

<sup>27</sup> 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.

<sup>28</sup> Direction for converting dates after 1582 from the Julian calendar to the Gregorian calendar is provided in AACR2 rule 22.17A n. 16.

2.4.7. If the materials comprising 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  
*not* 1979-  
*not* 1979- (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.<sup>29</sup> Explain significant chronological gaps in the materials in the Scope and Content Element (3.1).

1827, 1952-1978  
1975, 2002

---

<sup>29</sup> Repositories are encouraged to establish consistent policies and procedures regarding the maximum number of anomalous dates to record.

### 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.<sup>30</sup>

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.<sup>31</sup>

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

---

<sup>30</sup> 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.

<sup>31</sup> 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."

### EXAMPLES OF ENCODING FOR 2.4 DATE ELEMENT

Encoding at any level of description in EAD. Dates that a repository wishes to be computer searchable should be normalized according to ISO 8601 *Representation of Dates and Times*.

```
<unitdate normal="1975">1975</unitdate>  
<unitdate type="inclusive" normal="1849/1851">1849-1851</unitdate>  
<unitdate normal="19060317">1906 March 17</unitdate>  
<unitdate type="inclusive" normal="1785/1960">1785-1960</unitdate>  
<unitdate type="bulk" normal="1916/1958">bulk 1916-1958</unitdate>  
<unitdate type="inclusive" normal="1870/1879">circa 1870-1879</unitdate>  
<unitdate normal="1892/1893">1892 or 1893</unitdate>  
<unitdate type="inclusive" normal="1862/1969" label="Dates of Creation">1862-1969</unitdate>  
<unitdate type="inclusive" normal="1957-1969" label="Dates of Record-keeping Activity">1957-1969</unitdate>
```

Encoding at the highest level of description in MARC 21:

```
245 00 $a Project Ngoc records, $f 1978-1998.  
245 10 $a Henry David Thoreau letter and engraving, $f 1847.  
245 10 $a Willis H. Warner papers, $f 1884-1964, $g bulk 1920-1963.  
245 10 $a United Farm Workers Information Fair collection, $f circa 1968-1972.  
245 00 $a David Douglas Duncan photographs  
260 $b $c 1935-2004
```

## 2.5 Extent Element (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 see the specific chapters in AACR2 or the medium specific rules indicated in the Introduction to Part I and 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 30 boxes or 20 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.

## 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.<sup>32</sup>

45 linear feet

5,321 items

16 boxes

2 film reels

15 folders

10.0 cubic feet

~~Box 10 Folder 6~~



2.5.5. Optionally, record the quantity in terms of material type(s). Material types may be general, such as textual materials,<sup>33</sup> graphic materials, cartographic materials, architectural and technical drawings, moving images, and sound recordings, or more specific types such as those found in *AACR2* and various thesauri.<sup>34</sup>

10 boxes of textual materials

1,000 photographs

50 technical drawings

800 maps

12 audio cassettes

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 audio cassettes

---

<sup>32</sup> 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.

<sup>33</sup> It is usually assumed that archival materials are generally 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.

<sup>34</sup> See especially *Art and Architecture Thesaurus*, *Thesaurus for Graphic Material*, and *Library of Congress Authorities* (full citations provided in Appendix B).

## Multiple Statements of Extent

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

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)

*Extent for born-digital content without media carrier from Series 6 of the Stephen Jay Gould Papers Collection Guide, Stanford University Libraries Department of Special Collections and University Archives.*

.5 linear feet (51 floppy discs, 5 Zip discs, 3 CD-ROMs)

*Extent for electronic media carrier from the Guide to the Robert Creeley Computer Files, 1988-2002.*

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

Linear feet: Approximately 390

*Two expressions of the extent of the Arthur Brown, Jr. papers*

## 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 MB



[3 directories](#)

[23 digital files \(1 GB\)](#)

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 \(88 KB\)](#)



DRAFT



## EXAMPLES OF ENCODING FOR 2.5 EXTENT ELEMENT

### Encoding at any level of description in EAD:

```
<physdesc><extent>45 linear feet</extent></physdesc>  
<physdesc><extent>50 technical drawings</extent></physdesc>  
<physdesc><extent>3 boxes, including photographs and audio  
cassettes</extent></physdesc>  
<physdesc><extent>89.3 linear feet (150 boxes and 109 oversize  
folders)</extent></physdesc>  
<physdesc><extent>12 linear feet of textual materials</extent>,  
<extent>68 photographic prints</extent>,<extent>16 architectural  
drawings</extent></physdesc>  
<container type="Box">10</container>  
<container type="Folder">6</container>
```

### Encoding at the highest level of description in MARC 21:

```
300 $b $a 45 $f linear feet  
300 $b $a 3 $f boxes, $b including photographs and audio cassettes  
300 $b $a 89.3 $f linear feet (150 boxes and 109 oversize folders)  
300 $b $a 12 $f linear feet of textual materials  
300 $b $a 68 $f photographs  
300 $b $a 33,000 $f items (69.0 linear feet)
```

## 2.6 Name of Creator(s) Element (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, family, or person 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 of materials, for example, 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 rule such as those found in AACR2 or RDA.



### Exclusions

2.6.1. The rules for creating archival authority records are found in Chapter xx.

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 supplied title (2.3.4-2.3.17).



Commentary: When describing the records of a person or family for which there are several creators, the supplied title may contain all 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 recorded as access points. When supplying 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 supplied titles are found in 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 supplied 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 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 #a William Smith family  
MARC 21 encoding indicating that the entry is a family name.

<corpname>Hal Leonard Publishing Corporation</corpname>  
EAD encoding indicating that the entry is a corporate body.

Personal name: Norton, Margaret Cross, 1891-1984.

2.6.7. Where the names of all creators are not included in the **supplied** 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.

Pettigrew family papers

(Record Pettigrew family: Pettigrew, Charles, 1744-1807; Pettigrew, Charles Lockhart, 1816-1873; Pettigrew, Ebenezer, 1783-1848; Pettigrew, James Johnston, 1828-1863; and 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 supplied 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: Anne Frank Collection on Refugee Forums  
File title: Santa Ana College fliers on courses and services for continuing education students  
(Record the collector in the creator element at the collection level: Frank, Anne, 1937- )  
(Optionally, record in a creator element at the file level: Santa Ana College)



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)

~~A description of the context in which the materials being described were created, assembled, accumulated, and/or maintained is as important as the description of the materials themselves. One of the most significant aspects of establishing the context of creation is to identify the individual, family, or organization responsible for that process. Depending on the materials being described, the archivist may express that relationship by various terms: creator, author, collector, artist, cartographer, or, more generically, as the provenance of the materials. Multiple individuals and organizations may serve multiple roles with respect to a given body of records. For example, a published document might be filed with a regulatory agency. The company that created a report would be its author, while the government body was responsible for assembling this report with others into a series of records. Both played a role in the creation of the materials that have come to the repository.~~

~~Detailed rules in Part II, Chapter 9, Identifying Creators, specify which name(s) should be provided in the Name of Creator(s) Element to document the processes by which the records were created, assembled, accumulated, and/or maintained. Specific systems may store information about creators either in the descriptions of records or separately in a linked authority file. In addition, names of creators serve as access points (see Overview of Archival Description).~~



## 2.7 Administrative/Biographical History Element (Optimum)

### Purpose and Scope



The purpose of this chapter is to describe the required elements of a historical note to be used by a repository that has not yet implemented an archival authority system as a complement to description. This chapter of DACS prescribes only the elements of information that need to be recorded and not the precise formats in which they are stored or presented to users. The administrative/biographical history provides relevant information about corporate bodies, families, or persons who are identified using the Name of Creator(s) Element and who therefore function as nominal access points.



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 chapter 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 chapter 9.

Archivists may wish to supply more or less detail depending on the system being used and other local variables. For example, the administrative/biographical history information in a MARC 21 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 10.9-10.36**.

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 Sub-Elements**

2.7.10. Include in the Administrative/Biographical History all of the following sub-elements<sup>35</sup> that are relevant to the corporate body, family, or person 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 10.15-10.24** 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 20, Bessye Banks married R. Howard Bearden. They had one son, Romare, who became an internationally renowned artist.

Mrs. Bearden managed the New York office of the E. C. Brown Real Estate Company of Philadelphia for many years. She was also the

<sup>35</sup> The way in which the sub-elements are presented to users is a matter of institutional policy. Repositories may choose the order in which to present the sub-elements, or whether to present them in a narrative format or in a structured format with each element introduced by an introductory word or phrase.

New York representative for the Chicago "Defender," starting in 1927, and did free lance 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 B. 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*



<u>1886</u>	<u>Born 14 October, Fayetteville, N.C., son of Katherine Sloan and Alexander Graham</u>
<u>1909</u>	<u>Received A.B. from University of North Carolina</u>
<u>1910</u>	<u>Licensed to practice law in North Carolina</u>
<u>1911-1913</u>	<u>English teacher at Raleigh High School</u>
<u>1914-1916</u>	<u>Instructor of history, UNC</u>
<u>1916</u>	<u>Received M.A. from Columbia University</u>
<u>1917-1919</u>	<u>U.S. Marine Corps private (mustered out as first lieutenant)</u>
<u>1920-1921</u>	<u>Assistant professor, UNC</u>
<u>1921-1927</u>	<u>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</u>
<u>1927-1930</u>	<u>Professor of history, UNC</u>
<u>1930-1932</u>	<u>President of UNC (Chapel Hill)</u>

*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- ) 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 whom Mary Susan raised: 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.<sup>36</sup>

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

<sup>36</sup> 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*.

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' 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 where he 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 Mitsue 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. McKissck 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 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, 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 afterwards became a planter in Jefferson and Yazoo counties, Miss., and later in Davidson, Tenn., married Ann M. Greene (fl. 1820-1845). William Dudley Gale (fl. 1844-1881), their son, 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 10.26-10.36 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 supply 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.

~~A description of the context in which the materials being described were created, assembled, accumulated, and/or maintained is as important as the description of the materials themselves. One of the most significant aspects of the description of the context of creation is the Administrative/Biographical History Element. Such descriptions may be a part of the description of the materials, but they may also be created and stored in an authority system separate from the description of the materials. To facilitate such systems, the rules for creating an administrative or biographical history are provided in Part II, Chapter 10. The rules apply to either situation—administrative history and biographical information as part of the description of the materials or as maintained in a separate authority system.~~

## CHAPTER 3

# Content and Structure Elements

### 3.1 Scope and Content

### 3.2 System of Arrangement

## 3.1 Scope and Content Element **(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; and
- 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, etc.

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, etc., in the Administrative/Biographical History Element (see Chapter 10).
- 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.

~~Minutes, membership and dues records, journals, daybooks, forms, circulars, and correspondence from a carpenters' union local in St. Paul, Minnesota. Correspondence and minutes contain data on the union's formation, internal affairs, assessments and benefits, social functions, organizing activities, relations with other local and national unions, and political participation. There is also information on St. Paul labor issues, hiring practices, boycotts, strikes, and employers' attitudes toward unions. Present also are minutes (1914-1923) of Millmen's Local Number 1868, which affiliated with the carpenters in 1923.~~  
~~*Scope and content for the Carpenters and Joiners Brotherhood of America Local No. 87 (Saint Paul, Minn.) records.*~~

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 prior to 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, 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.*

### 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, since 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, blood-stained 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 Aguas), 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.*

## EXAMPLES OF ENCODING FOR 3.1 SCOPE AND CONTENT ELEMENT

Encoding at any level of description in EAD:

```
<scopecontent>  
<p>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.</p>  
</scopecontent>
```

Encoding at the highest level of description in MARC 21:

```
520 2b 1a Minutes, membership and dues records, journals, daybooks, forms, circulars, and correspondence from a carpenters' union local in St. Paul, Minnesota. 1b Correspondence and minutes contain data on the union's formation, internal affairs, assessments and benefits, social functions, organizing activities, relations with other local and national unions, and political participation. There is also information on St. Paul labor issues, hiring practices, boycotts, strikes, and employers' attitudes toward unions. Present also are minutes (1914-1923) of Millmen's Local Number 1868, which affiliated with the carpenters in 1923.
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## 3.2 System of Arrangement Element (Added Value)

### Purpose and Scope

This element ~~identifies the various aggregations of archival materials, their relationships, or the sequence of documents within them.~~ 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 7.1.8.

### Sources of Information

3.2.~~2~~<sup>1</sup>. Derive the information from the materials themselves.

### General Rules

3.2.~~3~~<sup>2</sup>. 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).

**3.2.43.** 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*

~~**3.2.4.** Provide significant 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.~~

~~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.~~

~~*Arrangement of the Frederick Reines papers*~~

~~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.~~

~~*Arrangement of a series in the Frederick Reines papers*~~



## EXAMPLES OF ENCODING FOR 3.2 SYSTEM OF ARRANGEMENT ELEMENT

### Encoding at any level of description in EAD:

```
<arrangement>
<p>This subseries is arranged alphabetically by the geographic
location of the photograph and then by the item number assigned
by the photographer.</p>
</arrangement>
```

```
<arrangement>
<p>The papers are arranged in 11 series:</p>
<list-type="simple">
<item>Series 1. Early career, circa 1932-1995. 0.5 linear ft.
</item>
<item>Series 2. Case Institute of Technology files, 1958-
1976.</item>
<item>Series 3. University of California committee files, 1970-
1992.</item>
<item>Series 4. University of California, Irvine files, circa
1931-1996.</item>
<item>Series 5. Professional activities, 1934-1997.</item>
<item>Series 6. Correspondence files, 1952-1995.</item>
<item>Series 7. Publications and writings, 1945-1999.</item>
<item>Series 8. Data books, 1946-1991.</item>
<item>Series 9. Experiments, 1943-1997.</item>
<item>Series 10. Collaborations, 1952-1995.</item>
<item>Series 11. Funding agency files, 1959-1994.</item>
</list>
<p>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.</p>
</arrangement>
```

### Encoding at the highest level of description in MARC 21:

```
351 $b $a 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.
```

## CHAPTER 4

# Conditions of Access and Use Elements

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

## 4.1 Conditions Governing Access Element **(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; etc. 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 over ten years old are open to researchers; those under 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 75 years from the date of creation of the record.  
-----

Access to files containing information on University personnel matters is restricted for 50 years from the latest date of the materials in those files. Access to student records is restricted for 75 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.

~~EXAMPLES OF ENCODING FOR 4.1 CONDITIONS GOVERNING ACCESS ELEMENT~~

~~Encoding at any level of description in EAD:~~

```
<accessrestrict>  
<p>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.</p>  
</accessrestrict>
```

~~Encoding at the highest level of description in MARC 21:~~

```
506 $b $a Dream diaries are closed to research use until the  
death of the donor.  
506 $b $a Correspondence between Smith and his first wife is not  
available for research use until 2010.
```

## 4.2 Physical Access Element (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; and
- 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.

**EXAMPLES OF ENCODING FOR 4.2 PHYSICAL ACCESS ELEMENT**

**Encoding at any level of description in EAD:**

```
<accessrestrict>
<p>Use of audio cassettes may require production of listening
copies.</p>
</accessrestrict>

<phystech>
<p>Some of the letters in this series are illegible due to water
damage.</p>
</phystech>

<physloc>
<p>Forty eight hours advance notice is required for access because
materials are stored offsite.</p>
</physloc>
```

**Encoding at the highest level of description in MARC 21:**

```
506 $b $a Researchers must use microfilm copies.
506 $b $a Some of the letters in this series are illegible due
to water damage.
```

## 4.3 Technical Access Element (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 "42 slides" or "30 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 14 rectangular flat files stored in standard label EBCDIC. The files contain numeric and character data. The files are stored on 14 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.

#### ~~EXAMPLES OF ENCODING FOR 4.3 TECHNICAL ACCESS ELEMENT~~

##### ~~Encoding at any level of description in EAD:~~

```
<phystech>  
<p>Umstead for governor radio advertisement, 1952 July 7, recorded  
on radio transcription disc.</p>  
</phystech>
```

```
<phystech>  
<p>Membership files are in an Access database.</p>  
</phystech>
```

##### ~~Encoding at the highest level of description in MARC 21:~~

```
520 bb -- $a Disk characteristics: Floppy disk, single-sided,  
double-density, soft-sectored.
```



## 4.4 Conditions Governing Reproduction and Use

### Element (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 4.4.8 and the first example under 4.4.12), 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

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

#### General Rules

4.4.6. 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.

4.4.7. 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, etc. 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.

**4.4.8. 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.

**4.4.9. 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.

**4.4.10. 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, etc. While copyright legislation may place statutory restrictions on reproduction (as well as other uses), reproduction may be restricted for other reasons, for example, the wishes of the donor, physical condition, etc.

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

4.4.12. 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 2010. 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, etc.

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

4.4.14. 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.

~~EXAMPLES OF ENCODING FOR 4.4 CONDITIONS GOVERNING REPRODUCTION AND USE ELEMENT~~

~~Encoding at any level of description in EAD:~~

```
<userrestrict>  
<p>Transcripts and cassette recordings of interviews conducted in  
1996-1997 may be read or heard for information only. Copying,  
citation, quotation, or publication of any material from them is  
prohibited without the written permission of the interviewer and  
interviewee.</p>  
</userrestrict
```

~~Encoding at the highest level of description in MARC 21:~~

```
540 $b $a 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 Archivist for further  
information.  
  
540 $b $2 Series 5 $a No photocopying of materials is permitted  
without permission from a trust officer of the Wachovia  
Bank and Trust Company.
```

## 4.5 Languages and Scripts of the Material Element (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 U.S. 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.

**EXAMPLES OF ENCODING FOR 4.5 LANGUAGES AND SCRIPTS OF THE MATERIAL ELEMENT**

**Encoding at any level of description in EAD:**

~~<langmaterial>Collection is predominantly in <language  
langeode="vie">Vietnamese</language>, materials in <language  
langeode="eng">English</language> are indicated at the file  
level.</langmaterial>~~

~~<langmaterial>Audio recordings in <language>Arabic</language>  
</langmaterial>~~

**Encoding at the highest level of description in MARC 21:**

~~546 bb #3 Diaries in #a Spanish.~~

~~546 bb #3 Pamphlets in #a German; #b Fraktur.~~

~~546 bb #a In Korean.~~

## 4.6 Finding Aids Element (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 12 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).



## EXAMPLES OF ENCODING FOR 4.6 FINDING AIDS ELEMENT

### Encoding at any level of description in EAD:

```
<otherfindaid>  
<p>A Marriage Index database of information from these records is  
maintained by the Ulster County Clerk's Office Archives.</p>  
</otherfindaid>
```

```
<otherfindaid>  
<p>Card file for correspondents in Series 1 also available.</p>  
</otherfindaid>
```

### Encoding at the highest level of description in MARC 21:\*

```
555 bb +a Electronic finding aid available via the Internet in  
the Online Archive of California; folder level control  
+u http://www.oac.edlib.org/findaid/ark:/13030/t8z09p8pd
```

```
856 42 +a Finding aid +u  
http://www.lib.unc.edu/mss/uars/ead/40002.html
```

*\*Some MARC systems may not yet have implemented +u in the 555 field, in which case this information can be placed in the 856 field.*

## CHAPTER 5

# Acquisition and Appraisal Elements

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

## 5.1 Custodial History Element **(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 prior to 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.

#### EXAMPLES OF ENCODING FOR 5.1 CUSTODIAL HISTORY ELEMENT

##### Encoding at any level of description in EAD:

```
<custodhist>  
<p>The Annuity Payments to Native Americans were left on a loading dock by the Comptroller's Office where they were inadvertently picked up by a scrap paper dealer and taken to a paper mill. A local history buff recognized the value of the records and convinced the paper mill to cease destruction of the records. This series represents the records that were saved, returned to state custody and then transferred to the State Archives.</p>  
</custodhist>
```

##### Encoding at the highest level of description in MARC 21:

```
561 bb —†a The brothers Albert and Gaston Tissandier, French balloonists and aeronautical pioneers and historians, assembled this collection from many sources over many years as part of their effort to document their own balloon flights with original photographs and drawings and to compile published illustrated histories of early aeronautics throughout Europe and the U.S.
```

## 5.2 Immediate Source of Acquisition Element (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).

### EXAMPLES OF ENCODING FOR 5.2 IMMEDIATE SOURCE OF ACQUISITION ELEMENT

#### Encoding at any level of description in EAD:

```
<acqinfo>
<p>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.</p>
</acqinfo>
```

#### Encoding at the highest level of description in MARC 21:

```
541 $b +e Gift and purchase, +d 1996 +e (G10669, R13821).
541 $b +e Purchase, +d 1978.
541 $b +e Gifts, +d 1996-2000.
```

## 5.3 Appraisal, Destruction, and Scheduling Information Element (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 merits 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 over 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.

## EXAMPLES OF ENCODING FOR 5.3 APPRAISAL, DESTRUCTION, AND SCHEDULING INFORMATION ELEMENT

### Encoding at any level of description in EAD:

```
<appraisal>
<p>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.</p>
</appraisal>
```

```
<appraisal>
<p>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 over 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.</p>
</appraisal>
```

### Encoding at the highest level of description in MARC 21:

```
503 bb —+a 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.
```



## 5.4 Accruals Element (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 50 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.

#### EXAMPLES OF ENCODING FOR 5.4 ACCRUALS ELEMENT

##### Encoding of at any level of description in EAD:

~~<accruals>~~

~~<p>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.</p>~~

~~</accruals>~~

##### Encoding at the highest level of description in MARC 21:

~~584 \$b \$a 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.~~

## CHAPTER 6

# Related Materials Elements

6.1 Existence and Location of Originals

6.2 Existence and Location of Copies

6.3 Related Archival Materials

6.4 Publication Note

## 6.1 Existence and Location of Originals Element (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, etc.

### 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.

**EXAMPLES OF ENCODING FOR 6.1 EXISTENCE AND LOCATION OF ORIGINALS ELEMENT**

**Encoding at any level of description in EAD:**

```
<originalsloc>  
<p>Original letters in the collection of the Watkinson Library,  
Trinity College, Hartford, CT.</p>  
</originalsloc>
```

**Encoding at the highest level of description in MARC 21:**

```
535 1b +3 Original letters +a Watkinson Library, Trinity  
College, Hartford, CT.
```

## 6.2 Existence and Location of Copies Element (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 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 Institution<sup>37</sup>

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).

---

<sup>37</sup> 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.

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

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.

**EXAMPLES OF ENCODING FOR 6.2 EXISTENCE AND LOCATION OF COPIES ELEMENT**

**Encoding at any level of description in EAD:**

```
<altformavail>  
<p>Diaries available on microfilm for use in repository only.</p>  
</altformavail>
```

**Encoding at the highest level of description in MARC 21:**

```
530 $b +a Diaries available on microfilm for use in repository  
only.  
530 $b +3 Postcards +a available as digital images at +u  
http://www.mnhs.org/postcards
```

## 6.3 Related Archival Materials Element (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.

#### EXAMPLES OF ENCODING FOR 6.3 RELATED ARCHIVAL MATERIALS ELEMENT

##### Encoding at any level of description in EAD:

```
<relatedmaterial>  
<p>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.</p>  
</relatedmaterial>
```

##### Encoding at the highest level of description in MARC 21:

```
544 1b 1a 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.  
544 bb 13 Motion picture films and sound and video recordings transferred to 1a Library of Congress Motion Picture, Broadcasting and Recorded Sound Division.
```



## 6.4 Publication Note Element (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* 37:1 (Winter 1987), 14-33.

## EXAMPLES OF ENCODING FOR 6.4 PUBLICATION NOTE ELEMENT

### Encoding at any level of description in EAD:

```
<bibliography>
<p><del>An annotated edition of the letters in this collection was
published in <title-render="italic">Montana: the Magazine of
Western History</title> 37:1 (Winter 1987), 14-33.</del></p>
</bibliography>
```

```
<bibliography>
<bibref><del>An annotated edition of the letters in this collection
was published in
<title-render="italic">Montana: the Magazine of Western
History</title>
<imprint>
<geogname>Helena, MT</geogname>
<publisher>Montana Historical Society</publisher> 37:1
<date>(Winter 1987)</date>, 14-33.</del>
</imprint>
</bibref>
</bibliography>
```

### Encoding at the highest level of description in MARC 21:

```
581 bb ta An annotated edition of the letters in this
collection was published in Montana: the Magazine of
Western History 37:1 (Winter 1987), 14-33.
```

## CHAPTER 7

# Notes Element

## 7.1 Notes Element **(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 AACR2 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 re-bound, 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 Web Site Collection, 1996-, UA 01.04, University of Texas at San Antonio Libraries Special Collections.](#)

#### Alpha-Numeric 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, that title can be recorded 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 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.

*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.

*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.

*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.

*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.

*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 re-processed in 2011 and brought together as a single collection.

*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.

*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.

*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.

*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.

*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.

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 supplied by the processor.

Frances Parsons Davis papers, Schlesinger Library,  
Radcliffe Institute

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

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.

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.

Harvard College Papers, 1st series, Harvard University  
Archives

Weeding statement example:

Photostat copies of originals in the collection were removed.  
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.

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).

Papers of Betty Friedan, Schlesinger Library, Radcliffe  
Institute

## EXAMPLES OF ENCODING FOR 7.1 NOTES ELEMENT

### Encoding at any level of description in EAD:

```
<note>
<p>&del>See also the 1970 Strasbourg conference "La Mythologie blanche-
La Métaphore dans le texte philosophique" in Series 3.</p>
</note>

<prefercite encodinganalog="524">
<head>Preferred Citation</head>
<p>&del>[Identification of item], in the Foust Family Papers #3860,
Southern Historical Collection, Wilson Library, University of North
Carolina at Chapel Hill.</p>
</prefercite>

<unitid countrycode="us" repositorycode="TxU">ISR study no.
56</unitid>
```

### Encoding at the highest level of description in MARC 21:

```
500 bb +a Album pages were detached from their original bindings,
encapsulated in Mylar, and re-bound, 1988.

524 bb +a Percival Farquhar Papers. Manuscripts and Archives, Yale
University Library.
```



## CHAPTER 8

# Description Control Element

## 8.1 Description Control Element (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, SAA, 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.

### EXAMPLES OF ENCODING FOR 8.1 DESCRIPTION CONTROL ELEMENT

#### Encoding at the highest level of description in EAD:

```
<profiledesc>  
<desrules>Finding aid prepared using DACS</desrules>  
</profiledesc>  
  
<processinfo>  
<p>Finding aid written by Mary Hanson, <date>2002</date></p>  
</processinfo>
```

#### Encoding at any level of description in MARC 21:

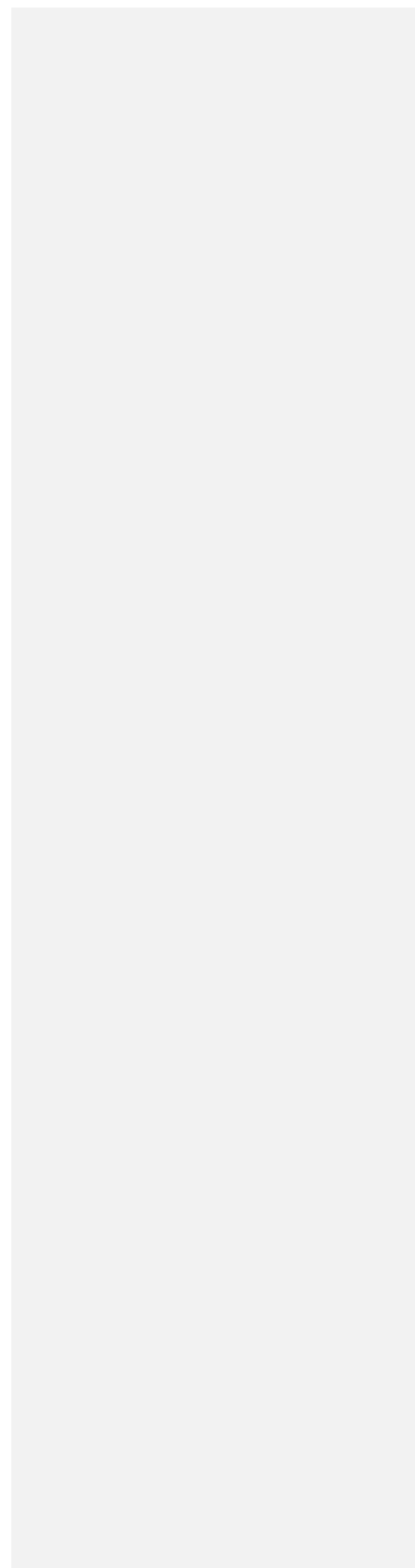
```
040 $b $a TxU-Hu $e TxU-Hu $e daes*  
583 $b $a Collection processed in 1993.
```

*\*Note: DACS has not yet been defined as a value in the MARC Code List for Relators, Sources, Description Conventions.*

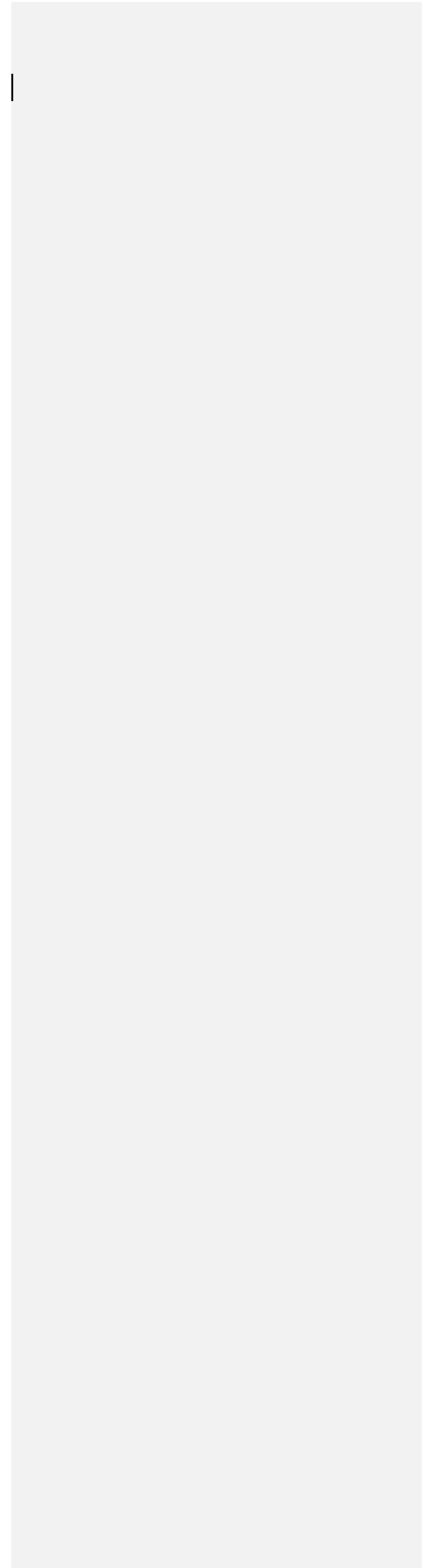
PART II



~~Describing Creators~~ Archival  
Authority Records



DRAFT



# Introduction to Describing Creators



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 persons, families, and corporate bodies 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 8 in the Statement of Principles: that the creators of archival materials, as well as the materials themselves, must be described.

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

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

Chapter [92.6](#), Identifying Creators, 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.

Chapter [40-2.7](#) provides guidance on recording biographical data or administrative histories.

- Finally, the names of these entities must be rendered in a standardized form to facilitate the retrieval of information across descriptions, systems, and institutions.

~~Three chapters in Part III cover the construction of the proper form of names, based on AACR2—Chapter 12 covers personal and family names, Chapter 14 addresses corporate names, and Chapter 13 provides rules for geographic entities that serve as the names of corporate bodies.~~

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 the rules in *DACS*, 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. Chapter 4-9 provides 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, Web sites, etc. 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. Rules for achieving this consistency are provided in Part III. 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)).<sup>38</sup>

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:

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<sup>38</sup> The *Library of Congress Authorities* (LCNAF) is available online at <<http://authorities.loc.gov/>>. It is also possible to search for subject headings at this site.

- 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; and
- 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.<sup>39</sup>



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.

## Purpose and Scope

Part II provides rules ~~for documenting the context in which archival materials were created, and, in Chapter 11, guidance~~ 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 describing creators are also found in Part I.](#)

Instructions for formatting names of persons, families, or corporate bodies identified as creators using the rules in Chapter ~~9-2.6~~ are found in ~~Part III~~[companion standards.](#)

<sup>39</sup> *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.

## Structure and Numbering

Part II consists of ~~three~~one chapters. ~~Two of the chapters provide content rules for elements defined in Part I: Chapter 9 contains the rules for the Name of Creator(s) Element (2.6), and Chapter 10 contains rules for the Administrative/Biographical History Element (2.7).~~ Chapter ~~11~~9 provides rules for creating authority records for repositories that wish to maintain separate authority systems.

## 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 with 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. 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.

~~While the rules themselves are output neutral, examples are encoded in EAD and MARC 21, two widely used output mechanisms for archival descriptions, at the end of Chapters 9 and 10. The EAD examples may include attributes within elements. These are intended to illustrate aspects of the rules, and do not indicate that a specific attribute is required.<sup>40</sup> The MARC 21 examples include a blank space before and after each subfield for the sake of clarity. The fields that do not consist of standardized codes have a subfield a (+a) at the beginning. Some systems require that +a be made explicit; others assume the +a is always the first subfield. Where MARC two position field indicators are not required or are not defined, a “b” (blank) is given in their place.~~

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<sup>40</sup>~~See the *EAD Tag Library* for available attributes and their use.~~



## CHAPTER 9

# Identifying Creators

### Purpose and Scope

The purpose of this chapter is to identify 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. For archival materials, the creator is typically the corporate body, family, or person 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 of materials, for example, Vietnam War memorabilia, letters of presidents of the United States, or materials relating to suffragettes, is considered the creator of the collection.

*Commentary:* Various relationships exist between records and the organizations or individuals associated with them. The primary one is responsibility for the creation, assembly, accumulation, and/or maintenance and use of the materials being described. Depending on the nature of those materials, one may express that relationship by various terms: author, collector, artist, cartographer, photographer, etc., or, more generically, as the provenance of the materials. The archivist may also wish to identify entities who had custody of the records at some time (see 5.1).

This chapter provides rules for determining which entities need to be documented as creators. The names selected in this process will 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. The formation of nominal access points is discussed in Part III.

### Exclusions

9.1. The rules for the consistent formation of names of persons, families, and corporate bodies identified as creators and chosen as access points are found in Chapters 12–14.

9.2. The rules for documenting relationships between creating entities are found in Chapter 11.

## Sources of Information

9.3. Take the information from the archival descriptions of the material as created according to the rules in Part I and Chapter 10,<sup>44</sup> as instructed in the following rules.

## General Rules

9.4. Record the name(s) of creators at all levels of description as specified in the following rules, except as restricted by 9.10 or in accordance with institutional policy.

9.5. Record as access points only names that appear in the archival description to which they relate.

9.6. If it is appropriate in the context of a particular descriptive system to record a name other than those prescribed in this chapter, do so.

9.7. Where the institution maintains a separate system of authority files, create authority records for the authorized forms of the names of the persons, families, and corporate bodies that are identified as creators using the rules in Chapter 11.

## Identifying Creators

*Commentary:* The source for the name of the creator is usually the name element in the supplied title (2.3.4 2.3.17). In many cases there will be only one creator; however, when there is more than one, the archivist must sometimes look in other parts of the description to ensure that all creators are identified. When describing the records of a person or family for which there are several creators, the supplied title may contain all the creators' names; however, the repository may also choose to include only one name in the title. When supplying a title for the records of a corporate body, only one creator can be named in the title. Other creators will be mentioned in the Administrative/Biographical History Element (Chapter 10), and recorded as access points.

9.8. Record the name(s) of the creator(s) identified in the name element in the supplied title of the materials in the authorized form specified in Chapters 12–14.

~~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

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<sup>44</sup> The administrative/biographical history can be part of a description of the archival materials or it can be maintained in a separate authority file that is linked to the description and displays with it.

~~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~~

**9.9.** Where the names of all creators are not included in the supplied title, in addition to those named in the title, record in the authorized form specified in Chapters 12-14 the names of other persons, families, or corporate bodies identified in the Administrative/Biographical History Element as creators of the materials being described.

~~Pettigrew family papers  
(Record Pettigrew family; Pettigrew, Charles, 1744-1807; Pettigrew, Charles Lockhart, 1816-1873; Pettigrew, Ebenezer, 1783-1848; Pettigrew, James Johnston, 1828-1863; and Pettigrew, William S., 1818-1900)~~

**9.10.** Optionally, if the name(s) of the creator(s) of series, files, or items is included in the supplied title for that level or in an Administrative/Biographical History Element, do not record it at lower levels of description.

~~Collection title: Eugene Loring papers  
Series title: H.N. Clugston and Mary Ann Maudlin dance scrapbooks  
(Record at the collection level: Loring, Eugene, 1914-1982)  
(Optionally, do not record at the series level: Clugston, H. N. and Maudlin, Mary Ann)~~

~~Collection title: Collection on Refugee Forums  
File title: Santa Ana College fliers on courses and services for continuing education students  
(Record the collector at the collection level: Frank, Anne, 1937)  
(Optionally, do not record at the file level: Santa Ana College)~~

~~Collection title: Alexander Graham Bell family papers, 1834-1970  
Item title: Biography of Gardiner Greene Hubbard  
(Record at the collection level: Bell family)  
(Optionally, do not record at the item level: Hubbard, Gardiner-Greene)~~

**EXAMPLES OF ENCODING FOR 2.6 (CHAPTER 9) NAME OF CREATOR(S) ELEMENT**

**Encoding at any level in EAD:**

```
<origination>  
<corpname source="lenaf">University of Michigan.  
<subarea>President.</subarea>  
</corpname>  
</origination>  
  
<controlaccess>  
<personname source="lenaf">Bollinger, Lee C. 1946</personname>  
</controlaccess>
```

**Encoding at the highest level in MARC 21:**

```
110 2b +a University of Michigan. +b President.  
700 1b +a Bollinger, Lee C., +d 1946-  
  
100 30 +a Smythe family  
245 10 +a John A. Smythe family papers  
600 30 +a Smith family
```

## CHAPTER 10

# Administrative/Biographical History

### Purpose and Scope

The purpose of this element is to provide information about the organization(s) or individual(s) associated in some way with the creation, assembly, accumulation, and/or maintenance and use of the unit being described in order to place the material in context and make it better understood. The administrative/biographical history provides relevant information about corporate bodies, families, or persons who are identified using the Name of Creator(s) Element and who therefore function as nominal access points.

*Commentary:* Information about the corporate body, person, or family that created, assembled, accumulated, and/or maintained and used the materials being described may be incorporated into the description or it may be held in a separate system of authority files that are linked to the archival descriptions and displayed together. In the latter situation, the administrative/biographical history is part of the authority record for that person, family, or corporate body. DACS provides rules to cover both practices.

Archivists may wish to supply more or less detail depending on the system being used and other local variables. For example, the administrative/biographical history information in a MARC 21 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

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

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

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

### Sources of Information

10.4. 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.

## General Rules

### Separate Authority File

~~10.5. If the institution maintains a separate authority file, provide administrative/biographical history information, as instructed in rules 10.6–10.7 and 10.13–10.36.~~

~~10.6. For each entity recorded as a creator access point, provide administrative/biographical history information about the functions, activities, etc., of that corporate body, family, or person as instructed in rules 10.13–10.36.~~

~~10.7. Optionally, for each entity recorded as a non-creator nominal access point, provide relevant administrative/biographical information about that corporate body, family, or person.~~

### Within the Description

~~10.8. Where the administrative/biographical history is provided within the description, provide administrative/biographical history at the highest levels of description as instructed in rules 10.9–10.36.~~

~~10.9. 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.~~

~~10.10. 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.~~

~~10.11. 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.~~

~~10.12. 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 Sub-Elements

~~10.13. Include in the Administrative/Biographical History all of the following sub-elements<sup>42</sup> that are relevant to the corporate body, family, or person being described and~~

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<sup>42</sup> The way in which the sub-elements are presented to users is a matter of institutional policy. Repositories may choose the order in which to present the sub-elements, or whether to present them in a narrative format or in a structured format with each element introduced by an introductory word or phrase.

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

~~10.14. Record information relevant to the understanding of the life, activities, and relationships of the person or family, applying rules 10.15–10.24 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 20, Bessye Banks married R. Howard Bearden. They had one son, Romarc, who became an internationally renowned artist.~~

~~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 free lance writing for other publications. On June 11, 1925 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 B. 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*

~~10.15. Optionally, at the beginning of the biographical history, provide a brief summary of the most relevant aspects of a person's or family's life, typically including name, dates, profession, and geographic location.~~

~~Frederick Reines (1919-1998) 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-) 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)~~

~~10.16. 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.~~

~~10.17. 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 C. 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 (1828-1923), who taught at the Natchez Institute; and two grandnieces whom Mary Susan raised: 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

10.18. For persons, record the dates or approximate dates of birth and death.<sup>43</sup>

~~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

10.19. 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~~

<sup>43</sup> 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*.

~~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' 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, Veevolod Holubnychy fled with his family to Bavaria in 1943 to escape the Red Army. In 1951, he moved to New York City where he attended Columbia University. He was professor at the City University of New York from 1962 until his death.~~

~~*Biographical sketch for the Veevolod 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

**10.20. 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. McKissek papers*~~

### Occupation, Life, and Activities

**10.21. 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 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 Delacoe 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*~~

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

~~Susan M. Arkeketa, Otec Missouri and Museogee (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*~~

**10.23. 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 afterwards became a planter in Jefferson and Yazoo counties, Miss., and later in Davidson, Tenn., married Ann M. Greene (fl. 1820-1845). William Dudley Gale (fl. 1844-1881), their son, 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**

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

#### **Administrative History of Corporate Bodies**

**10.25. Give information relevant to the understanding of the creator's functions, activities, and relations with other corporate bodies, applying rules 10.26-10.36 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*~~

**10.26. Optionally, at the beginning of the administrative history, provide a brief summary of the most relevant aspects of the corporate body's existence, typically 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 Foreyth 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

~~10.27. 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 (1823-1897) 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

~~10.28. 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 supply the local furniture industry's demand for plywood.~~

~~*Administrative history for the Carolina Panel Company records*~~

### Mandate

~~10.29. 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~~

~~10.30. 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~~

~~10.31. 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~~

~~10.32. 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~~

**10.33. 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**

**10.34. 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**

**10.35. 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

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

#### EXAMPLES OF ENCODING FOR 2.7 (CHAPTER 10) ADMINISTRATIVE/BIOGRAPHICAL HISTORY ELEMENTS

##### Encoding at any level in EAD:

```
<bioghist>
<p>Journalist Betty Ann Arnold Hodges (1926 ) was born in
Waynesboro, Va., where she apprenticed as a linotype operator
during World War II when shortages forced employers to hire women
for jobs traditionally held by men. She received an A.B. degree in
English from the University of North Carolina in 1950. Moving to
Durham, N.C., in 1954, Hodges worked at the Durham Morning Herald,
where she served in several capacities, including style editor
and, for 43 years, book columnist. Hodges married newspaperman Ed
Hodges in 1954. They had two children.</p>
</bioghist>
```

```
<bioghist>
<chronlist>
<chronitem>
<date>1886</date>
<event>Born 14 October, Fayetteville, N.C., son of Katherine Sloan
and Alexander Graham</event>
</chronitem>
<chronitem>
<date>1909</date>
<event>Received A.B. from University of North Carolina</event>
</chronitem>
</chronlist>
</bioghist>
```

##### Encoding at the highest level in MARC 21:

```
545 --bb --fa Algonquin Books of Chapel Hill is a publishing house
incorporated in 1982 by University of North Carolina
English Professor Louis Rubin, Jr., and Shannon Ravenel,
a St. Louis fiction editor who had been one of Rubin's
creative writing students, with the aim of publishing
non-fiction and literary fiction of unpublished young
writers. By 1993, Algonquin had published 178 books. In
1989, Algonquin was acquired by Workman Publishing
Company of New York City. Algonquin retains editorial
control over works of fiction while Workman must approve
non-fiction books. In 1990, Rubin turned over control of
Algonquin to his son Robert and to Ravenel.
```



## Authority Records

### Purpose and Scope

The purpose of this chapter 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.

This chapter also 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 records 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 2.7.
- Relationships Area: references to related persons, families, and corporate bodies, and
- 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 and

usually contain detailed information about records creators and the context of record creation.

The purpose of this chapter 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 only the elements of information that need to be recorded and not the precise formats in which they are stored or presented to users.

Commentary: An authority record is a description of a personal, family, or corporate entity associated with a body of archival materials, typically where that name is used as an access point to a description of those records. The *International Standard Archival Authority Record for Corporate Bodies, Persons, and Families (ISAAR(CPF))* identifies the four types of information found in an archival authority record:

- the authoritative form of the name of the entity as established by cataloging rules such as those found in Chapters 12-14, along with references to any variant forms of that name by which researchers might know that entity,
- 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 10,
- references to related persons, families, and corporate bodies, and
- management information regarding the creation and status of the record which is of use to the archivist.

This chapter also describes the ways in which authority records may be linked to other resources such as descriptions of archival materials, or to other data about the entity such as biographical directories.

Authority information may be recorded and used in a variety of ways. It may be available electronically as part of a publicly accessible information system linked to descriptions of archival materials (see the introduction to Part II). This data may be presented to the user in a paper-based system of finding aids in the manner of traditional *see and see also* references in a card catalog, or it might be kept in a "shelf list" or official file strictly for internal staff control of the information, especially the form of headings.

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.

## 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 it might be kept in 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 (element 11.5);
- Type of entity (element 11.6);
- Dates of existence (element 11.X); and
- Authority record identifier (element 11.19)

#### Added Value

An authority record with the using DACS elements to provide added value for researchers includes:

- All of the elements included in Minimum above, plus any other elements the repository wishes to include.

## Exclusions

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

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

## Sources of Information

**119.3.** Take the information from any reliable source.

## General Rule

**119.4.** Create an authority record for each person, family, or corporate body associated with the creation of archival materials as specified in the rules in Chapter 9.

## Form of the Name

Authorized Form

**119.5.** Record the name of the entity being described in the authority record in accordance with standardized vocabularies (e.g., Library of Congress Authorities) or with rules for formulating standardized names such as those found in AACR2 or RDA. Name entry should be unique and may include dates, place, jurisdiction, occupation, epithet, or other qualifiers as needed for disambiguation, in the standardized form prescribed by Chapters 12-14.

Haworth, Kent MacLean, 1946-<sup>44</sup>

Stibbe, Hugo L. P.

**119.6.** Indicate by codes or text whether the entity named in the heading is a corporate body, a person, or a family.

100 3b #a McArthur (Family : McArthur, Duncan, 1796-1864) William Smith family  
*MARC 21 encoding indicating that the entry is a family name.*

~~<entityType>corporateBody</entityType><corpname>Hal Leonard Publishing Corporation</corpname>~~  
*EAD-EAC-CPF encoding indicating that the entry is a corporate body.*

<sup>44</sup> ~~This is the Library of Congress Authorities form of the name. Archivists may choose to add the death date, 2003.~~



Personal name: Norton, Margaret Cross, 1891-1984

### Parallel Forms of the Name

*Commentary: A parallel name is an alternative form of the authorized name for the same person, family, or corporate body, formulated in alternative languages (as when there are two or more official languages). An institution may, as a matter of policy, choose to create separate authority records for each authorized form of the name, in which case the parallel form of the name would be treated as a related or variant name. If, however, the institution or agency maintains records in only one language, the name in another language would be recorded as a parallel form of the authorized form of the name in a single authority record for that entity.*

~~11.7. If an institution maintains records in two or more official languages, record as a related name the form of the authorized name as it occurs in the other language(s).~~

~~National Library of Canada (authorized name)  
Parallel name(s): Bibliothèque nationale du Canada~~

~~11.8. If the institution maintains records in only one language, record as a variant in the same authority record the parallel form of the authorized name as it occurs in the other language(s), as instructed in rule 11.10.~~

~~United Church of Canada (authorized name)  
Variant name(s): L'église unie du Canada~~

### Standardized form of the name according to other rules

~~11.9. Record the name of the entity as it would be constructed according to the rules of other, for example earlier, cataloging conventions when the entity is represented as such in an existing catalog.~~

~~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~~

### Other Variant forms of names

11.109.7 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

9.8. 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

**9.9.** 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; or
- 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

**Formatted:** Bulleted + Level: 1 + Aligned at:  
0.25" + Indent at: 0.5"

9.10. 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

Identifiers for Corporate Bodies

11. 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

Description of the Person, Family, or Corporate Body

Dates of Existence

9.12 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].

9.13. For persons, record their 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)

9.14. For persons, 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

12th century



9.15. For corporate bodies, record the date of establishment/foundation/enabling legislation and dissolution.

1970 (date of establishment)

1670? (date of establishment)

1842 (date of dissolution)

9.16. 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

9.17. 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)

9th century (end date of activity)

### **Historical Summary**

9.18. 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, supply dates as an integral component of the narrative description. For additional guidelines see Chapter 2.6.

~~11.12. Describe the entity that is the subject of the authority record as prescribed in Chapter 10.~~

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, 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 of 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 re-election in 1976. He died January 13, 1978 of cancer.

## Places

9.19. 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 Resource Description and Access), 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 section 11.X) 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>
```

Place of death: Baltimore, Md.

9.20. For persons, as appropriate record the names of place of birth, place of death, associated country(s), 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)

9.21. 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)

9.22. 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)

U.S. (name of jurisdiction)

### **Legal Status**

9.23. 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 section 9.15-9.16.

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

### **Functions, Occupations, and Activities**

9.24. 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 section 9.12-9.17.

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

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

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

9.26. 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)

### **Mandates/Source of Authority**

9.27. For corporate bodies, record the title of any document, law, directive, or charter which 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 section 9.15-9.16.

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)

### **Internal Structure/Genealogy**

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

9.29. 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.

**9.30. 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 (1612-82) married Hester Wotton, daughter of the second Baron Wotton. The fourth Viscount Campden (1641-89, created Earl of Gainsborough 1682) married Elizabeth Wriothsley, 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.

**Related Persons, Families, and Corporate Bodies**

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.

~~41.139.31.~~ 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)



9.32. Indicate by codes or text whether the related entity is a corporate body, a person, or a family.

Corporate body: Division of Game and Fish

<entityType>person</entityType>

EAC-CPF encoding indicating that the related entity is a person.

9.33 . 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.

9.34. 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.

Minnesota. Dept. of Game and Fish (entity described in archival authority record)

Successor: Minnesota. Division of Game and Fish  
Relation type value 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 an ontology to indicate specifically the nature of the relationship between Hubert H. Humphrey and Muriel Buck Brown Humphrey.

9.35. Record when relevant the commencement date of the relationship or succession date, and, when relevant, the cessation date of the relationship.

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].

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)

## **Authority Record Management**

### **Repository Code**

9.36. 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.<sup>45</sup>

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)

<sup>45</sup> 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.

~~11.14. Briefly describe the nature of the relationship unless it is clearly indicated in the Administrative/Biographical History.~~

~~Minnesota. Dept. of Game and Fish (authorized name)~~

~~Related name: Division of Game and Fish~~

~~The Department became the Division of Game and Fish in the newly organized Conservation Department in 1931.~~

~~Humphrey, Hubert H. (Hubert Horatio), 1911-1978 (authorized name)~~

~~Related name: Brown, Muriel Buck Humphrey~~

~~Wife of Hubert Humphrey. Muriel Humphrey was appointed by the Governor of Minnesota to the United States Senate, January 25, 1978, to fill the vacancy caused by the death of her husband. She served from January 15, 1978 to November 7, 1978. She married Max Brown in 1979.~~

~~11.15. Alternatively, provide a brief indication of the nature of the relationship, such as predecessor, father, younger brother, subordinate body, etc. Relationships may be hierarchical, temporal, familial, or associative.~~

~~Minnesota. Dept. of Game and Fish (authorized name)~~

~~Related name: Division of Game and Fish. (successor agency)~~

~~Humphrey, Hubert H. (Hubert Horatio), 1911-1978 (authorized name)~~

~~Related Name: Humphrey, Hubert H., 1942 (son)~~

~~11.16. Record the dates of the existence of the relationship, if known.~~

~~11.17. If required, also record an explanation of the relationship between the two names, such as "earlier name."~~

~~MacDonald, Lucy Maud Montgomery (married name)~~

~~See Montgomery, L. M.~~

~~Ontario. Office of Arbitration~~

~~(Replaced Ontario Labour Management Arbitration Commission on 1 Sept. 1979)~~

~~See also earlier name~~

~~Ontario Labour Management Arbitration Commission~~

## Authority Record Management

### Repository Code

~~11.18. Record the code for the institution creating the authority record, as assigned by the Library of Congress in the MARC Code List for Organizations.~~

~~MnHi~~

## Authority Record Identifier

11.199.37. Record a ~~number that uniquely identifies the authority record~~ unique identifier for the authority record. The number may be assigned locally or be based upon an identifier ~~taken~~ from a regional or national database such as the *Library of Congress Authorities*.

~~Commentary: The combination of this number and the Repository Code described above creates a globally unique identification for the authority record.~~

~~02-87152480~~

~~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))~~

## Rules or Conventions

11.209.38. 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)~~

~~Anglo-American Cataloguing Rules, 2<sup>nd</sup> edition (AACR2) Resource Description and Access (RDA)~~

11.219.39. 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~~

9.40. 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.~~

## Status

9.41. 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.

Formatted: Indent: Left: 0.25"



~~<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.)~~

~~9.42. Alternately, record the current status of the record using the following terms: draft, finalized, revised, or obsolete.~~

~~Authority record is obsolete.~~

~~Optionally, record the number or other identifier of the particular rule followed.~~

~~DACS Rule 12.2A1~~

### Status

~~11.22. Indicate whether the record is a draft, finalized, revised, or obsolete. This data may be recorded as text or codes.~~

~~Heading is obsolete.~~

~~00731ez  
(The character "e" in the fifth position of the leader of this MARC authority record indicates that it is a "corrected" record.)~~

### Level of detail

~~11.239.43. 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)~~

### Date(s) of Authority Record Creation and Revision

~~11.249.44. 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.~~

### Language or scripts

~~11.259.45. Record the language or scripts of the archival authority record if it is to be exchanged internationally.~~

Languages and scripts: English

<languageDeclaration>  
<language languageCode="eng">English</language>  
<script scriptCode="Latn">Latin</script>  
</languageDeclaration>  
(EAC-CPF encoding indicating that the archival authority record is written in English)

Sources

**41.269.46.** 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.

Maintenance information

**41.279.47.** 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.

Related Archival Materials and Other 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.

Identifiers and titles of related resources

**41.289.48.** Provide the unique identifiers/reference codes or titles for the related resources necessary to establish a connection between the entity and the related resource.

Hubert H. Humphrey papers: a summary guide, including the papers of Muriel Buck Humphrey Brown. St. Paul, Minnesota. Minnesota Historical Society, 1983.

A biography of Vice-President Humphrey is available at <http://gi.grolier.com/presidents/ea/vp/vphumph.html>

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

US MMeT-C UA032  
Boston School of Occupational Therapy, records  
Tufts University Digital Collections and Archives

## Types of related resources

**41.299.49.** Identify the type of related resources, such as archival materials, finding aid or other archival description, monograph, journal article, web site, 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 is archival records. Franklin Roosevelt is the subject of this reminiscence.*

**9.50** Optionally, include a brief description of the related resource.

Related resource: G. Hubert Smith papers  
Letter and personal narrative

## Nature of relationships

**41.309.51** 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).

```
<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.*

## Dates of related resources or relationships

**41.319.52** 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, circa 1970

Remarks to Peace Corps Trainees, 8 September 1962

### EXAMPLES OF ENCODING FOR AN AUTHORITY RECORD IN MARC 21 FORMAT

```
010 _____ + a no 97063617
040 _____ + a NeU + e NeU
100 1b _____ + a Ballard, Rice C. + q (Rice Carter), + d d. 1960
```

~~400 1b + a Ballard, Rice Carter, + d d. 1860~~  
~~670 bb + a Rice C. Ballard papers, 1822-1888 + b (Rice C. Ballard; slave trader of Richmond, Va., owner of several Mississippi Valley plantations; d. 1860)~~

*The next two pages contain an archival authority record. Each data field cites the relevant DACS rule in parentheses.*

## Archival Authority Record

**Authorized Form (11.4):** Humphrey, Hubert H. (Hubert Horatio), 1911-1978

**Type of Heading (11.6):** Person

**Form according to other rules (11.9):** Humphrey, Hubert Horatio, 1911-1978  
(pre-AACR form)

**Dates (10.18):** 1911-05-27/1978-01-13

**Description (11.12):**

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, 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 favour of a strong civil rights plank in the party's platform. In November of 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 re-election in 1976. He died January 13, 1978 of cancer.

**Places (10.19):**

Born: Wallace, South Dakota  
Lived: Minneapolis and St. Paul, Minnesota; Washington, DC

**Occupation, life, activities (10.21):**

Registered pharmacist  
University professor  
Mayor of Minneapolis, Minnesota  
U.S. Senator  
Vice President of the United States

**Related entry (11.13):**

Brown, Muriel Buck Humphrey  
US LC 02-83312367

**Description of the relationship (11.14):**

Wife of Hubert Humphrey. Muriel Humphrey was appointed by the Governor of Minnesota to the United States Senate, January 25, 1978, to fill the vacancy caused by the death of her husband. She served from January 15, 1978 to November 7, 1978

**Dates (11.16):** 1936/1978-01-13

**Related entry (11.13):**

Humphrey, Hubert H., 1942-  
US LC 02-86828402

**Description of the relationship (11.14):**

Son of Vice President Hubert H. Humphrey

**Dates (11.16):** 1942/1978-01-1

**Authority record identifier (11.19):** US DLC 02-79026910

**Record creator code (11.18):** US DLC

**Rules (11.20):** Anglo-American Cataloguing Rules, second edition, revised

**Status (11.22):** Final

**Level of detail (11.23):** Full

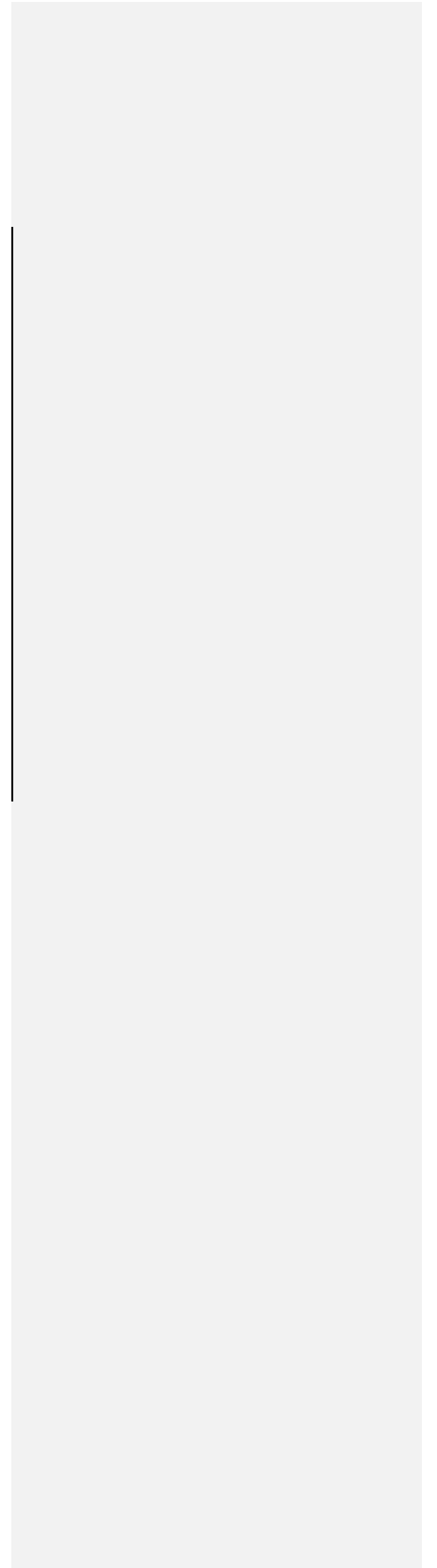
**Date of creation (11.24):** 2000-04-13

**Language (11.25):** English

**Source (11.26):** Centennial of the Territory of Minn., 1949

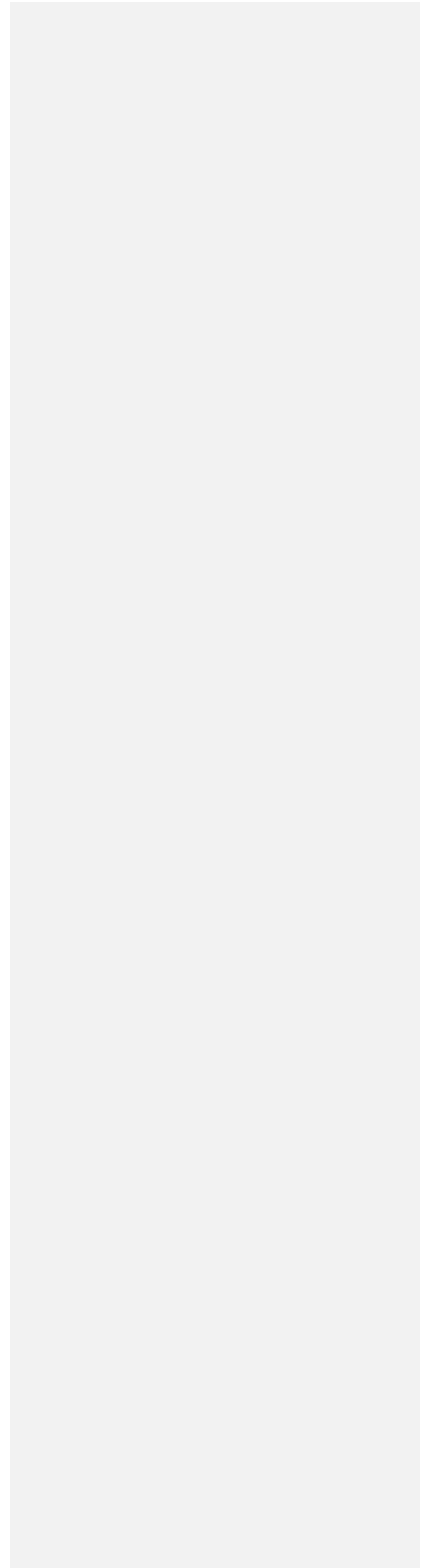
**PART III**

**Forms of Names**





|



# Introduction to Forms of Names

## Purpose and Scope

Part III provides information about creating standardized forms for the names of persons, families, or corporate bodies associated with archival materials as the creators, custodians, or subjects of the records. Such names, in the regularized format prescribed in Chapters 12–14, are used in any or all of the following contexts: when they are recorded in the Name of Creator(s) Element (2.6 and Chapter 9) of an archival description, when they are included in an archival authority record (Chapter 11), or when they are used as index terms in the form of nominal access points to a description of records or to a description of a creator of archival materials (see Overview of Archival Description).

## Exclusions

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

Instructions for identifying the persons, families, and corporate bodies who created, assembled, accumulated, and/or maintained and used the materials being described, as well as for providing contextual information about them, are found in Part II.

## Structure and Numbering

Part III has three chapters. Chapter 12 provides rules for formulating the names of persons and families, Chapter 13 provides rules for formulating the names of geographic entities that are used as part of the names of corporate bodies, and Chapter 14 provides rules for formulating the names of corporate bodies.

These chapters are unlike Chapters 2–10 in that they do not provide rules for elements that form part of a description. Instead they provide rules for the consistent formation of names of persons, families, and corporate bodies. For that reason, they are not structured in the same way as the other chapters. *DACS* has moved considerably away from the bibliographic model of *AACR2*, which stresses authorship, to supporting the archival emphasis on creatorship, and that shift is reflected in these rules.

The syntax of these rules is also slightly different from those of other chapters in this standard because of their origins in *AACR2* which is principally concerned with the creation of only one form of descriptive format, the catalog record. When the rules in this section direct the cataloger to “create a heading” or employ a similar phrase, they can be understood to mean, “create a name in the following standard form for use in a Name of Creator(s) Element, for inclusion in an archival authority record, or for the creation of an index term or access point in an electronic database or as the heading in a card index.”

However, the rules for formation of names in Chapters 12–14 have remained as close as possible to the most recent edition of *AACR2* to ensure that a search for a particular name in an integrated catalog containing descriptions of both archival and library holdings will yield all records regardless of their nature. The rules for formation of names differ from *AACR2* only where divergence is justified by archival practice. Minor changes to the rules have been made to make them less oriented toward published works, and some examples have been omitted or changed to make them more relevant to archival materials. However, the numbering system utilized by *AACR2* has been retained here to enable users to reference the same rules in both standards.

## CHAPTER 12

# Form of Names for Persons and Families

Commentary: Once a personal or family name has been chosen for recording in a Name of Creator(s) Element, for inclusion in an archival authority record, or as a nominal access point, the form of that name must be standardized. The purpose of this chapter is to provide rules for the standardized form of the names of persons and families. Regularization of names is critical to the formulation of consistent citations to archival materials and, particularly in online environments, to the retrieval of all relevant records. Therefore it is important for archivists to use the authority form of a name, if one exists, from the *Library of Congress Authorities*.<sup>46</sup> If there is no authorized form in the Name Authority File, the rules in this chapter should be applied. Other sources of information to be used in particular circumstances are indicated at various places within the rules themselves. When a rule in this chapter contains an instruction to make a reference, do so in accordance with the rules in section 11.1.

In the examples in this chapter, variant names (i.e., names that are not authorized names or forms of the name) are indicated by the letter x in front of them. This means that the variant name would be included in an authority record as instructed in Chapter 11.

For the most part, the numbering system in Chapter 12 follows that of Chapter 22 of AACR2, except that the DACS chapter number is substituted for AACR2 chapter number. Rule 22.16A3 in AACR2, for example, is 12.16A3 in DACS. The most significant difference between Chapter 22 of AACR2 and Chapter 12 of DACS is the addition of rules for forming the names of families. These rules have been numbered 12.29, picking up where AACR2 stops.

## Choice of Name

### 12.1. GENERAL RULES

12.1A. In general, choose, as the basis of the heading for a person, the name by which he or she is commonly known. This may be the person's real name, pseudonym, title of nobility, nickname, initials, or other appellation. Treat a roman numeral associated with a given name (as, for example, in the case of some popes, royalty, and ecclesiastics) as part of the name. For the treatment of the names of persons using one or more pseudonyms or a real name and one or more pseudonyms, see 12.2B. For the form of names used in headings, see 12.4–12.16.

~~William Shakespeare~~

~~D. W. Griffith~~

not — David Wark Griffith

---

<sup>46</sup> The authorized form of a personal name in a LCNAF record is given in the 100 field in a MARC 21 record.

~~Jimmy Carter~~  
~~not — James Earl Carter~~

~~Capability Brown~~  
~~not — Lancelot Brown~~

~~Anatole France~~  
~~not — Jacques Anatole Thibault~~

~~H. Dr.~~  
~~not — Hilda Doolittle~~

~~Duke of Wellington~~  
~~not — Arthur Wellesley~~

~~Sister Mary Hilary~~

~~Queen Elizabeth II~~

~~Pope John Paul II~~

~~12.1B. Determine the name by which a person is commonly known from the following sources and in the order of preference given:~~

- ~~a) the name that appears most frequently in the person's published works (if any);~~
- ~~b) the name that appears most frequently in the archival materials being described;~~
- ~~c) the name that appears in reference sources;<sup>47</sup>~~
- ~~d) the latest name.~~

~~If the name does not appear on a prescribed source of information (e.g., a photographer's papers that consists only of unsigned photographs) determine the name by which he or she is known from reference sources issued in his or her language or country of residence or activity.~~

~~12.1C. Include any titles of nobility or terms of honor (see also 12.12) or words or phrases (see also 12.8 and 12.16) that commonly appear either wholly or in part in association with names that do not include a surname. Omit such titles, terms, words, or phrases from any name that does include a surname (see also 12.5 and 12.15) unless the name consists only of a surname (see 12.15A) or the name is of a married woman identified only by her husband's name and a term of address (see 12.15B1). Include all terms of rank in headings for nobles when the term commonly appears with the name in works by the person or in reference sources (see 12.6 and 12.12). If an apparent addition to a name including a surname is in fact an intrinsic part of the name, as determined from reference sources or from works by or about that person, include the title. For the treatment of other terms appearing in association with the name, see 12.19B.~~

---

<sup>47</sup>~~The term *reference sources*, as used in this chapter, includes books and articles written about a person.~~

~~Viscountess Astor~~

~~Richard, Duke of York~~

~~Otto Fürst von Bismarck~~

~~Olga Maitland~~

~~not Lady Olga Maitland~~

~~Miss Read~~

~~Mrs. Humphry Ward~~

#### ~~12.1D. Diacritical Marks and Hyphens~~

~~12.1D1. Accents, etc. Include accents and other diacritical marks appearing in a name. Supply them if it is certain that they are integral to a name but have been omitted in the source(s) from which the name is taken.~~

~~Jacques Lefèvre d'Étaples~~

~~Éliphas Lévi~~

~~—(Sometimes appears without diacritical marks)~~

~~12.1D2. Hyphens. Retain hyphens between given names if they are used by the bearer of the name.~~

~~Gian-Carlo Menotti~~

~~Jean-Léon Jaurès~~

~~Include hyphens in romanized names if they are prescribed by the romanization system adopted by the institution.~~

~~Ch'oe Sin-dök~~

~~Jung Lu~~

~~Li Fei-kan~~

~~Omit a hyphen that joins one of a person's forenames to the surname.~~

~~Lucien Craux~~

~~—(Name appears as Lucien Craux)~~

#### ~~12.2. CHOICE AMONG DIFFERENT NAMES~~

##### ~~12.2A. Predominant Name~~

~~12.2A1. If a person (other than one using a pseudonym or pseudonyms, see 12.2B) is known by more than one name, choose the name by which the person is clearly most commonly known, if there is one. Otherwise, choose one name or form of name according to the following order of preference:~~

- a) ~~the name that appears most frequently in the person's published works (if any);~~
- b) ~~the name that appears most frequently in the archival materials being described;~~
- c) ~~the name that appears in reference sources;<sup>48</sup>~~
- d) ~~the latest name.~~

If a person's name shows a nickname in quotation marks or within parentheses as a part of other forename(s), omit the nickname in formulating the heading.

~~\_\_\_\_\_ Name used: Martin (Bud) Schulman  
 \_\_\_\_\_ Heading: Schulman, Martin~~

If a married woman's name shows her own forenames in parentheses as part of her married name, omit the parenthesized elements in formulating the heading.

~~\_\_\_\_\_ Name used: Mrs. John A. (Edna I.) Spies  
 \_\_\_\_\_ Heading: Spies, John A., Mrs.~~

#### 12.2B. Pseudonyms

A pseudonym is defined as "a name assumed by a personal author<sup>49</sup> to conceal or obscure his or her identity." Apply these rules only if a person has published or distributed works under a pseudonym. Otherwise choose the person's real name.

**12.2B1. One Pseudonym.** If all the works or records of one person are identified only by a pseudonym, choose the pseudonym. If the real name is known, make a reference from the real name to the pseudonym. For the treatment of a pseudonym used jointly by two or more persons, see rule 21.6D in *AACR2*.

~~George Orwell  
 not Eric Arthur Blair~~

~~Martin Ross  
 not Violet Frances Martin~~

~~Nevil Shute  
 not Nevil Shute Norway~~

~~Woody Allen  
 not Allen Stewart Konigsberg~~

**12.2B2. Separate Identities.** If a person has established two or more identities, as indicated by the fact that works or records of one type appear under one pseudonym, and works or records of other types appear under the person's real name or other pseudonyms, choose, as the basis for the heading for each group of works or records, the name by which those works or records are identified. Make references to connect the

<sup>48</sup> The term *reference sources*, as used in this chapter, includes books and articles written about a person.

<sup>49</sup> *Personal author* is defined here as the person chiefly responsible for the creation of the intellectual or artistic content of a work.

names. In case of doubt, do not consider a person to have separate identities. For contemporary authors, see also 12.2B3.

~~C. Day Lewis~~  
~~—(Real name used in poetic and critical works)~~

~~Nicholas Blake~~  
~~—(Pseudonym used in detective novels)~~

~~Charles L. Dodgson~~  
~~—(Real name used in works on mathematic and logic)~~

~~Lewis Carroll~~  
~~—(Pseudonym used in literary works)~~

~~Frederic Dannay~~  
~~—(Real name used in his papers)~~

~~Ellery Queen~~  
~~—(Shared pseudonym used in detective novels with Manfred Lee; see also AACR2 rule 21.6D)~~

~~12.2B3. Contemporary Authors. If a contemporary author uses more than one pseudonym, or his or her real name and one or more pseudonyms, use, as the basis for the heading for each unit being described, the name appearing in it. Make references to connect the names.~~

~~Ed McBain~~  
~~Evan Hunter~~  
~~—(Pseudonyms used by the same person)~~

~~Philippa Carr~~  
~~Victoria Holt~~  
~~Kathleen Kellow~~  
~~Jean Plaidy~~  
~~Ellallice Tate~~  
~~—(Pseudonyms used by the same person)~~

~~Kingsley Amis~~  
~~—(Real name used in most works)~~  
~~Robert Markham~~  
~~—(Pseudonym used in one work)~~

~~If, in the works of contemporary authors, different names appear in different editions or versions of the same work or two or more names appear in one edition or version, choose, for all editions or versions, the name most frequently used in editions or versions of the work. If that cannot be determined readily, choose the name appearing in the latest available edition or version of the work. Make name title references from the other name or names.~~

~~12.2B4. If a person using more than one pseudonym, or his or her real name and one or more pseudonyms, but the use of the pseudonym(s) is not consistent enough for the creator to be clearly known by any of them (i.e., the person has neither established separate identities (see 12.2B2), nor is a contemporary author (see 12.2B3)), choose, as the basis for the heading, the person's real name. Make references from other names.~~



## 12.2C. Change of Name

12.2C1. If a person (other than one using a pseudonym or pseudonyms) has changed his or her name, choose the latest name or form of name unless there is reason to believe that an earlier name will persist as the name by which the person is better known. Follow the same rule for a person who has acquired and become known by a title of nobility (see also 12.6). As required, make references from the other form(s).

~~Dorothy Belle Hughes~~  
~~not — Dorothy Belle Flanagan~~  
*(Name used in published works before author's marriage)*

~~Jacqueline Onassis~~  
~~not — Jacqueline Bouvier~~  
~~not — Jacqueline Kennedy~~  
*(Names used before marriage and during first marriage)*

~~Ford Madox Ford~~  
~~not — Ford Madox Hueffer~~  
*(Name changed from Hueffer to Ford)*

~~Muhammed Ali~~  
~~not — Cassius Clay~~  
*(Name changed from Cassius Clay to Muhammed Ali)*

~~Judy Garland~~  
~~not — Frances Gumm~~  
*(Stage name adopted, by which she is commonly known)*

~~Benjamin Disraeli~~  
~~not — Earl of Beaconsfield~~  
*(Title acquired late in life; better known by another name)*

## 12.3. CHOICE AMONG DIFFERENT FORMS OF THE SAME NAME

### 12.3A. Fullness

12.3A1. If the forms of a name vary in fullness, choose the form of the name according to the following order of preference:

- a) the name that appears most frequently in the person's published works (if any);
- b) the name that appears most frequently in the archival materials being described;
- c) the name that appears in reference sources;<sup>50</sup>
- d) the latest name.

As required, make references from the other form(s).

<sup>50</sup>The term *reference sources*, as used in this chapter, includes books and articles written about a person.

~~Morris West~~  
~~—(Most common form: Morris West)~~  
~~—(Occasional form: Morris L. West)~~

~~P.X. Smith~~  
~~—(Most common form: P.X. Smith)~~  
~~—(Occasional forms: Peter Xavier Smith, Peter X. Smith, Xavier Smith)~~

If no one form predominates, choose the latest form. In case of doubt about which is the latest form, choose the fuller or fullest form.

### 12.3B. Language

~~12.3B1. People Using More than One Language. If the name of a person who has used more than one language appears in different language forms in his or her works, in reference sources, in his or her papers, in administrative acquisition records, or in other archival records, choose the form according to the following order of preference:~~

- ~~a) the form corresponding to the language of most of that person's published work (if any);~~
- ~~b) the form corresponding to the language of most of that person's papers;~~
- ~~c) the form that appears most frequently in reference sources.~~

~~George Mikes~~  
~~not — György Mikes~~

~~Philippe Garigue~~  
~~not — Philip Garigue~~

If, however, one of the languages is Latin or Greek, apply 12.3B2.

If no one form predominates, choose the form most commonly found in reference sources of the person's country of residence or activity.

For persons identified by a well-established English form of name, see 12.3B3. If the name chosen is written in a nonroman script, see 12.3C.

~~12.3B2. Names in Vernacular and Greek or Latin Forms. If a name occurs in reference sources or in the person's works, in his or her papers, in administrative acquisition records, or in other archival records, in a Greek or Latin form as well as in a form in the person's vernacular, choose the form most commonly found in reference sources.~~

~~Sixt Birck~~  
~~not — Xystus Betulius~~

~~Hugo Grotius~~  
~~not — Hugo de Groot~~

In case of doubt, choose the Latin or Greek form for persons who were active before, or mostly before, A.D. 1400. For persons active after that date, choose the vernacular form.

~~Giovanni da Imola~~  
not ~~Joannes de Imola~~  
(Died 1436)

~~12.3B3. Names Written in the Roman Alphabet and Established in an English Form. Choose the English form of name for a person entered under given name, etc., (see 12.8) or for a Roman of classical times (see 12.9A) whose name has become well established in an English form in English language reference sources.~~

~~Saint Francis of Assisi~~  
not ~~San Francesco d'Assisi~~

~~Pope John XXIII~~  
not ~~Joannes Papa XXIII~~

~~Horace~~  
not ~~Quintus Horatius Flaccus~~

~~Charles V~~  
not ~~Karl V~~  
not ~~Carlos I~~

In case of doubt, use the vernacular or Latin form.

~~Sainte Thérèse de Lisieux~~  
not ~~Saint Theresa of Lisieux~~

~~12.3B4. Other Names. In all cases of names found in different language forms and not covered by 12.3B1–12.3B3, choose the form most frequently found in reference sources of the person's country of residence or activity.~~

~~Hildegard Knef~~  
not ~~Hildegarde Neff~~

~~12.3C. Names Written in a Nonroman Script<sup>54</sup>~~

~~12.3C1. People Entered under Given Name, etc. Choose the form of name that has become well established in English language reference sources for a person entered under given name, etc. (see 12.8) whose name is in a language written in a nonroman script. If variant English language forms are found, choose the form that occurs most frequently. As required, make references from other forms.~~

~~Alexander the Great~~  
not ~~Alexandros ho Megalos~~

<sup>54</sup> Systematic romanizations used in the examples in this chapter follow the tables (published by the Library of Congress in *Cataloging Service*, bulletin 118) adopted jointly by the American Library Association, the Canadian Library Association, and the Library of Congress.

~~Confucius~~  
~~not — K`ung-tzu~~

~~Homer~~  
~~not — Homeros~~  
~~not — Homerus~~

~~Isaiah the Prophet~~  
~~not — Yeha`yahu~~

If no English romanization is found, or if no one romanization predominates, romanize the name according to the table for the language adopted by the institution.

~~12.3C2. People Entered under a Surname.<sup>52</sup> If the name of a person entered under surname (see 12.5) is written in a nonroman script, romanize the name according to the table for the language adopted by the institution. Add vowels to names that are not vocalized. As required, make references from other romanized forms.~~

~~Lin Yü-t`ang~~  
~~not — Lin Yutang~~

~~P.S. Irāmaeantiran~~  
~~not — P.S. Ramachandran~~

~~Mosheh Dayan~~  
~~not — Moshe Dayan~~

~~Shelomit Kohen~~  
~~not — Shlomit Cohen~~

If the name of a person is found only in a romanized form, use it as found.

~~Ghaoutsi Bouali~~  
~~not — Ghawthī`Abū`Alī~~

If such a person's name is found in more than one romanized form, choose the form that occurs most frequently.

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<sup>52</sup> ~~Alternative rule. This alternative rule may be applied selectively language by language.~~

~~—Persons entered under a surname. Choose the romanized form of name that has become well-established in English-language reference sources for a person entered under a surname (see 12.5) whose name is in a language written in a nonroman script. For a person who uses Hebrew or Yiddish and whose name is not found to be well-established in English-language reference sources, choose the romanized form appearing in his or her works, or in the materials being described.~~

~~—If variant romanized forms are found in English-language reference sources, choose the form that occurs most frequently.~~

~~—As required, make references from other romanized forms.~~

~~Lin Yutang~~  
~~not — Lin Yü-t`ang~~

If a name is written in more than one nonroman script, romanize it according to the table for the original language of most of the works or of most of the archival records being described (in that order of preference). As required, make references from other romanized forms:

~~Raghuṇātha Sūri~~  
~~not — Irakunātaoūri~~  
(Wrote primarily in Sanskrit but also in Tamil)

In case of doubt as to which of two or more languages written in the Arabic script should be used for the romanization, base the choice on the nationality of the person or the language of the area of residence or activity. If these criteria do not apply, choose (in this order of preference): Urdu, Arabic, Persian, any other language.

### 12.3D. Spelling

12.3D1. If variant spellings of a person's name are found and these variations are not the result of different romanizations, choose the form resulting from an official change in orthography, or, if this does not apply, choose the predominant spelling. In case of doubt, choose the spelling that seems most appropriate. For spelling differences resulting from different romanizations, see 11.3C.

## Entry Element

### 12.4. GENERAL RULES

12.4A. If a person's name (chosen according to 12.1–12.3) consists of several parts, select as the entry element that part of the name under which the person would normally be listed in authoritative alphabetic lists<sup>53</sup> in his or her language or country of residence or activity. In applying this general rule, follow the instructions in 12.5–12.9. If, however, a person's preference is known to be different from the normal usage, follow that preference in selecting the entry element.

### 12.4B. Order of Elements

12.4B1. If the entry element is the first element of the name, enter the name in direct order:

~~Ram Gopal~~

~~Gray Lock~~

12.4B2. If the first element is a surname,<sup>54</sup> follow it by a comma:

<sup>53</sup> *Authoritative alphabetic lists* means publications of the “who's who” type or biographical dictionaries, encyclopedias, but not telephone directories or similar compilations.

<sup>54</sup> *Surname*, as used in this chapter, includes any name used as a family name (other than those used as family names by Romans of classical times; see 12.9A).

~~Chiang, Kai-shek  
—(Name: Chiang Kai-shek)  
—(Surname: Chiang)~~

~~Molnár, Ferenc  
—(Name: Molnár Ferenc)  
—(Surname: Molnár)~~

~~Trịnh, Văn Thành  
—(Name: Trịnh Văn Thành)  
—(Surname: Trịnh)~~

12.4B3. If the entry element is not the first element of the name, transpose the elements of the name preceding the entry element. Follow the entry element by a comma.

~~Cassatt, Mary  
(Name: Mary Cassatt)~~

12.4B4. If the entry element is the proper name in a title of nobility (see 12.6), follow it by the personal name in direct order and then by the part of the title denoting rank. Precede the personal name and the part of the title denoting rank by commas.

~~Leighton, Frederick Leighton, Baron  
Caradon, Hugh Foot, Baron~~

## 12.5. ENTRY UNDER SURNAME

### 12.5A. General Rule

12.5A1. Enter a name containing a surname (or consisting only of a surname, see 12.15A) under that surname unless subsequent rules (e.g., 12.6, 12.10) provide for entry under a different element.

~~Anka, Paul  
Fitzgerald, Ella  
Byatt, A. S.  
Ching, Frances K. W.  
Mantovani~~

If the surname is represented by an initial, but at least one element of the name is given in full, enter under the initial that represents the surname.

~~G., Michael~~

~~12.5B. Element other than the First Treated as a Surname<sup>55</sup>~~

~~12.5B1. If the name does not contain a surname but contains an element that identifies the individual and functions as a surname, enter under this element followed by a comma and the rest of the name:~~

~~Hus, Jan~~

~~Ali, Muhammad  
(The American boxer)~~

~~X, Malcolm~~

~~12.5C. Compound Surnames~~

~~12.5C1. Preliminary Rule. The following rules deal with the entry of surnames consisting of two or more proper names (referred to as “compound surnames”) and names that may or may not contain compound surnames. Apply the rules in the order given. Refer from elements of compound surnames not chosen as the entry element.~~

~~12.5C2. Preferred or Established Form Known. Enter a name containing a compound surname under the element by which the person bearing the name prefers to be entered.<sup>56</sup> If this is unknown, enter the name under the element under which it is listed in reference sources<sup>57</sup> in the person’s language or country of residence or activity.~~

~~Fénelon, Francois de Salignae de la Mothe~~

~~Lloyd George, David  
(Paternal surname: George)~~

~~Maehado de Assis, Joaquim Maria  
(Paternal surname: de Assis)~~

~~12.5C3. Hyphenated Surnames. If the elements of a compound surname are regularly or occasionally hyphenated, enter under the first element (see also 12.5E1).~~

~~Day-Lewis, C.~~

~~Henry-Bordeaux, Paule~~

~~Chaput-Roland, Solange~~

<sup>55</sup> For Islamic names, see rules 22.22, 22.26C1a, and 22.27 in *AACR2*, 2002 revision.

<sup>56</sup> Take regular or occasional initializing of an element preceding a surname as an indication that that element is not used as part of the surname.

~~Chavarri, Eduardo López  
(Name sometimes appears as: Eduardo L. Chavarri)~~

~~Campbell, Julia Morrila de  
(Name sometimes appears as: Julia M. de Campbell)~~

<sup>57</sup> Disregard reference sources that list compound surnames in a uniform style regardless of preference or customary usage.

~~Lykke-Seest, Hans~~

~~Sainte-Marie, Buffy~~

**12.5C4. Other Compound Surnames, Except those of Married Women whose Surname Consists of Surname before Marriage and Husband's Surname.** Enter under the first element of the compound surname unless the person's language is Portuguese. If the person's language is Portuguese, enter under the last element.

~~Johnson-Smith, Geoffrey~~

~~Hungry-Wolf, Adolf~~

~~Cotarelo y Mori, Emilio~~

~~Straus und Torney, Lulu von~~

~~Halasy-Nagy, József~~

~~Martel-Richard, Micheline~~

~~but—Silva, Ovidio Saraiva de Carvalho e~~

**12.5C5. Married Women whose Surname Consists of Surname before Marriage and Husband's Surname.** Enter under the first element of the compound surname (regardless of its nature) if the person's language is Czech, French, Hungarian, Italian, or Spanish. In all other cases, enter under the husband's surname. For hyphenated names, see 12.5C3.

~~Benacci-Brunamonti, Alinda  
(Language of person: Italian)~~

~~Molina y Vedia de Bastianini, Delfina  
(Language of person: Spanish)~~

~~but—Stowe, Harriet Beecher  
(Language of person: English)~~

~~Wang Ma, His-ch'un  
(Language of person: Chinese)~~

**12.5C6. Nature of Surname Uncertain.** If a name has the appearance of a compound surname but its nature is not certain, treat it as a compound surname unless the language of the person is English, Danish, Faroese, Norwegian, or Swedish.

If the person's language is English, enter under the last part of the name and do not refer from the preceding part unless the name has been treated as a compound surname in reference sources.

~~Adams, John Crawford~~



~~Robertson, E. Arnot~~

If the person's language is Danish, Faroese, Norwegian, or Swedish, enter under the last part of the name and refer from the preceding part.

~~Mahrt, Haakon Bugge  
—x Bugge Mahrt, Haakon~~

~~Olsen, Ib Spang  
—x Spang-Olsen, Ib~~

**12.5C7. Place Names Added to Surnames.** Treat a place name added to a person's surname and connected to it by a hyphen as part of the surname (see 12.5C3).

~~Müller-Breslau, Heinrich~~

**12.5C8. Words Indicating Relationship Following Surname.** Treat *Filho*, *Junior*, *Alto*, *Netto*, or *Sobrinho* following a Portuguese surname as part of the surname.

~~Castro Sobrinho, Antonio Ribeiro de~~

~~Marques Junior, Henrique~~

Omit similar terms (e.g., *Jr.*, *Sr.*, *filis*, *père*) occurring in languages other than Portuguese. If such a term is required to distinguish between two or more identical names, add it as instructed in 12.19B.

#### 12.5D. Surnames with Separately Written Prefixes

**12.5D1. Articles and Prepositions.** If a surname includes an article or preposition or combination of the two, enter under the element most commonly used as entry element in alphabetically arranged directories or other resources in the person's language or country of residence or activity. The rules listed under languages and language groups below summarize entry element practice.

If such a name is listed in a nonstandard fashion in reference sources in the person's language or country of residence, enter under the entry element used in those sources.

If a person has used two or more languages, enter the name according to the language used in most of that person's published works, in the materials being described, or in reference sources (in that order of preference). In case of doubt, follow the rules for English if English is one of the languages. Otherwise, if the person is known to have changed his or her country of residence, follow the rules for the language of the adopted country. As a last resort, follow the rules for the language of the name.

Languages and language groups:

~~Afrikaans: Enter under the prefix.~~

~~De Villiers, Anna Johanna Dorothea~~

~~Du Toit, Stephanus Johannes~~

~~Van der Post, Christiaan Willem Hendrik~~

~~Von Wielligh, Cideon Retief~~

~~Czech and Slovak: If the surname consists of a place name in the genitive case preceded by z, enter under the part following the prefix. Refer from the place name in the nominative case. Omit the Z from the reference.~~

~~Žerotina, Karel z  
x Žerotín, Karel~~

~~Danish: See Scandinavian languages.~~

~~Dutch: If the surname is Dutch, enter under the part following the prefix unless the prefix is *van*. In that case, enter under the prefix.~~

~~Aa, Pieter van der~~

~~Beeck, Leo op de~~

~~Braak, Menno ter~~

~~Brink, Jan ten~~

~~Driessche, Albert van~~

~~Hertog, Ary den~~

~~Hoff, Jacobus Henricus van 't~~

~~Wijngaert, Frank van den~~

~~Winter, Karel de~~

~~Ver Boven, Daisy~~

~~If the surname is not Dutch, enter the name of a Netherlander under the part following the prefix and the name of a Belgian according to the rules for the language of the name.~~

~~Faille, Jacob Baart de la  
—(Netherlander)~~

~~Long, Isaac le  
—(Netherlander)~~

~~Du Jardin, Thomas  
—(Belgian; French name)~~

~~English: Enter under the prefix.~~

~~À Beckett, Gilbert Abbott~~

~~D'Anvers, Knightley~~

~~De Morgan, Augustus~~

~~De la Mare, Walter~~

~~Du Maurier, Daphne~~

~~Le Callienne, Richard~~

~~Le Page, John~~

~~Van Buren, Martin~~

~~Von Braun, Werner~~

~~Flemish: See Dutch.~~

~~French: If the prefix consists of an article or of a contraction of an article and a preposition, enter under the prefix.~~

~~Le Rouge, Gustave~~

~~La Bruyère, René~~

~~Du Méril, Édouard Pontas~~

~~Des Granges, Charles-Marc~~

~~Otherwise, enter under the part of the name following the preposition.~~

~~Aubigné, Théodore Agrippa d'~~

~~Musset, Alfred de~~

~~La Fontaine, Jean de~~

~~German: If the name is German and the prefix consists of an article or of a contraction of an article and a preposition, enter under the prefix.~~

~~Am Thym, August~~

~~Aus'm Weerth, Ernst~~

~~Vom Ende, Erich~~

~~Zur Linde, Otto~~

~~Follow the same rule for Dutch names with a prefix consisting of an article or of a contraction of an article and a preposition.~~

~~De Boor, Hans Otto  
(Name of Dutch origin)~~

~~Ten Bruggencate, Paul  
(Name of Dutch origin)~~

~~Enter other German and Dutch names under the part of the name following the prefix.~~

~~Goethe, Johann Wolfgang von~~

~~Mühl, Peter von der~~

~~Urff, Georg Ludwig von und zu~~

~~Enter names that are neither German nor Dutch according to the rules for the language of the name.~~

~~Du Bois-Reymond, Emil~~

~~Le Fort, Gertrud~~

~~Italian: Enter modern names under the prefix.~~

~~A Prato, Giovanni~~

~~D'Arienzo, Nicola~~

~~Da Ponte, Lorenzo~~

~~De Amicis, Pietro Maria~~

~~Del Lungo, Isidoro~~

~~Della Volpaia, Eufrosino~~

~~Li Greei, Gioacchino~~

~~Le Savio, Niccolò~~

~~For medieval and early modern names, consult reference sources about whether a prefix is part of a name. If a preposition is sometimes omitted from the name, enter under the part following the preposition. *De, de', degli, dei,* and *de li* occurring in names of the period are rarely part of the surname.~~

~~Alberti, Antonio degli~~

~~Anghiera, Pietro Martire d'~~

~~Medici, Lorenzo de'~~

Do not treat the preposition in an Italian title of nobility used as an entry element (see 12.6A) as a prefix.

~~Norwegian: See Scandinavian languages.~~

~~Portuguese: Enter under the part of the name following the prefix.~~

~~Fonseca, Martinho Augusto da~~

~~Santos, João Adolpho dos~~

~~Romanian: Enter under the prefix unless it is *da*. In that case, enter under the part of the name following the prefix.~~

~~A Marici, Vasile~~

~~Scandinavian languages: Enter under the part of the name following the prefix if the prefix is of Scandinavian, German, or Dutch origin (except for the Dutch *de*). If the prefix is the Dutch *de* or is of another origin, enter under the prefix.~~

~~Hallström, Gunnar Johannes af~~

~~Linné, Carl von~~

~~De Geer, Gerard~~

~~De la Gardie, Magnus Gabriel~~

~~La Cour, Jens Lassen~~

~~Slovak: See Czech and Slovak.~~

~~Spanish: If the prefix consists of an article only, enter under it.~~

~~Las Heras, Manuel Antonio~~

~~Enter all other names under the part following the prefix.~~

~~Figueroa, Francisco de~~

~~Casas, Bartolomé de las~~

~~Río, Antonio del~~

~~Swedish: See Scandinavian languages.~~

~~12.5D2. Other Prefixes. If the prefix is neither an article, nor a preposition, nor a combination of the two, enter under the prefix.~~

~~À Beckett, Gilbert Abbott~~

~~Āl Yāsīn, Muhammad Hasan~~

~~Ap Rhys Price, Henry Edward~~

~~Ben Mayr, Berl~~

~~Ó Faoláin, Seán~~

~~Mae Muireadach, Niall Mór~~

~~12.5E. Prefixes Hyphenated or Combined with Surnames~~

~~12.5E1. If the prefix is regularly or occasionally hyphenated or combined with the surname, enter the name under the prefix. As required, refer from the part of the name following the prefix.~~

~~FitzGerald, David~~

~~MaeDonald, William~~

~~DeBure, Guillaume~~

~~—x Bure, Guillaume de~~

~~Fen Lampe, A. A.~~

~~—x Lampe, A. A. Fen~~

~~12.5F. Members of Royal Houses Entered under Surname, etc.~~

~~12.5F1. Enter the name of a member of a royal house no longer reigning or of a royal house that has lost or renounced its throne, and who is no longer identified as royalty, under the surname or the part of the name by which he or she is identified in his or her published works, in his or her papers, or in reference sources (in that order of preference); if there is no surname (e.g., name of the house or dynasty, territorial title). Add titles that the person still uses as instructed in 12.12. Refer from the given name followed by the title as instructed in 12.16A1–12.16A4.~~

~~Bernadotte, Folke~~

~~—x Bernadotte af Wisborg, Folke, greve~~

~~—x Folke, Count Bernadotte of Wisborg~~

~~—x Wisborg, Folke Bernadotte, greve af~~

~~Habsburg, Otto~~

~~—x Otto, Archduke of Austria~~

~~Hohenzollern, Franz Joseph, Fürst von~~

~~—x Franz Joseph, Prince of Hohenzollern~~

~~Paris, Henri, comte de~~  
~~—x Henri, Count of Paris~~

~~Wied, Maximilian, Prinz von~~  
~~—x Maximilian, Prince of Wied~~

## 12.6. ENTRY UNDER TITLE OF NOBILITY

### 12.6A. General Rule

12.6A1. Enter under the proper name in a title of nobility (including courtesy titles) if the person is known by that title. Apply this rule to those persons who

- a) use their titles rather than their surnames in their published or distributed works; or
- b) are listed under their titles in reference sources.<sup>58</sup>

Follow the proper name in the title by the personal name (excluding unused forenames) in direct order and the term of rank<sup>59</sup> in the vernacular. Omit the surname and term of rank if the person does not use a term of rank or a substitute for it. Refer from the surname unless the proper name in the title is the same as the surname.

~~Byron, George Gordon Byron, Baron~~

~~Nairne, Carolina Nairne, Baroness~~

~~Bolingbroke, Henry St. John, Viscount~~  
~~—x St. John, Henry, Viscount Bolingbroke~~

~~Cavour, Camillo Benso, conte di~~  
~~—x Benso, Camillo, conte di Cavour~~

~~Willoughby de Broke, Richard Greville Verney, Baron~~  
~~—x Broke, Richard Greville Verney, Baron Willoughby de~~  
~~—x Verney, Richard Greville, Baron Willoughby de Broke~~

~~Winchilsea, Anne Finch, Countess of~~  
~~—x Finch, Anne, Countess of Winchilsea~~

~~Monluc, Blaise de~~  
~~(Name appears as: Blaise de Monluc)~~  
~~—x Lasseran Massencome, Blaise de, seigneur de Monluc~~  
~~—x Massencome, Blaise de Lasseran, seigneur de Monluc~~

### 12.6B. Special Rules

12.6B1. Some titles in the Great Britain peerage include a territorial designation that may or may not be an integral part of the title. If the territorial designation is an integral part of the title, include it.

<sup>58</sup> Disregard reference sources that list members of the nobility either all under title or all under surname.

<sup>59</sup> The terms of rank in the Great Britain peerage are *duke*, *duchess*, *marquess* (*marquis*), *marchioness*, *earl*, *countess*, *viscount*, *viscountess*, *baron*, and *baroness*. The heir of a British peer above the rank of baron usually takes the next to highest title of the peer during the peer's lifetime.

~~Russell of Liverpool, Edward Frederick Langley Russell,  
Baron~~

If it is not an integral part of the title, or if there is doubt that it is, omit it.

~~Bracken, Brendan Bracken, Viscount  
not — Bracken of Christchurch, Brendan Bracken, Viscount~~

12.6B2. Apply 12.6A1 to judges of the Scottish Court of Session bearing a law title beginning with *LORD*.

~~Kames, Henry Home, Lord  
—x Home, Henry, Lord Kames~~

12.6B3. If a person acquires a title of nobility, disclaims such a title, or acquires a new title of nobility, follow the instructions in 12.2C in choosing the name to be used as the basis for the heading.

~~Caradon, Hugh Foot, Baron  
—(Previously Hugh Foot)~~

~~George Brown, George Brown, Baron  
—(Previously George Brown)~~

~~Grigg, John  
—(Previously Baron Altrincham; *peerage disclaimed*)~~

~~Hailsham of St. Marylebone, Quintin Hogg, Baron  
(Originally Quintin Hogg; *became* Viscount Hailsham, 1950; *peerage disclaimed*,  
1963; *became* Baron Hailsham of St. Marylebone, 1970)~~

## 12.7. ENTRY UNDER ROMANIAN PATRONYMIC

12.7A. If a name of a person whose language is Romanian contains a patronymic with the suffix *ade*, enter under that patronymic.

~~Heliade Rădulescu, Ion~~

## 12.8. ENTRY UNDER GIVEN NAME, ETC.

### 12.8A. General Rule

12.8A1. Enter a name that does not include a surname and that is borne by a person who is not identified by a title of nobility under the part of the name under which the person is listed in reference sources. In case of doubt, enter under the last element, following the instructions in 12.5B. Include in the name any words or phrases denoting place of origin, domicile, occupation, or other characteristics that are commonly associated with the name in that person's published works, in his or her papers, or in reference sources (in that order of preference). Precede such words or phrases by a comma unless the name cannot be broken down into "name" and "phrase" components. Refer, as appropriate, from the associated words or phrases, from variant forms of the name and from other names by which the person is known.



~~John, the Baptist~~

~~Leonardo, da Vinci~~  
~~—x Vinci, Leonardo da~~

~~Alexander, of Aphrodisias~~  
~~—x Aphrodisias, Alexander of~~  
~~—x Alexander, Aphrodisiensis~~  
~~—x Alexander, von Aphrodisias~~  
~~—x Alexandre, d'Aphrodise~~

~~Judas Iscariot~~  
~~—x Iscariot, Judas~~

~~John of the Cross~~

**12.8A2.** If a person with such a name is listed in reference sources by a part of the name other than the first, follow the instructions in 12.5B.

~~Planudes, Maximus~~

~~Helena, Maria~~

#### **12.8B. Names Including a Patronymic**

**12.8B1.** If a name consists of one or more given names and a patronymic, enter it under the first given name, followed by the rest of the name in direct order. If the patronymic precedes the given name(s), transpose the elements to bring the first given name into first position. Refer from the patronymic. For Icelandic names, see 12.9B.

~~Solomon Gebre Christos~~  
~~—(Given name: Solomon)~~  
~~—(Patronymic: Gebre Christos)~~  
~~—x Gebre Christos, Solomon~~

~~Isaac ben Aaron~~  
~~—(Given name: Isaac)~~  
~~—(Patronymic: ben Aaron)~~  
~~—x Aaron, Isaac ben~~

#### **12.8C. Names of Royal Persons**

**12.8C1.** If the name by which a royal person is known includes the name of a royal house, dynasty, territorial designation, etc., or a surname, enter the name in direct order. Add titles as instructed in 12.16A.

~~John II Comnenus ...~~

~~Louis Bonaparte ...~~

~~Chandragupta Maurya ...~~

~~Eleanor, of Aquitaine ...~~

~~Daulat Rao Sindhia ...~~

~~Ming T'ai-tsu ...~~

## 12.9. ENTRY OF OTHER NAMES

### 12.9A. Roman Names

12.9A1. Enter a Roman active before, or mostly before, A.D. 476 under the part of the name most commonly used as entry element in reference sources.

~~Caesar, Gaius Julius~~

~~Antoninus Pius~~

In case of doubt, enter the name in direct order.

~~Martianus Capella~~

### 12.9B. Icelandic Names

12.9B1. Enter an Icelandic name under the first given name, followed by the other given names (if present), by the patronymic, and by the family name, in direct order. If a phrase naming a place follows the given name(s), patronymic, or family name, treat it as an integral part of the name. Refer from the patronymic and from the family name.

~~Svava Jakobsdóttir  
(Given name: Svava)  
(Patronymic: Jakobsdóttir)  
—x Jakobsdóttir, Svava~~

~~Halldór Laxness  
(Given name: Halldór)  
(Family name: Laxness)  
—x Laxness, Halldór~~

~~Bjarni Benediktsson frá Hofteigi  
(Given name: Bjarni)  
(Patronymic: Benediktsson)  
(Words denoting place: frá Hofteigi)  
—x Benediktsson frá Hofteigi, Bjarni  
—x Benediktsson, Bjarni  
—(To be made only when warranted in a particular catalog)~~

~~Jóhannes úr Kötlum  
(Given name: Jóhannes)  
(Words denoting place: úr Kötlum)~~

## 12.10. ENTRY UNDER INITIALS, LETTERS, OR NUMERALS

12.10A. Enter a name consisting of initials, or separate letters, or numerals, or consisting primarily of initials, under those initials, letters, or numerals in direct order. Include any typographic devices that appear as part of multiletter abbreviations of a name, but omit them when they follow single letter initials. Include any words or phrases associated with the initials, letters, or numerals.

~~H., D.~~  
~~—x D., H.~~

~~A. de O.~~  
~~—x O., A. de~~

~~B., abbé de~~  
~~—(Name appears as abbé de B...)~~

~~i.e., Master~~  
~~—x e., i., Master~~  
~~—x Master i.e.~~

~~110908~~  
~~—x One Hundred and Ten Thousand, Nine Hundred and Eight~~  
~~—x One, One, Zero, Nine, Zero, Eight~~

#### ~~12.11. ENTRY UNDER PHRASE~~

~~12.11A. Enter in direct order a name that consists of a phrase or appellation that does not contain a forename.~~

~~Dr. X~~

~~Father Time~~

~~Pan Painter~~

~~Also enter in direct order a phrase that consists of a forename or forenames preceded by words other than a term of address or a title of position or office. Make a reference from the forename(s) followed by the initial word(s).~~

~~Poor Richard~~  
~~—x Richard, Poor~~

~~Buckskin Bill~~  
~~—x Bill, Buckskin~~

~~Calamity Jane~~  
~~—x Jane, Calamity~~

~~Boy George~~  
~~—x George, Boy~~

~~If, however, such a name has the appearance of a forename, forenames, or initials, and a surname, enter under the pseudosurname. Refer from the name in direct order.~~

~~Other, A. N.~~  
~~—x A. N. Other~~

~~If such a name does not convey the idea of a person, add in parentheses a suitable designation in English.~~

~~River (Writer)~~

~~Taj Mahal (Musician)~~

12.11B. If a phrase consists of a forename preceded by a term of address (e.g., a word indicating relationship) or a title of position or office (e.g., a professional appellation), enter under the forename. Treat other word(s) as additions to the forename(s) (see 12.8A1). Refer from the name in direct order.

~~Fannie, Cousin~~  
~~—x Cousin Fannie~~

~~Jemima, Aunt~~  
~~—x Aunt Jemima~~

~~Pierre, Chef~~  
~~—x Chef Pierre~~

## Additions To Names: General

### 12.12. TITLES OF NOBILITY AND TERMS OF HONOR

12.12A. Titles of Nobility. To the name of a nobleman or noblewoman not entered under title (see 12.6), add the title of nobility in the vernacular if the title or part of the title or a substitute for the title<sup>60</sup> appears with the name in the person's published works, in his or her papers, or in reference sources (in that order of preference).<sup>61</sup> In case of doubt, add the title.

~~Bismarck, Otto, Fürst von~~

~~Sévigné, Marie Rabutin-Chantal, marquise de~~  
but

~~Buchan, John~~  
~~—(Title Baron Tweedsmuir not used in the majority of his works)~~

~~Visconti, Luchino~~  
~~—(Title conte de Modrone not used in his works)~~

### 12.13. SAINTS

12.13A. Add "Saint" after the name of a Christian saint, unless the person was a pope, emperor, empress, king, or queen, in which case follow 12.16A–12.16B.

~~Alban, Saint~~

~~Teresa, of Avila, Saint~~

~~Francis, of Assisi, Saint~~

<sup>60</sup> Great Britain peers (other than dukes and duchesses) usually use the terms of address *Lord* or *Lady* in place of their titles. For example, George Gordon, Baron Byron, is almost invariably referred to as Lord Byron.

<sup>61</sup> Disregard, in this context, reference sources dealing with the nobility.

~~Merc, Thomas, Sir Saint~~

~~Seton, Elizabeth Ann, Saint~~

**12.13B.** Add any other suitable word or phrase necessary to distinguish between two saints.

~~Augustine, Saint, Archbishop of Canterbury~~

~~Augustine, Saint, Bishop of Hippo~~

#### **12.14. Spirits**

**12.14A.** Add "(Spirit)" to a heading established for a spirit communication.

~~Parker, Theodore (Spirit)~~

~~Beethoven, Ludwig van (Spirit)~~

~~Espirito Universal (Spirit)~~

#### **12.15. ADDITIONS TO NAMES ENTERED UNDER SURNAME**

**12.15A.** If the name by which a person is known consists only of a surname, add the word or phrase associated with the name in the person's published works, in his or her papers, or in reference sources (in that order of preference). As required, refer from the name in direct order.

~~Deidier, abbé~~

~~Moses, Grandma  
—x Grandma Moses~~

~~Read, Miss  
—x Miss Read~~

~~Seuss, Dr.  
—x Dr. Seuss~~

If no such word or phrase exists, make additions to surnames alone only when they are needed to distinguish two or more persons with the same name (see 12.19B).

#### **12.15B. Terms of Address of Married Women**

**12.15B1.** Add the term of address of a married woman if she is identified only by her husband's name. Add the term after the last element of the husband's name.

~~Ward, Humphry, Mrs.~~

**12.15B2.** Include the enclitic *nő* attached to the names of some Hungarian married women.

~~Magyary, Zoltánné~~

~~12.15C. Do not add other titles or terms associated with names entered under surname unless they are required to distinguish between two or more persons with the same name and neither dates nor fuller forms of name are available (see 12.19B).~~

~~12.16. ADDITIONS TO NAMES ENTERED UNDER GIVEN NAME, ETC.~~

~~12.16A. Royalty~~

~~12.16A1. To the name of the person with the highest royal status within a state or people,<sup>62</sup> add a phrase consisting of a person's title (in English if there is a satisfactory English equivalent) and the name of the state or the people in English.~~

~~Clevis, King of the Franks~~

~~Anne, Queen of Great Britain~~

~~Elizabeth I, Queen of England~~

~~Ferdinand I, Holy Roman Emperor~~

~~Feisal II, King of Iraq~~

~~Victor Emmanuel II, King of Italy~~

~~Robert III, Duke of Burgundy~~

~~Hirohito, Emperor of Japan~~

~~Alfonso XIII, King of Spain~~

~~Gustaf I Vasa, King of Sweden~~

~~Shuja-ud-daulah, Nawab Wazir of Oudh~~

~~12.16A2. Do not add other epithets associated with the name of such a person. Refer from the name with the epithet(s).~~

~~Catherine II, Empress of Russia~~  
~~—x Catherine, the Great~~

~~Constantine I, Emperor of Rome~~  
~~—x Constantine, Saint~~

~~Edward, King of the English~~  
~~—x Edward, the Confessor, Saint~~

~~Suleiman I, Sultan of the Turks~~  
~~—x Suleiman, the Magnificent~~

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<sup>62</sup> Persons with such highest status are kings and queens, persons of imperial rank (emperors and empresses), and persons with other titles that denote such a status within a state or a people (grand dukes, grand duchesses, princes, princesses, etc.). Rank is the only determining factor in applying these rules, not the degree of authority or power wielded by the person.

~~Frederick I, Holy Roman Emperor  
—x Frederick, Barbarossa~~

**12.16A3. Consorts of Royal Persons.** To the name of a consort of a person with the highest royal status within a state or a people, add his or her title (in English if there is a satisfactory English equivalent) followed by “consort of” [the name of the royal person as prescribed in 11.16A1].

~~Philip, Prince, consort of Elizabeth II, Queen of Great Britain~~

~~Anne, Queen, consort of Louis XIII, King of France~~

~~Albert, Prince Consort, consort of Victoria, Queen of Great Britain  
—(His title was Prince Consort)~~

~~Eleanor, of Aquitaine, consort of Henry II, King of England  
—x Eleanor, Queen, consort of Henry II, King of England~~

**12.16A4. Children and Grandchildren of Royal Persons.** To the name of a child or grandchild of a person with the highest royal status within a state or people, add the title (in English if there is a satisfactory English equivalent) borne by him or her.

~~Carlos, Prince of Asturias~~

~~Eulalia, Infanta of Spain~~

If such a child or grandchild is known only as *Prince* or *Princess* (or a similar title in English or another language) without a territorial designation, add that title (in English if there is a satisfactory equivalent) followed by

- a) another title associated with the name; or
- b) “daughter of ...,” “son of ...,” “granddaughter of ...,” or “grandson of ...” [the name and title of the parent or grandparent as prescribed in 11.16A1].

~~Mary, Princess Royal, Countess of Harewood~~

~~Arthur, Prince, son of Victoria, Queen of Great Britain~~

~~Alexis Petrovich, Prince, son of Peter I, Emperor of Russia~~

~~Anne, Princess Royal, daughter of Elizabeth II, Queen of Great Britain~~

**12.16B. Popes**

**12.16B1.** Add “Pope” to a name identifying a pope.

~~Pius XII, Pope~~

~~Gregory I, Pope~~  
~~not — Gregory, Saint, Pope Gregory I~~  
~~not — Gregory, the Great, Pope~~

Add “*Antipope*” to a name identifying an antipope:

~~Clement VII, Antipope~~

#### 12.16C. Bishops, etc.

12.16C1. If a bishop, cardinal, archbishop, metropolitan, abbot, abbess, or other high ecclesiastical official is identified by a given name, add the title (in English if there is a satisfactory English equivalent). If the person has borne more than one such title, give the one of highest rank.

Use “Archbishop” for all archbishops other than cardinals. Use “Bishop” for all bishops other than cardinals. Use “Chorepiscopus” for persons so designated. Use “Cardinal” for cardinal bishops, cardinal priests, and cardinal deacons. To the title of a diocesan bishop or archbishop or of a patriarch, add the name of the latest see, in English if there is an English form.

~~Bessarion, Cardinal~~

~~Desitheos, Patriarch of Jerusalem~~

~~Platon, Metropolitan of Moscow~~

~~John, Abbot of Ford~~

~~Joannes, Bishop of Ephesus~~

~~Ruricius I, Bishop of Limoges~~

If the name is of an ecclesiastical prince of the Holy Roman Empire, add “Prince-Bishop,” “Prince Archbishop,” “Archbishop and Elector,” etc., as appropriate, along with the name of the see. Add “Cardinal” also if appropriate.

~~Neithard, Prince Bishop of Bamberg~~

~~Albert, of Brandenburg, Archbishop and Elector of Mainz,  
Cardinal~~

#### 12.16D. Other Persons of Religious Vocation

12.16D1. Add the title, term of address, etc., in the vernacular to all other names of persons of religious vocation entered under given name, etc. If there is more than one such term, use the one that is most often associated with the name or is considered to be more important. Use spellings found in English language dictionaries. For Thai names in religion, see also 22.28D in *AACR2*, 2002 revision.

~~Angelico, fra~~



~~Claude, d'Abbeville, père~~

~~Mary Loyola, Mother~~

~~Vivekananda, Swami~~

If such a title, term of address, etc. has become an integral part of the name, treat it as such.

~~Kakushin-ni~~

~~not — Kakushin, Ni~~

Add also the initials of a Christian religious order if they are regularly used by the person.

~~Anselm, Brother, F.S.C.~~

~~Mary Jeremy, Sister, O.P.~~

#### ~~12.17. DATES~~

~~12.17A. Add a person's dates (birth, death, etc.), if known, in the form given below as the last element of a heading.~~

~~Give dates in terms of the Christian era. Add "B.C." when appropriate. Give dates from 1582 on in terms of the Gregorian calendar.<sup>63</sup>~~

~~Optionally, add date(s) to any personal name, even if there is no need to distinguish between headings.~~

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<sup>63</sup> ~~Direction for converting dates from 1582 on from the Julian calendar to the Gregorian calendar is provided in AACR2 rule 22.17A n. 16.~~

<del>Smith, John, 1924</del>	<del>Living person</del>
<del>Smith, John, 1900 Jan. 10</del>	<del>Same name, same year</del>
<del>Smith, John, 1900 Mar. 2</del>	
<del>Smith, John, 1837-1896</del>	<del>Both years known</del>
<del>Smith, John, 1836 or 7-1896</del>	<del>Year of birth uncertain; known to be one of two years</del>
<del>Smith, John, 1837?-1896</del>	<del>Probable year of birth</del>
<del>Smith, John, 1837-ca. 1896</del>	<del>Approximate year of death</del>
<del>Smith, John, ca. 1837-ca. 1896</del>	<del>Both years approximate</del>
<del>Smith, John, b. 1825</del>	<del>Year of death unknown</del>
<del>Smith, John, d. 1850</del>	<del>Year of birth unknown</del>
<del>Johnson, Carl F., fl. 1893-1940</del>	
<del>Joannes, Diaconus, fl. 1226-1240</del>	<del>Years of birth and death unknown. Some years of activity known. Do not use fl. dates within the twentieth century.</del>
<del>Joannes, Diaconus, 12th cent.</del>	<del>Years of birth and death unknown, years of activity unknown, century known. Do not use for the twentieth century.</del>
<del>Joannes, Actuarius, 13th/14th cent.</del>	<del>Years of birth and death unknown. Years of activity unknown, but active in both centuries. Do not use for the twentieth century.</del>
<del>Lin, Li, chin shih 1152</del>	<del>Date at which a Chinese literary degree was conferred.</del>

## 12.18. FULLER FORMS

12.18A. If a fuller form of a person's name is known and if the heading as prescribed by the preceding rules does not include all of that fuller form, use the fuller form. Add all the fuller form of the inverted part of the heading or the fuller form of the entry element, as appropriate. Enclose the addition in parentheses.

The most common instances of such additions occur when the heading as prescribed by the preceding rules contains initials and the spelled-out form is known. Less common instances occur when known forenames, surnames, or initials are not part of the heading as prescribed.

Refer from the fuller form of the name when appropriate:

~~Smith, Russell E. (Russell Edgar)~~  
~~x Smith, Russell Edgar~~

~~Smith, Russell E. (Russell Eugene)~~  
~~x Smith, Russell Eugene~~

~~Johnson, A. H. (Allison Hartz)~~  
~~x Johnson, Allison Hartz~~

~~Johnson, A. H. (Arthus Henry)~~  
~~x Johnson, Arthus Henry~~

~~Johnson, Barbara (Barbara A.)~~

~~Johnson, Barbara (Barbara E.)~~

~~Miller, J. (Anna), Mrs.~~  
~~x Miller, Anna~~

~~Miller, J. (Dorothea), Mrs.~~  
~~x Miller, Dorothea~~

Optionally, make the additions specified above even if they are not needed to distinguish between headings. However, when following this option, do not add

- ~~• unused forenames to headings that contain forenames;~~
- ~~• initials of names that are not part of the heading;~~
- ~~• unused parts of surnames to headings that contain surnames.~~

~~Lawrence, D. H. (David Herbert)~~  
~~x Lawrence, David Herbert~~

~~H. D. (Hilda Doolittle)~~  
~~x Doolittle, Hilda~~

~~Wanner, Joh. (Johann)~~

~~Becton, Mrs. (Isabella Mary)~~  
~~x Becton, Isabella Mary~~

~~but~~

~~Welch, Denton~~

~~not Welch, Denton (Maurice Denton)~~

~~Dickens, Charles~~  
~~not Dickens, Charles (Charles John Huffam)~~

~~Wilson, Angus~~  
~~not Wilson, Angus (Angus Frank Johnstone Wilson)~~

## ~~12.19. DISTINGUISHING TERMS~~

~~12.19A. Names in which the entry element is a given name, etc.~~

~~12.19A1. To distinguish between identical headings of which the entry element is a given name, etc., devise a suitable brief term and add it in parentheses.~~

~~Johannes (Notary)~~

~~Thomas (Anglo-Norman poet)~~

~~12.19B. Names in which the Entry Element Is a Surname~~

~~12.19B1. To distinguish between identical headings of which the entry element is a surname, add a qualifier (e.g., term of honor, term of address, title of position or office, initials of an academic degree, initials denoting membership in an organization) that appears with the name in the person's works, in reference sources, in his or her papers, in~~

administrative acquisition records, or in other archival records (in that order of preference). Add the qualifier after the last element of the name.

~~Brown, George, Captain~~

~~Brown, George, F.I.P.S.~~

~~Brown, George, Rev.~~

~~Valmer, capitaine~~

~~Saur, Karl-Otto~~

~~Saur, Karl-Otto, Jr.~~

~~Baker, Miss, of Falls Church, Va.~~

Do not use such a term if dates are available for one person and it seems likely that dates will eventually be available for the other(s):

~~Mudge, Lewis Seymour, 1868-1945~~

~~Mudge, Lewis Seymour~~

~~—(Name appears as: Lewis Seymour Mudge, Jr.)~~

## 12.20. UNDIFFERENTIATED NAMES

12.20A. If no suitable addition (fuller form of name, dates, or distinguishing term) is available, use the same heading for all persons with the same name:

~~Smith, Donald~~

~~—Donald Smith papers~~

~~Smith, Donald~~

~~—Petition~~

~~Smith, Donald~~

~~—A prospectus...~~

## Special Rules

### 12.21. NAMES IN CERTAIN LANGUAGES: INTRODUCTORY RULE

12.21A. The preceding rules in this chapter give general guidance for personal names not written in the roman alphabet and for names in a non-European language written in the roman alphabet. For more detailed treatment of names in certain of these languages, follow the special rules given in AACR2 (rules 22.22–22.28). For more detailed treatment of names in other languages, see the IFLA UBCIM Programme's survey of personal names.<sup>64</sup>

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<sup>64</sup> *Names of Persons: National Usages for Entries in Catalogues*, IFLA Universal Bibliographic Control and International MARC Programme, 4<sup>th</sup> ed., rev. and enl. (München: K.G. Saur, 1996).

~~12.22-12.28~~ *DACS* does not have rules that correspond to ~~22.22-22.28~~ in *AACR2*, but the corresponding numbers (12.22-12.28) have been included as place holders. The *DACS* rule for family names, which has no equivalent in *AACR2*, has been given the next consecutive number, 12.29.

## ~~12.29. FAMILY NAMES~~

### ~~12.29A. General Rule~~

The heading for a family consists of the family surname followed by the term “family.”<sup>65</sup>

### ~~12.29B. Entry Element~~

In general, choose as the basis of the heading for a family, the name by which it is commonly known.

~~Ciroux family~~

~~Taylor family~~

~~Charron-Lecorre family~~

~~Molina y Vedia de Bastianini family~~

~~12.29C. Determine the name by which a family is commonly known from the following sources and in the order of preference given:~~

- ~~a) the name that appears most frequently in the published works about the family (if any);~~
- ~~b) the name that appears most frequently in the archival materials being described;~~
- ~~c) the latest name;~~
- ~~d) the name that appears in reference sources.<sup>66</sup>~~

~~If the name does not appear on a prescribed source of information, determine the name by which the family is known from reference sources issued in its language or country of residence or activity.~~

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<sup>65</sup> For further information on the use of family names as creators see Chapter 9 Identifying Creators.

<sup>66</sup> The term *reference sources*, as used in this chapter, includes books and articles written about a person.

## CHAPTER 13

# Form of Geographic Names

~~Commentary: The purpose of this chapter is to provide rules for the standardized form of the names of geographic entities that may also be the name of corporate bodies. The sources of information are indicated within the rules themselves.~~

~~For the most part, the numbering system in Chapter 13 follows that of Chapter 23 of AACR2, except that the DACS chapter number is substituted for AACR2 chapter number; for example, rule 23.174F2 in AACR2 is 13.174F2 in DACS. There are no significant differences between the numbering of Chapter 23 of AACR2 and Chapter 13 of DACS.~~

### 13.1. INTRODUCTORY NOTE

~~13.1A. The names of geographic entities (referred to throughout this chapter as *places*) are used to distinguish between corporate bodies with the same name (see 14.4C); as additions to other corporate names (e.g., conference names, see 14.7B4); and, commonly, as the names of governments (see 14.3E) and communities that are not governments.<sup>67</sup>~~

### 13.2. GENERAL RULES

#### 13.2A. English Form

~~13.2A1. Use the English form of the name of a place if there is one in general use. Determine this from gazetteers and other reference sources published in English-speaking countries. In case of doubt, use the vernacular form (see 13.2B).~~

~~Austria  
not — Österreich~~

~~Copenhagen  
not — København~~

~~Florence  
not — Firenze~~

~~Chent  
not — Cent  
not — Cand~~

~~Sweden  
not — Sverige~~

~~If the English form of the name of a place is the English name of the government that has jurisdiction over the place, use that form.~~

---

<sup>67</sup> ~~Note that the geographic name headings resulting from the application of these rules are not meant to be used for geographic features that cannot act as corporate bodies, e.g., rivers, mountains, deserts, archaeological sites, named monuments and battlefields.~~

### 13.2B. Vernacular Form

13.2B1. Use the form in the official language of the country if there is no English form in general use.

~~Buenos Aires~~

~~Gorlovka~~

~~Tallinn~~

~~Liverne~~

~~not — Leghorn~~

*(English form no longer in general use)*

If the country has more than one official language, use the form most commonly found in English language sources.

~~Louvain~~

~~not — Leuven~~

~~Helsinki~~

~~not — Helsingfors~~

### 13.3. CHANGES OF NAME

13.3A. If the name of a place changes, use as many of the names as are required by  
1) the rules on government names (14.3E) (e.g., *Nyasaland* or *Malawi*, as appropriate);

*or* 2) the rules on additions to corporate names (14.4C4) and conference names (14.7B4) (e.g., use *Léopoldville* or *Kinshasa*, as appropriate);

*or* 3) other relevant rules in Chapter 14.

### 13.4. ADDITIONS

#### 13.4A. Punctuation

13.4A1. Make all additions to place names used as entry elements (see 14.3E) in parentheses.

~~Budapest (Hungary)~~

If the place name is being used as an addition, precede the name of a larger place by a comma.

~~Magyar Nemzeti Galéria (Budapest, Hungary)<sup>68</sup>~~

<sup>68</sup> This example and the one above are included solely to show the punctuation patterns. For the construction of the heading, see the later rules in this chapter and those in Chapter 14.

**~~13.4B. General Rule~~**

~~13.4B1. Add to the name of a place (other than a country or a state, etc., listed in 13.4C1 or 13.4D1) the name of a larger place as instructed in 13.4C–13.4F. For additional instructions on distinguishing between place names used as the headings for governments, see 14.6.~~

**~~13.4C. Places in Australia, Canada, Malaysia, or United States~~**

~~13.4C1. States, etc. Do not make any addition to the name of a state, province, territory, etc., of Australia, Canada, Malaysia, or the United States.~~

~~Northern Territory~~

~~Prince Edward Island~~

~~District of Columbia~~

~~13.4C2. Other Places. If the place is in a state, province, territory, etc., of one of the countries listed above, add the name of the state, etc., in which it is located.~~

~~Darwin (N.T.)~~

~~Jasper (Alta.)~~

~~George Town (Penang)~~

~~Cook County (Ill.)~~

~~Alexandria (Va.)~~

~~Washington (D.C.)~~

**~~13.4D. Places in the British Isles~~**

~~13.4D1. Do not make any addition to the names of the following parts of the British Isles: England, the Republic of Ireland, Northern Ireland, Scotland, Wales, the Isle of Man, the Channel Islands.~~

~~13.4D2. If a place is located in England, the Republic of Ireland, Northern Ireland, Scotland, Wales, the Isle of Man, or the Channel Islands, add “England,” “Ireland,” “Northern Ireland,” “Scotland,” “Wales,” “Isle of Man,” or “Channel Islands,” as appropriate.~~

~~Dorset (England)~~

~~Clare (Ireland)~~

~~Bangor (Northern Ireland)~~

~~Strathelyde (Scotland)~~

~~Powys (Wales)~~



~~Ramsey (Isle of Man)~~

~~Jersey (Channel Islands)~~

#### ~~13.4E. Other Places~~

~~13.4E1. Add to the name of a place not covered by 13.4C–13.4D the name of the country in which the place is located.~~

~~Fermosa (Argentina)~~

~~Luanda (Angola)~~

~~Luoca (Italy)~~

~~Madras (India)~~

~~Monrovia (Liberia)~~

~~Næsby (Denmark)~~

~~Paris (France)~~

~~Toledo (Spain)~~

#### ~~13.4F. Further Additions~~

~~13.4F1. Distinguishing between Otherwise Identical Place Names. If the addition of a larger place as instructed in 13.4C–13.4E is insufficient to distinguish between two or more places with the same name, include a word or phrase commonly used to distinguish them.~~

~~Villaviciosa de Asturias (Spain)~~

~~Villaviciosa de Córdoba (Spain)~~

~~If there is no such word or phrase, give the name of an appropriate smaller place before the name of the larger place.~~

~~Friedberg (Bavaria, Germany)~~

~~Friedberg (Hesse, Germany)~~

~~Tarbert (Strathclyde, Scotland)~~

~~Tarbert (Western Isles, Scotland)~~

~~Saint Anthony (Hennepin County, Minn.)~~

~~Saint Anthony (Stearns County, Minn.)~~

~~13.4F2. Identifying Places. If considered necessary to identify the place (as in the case of a community within a city), give the name of an appropriate smaller place before the name of the larger place specified as an addition by the preceding rules.~~

~~Hyde Park (Chicago, Ill.)~~

~~Chelsea (London, England)~~

~~St. Peter Port (Guernsey, Channel Islands)~~

~~Hataitai (Wellington, N.Z.)~~

~~Palermo (Sicily, Italy)~~

~~Swansea (Toronto, Ont.)~~

~~11<sup>e</sup> Arrondissement (Paris, France)~~

~~Minato-ku (Tokyo, Japan)~~

**13.5. Place Names Including or Requiring Term Indicating a Type of Jurisdiction**

**13.5A.** If the first part of a place name is a term indicating a type of jurisdiction, and the place is commonly listed under another element of its name in lists published in the language of the country in which it is located, omit the term indicating the type of jurisdiction.

~~Kerry (Ireland)~~

~~not County Kerry (Ireland)~~

~~Ostholstein (Germany)~~

~~not Kreis Ostholstein (Germany)~~

**In all other cases, include the term indicating the type of jurisdiction.**

~~Città di Castello (Italy)~~

~~Ciudad Juárez (Mexico)~~

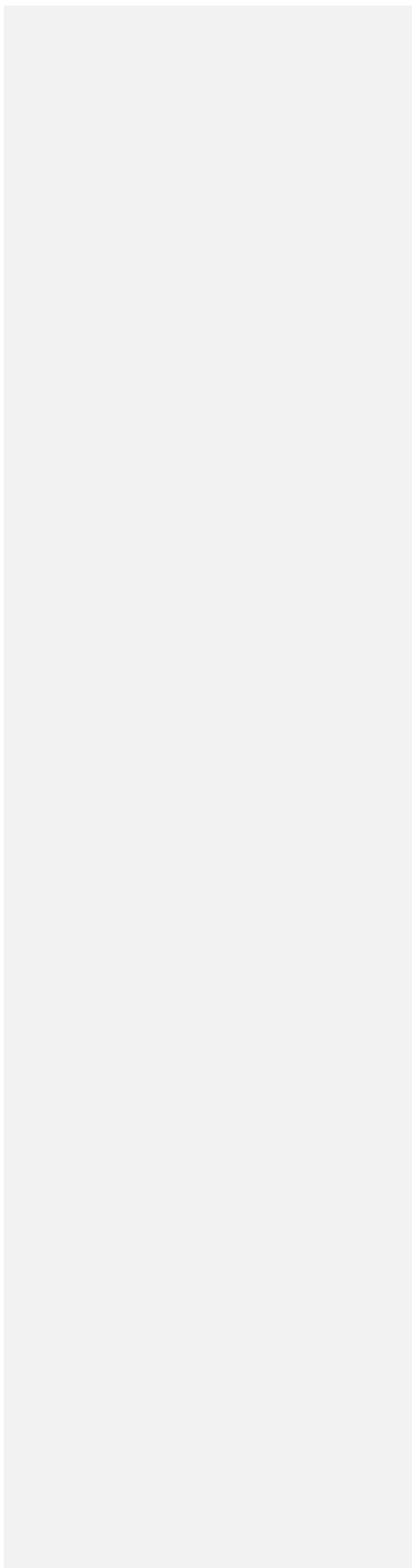
~~District of Columbia~~

~~Distrito Federal (Brazil)~~

~~Mexico City (Mexico)~~

**13.5B.** If a place name does not include a term indicating a type of jurisdiction, and such a term is required to distinguish that place from another of the same name, follow the instructions in 14.6.

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## CHAPTER 14

# Form of Names for Corporate Bodies

**Commentary:** Once the name of a corporate body has been chosen as an access point, the form of the name must be standardized. The purpose of this chapter is to provide rules for the standardized form of the names of corporate bodies. Standardization of corporate names, particularly in online environments, is critical to the retrieval of all relevant materials. Therefore it is important for archivists to use the authority form of a name, if one exists, from the Library of Congress Authorities (LCNAF).<sup>69</sup> If there is no authorized form in the Name Authority File, the rules in this chapter should be applied. The sources of information to be used in particular circumstances are indicated at various places within the rules themselves. Where a rule in this chapter contains an instruction to make a reference, do so in accordance with the rules in section 11.1.

In the examples in this chapter, variant names (i.e., names that are not authorized names or forms of the name) are indicated by the letter x in front of them. This means that the variant name would be included in an authority record as instructed in Chapter 11.

For the most part, the numbering system in Chapter 14 follows that of Chapter 24 of AACR2, except that the DACS chapter number is substituted for AACR2 chapter number; for example, Rule 24.13A in AACR2 is 14.13A in DACS. Where the rules in DACS are different, as in the expanded rules for the treatment of variant names of corporate bodies (14.2B–14.2E), the numbering has been slightly adjusted.

### 14.1. GENERAL RULE

14.1A. Enter a corporate body<sup>70</sup> directly under the name by which it is identified, except when the rules that follow provide for entering it under the name of a higher or related body (see 14.13) or under the name of a government (see 14.18).

Determine the name by which a corporate body is identified from the following sources and in the order of preference given:

- a) the name that appears in published items issued by the corporate body in its language (see also 14.3A);
- b) the name that appears in reference sources;<sup>71</sup>
- c) the name that appears in the corporate body's records;
- d) the name that appears in administrative records relating to the acquisition of the materials being described;
- e) the name that appears in other archival records.

If the name of a corporate body consists of or contains initials, omit or include periods and other marks of punctuation according to the predominant usage of the body. In case

<sup>69</sup> The authorized form of the corporate body is given in the 110 field in a MARC 21 record.

<sup>70</sup> For definition, see glossary.

<sup>71</sup> *Reference sources*, as used in this chapter, include official publications such as gazettes, registers, statutes, orders, regulations and, also, books and articles written about the corporate body.

of doubt, omit the periods, etc. Do not leave a space between such punctuation and a following initial. Do not leave spaces between the letters of an initialism written without periods, etc. Make references from other forms of the name of a corporate body as instructed in section 11.1.

~~Aslib~~

~~Breitkopf & Härtel~~

~~British Museum~~

~~Light Fantastic Players~~

~~Radio Society of Great Britain~~

~~Royal Aeronautical Society~~

~~Symposium on Cognition~~<sup>72</sup>

~~Carnegie Library of Pittsburgh~~

~~Challenger Expedition~~

~~Chartered Insurance Institute~~

~~G. Mendel Memorial Symposium, 1865-1965~~

~~MEDCOM~~

~~Museum of American Folk Art~~

~~United States Catholic Conference~~

~~University of Oxford~~

~~W.H. Ross Foundation for the Study of Prevention of Blindness~~

~~Yale University~~

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<sup>72</sup> ~~For additions to the name of a conference, congress, expedition, etc., see 14.7B.~~

#### ~~14.1B. Romanization<sup>73</sup>~~

~~14.1B1. If the name of the corporate body is in a language written in a nonroman script, romanize the name according to the table for that language adopted by the institution. Refer from other romanizations as necessary.~~

~~Chung-kuo wen-tzu kai-ko wei-yuan hui<sup>74</sup>  
—x Zhongguo wenzi gaige weiyuanhui~~

#### ~~14.1C. Changes of Name~~

~~14.1C1. If the name of a corporate body has changed (including a change from one language to another), establish an authorized form of the name to be used in the title in accordance with rule 2.3.17 and consider other names to be variant names (see 10.32–10.34, 11.B16–B17):~~

~~American Material Handling Society  
—changed its name to  
International Material Management Society  
—(Make a see also reference under each name)~~

~~**Pennsylvania State University** (authorized name)  
—(The authority record for this corporate body would contain the following:  
Administrative history: ...The name of the Farmers' High School was changed in 1862 to Agricultural College of Pennsylvania; in 1874 to Pennsylvania State College; in 1953 to Pennsylvania State University....)  
Variant names:  
Farmers' High School (earlier name, ?–1862)  
—Agricultural College of Pennsylvania (earlier name, 1862–1874)  
—Pennsylvania State College (earlier name, 1874–1953)~~

~~14.1C2. Records of More than One Corporate Body within the Same Unit Being Described. If the records of more than one corporate body are included in the unit being described, establish a heading for each corporate body and record their relationships as instructed in rules 11.13–11.17.~~

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<sup>73</sup> Alternative rule. Romanization. If the name of the body is in a language written in a nonroman script and a romanized form appears in published items issued by the body or in its records, use that romanized form. Refer as necessary from other romanizations. If more than one romanized form is found, use the form resulting from romanization according to the table adopted by the institution for the language.

~~Zhongguo wenzi gaige weiyuanhui  
—x Chung-kuo wen-tzu kai-ko wei-yuan hui~~

<sup>74</sup> Systematic romanizations used in the examples in this chapter follow the tables (published by the Library of Congress in *Cataloging Service*, bulletin 118) adopted jointly by the American Library Association, the Canadian Library Association, and the Library of Congress.

## ~~14.2. VARIANT FORMS<sup>75</sup> OF NAMES: GENERAL RULES~~

~~14.2A. Apply the following rules if variant forms of names for a corporate body appear or are used in the following sources respectively: published items issued by it, reference sources, or the records. Also apply the special rules in 14.3 when they are appropriate.~~

### ~~14.2B. Variant Forms of Names Found in Published Sources~~

~~14.2B1. If variant forms of the name are found in published items issued by the corporate body, use the name as it appears in the chief source of information<sup>76</sup> as opposed to forms found elsewhere in the items.~~

~~14.2B2. If variant forms of the name appear in the chief sources of information for published items, use the name that is presented formally as indicated by layout or typography. If no name is presented formally, or if all names are presented formally, use the predominant form of name.~~

~~If there is no predominant form, use a brief form (including an initialism or an acronym) that would differentiate the corporate body from others with the same or similar brief names:~~

#### ~~**AFL-CIO**~~

~~not American Federation of Labor and Congress of Industrial Organizations~~

#### ~~**American Philosophical Society**~~

~~not American Philosophical Society Held at Philadelphia for Promoting Useful Knowledge~~

#### ~~**Canadian Joker Society**~~

~~not Canadian Joker Society for Promoting Humour in Canadian Life~~

#### ~~**Unesco**~~

~~not United Nations Educational, Scientific, and Cultural Organization~~

#### ~~**Euratom**~~

~~not European Atomic Energy Community~~

#### ~~**Maryknoll Sisters**~~

~~not Congregation of the Maryknoll Sisters~~

~~If the variant forms do not include a brief form that would differentiate two or more bodies with the same or similar brief names, use the form found in reference sources:~~

~~Metropolitan Applied Research Center~~

~~(Official name. Brief form sometimes used by the center, MARC Corporation, is the same as the name of another body located in New York)~~

<sup>75</sup> ~~Variant forms of names do not include names that result from a name change. For these, see 14.1C.~~

<sup>76</sup> ~~For published items, the chief source of information is the title page or its equivalent.~~

#### ~~14.2C. Variant Forms of Names Found in Reference Sources~~

~~14.2C1. If variant forms of the name are found in reference sources, use the name as it appears in the most appropriate reference source.<sup>77</sup>~~

#### ~~14.2D. Variant Forms of Names Found in the Records~~

~~14.2D1. If variant forms of the name are found in the records, use the name as it appears in the following categories of material and in the order of preference given:~~

- ~~a) records legally establishing the corporate body (e.g., acts of incorporation, letters patent);~~
- ~~b) records of administrative regulations (e.g., executive orders, constitutions, by-laws);~~
- ~~a) other records of policy (e.g., minutes, policy and procedures manuals).~~

~~14.2D2. If the corporate body's records do not include materials that fall into the categories listed above, use the form of name that appears most frequently in other materials in the records.~~

#### ~~14.2E. Variant Spellings~~

~~If variant spellings of the name are found, use the form resulting from an official change in orthography or, if this does not apply, use the predominant spelling. In case of doubt, use the spelling that seems most appropriate.~~

### ~~14.3 VARIANT FORMS OF NAMES: SPECIAL RULES~~

#### ~~14.3A. Language<sup>78</sup>~~

~~14.3A1. If the name appears in different languages, use the form in the official language of the corporate body.~~

~~Société historique franco-américaine  
not Franco-American Historical Society~~

~~If there is more than one official language and one of these is English, use the English form.~~

~~Canadian Committee on Cataloguing  
not Comité canadien de catalogage~~

~~If English is not one of the official languages or if the official language is not known, use the form in the language used predominantly in items issued by the corporate body.~~

<sup>77</sup> ~~Institutions should establish a policy for determining the form of name to be used when variant forms of names are found in reference sources.~~

<sup>78</sup> ~~Alternative rule—Language—Use a form of name in a language suitable to the users of the institution's retrieval system if the body's name is in a language that is not familiar to those users.~~

~~Japan Productivity Center  
if not Nihon Seisansai Hombu~~



~~Schweizerische Landesbibliothek~~  
~~not — Biblioteca nazionale svizzera~~  
~~not — Bibliothèque nationale Suisse~~  
*(German is the language used predominantly by the body in its publications)*

In case of doubt, use the English, French, German, Spanish, or Russian form, in that order of preference. If there is no form in any of these languages, use the form in the language that comes first in English alphabetic order. Refer from form(s) in other languages.

#### 14.3B. Language: International Bodies

14.3B1. If the name of an international corporate body appears in English in published items issued by the body, in reference sources, or in its records (in that order of preference), use the English form. In other cases, follow the instructions in 14.3A.

~~Arab League~~  
~~not — Union des états arabes~~  
~~not — Jami'at al-Duwal al-'Arabiyyah~~

~~European Economic Community~~  
~~not — Communauté économique européenne~~  
~~not — Europese Economische Gemeenschap~~  
*{etc.}*

~~International Federation of Library Associations and Institutions~~  
~~not — Federation internationale des associations de bibliothécaires et des bibliothèques~~  
~~not — Internationaler Verband der Bibliothekarischen Vereine und Institutionen~~  
*{etc.}*

~~Nordic Association for American Studies~~  
~~not — Nordisk selskap for Amerikastudier~~  
~~not — Nordiska sällskapet för Amerikastudier~~  
*{etc.}*

#### 14.3C. Conventional Name

14.3C1. General Rule. If a corporate body is frequently identified by a conventional form of name in reference sources in its own language, use this conventional name.

~~Westminster Abbey~~  
~~not — Collegiate Church of St. Peter in Westminster~~

~~Kunstakademiet~~  
~~not — Det Kongelige Danske kunstakademi~~

~~Killam Trust~~  
~~not — Izaak Walton Killam Memorial Fund for Advanced Studies~~  
~~not — Killam Scholarship Program~~

**14.3C2. Ancient and International Bodies.**<sup>79</sup> ~~If the name of a corporate body of ancient origin or of one that is international in character has become firmly established in an English form in English-language usage, use this English form.~~

~~Benedictines~~

~~Clunians~~

~~Coptic Church~~

~~Franciscans~~

~~Freemasons~~

~~Knights of Malta~~

~~Poor Clares~~

~~Royal Arch Masons~~

~~Paris Peace Conference...~~

~~Vatican Council ...~~

**14.3C3. Autocephalous Patriarchates, Archdiocese, etc.** Enter an ancient autocephalous patriarchate, archdiocese, etc., of the Eastern Church under the place by which it is identified. Add a word or phrase designating the type of ecclesiastical jurisdiction.

~~Antioch (Jacobite patriarchate)~~

~~Constantinople (Ecumenical patriarchate)~~

#### **14.3D. Religious Orders and Societies**

**14.3D1.** Use the best known form of name, in English, if possible, for a religious order or society. In case of doubt, follow this order of preference:

- ~~a) the conventional name by which its members are known in English;~~
- ~~b) the English form of name used by units of the order or society located in English-speaking countries;~~
- ~~c) the name of the order or society in the language of the country of its origin.~~

~~Franciscans~~

~~not — Ordo Fratrum Minorum~~

~~not — Order of St. Francis~~

~~not — Minorites~~

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<sup>79</sup> Apply this rule, for example, to religious bodies, fraternal and knightly orders, church councils, and diplomatic conferences. If it is necessary to establish a heading for a diplomatic conference that has no formal name and has not yet acquired a conventional name, use the name found most commonly in periodical articles and newspaper accounts in English. If another name becomes established later, change the heading to that name.

~~Jesuits~~  
~~not — Societas Jesu~~  
~~not — Compañía de Jesús~~  
~~not — Society of Jesus~~

~~Poor Clares~~  
~~not — Order of St. Clare~~  
~~not — Second Order of St. Francis~~  
~~not — Franciscans, Second Order~~

~~Brothers of Our Lady of the Fields~~

~~Community of the Resurrection~~

~~Dominican Nuns of the Second Order of Perpetual Adoration~~  
~~not — Dominicans, Second Order of Perpetual Adoration~~

~~International Society for Krishna Consciousness~~  
~~not — Hare Krishna Society~~

#### 14.3E. Governments

14.3E1. Use the conventional name of a government,<sup>80</sup> unless the official name is in common use. The conventional name of a government is the geographic name (see Chapter 13) of the area (e.g., country, province, state, county, municipality) over which the government exercises jurisdiction. See also 14.6.

~~France~~  
~~not — République française~~

~~Massachusetts~~  
~~not — Commonwealth of Massachusetts~~

~~Nottinghamshire (England)~~  
~~not — County of Nottingham~~

~~Arlington (Mass.)~~  
~~not — Town of Arlington~~

If the official name of the government is in common use, use it.

~~Greater Anchorage Borough (Alaska)~~

#### 14.3F. Conferences, Congresses, Meetings, etc.

14.3F1. If, among the variant forms of a conference name appearing in published items issued by the corporate body, in reference sources, or in its records, there is a form that includes the name or abbreviation of the name of a corporate body associated with the meeting to which the meeting is not subordinate, use this form.

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<sup>80</sup> *Government* is used here to mean the totality of corporate bodies (executive, legislative, and judicial) exercising the powers of a jurisdiction. Treat as a government agency a corporate body known as *government*, or its equivalent in other languages, or a term with similar meaning, that is an executive element of a particular jurisdiction (see 14.18).

~~FAO Hybrid Maize Meeting ...~~

If, however, the name is of a corporate body to which the meeting is subordinate (e.g., the annual meeting of an association), see 14.13A, type 6.

14.3F2. If a conference has both a specific name of its own and a more general name as one of a series of conferences, use the specific name. Refer from the general name to the specific name(s).

~~Symposium on Protein Metabolism ...~~  
~~not Nutrition Symposium ...~~

~~Symposium on Endocrines and Nutrition~~  
~~not Nutrition Symposium~~

#### 14.3G. Places of Worship

14.3G1. If variant forms of the name of a local church, cathedral, monastery, convent, abbey, temple, mosque, synagogue, etc., appear in published items issued by the corporate body, in reference sources, or in its records, use the predominant form. If there is no predominant form, follow this order of preference:

- a) a name containing the name of the person(s), object(s), place(s), or event(s) to which the place of worship is dedicated or after which it is named;

~~All Saints Church ...~~

~~Chapelle Saint Louis ...~~

~~Church of the Holy Sepulchre ...~~

~~Duomo di Santa Maria Matricolare ...~~

~~St. Clement's Church ...~~

~~St. Paul's Cathedral ...~~

~~Temple Emanu-El ...~~

- b) a name beginning with a word or phrase descriptive of a type of place of worship;

~~Abtei Reichenau~~

~~Great Synagogue ...~~

~~Jüdische Reformgemeinde in Berlin~~

~~Monasterio de Clarisas ...~~

~~Parish Church of Limpsfield~~

~~Unitarian Universalist Church ...~~

e) a name beginning with the name of the place in which the place of worship is situated:

~~Anorly Society of the New Church~~

~~Beechen Grove Baptist Church ...~~

~~English River Congregation of the Church of the Brethren~~

~~Kölner Dom~~

~~Tenafly Presbyterian Church~~

~~Westover Church ...~~

~~Winchester Cathedral~~

For additions to the name of a place of worship, see 14.10.

#### 14.4. ADDITIONS

##### 14.4A. General Rule

14.4A1. Make additions to the name of a corporate body as instructed in 14.4B–14.4C. For additions to special types of corporate bodies (e.g., governments, conferences), see 14.6–14.11. Enclose in parentheses all additions required by rules in this chapter.

##### 14.4B. Names Not Conveying the Idea of a Corporate Body

14.4B1. If the name alone does not convey the idea of a corporate body, add a general designation in English:

~~Apollo II (Spacecraft)~~

~~Bounty (Ship)~~

~~Elks (Fraternal order)~~

~~Monty Python (Comedy troupe)~~

~~Alabama (Musical group)~~

~~Friedrich Witte (Firm)~~

##### 14.4C. Two or More Bodies with the Same or Similar Names

14.4C1. General Rule. If two or more bodies have the same name, or names so similar that they may be confused, add a word or phrase to each name as instructed in 14.4C2–14.4C7. Add such a word or phrase to any other name if the addition assists in the understanding of the nature or purpose of the corporate body. Do not include the additions to names of places prescribed in 14.6 when the names of these places are used to indicate the location of corporate bodies.

~~14.4C2. Names of Countries, States, Provinces, etc. If a corporate body has a character that is national, state, provincial, etc., add the name of the country, state, province, etc., in which it is located.~~

~~Republican Party (Ill.)~~

~~Republican Party (Mo.)~~

~~Sociedad Nacional de Minería (Chile)~~

~~Sociedad Nacional de Minería (Peru)~~

~~National Measurement Laboratory (U.S.)~~

~~Midlands Museum (Zimbabwe)~~

~~If such an addition does not provide sufficient identification or is inappropriate (as in the case of national, state, provincial, etc., universities of the same name serving the same country, state, province, etc.), follow the instructions in 14.4C3–14.4C7.~~

~~14.4C3. Local Place Names. In the case of any other corporate body, add the name of the local place, whether it is a jurisdiction or not, that is commonly associated with its name, unless the name of an institution, the date(s) of the corporate body, or other designation (see 14.4C5–14.4C7) provides better identification.~~

~~Salem College (Salem, W. Va.)~~

~~Salem College (Winston-Salem, N.C.)~~

~~Washington County Historical Society (Washington County, Ark.)~~

~~Washington County Historical Society (Washington County, Md.)~~

~~St. Peter's Church (Hook Norton, England)~~

~~St. Peter's Church (Sudbury, England)~~

~~Red Lion Hotel (Newport, Wales)~~

~~Red Lion Hotel (Newport, Isle of Wight, England)~~

~~Red Lion Hotel (Newport, Shropshire, England)~~

~~If further distinction is necessary, give the name of a particular area within that jurisdiction before the name of the jurisdiction.~~

~~St. John's Church (Georgetown, Washington, D.C.)~~

~~St. John's Church (Lafayette Square, Washington, D.C.)~~

**14.4C4. Changes of Name or Jurisdiction or Locality.** If the name of the local jurisdiction or geographic locality changes during the lifetime of the corporate body, add the latest name in use in the lifetime of the corporate body.

~~St. Paul Lutheran Church (Skokie, Ill.)~~  
~~not — St. Paul Lutheran Church (Niles Center, Ill.)~~  
~~(Church founded in 1881. Place name changed in 1940)~~

~~but — Historisk samfund (Christiania, Norway)~~  
~~(Ceased to exist before Christiania became Oslo)~~

**14.4C5. Institutions.** Add the name of an institution instead of the local place name if the institution's name is commonly associated with the name of the corporate body. Give the name of the institution in the form and language used for it as a heading.

~~Newman Club (Brooklyn College)~~  
~~not — Newman Club (Brooklyn, New York, N.Y.)~~

~~Center for Radiation Research (National Measurement Laboratory (U.S.))~~

**14.4C6. Year(s).** If the name has been used by two or more corporate bodies that cannot be distinguished by place, add the year of founding or the inclusive years of existence.

~~Scientific Society of San Antonio (1892-1894)~~

~~Scientific Society of San Antonio (1904 —)~~

**14.4C7. Other Additions.** If none of the place name, name of institution, or date(s) is sufficient or appropriate for distinguishing between two or more corporate bodies, add an appropriate general designation in English.

~~Church of God (Adventist)~~

~~Church of God (Apostolic)~~

## 14.5. OMISSIONS

### 14.5A. Initial Articles

**14.5A1.** Omit an initial article unless the heading is to file under the article (e.g., a corporate name that begins with an article that is the first part of the name of a person or place):

~~Francis de Grande Bretagne (Association)~~  
~~not — Le Francis de Grande Bretagne (Association)~~

~~Library Association~~  
~~not — The Library Association~~

~~but — Le Corbusier Sketchbook Publication Committee~~

~~Los Angeles Symphony (Orchestra)~~

**14.5B. Citations of Honors**

**14.5B1.** Omit a phrase citing an honor or order awarded to the corporate body.

**14.5C. Terms Indicating Incorporation and Certain Other Terms**

**14.5C1.** Omit an adjectival term or abbreviation indicating incorporation (e.g., *Incorporated, E.V., Ltd.*) or state ownership of a corporate body, and a word or phrase, abbreviated or in full, designating the type of incorporated entity (e.g., *Aktiobolaget, Gesellschaft mit beschränkter Haftung, Kabushiki Kaisha, Società per azioni*), unless it is an integral part of the name or is needed to make it clear that the name is that of a corporate body.

~~American Ethnological Society  
—(Without Inc.)~~

~~Automobiltechnische Gesellschaft  
—(Without E.V. or e.V., i.e., Eingetragener Verein or eingetragener Verein.)~~

~~Compañía Internacional Editora  
—(Without S.a.)~~

~~Henry Birks and Sons  
—(Without Ltd.)~~

but

Films Incorporated

Peter Davies Limited

Vickers (Aviation) Limited

**14.5C2.** If such a term is needed to make it clear that the name is that of a corporate body and it occurs at the beginning of the name, transpose it to the end.

~~Elektrometall, Aktiebolaget  
not — Aktiebolaget Elektrometall~~

~~Hochbauprojektierung Karl-Marx-Stadt, VEB  
not — VEB Hochbauprojektierung Karl-Marx-Stadt~~

**14.5C3.** Omit an initial word or phrase in an Asian language indicating the private character of a corporate body (e.g., *Shiritsu, Ssu li*), unless the word or phrase is an integral part of the name.

~~Tan-chiang Ying yü chuan k'ò hoüch hsiao  
not — Ssu li Tan-chiang Ying yü chuan k'ò hoüch hsiao~~

**14.5C4.** Omit abbreviations (e.g., *U.S.S., H.M.S.*) occurring before the name of a ship.

~~Ark Royal (Ship)  
not — H.M.S. Ark Royal~~



~~14.6. GOVERNMENTS: ADDITIONS~~

~~14.6A. Scope~~

~~14.6A1. Apply this rule to the names of governments that are not differentiated by the application of 13.4. Make the further additions prescribed here following a space, colon, space, and within the same parentheses that enclose the additions prescribed by 13.4.~~

~~14.6B. Add the type of jurisdiction in English if other than a city or a town. If there is no English equivalent for the vernacular term, or in case of doubt, use the vernacular term.~~

~~Cork (Ireland)~~

~~Cork (Ireland : County)~~

~~Darmstadt (Germany)~~

~~Darmstadt (German : Landkreis)~~

~~Darmstadt (Germany : Regierungsbezirk)~~

~~Guadalajara (Mexico)~~

~~Guadalajara (Spain)~~

~~Guadalajara (Spain : Province)~~

~~New York (N.Y.)~~

~~New York (State)~~

~~Québec (Province)~~

~~Québec (Québec)~~

~~Québec (Québec : County)~~

~~14.6C. If the type of jurisdiction does not provide a satisfactory distinction, add an appropriate word or phrase.~~

~~Germany (Democratic Republic)~~

~~Germany (Federal Republic)~~

~~14.6D. If two or more governments lay claim to jurisdiction over the same area (e.g., as with occupying powers and insurgent governments), add a suitable designation to one or each of the governments, followed by the inclusive years of its existence.~~

~~France~~

~~France (Territory under German occupation, 1940-1944)~~

~~Algeria~~

~~Algeria (Provisional government, 1958-1962)~~

**14.7. Conferences, Congresses, Meetings, etc.**

**14.7A. Omissions**

**14.7A1. Omit from the name of a conference, etc. (including that of a conference entered subordinately, see 14.13), indications of its number, frequency, or year(s) of convocation:**

~~Conference on Co-ordination of Galactic Research...  
not Second Conference on Co-ordination of Galactic Research...~~

~~Louisiana Cancer Conference...  
not Biennial Louisiana Cancer Conference...~~

~~Analogies Symposium  
not 1986 Analogies Symposium~~

**14.7B. Additions**

**14.7B1. General Rule.** Add to the name of a conference, etc. (including that of a conference entered subordinately, see 14.13), its number (if appropriate), the year(s), and the place(s) in which it was held. Separate these elements by a space, colon, space.

**14.7B2. Number.** If a conference, etc., is stated or inferred to be one of a series of numbered meetings of the same name, add the ordinal numeral in its English form:

~~Conference of British Teachers of Marketing at Advanced  
Level (3<sup>rd</sup> : ...)~~

If the numbering is irregular, do not add it. Optionally, provide an explanation of the irregularities in a note or an explanatory reference.

**14.7B3. Date.** If the heading is for a single meeting, add the year or years in which the conference, etc., was held.

~~Conference on Library Surveys (1965 : ...)~~

~~Conference of Technical Information Center Administration  
(3<sup>rd</sup> : 1966 : ...)~~

~~Study Institute on Special Education (1969-1970 : ...)~~

Add specific dates if necessary to distinguish between two or more meetings held in the same year:

~~Conférence agricole interalliée (1st : 1919 Feb.  
11-15 : ...)~~

~~Conférence agricole interalliée (2nd : 1919 Mar.  
17-19 : ...)~~

~~14.7B4 Location. Add the name of the local place or other location (institution, etc.) in which the conference, etc., was held. Give a local place name in the form prescribed in Chapter 12. Give any other location in the nominative case in the language and form in which it is found in the unit being described.~~

~~Symposium on Glaucoma (1966 : New Orleans, La.)~~

~~Regional Conference on Mental Measurements of the Blind  
(1st : 1951 : Perkins Institution)~~

~~Louisiana Cancer Conference (2<sup>nd</sup> : 1958 : New Orleans, La.)~~

~~International Conference on the Biology of Whales  
(1971 : Shenandoah National Park)~~

~~Conference on Cancer Public Education (1973 : Dulles  
Airport)~~

~~If the heading is for a series of conferences, etc., do not add the location unless all were held in the same place.~~

~~Hybrid Corn Industry Research Conference~~

~~If the location is part of the name of the conference, etc., do not repeat it.~~

~~Arden House Conference on Medicine and Anthropology (1961)~~

~~Paris Symposium on Radio Astronomy (1959)~~

~~If the sessions of a conference, etc., were held in two locations, add both names.~~

~~World Peace Congress (1<sup>st</sup> : 1949 Paris, France, and Prague,  
Czechoslovakia)~~

~~Institute on Diagnostic Problems in Mental Retardation  
(1957 : Long Beach State College and San Francisco State  
College)~~

~~If the sessions of a conference, etc., were held in three or more locations, add the first named place followed by "etc."~~

~~International Conference on Alternatives to War (1982 : San  
Francisco, Calif., etc.)~~

#### 14.8. EXHIBITIONS, FAIRS, FESTIVALS, ETC.

##### 14.8A. Omissions

14.8A1. As instructed in 14.7A1, omit from the name of an exhibition, fair, festival, etc., word(s) that denote its number.

#### 14.8B. Additions

14.8B1. As instructed in 14.7B, add to the name of an exhibition, fair, festival, etc., its number, date, and location. Do not add the date or location if they are integral parts of the name.

~~Biennale de Venezia (36th : 1972)~~

~~World's Columbian Exposition (1893 : Chicago, Ill.)~~

~~Expo 67 (Montréal, Québec)~~

#### 14.9. CHAPTERS, BRANCHES, ETC.

14.9A. If a chapter, branch, etc., entered subordinately (see 14.13) carries out the activities of a corporate body in a particular locality or within a particular institution, add the name of the locality or institution, unless it is part of the name of the chapter, branch, etc.

~~Freemasons. Concordia Lodge, No. 13 (Baltimore, Md.)~~

~~Freemasons. United. Grand Lodge (England)~~

~~Knights Templar (Masonic Order). Grand Commandery (Me.)~~

~~Scottish Rite (Masonic Order). Supreme Council (Canada)~~

~~Psi Upsilon (Fraternity). Gamma Chapter (Amherst College)~~

but

~~American Heart Association. Illinois Affiliate~~

~~American Red Cross. Champaign County Chapter~~

#### 14.10. PLACES OF WORSHIP

14.10A. If the name of a place of worship does not convey the idea of a place of worship, add a general designation in English.

~~Monte Cassino (Monastery)~~

14.10B. Add to the name of a place of worship the name of the place or local ecclesiastical jurisdiction (e.g., parish, Pfarrei) in which it is located (see 14.4C3–14.4C4), unless the location is clear from the name itself.

~~St. Mary (Church : Aylesbury Vale, England)~~

~~Westover Church (Charles City County, Va.)~~

~~St. James' Church (Bronx, New York, N.Y.)~~

~~Twin City Bible Church (Silver Spring, Md.)~~

~~Finnish Lutheran Church of Canberra~~

If there are two or more places of worship with the same name in the same locality, add a further suitable designation.

~~Saint James' Church (New York, N.Y. : Episcopal)~~

~~Saint James' Church (New York, N.Y. : Catholic)~~

#### 14.11. RADIO AND TELEVISION STATIONS

14.11A. If the name of a radio or television station consists solely or principally of its call letters or if its name does not convey the idea of a radio or television station, add "Radio station" or "Television station" and the name of the place in which the station is located.

~~HVJ (Radio station : Vatican City)~~

~~WCIA (Television station : Champaign, Ill.)~~

14.11B. Add to the name of any other radio or television station the place in which it is located unless the name of the place is an integral part of the name of the station.

~~Radio Maroc (Rabat, Morocco)~~

~~but — Radio London~~

### Subordinate and Related Corporate Bodies

#### 14.12. GENERAL RULE

14.12A. Enter a subordinate corporate body (other than a government agency entered under jurisdiction, see 14.18) or a related body directly under its own name (see 14.1–14.3) unless its name belongs to one or more of the types listed in 14.13. Refer to the name of a subordinate body entered directly from its name in the form of a subheading of the higher body.

~~Anseo~~

~~—x General Aniline and Film Corporation. —Anseo~~

~~Association of College and Research Libraries~~

~~—x American Library Association. —Association of College and Research Libraries~~

~~BBC Symphony Orchestra~~

~~—x British Broadcasting Corporation. —Symphony Orchestra~~

~~Bodleian Library~~

~~—x University of Oxford. —Bodleian Library~~

~~Congregation of the Most Holy Name of Jesus~~

~~—x Dominican Sisters. —Congregation of the Most Holy Name of Jesus~~

~~Crane Theological School~~

~~—x Tufts University. —Crane Theological School~~

~~Friends of IBBY  
—x International Board on Books for Young People. —Friends  
  
Harvard Law School  
—x Harvard University. —Law School~~

~~14.13. SUBORDINATE AND RELATED CORPORATE BODIES ENTERED SUBORDINATELY  
14.13A. Enter a subordinate or related corporate body as a subheading of the name of the body to which it is subordinate or related if its name belongs to one or more of the following types.<sup>8†</sup> Make it a direct or indirect subheading as instructed in 14.14. Omit from the subheading the name or abbreviation of the name of the higher or related body in noun form unless the omission would result in a heading that does not make sense.~~

~~—— TYPE 1. A name containing a term that by definition implies that the corporate body is part of another (e.g., *Department, Division, Section, Branch*).~~

~~British Broadcasting Corporation. —Engineering Division  
  
International Federation of Library Associations and  
Institutions. —Section on Cataloguing  
  
Stanford University. —Department of Civil Engineering~~

~~TYPE 2. A name containing a word that normally implies administrative subordination (e.g., *Committee, Commission*) provided that the name of the higher corporate body is required for the identification of the subordinate body.~~

~~Association of State Universities and Land-Grant Colleges.  
Committee on Traffic Safety, Research and Education  
  
Society of American Archivists. —National Information  
Systems Task Force  
  
Timber Trade Federation of the Great Britain. —Statistical  
Co-ordinating Committee  
  
National Association of Insurance Commissioners.  
Securities Valuation Office  
  
University of Wales. —University Commission  
(*Name: University Commission*)~~

~~but —National Commission on United Methodist Higher Education~~

~~TYPE 3. A name that is general in nature or that does no more than indicate a geographic, chronological, numbered, or lettered subdivision of a parent body.~~

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<sup>8†</sup> Distinguish cases in which the subordinate body's name includes the names of higher bodies from cases in which the names of higher bodies appear only in association with the subordinate body's name.

~~American Dental Association. — Research Institute  
(Name: Research Institute)~~

~~Bell Telephone Laboratories. — Technical Information Library  
(Name: Technical Information Library)~~

~~Sondley Reference Library. — Friends of the Library  
(Name: Friends of the Library)~~

~~American Institute of Architects. — Utah Society  
(Name: Utah Society)~~

~~Canadian Jewish Congress. — Central Region  
(Name: Central Region)~~

~~California Home Economics Association. — Orange District  
(Name: Orange District)~~

~~International Labour Organisation. — European Regional  
Conference (2nd : 1968 : Geneva, Switzerland)  
(Name: Second European Regional Conference)~~

~~Dartmouth College. — Class of 1980  
(Name: Class of 1980)~~

~~Knights of Labor. — District Assembly 99  
(Name: District Assembly 99)~~

~~U.S. Customs Service. — Region IX  
(Name: Region IX)~~

**In case of doubt, enter the name of the corporate body directly.**

~~Human Resources Centre (London, England)  
\* Tavistock Institute of Human Relations. — Human Resources  
Centre~~

~~Research Centre for Management of New Technology  
\* Wilfrid Laurier University. — Research Centre for  
Management of New Technology~~

**TYPE 4. A name that does not convey the idea of a corporate body.**

~~British Library. — Collection Development  
(Name: Collection Development)~~

~~Bell Canada. — Corporate Public Relations  
(Name: Corporate Public Relations)~~

**TYPE 5. A name of a university faculty, school, college, institute, laboratory, etc., that simply indicates a particular field of study.**

~~Princeton University. — Bureau of Urban Research~~

~~Syracuse University. College of Medicine~~  
~~University College London. Communication Research Centre~~  
~~University of London. School of Pharmacy~~

**TYPE 6.** A name that includes the entire name of the higher or related corporate body.

~~American Legion. Auxiliary~~  
~~(Name: American Legion Auxiliary)~~

~~Auburn University. Agricultural Experiment Station~~  
~~(Name: Agricultural Experiment Station of Auburn University)~~

~~Friends of the Earth. Camden Friends of the Earth~~  
~~(Name: Camden Friends of the Earth)~~

~~Labour Party (Great Britain). Conference (72nd : 1972 : Blackpool, England)~~  
~~(Name: 72nd Annual Conference of the Labour Party)~~  
~~(Activity of the Labour Party limited to Great Britain)~~

~~United Methodist Church (U.S.). General Conference~~  
~~(Name: General Conference of the United Methodist Church)~~

~~University of Southampton. Mathematical Society~~  
~~(Name: Mathematical Society of the University of Southampton)~~

~~University of Vermont. Choral Union~~  
~~(Name: University of Vermont Choral Union)~~

~~Yale University. Library~~  
~~(Name: Yale University Library)~~

~~but BBC Symphony Orchestra~~  
~~not British Broadcasting Corporation. Symphony Orchestra~~

#### 14.14. DIRECT OR INDIRECT SUBHEADING

14.14A. Enter a corporate body belonging to one or more of the types listed in 14.13 as a subheading of the lowest element in the hierarchy that is entered under its own name. Omit intervening elements in the hierarchy unless the name of the subordinate or related corporate body has been, or is likely to be, used by another body entered under the name of the same higher or related body. In that case, interpose the name of the lowest element in the hierarchy that will distinguish between the bodies.

~~Public Library Association. Audiovisual Committee~~  
~~Hierarchy: American Library Association~~  
~~Public Library Association~~  
~~Audiovisual Committee~~



~~American Library Association. Cataloging and Classification Section. Policy and Research Committee~~  
*Hierarchy:* ~~American Library Association~~  
~~Resources and Technical Services Division~~  
~~Cataloging and Classification Section~~  
~~Policy and Research Committee~~

Refer from the name in the form of a subheading of the name of its immediately superior body when the heading does not include the name of that superior body.

~~American Library Association. Cataloging and Classification Section~~  
*Hierarchy:* ~~American Library Association~~  
~~Resources and Technical Services Division~~  
~~Cataloging and Classification Section~~  
\* ~~American Library Association. Resources and Technical Services Division. Cataloging and Classification Section~~

~~Concordia University. Doctoral Program in Art Education~~  
*Hierarchy:* ~~Concordia University~~  
~~Faculty of Fine Arts~~  
~~Division of Graduate Studies~~  
~~Doctoral Program in Art Education~~  
\* ~~Concordia University. Faculty of Fine Arts. Division of Graduate Studies. Doctoral Program in Art Education~~

## Special Rules

14.15. JOINT COMMITTEES, COMMISSIONS, ETC.

14.15A. Enter a corporate body made up of representatives of two or more other bodies directly under its own name.

~~Joint Committee on Individual Efficiency in Industry~~  
~~(A joint committee of the Department of Scientific and Industrial Research and the Medical Research Council)~~

~~Canadian Committee on MARC~~  
~~(A joint committee of the Association pour l'avancement des sciences et des techniques de la documentation, the Canadian Library Association, and the National Library of Canada)~~

Omit the names of the parent bodies when these occur within or at the end of the name and if the name of the joint unit is distinctive without them.

~~Joint Committee on Bathing Places~~  
~~(Name: Joint Committee on Bathing Places of the Conference of State Sanitary Engineers and the Engineering Section of the American Public Health Association)~~

but ~~Joint Commission of the Council for Education in World Citizenship and the London International Assembly~~

14.15B. If the parent bodies are entered as subheadings of a common higher corporate body, enter the joint unit as instructed in 13.12–13.14.

~~American Library Association. Joint Committee to Compile a  
List of International Subscription Agents  
(A joint committee of the Acquisitions and Serials sections of the American Library  
Association's Resources and Technical Services Division)~~

#### 14.16. CONVENTIONALIZED SUBHEADINGS FOR STATE AND LOCAL ELEMENTS OF UNITED STATES POLITICAL PARTIES

14.16A. Enter a state or local unit of a political party in the United States under the name of the party followed by the state or local name in parentheses and then the name of the unit. Omit from the name of the unit any indication of the name of the party or the state or locality.

~~Republican Party (Mo.). State Committee  
(Name: Missouri Republican State Committee)~~

~~Republican Party (Ohio). State Executive Committee  
(Name: Ohio State Republican State Executive Committee)~~

~~Democratic Party (Tex.). State Convention (1857 : Waco,  
Tex.)  
(Name: State Convention of the Democratic Party of the State of Texas)~~

### Government Bodies and Officials

#### 14.17. GENERAL RULE

14.17A. Enter a corporate body created or controlled by a government directly under its own name (see 14.1–14.3) unless it belongs to one or more of the types listed in 14.18. However, if a body is subordinate to a higher body that is entered under its own name, formulate the heading for the subordinate body according to 14.12–14.14. Refer to the name of a government agency entered directly from its name as a subheading of the name of the government.

~~American Battle Monuments Commission  
\* United States. American Battle Monuments Commission~~

~~Arts Council of Great Britain  
\* Great Britain. Arts Council~~

~~Canada Institute for Scientific and Technical Information  
\* Canada. Institute for Scientific and Technical  
Information~~

~~Canadian National Railways  
\* Canada. Canadian National Railways~~

~~Consejo Superior de Investigaciones Cientificas  
\* Spain. Consejo Superior de Investigaciones Cientificas~~

~~Council on International Economic Policy  
\* United States. Council on International Economic Policy~~

~~Dundee Harbour Trust  
\* Great Britain. Dundee Harbour Trust~~

~~University of British Columbia  
\* British Columbia. University~~

#### 14.18. GOVERNMENT AGENCIES ENTERED SUBORDINATELY

14.18A. Enter a government agency subordinately to the name of the government if it belongs to one or more of the following types. Make it a direct or indirect subheading of the heading for the government as instructed in 14.19. Omit from the subheading the name or abbreviation of the name of the government in noun form unless such an omission would result in a heading that does not make sense.

~~Canada. Agriculture Canada  
not Canada. Agriculture~~

**TYPE 1.** An agency with a name containing a term that, by definition, implies that the corporate body is part of another (e.g., *Department, Division, Section, Branch*, and their equivalents in other languages):

~~Vermont. Dept. of Water Resources~~

~~Ottawa (Ont.). Dept. of Community Development~~

~~United States. Division of Wildlife Services~~

**TYPE 2.** An agency with a name containing a word that normally implies administrative subordination in the terminology of the government concerned (e.g., *Committee, Commission*), provided that the name of the government is required for the identification of the agency.

~~Australia. Bureau of Agricultural Economics~~

~~Canada. Royal Commission on Banking and Finance.~~

~~Great Britain. Central Office of Information~~

~~United States. Commission on Civil Rights~~

~~United States. Committee on Retirement Policy for Federal Personnel~~

~~but Royal Commission on Higher Education in New Brunswick~~

**TYPE 3.** An agency with a name that is general in nature or that does no more than indicate a geographic, chronological, numbered, or lettered subdivision of the government or of one of its agencies entered subordinately.

~~United States. National Labor Relations Board. Library  
(Name: Library)~~

~~Niger. Commissariat général au développement. Centre de  
documentation  
(Name: Centre de documentation)~~

~~Malaysia. Royal Customs and Excise Department. Sabah Region  
(Name: Sabah Region)~~

~~United States. General Services Administration. Region 5  
(Name: Region 5)~~

~~United States. Public Health Service. Region XI  
(Name: Region XI)~~

**In case of doubt, enter the name of the corporate body directly.**

~~Governor's Internship Program  
not — Minnesota. Governor's Internship Program~~

~~National Portrait Gallery (Great Britain)  
not — Great Britain. National Portrait Gallery~~

**TYPE 4. An agency with a name that does not convey the idea of a corporate body and does not contain the name of the government.**

~~Illinois. Bureau of Employment Security. Research and  
Analysis  
(Name: Research and Analysis)~~

~~Lower Saxony. (Germany). Landesvermessung  
(Name: Landesvermessung)~~

~~United States. Naval Oceanography and Meteorology  
(Name: Naval Oceanography and Meteorology)~~

~~Canada. Ocean and Aquatic Sciences  
(Name: Ocean and Aquatic Sciences)~~

**TYPE 5. An agency that is a ministry or similar major executive agency (i.e., one that has no other agency above it) as defined by official publications of the government in question.**

~~Great Britain. Home Office~~

~~Great Britain. Ministry of Defence~~

~~Italy. Ministero del bilancio e della programmazione  
economica~~

~~United States. National Aeronautics and Space  
Administration~~

~~TYPE 6. A legislative body (see also 14.21).~~

~~Chicago (Ill.). City Council~~

~~France. Assemblée nationale~~

~~Great Britain. Parliament~~

~~United States. Congress~~

~~TYPE 7. A court (see also 14.23).~~

~~Ontario. High Court of Justice~~

~~United States. Supreme Court~~

~~TYPE 8. A principal service of the armed forces of a government (see also 14.24).~~

~~Canada. Canadian Armed Forces~~

~~Germany. Heer~~

~~New York (State). Militia~~

~~Great Britain. Army~~

~~TYPE 9. A head of state or head of government (see also 14.20).~~

~~Great Britain. Sovereign~~

~~Montréal (Québec). Mayor~~

~~United States. President~~

~~Virginia. Governor~~

~~TYPE 10. An embassy, consulate, etc. (see also 14.25).~~

~~Canada. Embassy (U.S.)~~

~~Great Britain. Consulate (New York, N.Y.)~~

~~TYPE 11. A delegation to an international or intergovernmental body (see also 14.26).~~

~~Great Britain. Delegation (United Nations)~~

~~14.19. DIRECT OR INDIRECT SUBHEADING~~

~~14.19A. Enter an agency belonging to one or more of the types listed in 14.18 as a direct subheading of the heading for the government unless the name of the agency has been, or~~

is likely to be, used by another agency entered under the name of the same government. In that case, interpose the name of the lowest element in the hierarchy that will distinguish between the agencies.

~~United States. Office of Human Development Services~~

~~Hierarchy: United States  
Department of Health, Education and Welfare  
Office of Human Development Services~~

~~Quebec (Province). Service de l'exploration géologique~~

~~Hierarchy: Québec  
Ministère des richesses naturelles  
Direction générale des mines  
Direction de géologie  
Service de l'exploration géologique~~

~~United States. Aviation Forecast Branch~~

~~Hierarchy: United States  
Department of Transportation  
Federal Aviation Administration  
Office of Aviation Policy  
Aviation Forecast Branch~~

~~France. Commission centrale des marchés~~

~~Hierarchy: France Ministère d'économie et des finances  
Commission centrale des marchés~~

but

~~Great Britain. Department of Employment. Solicitors Office~~

~~Hierarchy: Great Britain  
Department of Employment  
Solicitors Office  
(Other ministries and departments have had subordinate units called Solicitors Office)~~

~~France. Direction générale des impôts. Service  
d'administration générale~~

~~Hierarchy: France  
Ministère d'économie et des finances  
Direction générale des impôts  
Service d'administration générale  
(Other units within the same ministry are called Service de l'administration générale)~~

Refer from the name in the form of a subheading of the name of its immediately superior body when the heading does not include the name of that superior body.

~~California. Employment Data and Research Division~~

~~Hierarchy: California  
Health and Welfare Agency  
Employment Development Department  
Employment Data and Research Division~~

~~\* California. Employment Development Department.  
Employment Data and Research Division~~

~~France. Ministère du travail, de l'emploi et de la population. Division de la statistique et des études~~  
~~Hierarchy: France~~  
~~Ministère du travail, de l'emploi et de la population~~  
~~Service des études et prévisions~~  
~~Division de la statistique et des études~~  
\* ~~France. Ministère du travail, de l'emploi et de la population. Service des études et prévisions. Division de la statistique et des études~~

## Special Rules

### 14.20. GOVERNMENT OFFICIALS

#### 14.20A. Scope

14.20A1. Apply this rule only to officials of countries and other states that have existed in postmedieval times and to officials of international intergovernmental organizations.

#### 14.20B. Heads of State, etc.

14.20B1. Enter a sovereign, president, other head of state, or governor acting in an official capacity under the heading for the jurisdiction, followed by the title of the official in English (unless there is no equivalent English term). Add the inclusive years of the reign or incumbency and the name of the person in a brief form and in the language of the heading for that person:

~~United States. President (1953-1961 : Eisenhower)~~

~~Iran. Shah (1941-1979 : Mohammed Reza Pahlavi)~~

~~Canada. Governor General (1979-1984 : Schreyer)~~

~~Papal States. Sovereign (1846-1870 : Pius IX)~~

If the title varies with the gender of the incumbent, use a general term (e.g., *Sovereign* rather than *King* or *Queen*):

~~Great Britain. Sovereign (1837-1901 : Victoria)~~

~~Russia. Sovereign (1894-1917 : Nicholas II)~~

~~Spain. Sovereign (1886-1931 : Alfonso XIII)~~

If there are two or more nonconsecutive periods of incumbency, use separate headings:

~~United States. President (1885-1889 : Cleveland)~~

~~United States. President (1893-1907 : Cleveland)~~

If the heading applies to more than one incumbent, do not add the dates and names:

~~United States. President~~

~~14.20B2. If a heading is established for an incumbent head of state or other official position as a person in addition to the heading as a head of state, make an explanatory reference under the heading for the head of state.~~

~~14.20C. Heads of Governments and of International Intergovernmental Bodies~~

~~14.20C1. Enter a head of government acting in an official capacity who is not also a head of state under the heading for the jurisdiction, followed by the title of the official in the vernacular. Add the inclusive years of the incumbency and the name of the person in a brief form and in the language of the heading for that person.~~

~~Great Britain. Prime Minister (1979-1990 : Thatcher)~~

~~Philadelphia (Pa.). Mayor (1972-1980 : Rizzo)~~

~~France. Premier minister (1993-1995 : Balladur)~~

~~New Zealand. Prime Minister (1999 : Clark)~~

~~If there are two or more nonconsecutive period of incumbency, use separate headings.~~

~~Canada. Prime Minister (1968-1979 : Trudeau)~~

~~Canada. Prime Minister (1980-1984 : Trudeau)~~

~~If the heading applies to more than one incumbent, do not add the dates and names.~~

~~Canada. Prime Minister~~

~~14.20C2. Enter a head of an international intergovernmental organization acting in an official capacity under the heading for the organization, followed by the title of the official in the language of the heading for the organization. Add the inclusive years of the incumbency and the name of the person in a brief form and in the language of the heading for that person.~~

~~United Nations. Secretary General (1972-1981 : Waldheim)~~

~~If the heading applies to more than one incumbent, do not add the dates and names.~~

~~United Nations. Secretary General~~

~~14.20D. Governors of Dependent or Occupied Territories~~

~~14.20D1. Enter a governor of a dependent territory (e.g., a colony, protectorate) or of an occupied territory (see 14.6D) acting in an official capacity under the heading for the colony, territory, etc., followed by the title of the governor in the language of the governing power.~~

~~Hong Kong. Governor~~

~~Jersey (Channel Islands) (Territory under German occupation, 1940-1945). Militärischer Befehlshaber.~~



~~Netherlands (Territory under German occupation, 1940-1945 -> Reichskommissar für die Besetzten Niederländischen Gebiete).~~

~~Germany (Territory under Allied occupation, 1945-1955 -> U.S. Zone). Military Governor~~

#### 14.20E. Other Officials

14.20E1. Enter any other official under the heading for the ministry or agency that the official represents.

~~United States. General Accounting Office  
not United States. Comptroller General~~

14.20E2. Enter an official who is not part of a ministry or agency or who is part of a ministry or agency that is identified only by the title of the official, under the heading for the jurisdiction, followed by the title of the official.

~~Great Britain. Lord Privy Seal~~

#### 14.21. LEGISLATIVE BODIES

14.21A. Enter a legislature under the name of the jurisdiction for which it legislates.

~~Iceland. Alþingi~~

~~British Columbia. Legislative Assembly~~

If a legislature has more than one chamber, enter each as a subheading of the heading for the legislature. Refer from the name of the chamber as a direct subheading of the jurisdiction.

~~Great Britain. Parliament. House of Commons  
not Great Britain. House of Commons~~

~~Great Britain. Parliament. House of Lords  
not Great Britain. House of Lords~~

14.21B. Enter a committee or other subordinate unit (other than a legislative subcommittee of the United States Congress, see 13.21C) as a subheading of the legislature or of a particular chamber, as appropriate.

~~United States. Congress. Joint Committee on the Library~~

~~United States. Congress. House of Representatives. Select Committee on Government Organization~~

~~New York (State). Legislature. Assembly. Committee on Canals~~

~~Nova Scotia. House of Assembly. Select Committee on Trade Negotiations~~

**14.21C.** Enter a legislative subcommittee of the United States Congress as a subheading of the committee to which it is subordinate.

~~United States. Congress. Senate. Committee on Foreign Relations. Subcommittee on Canadian Affairs  
not United States. Congress. Senate. Subcommittee on Canadian Affairs~~

**14.21D.** Optionally, if successive legislatures are numbered consecutively, add the ordinal numeral and the year or years to the heading for the particular legislature or one of its chambers.

~~United States. Congress (87th : 1961-1962). House of Representatives  
Canada. Parliament (27th : 1964-1968)~~

If, in such a case, numbered sessions are involved, add the session and its number and the year(s) of the session to the number of the legislature.

~~United States. Congress (87<sup>th</sup>, 2<sup>nd</sup> session : 1962). House of Representatives~~

#### **14.22. CONSTITUTIONAL CONVENTIONS**

**14.22A.** Enter a constitutional convention under the heading for the government that convened it, followed by the name of the convention. Add the year(s) in which it was held.

~~Germany. Nationalversammlung (1919-1920)  
Canada. Constitutional Conference (1971)~~

**14.22B.** If there is variation in the forms of name of constitutional conventions convened by a jurisdiction using English as an official language, use “Constitutional Convention” as the subheading for each of the conventions.

~~New Hampshire. Constitutional Convention (1781)  
not New Hampshire. Convention for Framing a New Constitution or Form of Government (1781)  
New Hampshire. Constitutional Convention (1889)  
New Hampshire. Constitutional Convention (1912)  
not New Hampshire. Convention to revise the Constitution (1912)~~

If English is not an official language of the jurisdiction, follow the instructions in 14.2 and 14.3.

~~14.23. COURTS~~

~~14.23A. Civil and Criminal Courts~~

~~14.23A1. Enter a civil or criminal court under the heading for the jurisdiction whose authority it exercises, followed by the name of the court.~~

~~Vermont. Court of Chancery~~

~~Omit the name (or abbreviation of the name) of the place in which the court sits or the area that it serves unless the omission would result in objectionable distortion. If the name of the place or the area served is required to distinguish a court from others of the same name, add it in a conventionalized form.~~

~~France. Cour d'appel (Caen)  
(Name: Cour d'appel de Caen)~~

~~Great Britain. Crown Court (Manchester)  
(Name: Manchester Crown Court)~~

~~United States. Court of Appeals (2nd Circuit)  
(Name: United States Court of Appeals for the Second Circuit)~~

~~United States. Court of Appeals (District of Columbia Circuit)  
(Name: United States Court of Appeals for the District of Columbia Circuit)~~

~~United States. District Court (North Carolina : Eastern District)  
(Name: United States District Court for the Eastern District of North Carolina)~~

~~United States. District Court (Illinois : Northern District : Eastern Division)  
(Name: United States District Court for the Eastern Division of the Northern District of Illinois)~~

~~California. Municipal Court (Los Angeles Judicial District)  
(Name: Municipal Court, Los Angeles Judicial District)~~

~~California. Superior Court (San Bernadino County)  
(Name: Superior Court for the State of California in and for the County of San Bernadino)~~

~~14.23B. Ad hoc Military Courts~~

~~14.23B1. Enter an ad hoc military court (e.g., court martial, court of inquiry) under the heading for the particular military service (see 14.24), followed by the name of the court. Add the surname of the defendant and the year of the trial.~~

~~United States. Army. Court of Inquiry (Hall : 1863)~~

~~Virginia. Militia. Court-martial (Yancey : 1806)~~

~~14.24. ARMED FORCES~~

~~14.24A. Armed Forces at the National Level~~

~~14.24A1. Enter a principal service of the armed forces of a national government under the heading for the government, followed by the name of the service. Omit the name (or abbreviation of the name) of the government in noun form unless the omission would result in objectionable distortion.~~

~~Canada. Canadian Armed Forces~~

~~Great Britain. Royal Navy~~

~~United States. Marine Corps~~

~~Great Britain. Royal Marines~~

~~Enter a component branch, command district, or military unit, large or small, as a direct subheading of the heading for the principal service of which it is a part.~~

~~Great Britain. Army. Royal Gloucestershire Hussars~~

~~Great Britain. Royal Air Force. Central Interpretation Unit~~

~~Great Britain. Royal Navy. Sea Cadet Corps~~

~~United States. Army. General Staff~~

~~United States. Army. Corps of Engineers~~

~~United States. Army. District of Mindanao~~

~~If the component branch is identified by a number, follow the style of numbering found in the name (spelled out, roman numerals, or Arabic numerals) and place the numbering after the name.~~

~~Great Britain. Army. Infantry Regiment, 57<sup>th</sup>~~

~~United States. Army. Infantry Division, 27<sup>th</sup>~~

~~United States. Navy. Fleet, 6<sup>th</sup>~~

~~United States. Army. Army, First~~

~~United States. Army. Corps, IV~~

~~United States. Navy. Torpedo Squadron 8~~

~~Confederate States of America. Army. Tennessee Regiment,  
1<sup>st</sup>~~

~~France. Armée. Régiment de dragons, 15<sup>e</sup>~~

~~Germany. Heer. Panzerdivision, 11~~

~~If the name of such a component branch begins with the name, or an indication of the name, of the principal service, enter it as a direct subheading of the heading for the government.~~

~~United States. Army Map Service~~

~~United States. Naval Air Transport Service~~

~~If the name of such a component branch contains, but does not begin with, the name or an indication of the name of the principal service, enter it as a direct subheading of the heading for the service and omit the name or indication of the name unless objectionable distortion would result.~~

~~Canada. Canadian Army. Royal Canadian Army Medical Corps~~

#### ~~14.24B. Armed Forces below the National Level~~

~~14.24B1. Enter an armed force of a government below the national level under the heading for the government, followed by the name of the force.~~

~~New York (State). Militia~~

~~New York (State). National Guard~~

~~14.24B2. Enter a component branch of an armed force of a government below the national level as a subheading of the heading for the force as instructed in 14.24A.~~

~~New York (State). Militia. Regiment of Artillery, 9th  
(Name: 9th Regiment of Artillery, N.Y.S.M.)~~

~~New York (State). National Guard. Coast Defense Command,  
9th~~

~~14.24B3. Enter a component branch of a force below the national level that has been absorbed into the national military forces as a component branch of the national force (see 14.24A).~~

~~United States. Army. New York Volunteers, 83<sup>rd</sup>~~

~~United States. Army. Regiment Infantry, New York  
Volunteers, 9th~~

#### ~~14.25. EMBASSIES, CONSULATES, ETC.~~

~~14.25A. Enter an embassy, consulate, legation, or other continuing office representing one country in another under the heading for the country represented, followed by the name of the embassy, etc. Give the subheading in the language (see 14.3A) of the country represented and omit from it the name of the country.~~

If the heading is for an embassy or legation, add the name of the country to which it is accredited.

~~Germany. Gesandtschaft (Switzerland)~~

~~Great Britain. Embassy (U.S.)~~

~~United States. Legation (Bulgaria)~~

~~Canada. Embassy (Belgium)~~

If the heading is for a consulate or other local office, add the name of the city in which it is located.

~~France. Consulat (Buenos Aires, Argentina)~~

~~Great Britain. Consulate (Cairo, Egypt)~~

#### 14.26. DELEGATIONS TO INTERNATIONAL AND INTERGOVERNMENTAL BODIES

14.26A. Enter a delegation, commission, or other group representing a country in an international or intergovernmental body, conference, undertaking, etc., under the heading for the country represented, followed by the name of the delegation or group. Give the subheading in the language (see 14.3A) of the country represented. Omit from the subheading the name or abbreviation of the name of the government in noun form unless such an omission would result in objectionable distortion. If the name of the delegation or group is uncertain, give "Delegation [Mission, etc.] to ..." (or equivalent terms in the language of the country represented). If considered necessary to distinguish the delegation or group from others of the same name, add the name, in the form and language used for it as a heading, of the international or intergovernmental body, conference, undertaking, etc., to which the delegation or group is accredited. Make explanatory references as necessary from the heading for the international body, etc., followed by an appropriate subheading.

~~United States. Delegation (International Conference on Maritime Law (3<sup>rd</sup> : 1909 : Brussels, Belgium))~~

~~United States. Mission (United Nations)~~

*Explanatory reference:*

~~United Nations. Missions~~

~~—Delegations, missions, etc., from member nations to the United Nations and to its subordinate units are entered under the name of the nation followed by the name of the delegation, mission, etc.; e.g.,~~

~~United States. Mission (United Nations)~~

~~United States. Delegation (United Nations. General Assembly)~~

*Make the same explanatory reference under United Nations. Delegations, and under United Nations. General Assembly. Delegations, and under other appropriate headings*

If it is uncertain that a delegation represents the government of a country, enter it under its own name.

#### ~~14.27. RELIGIOUS BODIES AND OFFICIALS~~

##### ~~14.27A. Councils, etc., of a Single Religious Body~~

~~14.27A1. Enter a council, etc., of the clergy or membership (international, national, regional, provincial, state, or local) of a single religious body under the heading for the religious body, followed by the name of the council, etc. When appropriate, make additions to the heading as instructed in 14.7B.~~

~~Catholic Church. Antilles Episcopal Conference~~

~~Society of Friends. Philadelphia Yearly Meeting~~

~~United Methodist Church (U.S.). Northern Illinois Conference~~

~~14.27A2. If the name of a council, etc., of the Catholic Church is given in more than one language, use (in this order of preference) the English, Latin, French, German, or Spanish name and make appropriate references.~~

~~Catholic Church. Canadian Conference of Catholic Bishops~~

~~Catholic Church. Plenary Council of Baltimore (2nd : 1866)~~

~~Catholic Church. Concilium Plenarium Americae Latinae (1899 : Rome, Italy)~~

~~14.27A3. If a council, etc., is subordinate to a particular district of the religious body, enter it under the heading for that district (see 14.27C2–14.27C3), followed by the name of the council, etc. If the name appears in more than one language, use the name in the vernacular of the district.~~

~~Catholic Church. Province of Baltimore. Provincial Council (10<sup>th</sup> : 1869)~~

~~Catholic Church. Diocese of Grand Falls. Council for the Family~~

##### ~~14.27B. Religious Officials~~

~~14.27B1. Enter a religious official (e.g., bishop, abbot, rabbi, moderator, mullah, patriarch) acting in an official capacity under the heading for the religious jurisdiction (e.g., diocese, order, rabbinate, synod, denomination, see 14.27C2–14.27C3), followed by the title of the official in English (unless there is no equivalent English term). Add the inclusive years of incumbency and the name of the person in a brief form and in the language of the heading for that person.~~

~~Catholic Church. Archdiocese of Halifax. Archbishop (1892–1906 : O'Brien)~~

~~Franciscans. Minister General (1947-1951 : Perantoni)~~

~~Catholic Church. Diocese of Winchester. Bishop  
(1367-1404 : William, of Wykeham)~~

**If the heading applies to more than one incumbent, do not add the dates and names:**

~~Church of England. Diocese of Winchester. Bishop~~

**If a heading is established for the incumbent as a person in addition to the heading as a religious official, make an explanatory reference under the heading for the official:**

**14.27B2. Popes.** Enter a pope acting in an official capacity under “Catholic Church,” followed by “Pope.” Add the year or inclusive years of the reign and the pontifical name in its catalog entry form:

~~Catholic Church. Pope (1878-1903 : Leo XIII)~~

~~Catholic Church. Pope (1978 : John Paul I)~~

**If the heading applies to more than one pope, do not add the dates and names:**

~~Catholic Church. Pope~~

**If a heading is established for a pope as a person in addition to the heading as a religious official, make an explanatory reference under the heading for the official:**

#### **14.27C. Subordinate Bodies**

**14.27C1. General Rule.** Except as provided in 14.27C2-14.27C4, enter subordinate religious bodies according to the instructions in 14.12-14.13. For religious orders and societies, see 14.3D.

**14.27C2. Provinces, Dioceses, Synods, etc.** Enter a province, diocese, synod, or other subordinate unit of a religious body having jurisdiction over a geographic area under the heading for the religious body, followed by the name of the province, etc.

~~Church of England. Diocese of Ely~~

~~Evangelical and Reformed Church. Reading Synod~~

~~Evangelische Kirche der Altpreuussischen Union.  
Kirchenprovinz Sachsen~~

~~Church of England. Archdeaconry of Surrey~~

~~United Church of Canada. Manitou Conference~~

~~United Methodist Church (U.S.). Northern Illinois  
Conference~~



~~Protestant Episcopal Church in the U.S.A. Diocese of  
Southern Virginia~~

~~Anglican Church of Canada. Diocesan Synod of  
Fredericton~~

~~Church of England. Woking Deanery~~

**14.27C3. Catholic Dioceses, etc.** Use an English form of name for a patriarchate, diocese, province, etc., of the Catholic Church.

~~Catholic Church. Diocese of Ely~~

~~Catholic Church. Patriarchate of Alexandria of the  
Copts~~

~~Catholic Church. Province of Québec~~

~~Catholic Church. Ukrainian Catholic Archeparchy of  
Philadelphia~~

**Do not apply this rule to an ecclesiastical principality (often called *Bistum*) of the Holy Roman Empire bearing the same name as a Catholic diocese and ruled by the same bishop.**

~~Catholic Church. Diocese of Fulda  
but Fulda (Ecclesiastical principality)~~

**14.27C4. Central Administrative Organs of the Catholic Church (Roman Curia).** Enter a congregation, tribunal, or other central administrative organ (i.e., one that is part of the Roman Curia) of the Catholic Church under “Catholic Church,” followed by the Latin form of the name of the congregation, etc. Omit any form of the word *sacra* when it is the first word of the name and make an explanatory reference from the form of the name beginning with it.

~~Catholic Church. Congregatio Sacrorum Rituum~~

~~Catholic Church. Rota Romana~~

**14.27D. Papal Diplomatic Missions, etc.**

**14.27D1.** Enter a diplomatic mission from the pope to a secular power under “Catholic Church,” followed by “Apostolic Nunciature” or “Apostolic Internunciature,” as appropriate. Add the heading for the government to which the mission is accredited.

~~Catholic Church. Apostolic Internunciature (India)~~

~~Catholic Church. Apostolic Nunciature (Flanders)~~

Enter a nondiplomatic apostolic delegation under “Catholic Church” followed by “Apostolic Delegation.” Add the name of the country or other jurisdiction in which the delegation functions.

~~Catholic Church. Apostolic Delegation (Canada)~~

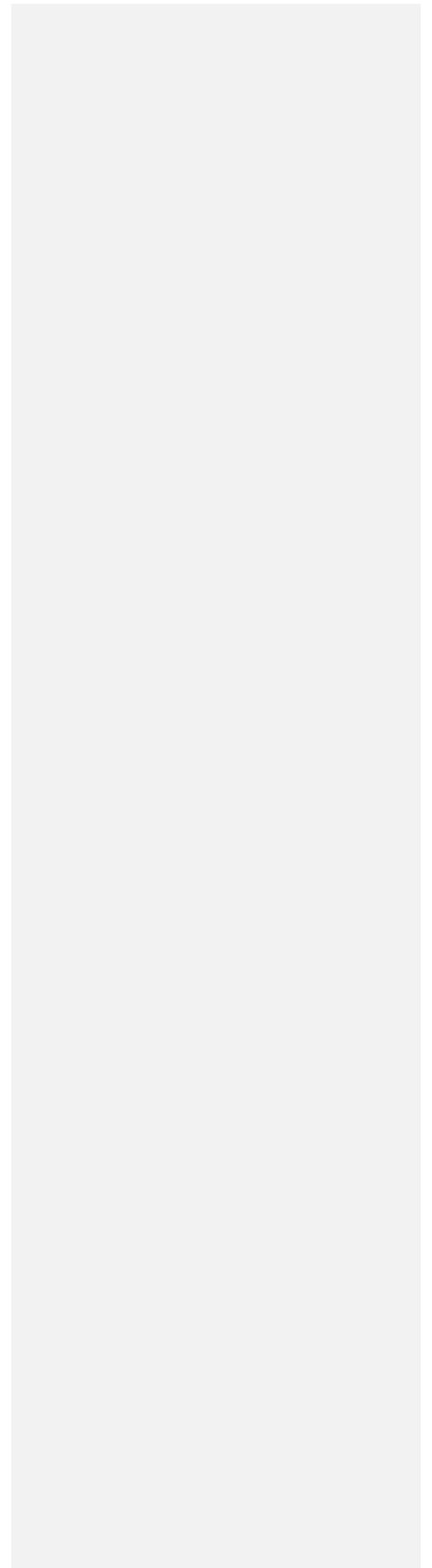
~~Enter an emissary of the pope acting in an official capacity (other than a nuncio, internuncio, or apostolic delegate) under "Catholic Church," followed by the title of the emissary (in English if there is an equivalent term; otherwise in Latin). Add the name of the country or region in which the emissary functions.~~

~~Catholic Church. Legate (Colombia)~~

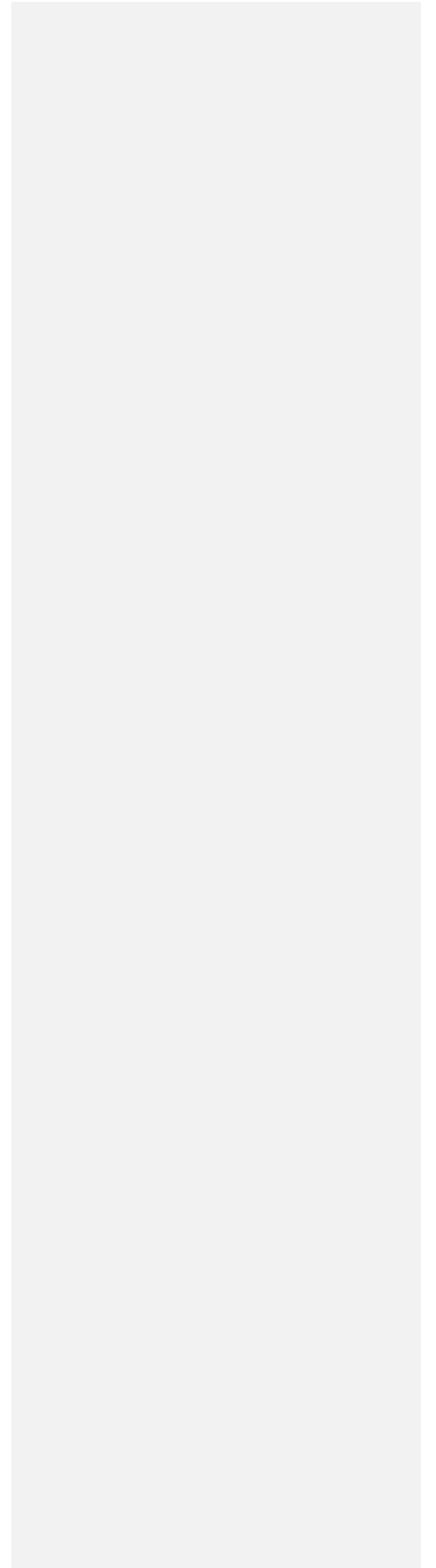
~~If the country or region cannot be ascertained, add the name of the emissary in brief form.~~

~~Catholic Church. Commissary Apostolic (Robertus Castellensis)~~

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## **Appendices**





## APPENDIX A

### **GLOSSARY (point to Richard Pearce-Moses' A Glossary of Archival and Records Terminology at <http://www.archivists.org/glossary/>)**

This glossary contains definitions of most of the archival terms used in these rules with the exception of specialized terms that are defined in footnotes within a particular chapter. The terms have been defined only within the context of the rules. For definitions of other terms, consult standard glossaries or dictionaries.<sup>82</sup> A “see” reference refers from an unused to a used term. A “see also” reference refers to a related term defined in the glossary.

Where terms are discussed in commentaries, their “definitions” may not be identical to the glossary definitions because they may have been adjusted slightly for explanatory purposes and to fit in with the flow of the sentence. The definitions in the glossary are to be taken as definitive.

**Access point**—A name, term, keyword, phrase, or code that may be used to search, identify, and locate an archival description. See also **Heading**.

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<sup>82</sup> The sources consulted in compiling this glossary include:

*Anglo-American Cataloguing Rules*, prepared under the direction of the Joint Steering Committee for Revision of AACR, 2nd ed., 2002 revision (Chicago: American Library Association; Ottawa: Canadian Library Association; London: Chartered Institute of Library and Information Professionals, 2002)

Lewis J. Bellardo and Lynn Lady Bellardo, comps., *A Glossary for Archivists, Manuscript Curators, and Records Managers*, SAA Archival Fundamentals Series (Chicago: Society of American Archivists, 1992)

*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)

*ISAAR(CPF): International Standard Archival Authority Record (Corporate Bodies, Persons, and Families)*, 1<sup>st</sup> ed. (Ottawa: International Council on Archives, 1996) and draft 2<sup>nd</sup> ed. (2003)

*ISAD(G): General International Standard Archival Description*, 1<sup>st</sup> ed. (Ottawa: International Council on Archives, 1994) and 2<sup>nd</sup> ed. (Ottawa: International Council on Archives, 2000)

A Glossary of Archival and Records Terminology, 2004-03-23 draft, used with the kind permission of Richard Pearce-Moses

*Keeping Archives*, edited by Ann Pederson (Sydney: Australian Society of Archivists, 1993)

Margaret Procter and Michael Cook, eds., *Manual of Archival Description*, 3<sup>rd</sup> ed. (London: Gower, 2000)

*Rules for Archival Description* (Ottawa: Bureau of Canadian Archivists, 1996).

**Access tools**—A generic term encompassing all manner of descriptions of archival materials, including finding aids, catalog records, calendars, guides, etc.

**Accrual**—Materials added to an existing body of records or papers; an accretion.

**Accumulation**—The naturally occurring process by which archives are created in the conduct of affairs of any kind.

**Aggregation**—1. Records that accumulated in interrelated groups according to the way that the records creator carried out its activities, or the way that the records were arranged in inter-related groups by the archivist. 2. A fonds, series, or file.

**Architectural drawing**—A sketch, diagram, plan, or schematic used to design, construct, and document buildings and other structures.

**Archival series**—See **Series**.

**Arrangement**—1. The process of organizing materials with respect to their provenance and original order, to protect their context and to achieve physical and intellectual control over the materials. 2. The organization and sequence of items within a collection.

**Artificial collection**—See **Collection**.

**Authority file**—An organized set of authority records.

**Authority record**—An entry in an authority file that contains the preferred form of a name or subject heading, and, for corporate bodies and persons, relevant administrative history or biographical information related to the entity named in the heading.

**Authorized heading**—See **Authorized name**.

**Authorized name**—A standardized form of a name used in the description of archival materials or as an entry in an authority file.

**Bulk dates**—The dates of the documents that constitute the largest part of the unit being described. See also **Inclusive dates**, **Predominant dates**.

**Calendar**—A chronological listing of documents in a collection, which may be comprehensive or selective, and which may include details about the writer, recipient, date, place, summary of content, type of document, and page or leaf count. Though common through the first half of the 20th century, the production of calendars by archives has become increasingly rare.

**Cartographic materials**—Materials that use images, numbers, or relief that correlate to physical or cultural features of the earth or celestial body (or portion thereof), such as

~~maps, charts, plans, and related materials including globes, atlases, topographic and hydrographic charts, cartograms, relief models, and aerial photographs.~~

~~Catalog—A collection of systematically arranged descriptions of materials. Catalogs may be in a variety of formats, including bound volumes, cards, microform, or online databases.~~

~~Collection—1. A group of materials with some unifying characteristic. 2. Materials assembled by a person, organization, or repository from a variety of sources. 3. The holdings of a repository.~~

~~Collector—The person, family, or corporate body that assembled a collection.~~

~~Container—A housing for an item, a group of items, or part of an item that is physically separable from the material being housed.~~

~~Content dates—The dates of the intellectual content or subject of the unit being described.~~

~~Corporate body—An organization or association of persons that is identified by a particular name and that acts, or may act, as an entity. Typical examples of corporate bodies are societies, institutions, business firms, nonprofit enterprises, governments, government agencies, religious bodies, places of worship, and conferences.~~

~~Creating entity—See Creator.~~

~~Creator—A person, family, or corporate body that created, assembled, accumulated, and/or maintained and used records in the conduct of personal or corporate activity. A creator can also be responsible for the intellectual content of a single item.~~

~~Custodian—The corporate body, family, or person (other than the creator) responsible for the care of documents based on their ownership or physical possession.~~

~~Date(s) of broadcast—Date(s) on which sound recordings or moving image materials were broadcast on radio, television, or the Internet.~~

~~Date(s) of creation—The date(s) on which the documents being described were originally created or the date(s) that an event or image was captured in some material form.~~

~~Date(s) of publication, distribution, etc.—The date(s) of the various activities involved in making commercially issued, mass-produced items available to the public in some way, including publishing, distributing, releasing, and issuing of items.~~

~~Date(s) of record-keeping activity—The dates during which the unit being described was created, accumulated, and maintained as an aggregation of records by the creator of the records.~~



~~Date(s) of reproduction~~—The date(s) that the unit being described was copied to another support.

~~Description~~—The creation of an accurate representation of a unit of archival material by the process of capturing, collating, analyzing, and organizing information that serves to identify archival material and explain the context and records system(s) that produced it.

~~Descriptive record~~—A representation of a unit being described.

~~Descriptive unit~~—A document or aggregation of documents in any physical form, treated as an entity and forming the basis of a single description.

~~Discrete item~~—An individual item that is not part of a larger body of materials.

~~Document~~—Recorded information irrespective of medium. See also ~~Record~~.

~~Electronic records~~—Data or information that has been captured or encoded and fixed for storage and manipulation in a computer system and that requires the use of the system to render it intelligible by a person.

~~Entity~~—The corporate body, person, or family associated with the creation, assembly, accumulation, maintenance, and/or use of archival materials.

~~File~~—1. An organized unit of documents grouped together either for current use by the creator or in the process of archival arrangement because they relate to the same subject, activity, or transaction. 2. A level of description.

~~Finding aid~~—A representation of, or a means of access to, archival materials made or received by a repository in the course of establishing administrative or intellectual control over the archival materials.

~~Fonds~~—1. The whole of the documents, regardless of form or medium, automatically and organically created and/or accumulated and used by a particular person, family, or corporate body in the course of that creator's activities and functions. 2. In some descriptive systems, a level of description.

~~Form~~—1. The physical (e.g., watercolor, drawing) or intellectual (e.g., diary, journal, daybook, minute book) characteristics of a document. 2. A printed document with clearly defined areas left blank that are to be completed later. 3. The materials and structure of an item; format. 4. The overall appearance, configuration, or shape, independent of its intellectual content. 5. A style or convention for expressing ideas in a literary work or document; documentary form, including extrinsic and intrinsic elements.

~~Formal title~~—A title that appears prominently on or in the material being described.

~~Graphic materials~~ Documents in the form of pictures, photographs, drawings, watercolors, prints, and other forms of two-dimensional pictorial representations intended to be viewed by reflected or transmitted light.

~~Guide~~ A broad description of the holdings of one or more archives, typically at the collection level. A guide covering an individual or several repositories' holdings is often called a repository guide. A guide that describes collections relating to a specific subject is often called a subject guide.

~~Heading~~ A standardized name, word, or phrase that serves as an access point. See also ~~Access point~~.

~~Immediate source of acquisition~~ The person or organization from whom the unit being described was acquired through donation, purchase, transfer, etc.

~~Inclusive dates~~ The earliest and latest dates of the materials being described, or of the activity in question as they relate to the materials being described. See also ~~Bulk dates~~, ~~Predominant dates~~.

~~Inventory~~ A finding aid that includes contextual information as well as a description of the materials, and frequently a listing of box or folder contents.

~~Item~~ 1. An object that can be distinguished from a group and that is complete in itself. 2. The lowest level of description.

~~Medium~~ The material support of a record's content and form.

~~Moving images~~ Visual images, with or without sound, recorded on any medium, that when viewed, may present the illusion of motion.

~~Multilevel description~~ 1. The preparation of descriptions that are related to one another in a part-to-whole relationship and that need complete identification of both the parts and the comprehensive whole in multiple descriptive records. 2. A finding aid or other access tool that consists of separate, interrelated descriptions of the whole and its parts, reflecting the hierarchy of the materials being described.

~~Nominal access point~~ An access point consisting of the name of a person, family, or corporate body.

~~Original~~ 1. The initial manifestation of something. 2. A prototype from which copies are made.

~~Original Order~~ The principle that the order of the records that was established by the creator should be retained whenever possible to preserve existing relationships between the documents and the evidential value inherent in their order. See also ~~Respect des Fonds~~.

~~**Parallel name**—An authorized form of the name in another language for the same entity.~~

~~**Physical carrier**—A physical medium in which data, sound, images, etc. are stored, e.g., microfilm or microfiche, computer disks.~~

~~**Physical characteristics**—The results of the techniques and physical processes by which an object came into being, including such aspects as color, polarity, base or support, medium, production process, layout, identifying marks, and any other details relating to the physical nature of the material.~~

~~**Predominant dates**—The dates of the documents that constitute the largest part of the unit being described. See also **Bulk dates**, **Inclusive dates**.~~

~~**Provenance**—The relationships between records and the organizations or individuals that created, assembled, accumulated, and/or maintained and used them in the conduct of personal or corporate activity. See also **Respect des Fonds**.~~

~~**Pseudonym**—A name assumed by a personal author to conceal or obscure his or her identity.~~

~~**Publication**—1. A work that expresses some thought in language, signs, or symbols and that is reproduced for distribution. 2. The act of publishing such a work.~~

~~**Record**—1. A document in any form or medium, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs. 2. A written or printed work of a legal or official nature that may be used as evidence or proof; a document. 3. Data or information that has been fixed on some medium; that has content, context, and structure; and that is used as an extension of human memory or to demonstrate accountability. 4. Data or information in a fixed form that is created or received in the course of individual or institutional activity and set aside (preserved) as evidence of that activity for future reference. 5. An entry describing a work in a catalog; a catalog record.~~

~~**Reference code**—A unique combination of letters and numbers used to identify an archival entity in order to facilitate storage and retrieval.~~

~~**Related name**—The name(s) of other corporate bodies, persons, or families associated in some way with a name in an archival description or in an archival authority record.~~

~~**Reproduction**—1. The process of making copies of all or part of an item(s) in the unit being described. 2. A copy of all or part of an item in the unit being described.~~

~~**Respect des Fonds**—The principle that the records created, assembled, accumulated, and/or maintained and used by an organization or individual must be kept together in their original order if it exists or has been maintained, and not be mixed or combined with~~

~~the records of another individual or corporate body. See also Original Order, Provenance.~~

~~Series~~ 1. Documents arranged in accordance with a filing system or maintained as a unit because they result from the same accumulation or filing process, the same function, or the same activity; have a particular form or subject, or because of some other relationship arising out of their creation, receipt, or use. 2. A level of description.

~~Sound recordings~~ Sounds that, when fixed on a medium, can be reproduced.

~~Supplied title~~ A title provided by the archivist when there is no formal title for the unit being described, or where the formal title is misleading or inadequate.

~~Technical drawing~~ A graphic using lines and symbols that follows precise conventions of scale and projection, typically used in architecture, construction, engineering, or mapping.

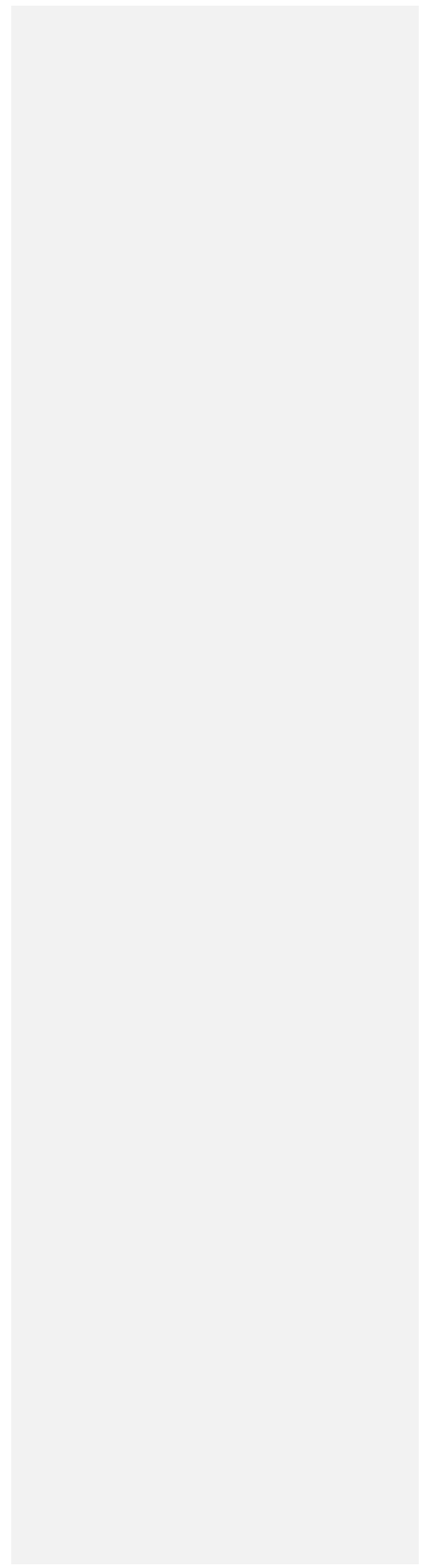
~~Textual materials~~ Documents in which information is represented as text (handwritten, typed, printed, or displayed words or numbers) readable by the eye, with or without the mediation of a machine.

~~Title~~ A word, phrase, character, or group of characters that names the unit being described.

~~Title proper~~ The chief name of the unit being described, whether formal or supplied, including any alternate title but excluding parallel titles and other title information appearing in conjunction with a title proper.

~~Unit being described~~ See Descriptive unit.

~~Variant name~~ A name or form of name other than that established as the authorized form of name.



## 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 non-textual materials. Listed here are the most recent editions at the time of writing; however, where a standard is revised periodically, users are encouraged to use the most recent edition.

## Content Standards

### Published Materials

*Anglo-American Cataloging Rules*, 2nd edition, 2002 revision. Chicago: American Library Association; Ottawa: Canadian Library Association; London: Chartered Institute of Library and Information Professionals, 2002.

To be superseded by:

[RDA: Resource Description and Access Print](#). Chicago: American Library Association; Ottawa: Canadian Library Association; London: Chartered Institute of Library and Information Professionals, 2011.

### Graphic Materials

Parker, Elisabeth Betz. *Graphic materials: rules for describing original items and historical collections*. Washington, D.C.: Library of Congress, 1982. [Available online at http://www.loc.gov/rr/print/gm/graphmat.html](http://www.loc.gov/rr/print/gm/graphmat.html) (accessed May 2012)

To be superseded by *Descriptive Cataloging of Rare Materials (Graphic Materials)*. See [link for updates](#). <http://dcrmg.pbworks.com/w/page/6108102/FrontPage> (accessed May 2012)

### Cartographic Materials

*Cartographic Materials: A Manual of Interpretation for AACR2*. Edited by Hugo Stibbe, Vivien Cartmell, and Velma Parker. Chicago: American Library Association, Ottawa: Canadian Library Association, London: The Library Association, 1982.

*Geomatic data sets: cataloguing rules*. Edited by Velma Parker. Ottawa: Canadian General Standards Board, 1992.

### Architectural Materials

Vicki Porter and Robin Thornes. *A Guide to the Description of Architectural Drawings*. New York: Published on behalf of the Getty Art History Information Program [by] G.K. Hall, c1994.

Waverly B. Lowell and Tawny Ryan Nelb. *Architectural Records: Managing Design and Construction Records*. Chicago: The Society of American Archivists, 2006.

### **Moving Image Materials**

*The FIAF Cataloguing Rules for Film Archives*. Munich: K.G. Saur, 1991.

*Archival Moving Image Materials: A Cataloging Manual*. 2<sup>nd</sup> ed. The AMIM Revision Committee, Motion Picture, Broadcasting, and Recorded Sound Division. Washington, D.C.: Library of Congress, Cataloging Distribution Service, 2000.

*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, or on-line at <<http://www.iasa-web.org/icat/icat001.htm>>.

### **Sound Recordings**

*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, or on-line at <<http://www.iasa-web.org/icat/icat001.htm>>.

Marion Matters, comp. *Oral History Cataloging Manual*. Chicago: Society of American Archivists, 1995.

### **Objects**

Murtha Baca, Visual Resources Association, et al. *Cataloging Cultural Objects: A Guide to describing Cultural Works and Their Images*. Chicago: American Library Association, 2006.

### **Datasets**

Federal Geographic Data Committee. FCDC-STD-001-1998. *Content Standard for Digital Geospatial Metadata* (revised June 1998). Federal Geographic Data Committee. Washington, D.C. Available online at: <http://www.fgdc.gov/metadata/csdgm/> (accessed May 2012)

### **Rare Books**

Association of College and Research Libraries. Rare Books and Manuscripts Section. Bibliographic Standards Committee. *Descriptive Cataloging of Rare Materials (Books)*. Washington : Cataloging Distribution Service, Library of Congress, 2007.

### **Serials**

Association of College and Research Libraries. Rare Books and Manuscripts Section. Bibliographic Standards Committee. *Descriptive Cataloging of Rare Materials (Serials)*. Washington : Cataloging Distribution Service, Library of Congress, 2008.

### **Manuscripts**

Gregory A. Pass: Association of College and Research Libraries. Rare Books and Manuscripts Section. Bibliographic Standards Committee. *Descriptive cataloging of ancient, medieval, Renaissance, and early modern manuscripts*. Chicago : Association of College and Research Libraries, 2002. *Cataloging Cultural Objects: A Guide to Describing Cultural Works and Their Images*. Visual Resources Association, draft available online at <<http://www.vraweb.org/CCOweb/index.html>> (accessed June 2004)

## **Data Value Standards/Thesauri**

*Art & Architecture Thesaurus, Version 3.0*. Los Angeles: The J. Paul Getty Trust, 2000. Available online at: <[http://www.getty.edu/research/conducting\\_research/vocabularies/aat/](http://www.getty.edu/research/conducting_research/vocabularies/aat/)> (accessed ~~April~~ May 20122004)

*Categories for the Description of Works of Art. Version 2.0*. Los Angeles: The J. Paul Getty Trust and College Art Association, Inc., 2000. Available online at: <[http://www.getty.edu/research/conducting\\_research/standards/cdwa/](http://www.getty.edu/research/conducting_research/standards/cdwa/)> (accessed April 2004)

*Dictionary of Occupational Titles*, 4th ed., rev. Washington, DC: U.S. Department of Labor, Employment and Training Administration, U.S. Employment Service, 1991. Available online at: <<http://www.occupationalinfo.org>[http://www.wave.net/upg/immigration/dot\\_index.html](http://www.wave.net/upg/immigration/dot_index.html)> (accessed ~~April 2004~~ May 2012)

*Library of Congress Authorities*. Washington, DC: The Library of Congress. Available online at: <<http://authorities.loc.gov/>>. This resource covers subjects, names (both personal and corporate), and titles. (accessed ~~April 2004~~ May 2012)

Library of Congress Authorities and Vocabularies. Washington D.C: The Library of Congress. Available online at <http://id.loc.gov/> (accessed May 2012). This resources covers the following authorities:

- [LC Subject Headings](#)
- [LC Name Authority File](#)
- [LC Children's Subject Headings](#)
- [LC Genre/Form Terms](#)
- [Thesaurus for Graphic Materials](#)
  
- [MARC Relators](#)
- [MARC Countries](#)
- [MARC Geographic Areas](#)
- [MARC Languages](#)
- [ISO639-1 Languages](#)
- [ISO639-2 Languages](#)
- [ISO639-5 Languages](#)



*Medical Subject Headings*. Bethesda, MD: National Library of Medicine, 2003.  
Available online at:

<<http://www.nlm.nih.gov/mesh/meshhome.html>> (accessed April 2004May 2012)

*The Moving Image Genre-Form Guide*. Compiled by Brian Taves, Judi Hoffman, and Karen Lund. Coordinated by Motion Picture, Broadcasting, and Recorded Sound Division, Library of Congress, 1998. Available online at:

<<http://www.loc.gov/rr/mopic/migintro.html>> (accessed April 2004May 2012)

*Revised Nomenclature for Museum Cataloging: A Revised and Expanded Version of Robert G. Chenhall's System for Classifying Man-made Objects*. Edited by James R. Blackaby and Patricia Greeno. Nashville, Tenn.: AASLH Press, 1989.

*Thesaurus for Graphic Materials I: Subject Terms (TGM I)*. Compiled by the Prints and Photographs Division, Library of Congress. Washington, D.C.: Cataloging Distribution Service, Library of Congress, 1995. Available online at:

<<http://www.loc.gov/rr/print/tgm1/>> (accessed April 2004May 2012)

*Thesaurus for Graphic Materials II: Genre and Physical Characteristics Terms (TGM II)*. Compiled by the Prints and Photographs Division, Library of Congress. Washington, D.C.: Cataloging Distribution Service, Library of Congress, 1995.

Available online at: <<http://www.loc.gov/rr/print/tgm2/>> (accessed April 2004May 2012)

*Getty Thesaurus of Geographic Names, Version 3.0*. Los Angeles: The J. Paul Getty Trust, 2000. Available online at:

<<http://www.getty.edu/research/tools/vocabularies/tgn/index.html>> (accessed April 2004May 2012)

*Unesco Thesaurus: A Structured List of Descriptors for Indexing and Retrieving Literature in the Fields of Education, Science, Social and Human Science, Culture, Communication and Information*. Paris: Unesco Publishing, 1995. Available online at:

<<http://databases.unesco.org/thesaurus/>> and  
<<http://databases.unesco.org/thesaurus/>> Available online at:  
<<http://www.ulcc.ac.uk/unesco/>> (accessed April 2004May 2012)

*Union List of Artists' Names, Version 3.0*. Los Angeles: The J. Paul Getty Trust, 2000. Available online at:

<<http://www.getty.edu/research/tools/vocabularies/ulan/index.html>> (accessed April 2004May 2012)

*USMARC Code List for Countries*. Prepared by Network Development and MARC Standards Office. Washington: Library of Congress Cataloging Distribution Service,

2003. Available online at: <[http://www.loc.gov/marc/countries/\\_cou\\_home.html](http://www.loc.gov/marc/countries/_cou_home.html)>  
(accessed ~~April 2004~~[May 2012](#))

*USMARC Code List for Languages.* Prepared by Network Development and MARC Standards Office. Washington: Library of Congress Cataloging Distribution Service, 2003. Available online at: <[http://www.loc.gov/marc/languages/\\_langhome.html](http://www.loc.gov/marc/languages/_langhome.html)>  
(accessed ~~April 2004~~[May 2012](#))

*USMARC Code List for Organizations.* Prepared by Network Development and MARC Standards Office. Washington: Library of Congress Cataloging Distribution Service, 2004. Available online at: <[http://www.loc.gov/marc/organizations/\\_orgshome.html](http://www.loc.gov/marc/organizations/_orgshome.html)>  
(accessed ~~April 2004~~[May 2012](#))

## Data Structure Standards

*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. Available online at: [http://www.loc.gov/ead/tglib/\\_index.html](http://www.loc.gov/ead/tglib/_index.html) (accessed April 2004May 2012)

*Encoded Archival Context - Corporate Bodies, Persons, and Families (EAC-CPF).* Maintained by the Encoded Archival Context Working Group of the Society of American Archivists and Staatsbibliothek zu Berlin, 2010. Available online at: <http://www3.iath.virginia.edu/eac/cpf/tagLibrary/cpfTagLibrary.html> (accessed May 2012)

*MARC 21 Format for Bibliographic Data: Including Guidelines for Content Designation.* Prepared by the Network Development and MARC Standards Office, Library of Congress, in cooperation with Standards and Support, National Library of Canada. Washington, DC: Library of Congress, Cataloging Distribution Service, 1999. *MARC 21 Concise Format for Bibliographic Data* available online at: [http://www.loc.gov/marc/bibliographic/\\_eebdhome.html](http://www.loc.gov/marc/bibliographic/_eebdhome.html) (accessed April 2004May 2012)

*Metadata Object Description Schema.* Prepared by the Network Development and MARC Standards Office, Library of Congress. Washington D.C.: Library of Congress. Available online at: <http://www.loc.gov/standards/mods/> (accessed May 2012)

*Dublin Core Metadata Element Set, Version 1.1.* Dublin Core Metadata Initiative, 2012. Available online at: <http://dublincore.org/documents/dces/> (accessed May 2012)

*Categories for the Description of Works of Art.* rev. Edited by Murtha Baca and Patricia Harpring. Los Angeles: The J. Paul Getty Trust and College Art Association, Inc., 2009. Available online at: [http://www.getty.edu/research/publications/electronic\\_publications/cdwa/index.html](http://www.getty.edu/research/publications/electronic_publications/cdwa/index.html) (accessed May 2012)

*Metadata and Encoding Transmission Standard.* Prepared by the Network Development and MARC Standards Office, Library of Congress. Washington D.C.: Library of Congress. Available online at: <http://www.loc.gov/standards/mets/> (accessed May 2012)

*VRA Core Schema and Documentation.* Prepared by the Network Development and MARC Standards Office, Library of Congress and Visual Resources Association.

Washington D.C.: Library of Congress. Available online at:  
<http://www.loc.gov/standards/vracore/schemas.html> (accessed May 2012)

## APPENDIX C

# CROSSWALKS

**Comment [JGD1]:** We are in the process of updating the crosswalks. The three crosswalks here are works in process. JGD 7-5-2012

### DACS to MODS

<b><u>DACS</u></b>	<b><u>MODS</u></b>
<i>Part I</i>	
<u>2.1 Reference Code</u>	<u>identifier</u>
<u>2.3 Title</u>	<u>titleInfo/title</u>
<u>2.4 Date</u>	<u>titleInfo/title OR originInfo/dateCreated OR originInfo/dateIssued</u>
<u>2.5 Extent</u>	<u>physicalDescription/extent</u>
<u>2.6 Creator</u>	<u>name/namePart</u>
<u>2.7 Admi/Bio history (see DACS 10)</u>	<u>mads: note/@type="biographical/historical"</u>
<u>3.1 Scope and Content</u>	<u>abstract</u>
<u>3.2 System of Arrangement</u>	<u>note/@type='system of organization'</u>
<u>4.1 Conditions Governing Access</u>	<u>note/@type='terms of availability'</u>
<u>4.2 Physical Access</u>	<u>accessCondition/@type='restriction on access'</u>
<u>4.3 Technical Access</u>	<u>note/@type='system details'</u>
<u>4.4 Conditions Governing Reproduction and Use</u>	<u>accessCondition/@type='restriction on access'</u>
<u>4.5 Languages and Scripts of Material</u>	<u>language/languageTerm/@type='text' OR note/@type='language'</u>
<u>4.6 Finding Aids</u>	<u>relatedItem/identifier OR relatedItem/titleInfo/title and other appropriate subelements</u>
<u>5.1 Custodial history</u>	<u>note/@type='ownership'</u>

<a href="#">5.2 Immediate Source of Acquisition</a>	<a href="#">note/@type='acquisition'</a>
<a href="#">5.3 Appraisal, Destruction, and Scheduling Information</a>	
<a href="#">5.4 Accruals</a>	
<a href="#">6.1 Existence and Location of Originals</a>	
<a href="#">6.2 Existence and Location of Copies</a>	
<a href="#">6.3 Related Archival Materials</a>	<a href="#">relatedItem/identifier OR relatedItem/titleInfo/title and other appropriate subelements</a>
<a href="#">6.4 Publication Note</a>	<a href="#">note</a>
<a href="#">7.1 Notes</a>	<a href="#">note</a>
<a href="#">8.1 Description Control</a>	
<b><a href="#">Part II</a></b>	
<a href="#">9 Identifying creators</a>	<a href="#">name/namePart</a>
<a href="#">10 Administrative/Biographical History</a>	
<a href="#">10.14 Biographical History</a>	<a href="#">mads: note/@type="biographical/historical"</a>
<a href="#">10.16 Names</a>	<a href="#">name/namePart</a>
<a href="#">10.18 Dates</a>	<a href="#">originInfo/dateOther type="production"</a>
<a href="#">10.19</a>	
<a href="#">10.20 Education</a>	
<a href="#">10.21 Occupation, Life, and Activities</a>	<a href="#">name/@type='personal'/description</a>
<a href="#">10.22 Relationships</a>	
<a href="#">10.23 family relationships</a>	<a href="#">mads: note/@type="biographical/historical"</a>
<a href="#">10.24 Other information</a>	

<a href="#">10.27 Dates of founding</a>	
<a href="#">10.28 Geographical areas</a>	<a href="#">mads:authority/geographic;</a> <a href="#">mods:subject/geographic</a>
<a href="#">10.29 Mandate</a>	
<a href="#">10.30 Functions</a>	
<a href="#">10.31 Administrative Structure</a>	
<a href="#">10.32 Predecessor and Successor Bodies</a>	
<a href="#">10.34 Names of Corporate Bodies</a>	
<a href="#">10.35 Chief Officers</a>	
<a href="#">11 Authority records</a>	
<a href="#">11.5 Authorized form of name</a>	
<a href="#">11.6 Parallel forms of name</a>	
<b><i>Part III</i></b>	
<a href="#">12 Forms of Names for Persons and Families</a>	
<a href="#">13 Form of Geographic Names</a>	
<a href="#">14 Form of Names for Corporate Bodies</a>	

[DACs to Dublin Core](#)

<b><u>DACS</u></b>	<b><u>Dublin Core</u></b>
<b><i>Part I</i></b>	
<a href="#">2.1 Reference Code</a>	<a href="#">Identifier</a>
<a href="#">2.3 Title</a>	<a href="#">Title</a>

<a href="#">2.4 Date</a>	<a href="#">Date</a>
<a href="#">2.5 Extent</a>	<a href="#">Format</a>
<a href="#">2.6 Creator</a>	<a href="#">Creator/Contributor</a>
<a href="#">2.7 Admi/Bio history (see DACS 10)</a>	
<a href="#">3.1 Scope and Content</a>	<a href="#">Description</a>
<a href="#">3.2 System of Arrangement</a>	<a href="#">Description</a>
<a href="#">4.1 Conditions Governing Access</a>	
<a href="#">4.2 Physical Access</a>	
<a href="#">4.3 Technical Access</a>	<a href="#">Format</a>
<a href="#">4.4 Conditions Governing Reproduction and Use</a>	<a href="#">Rights</a>
<a href="#">4.5 Languages and Scripts of Material</a>	<a href="#">Language</a>
<a href="#">4.6 Finding Aids</a>	
<a href="#">5.1 Custodial history</a>	
<a href="#">5.2 Immediate Source of Acquisition</a>	
<a href="#">5.3 Appraisal, Destruction, and Scheduling Information</a>	
<a href="#">5.4 Accruals</a>	
<a href="#">6.1 Existence and Location of Originals</a>	<a href="#">Source</a>
<a href="#">6.2 Existence and Location of Copies</a>	
<a href="#">6.3 Related Archival Materials</a>	
<a href="#">6.4 Publication Note</a>	
<a href="#">7.1 Notes</a>	
<a href="#">8.1 Description Control</a>	
<b><a href="#">Part II</a></b>	
<a href="#">9 Identifying creators</a>	<a href="#">Creator</a>



<u>10 Administrative/Biographical History</u>	
<u>10.14 Biographical History</u>	
<u>10.16 Names</u>	<u>Contributor</u>
<u>10.18 Dates</u>	<u>Coverage</u>
<u>10.19</u>	
<u>10.20 Education</u>	
<u>10.21 Occupation, Life, and Activities</u>	
<u>10.22 Relationships</u>	
<u>10.23 family relationships</u>	
<u>10.24 Other information</u>	
<u>10.27 Dates of founding</u>	
<u>10.28 Geographical areas</u>	<u>Coverage</u>
<u>10.29 Mandate</u>	
<u>10.30 Functions</u>	
<u>10.31 Administrative Structure</u>	
<u>10.32 Predecessor and Successor Bodies</u>	
<u>10.34 Names of Corporate Bodies</u>	
<u>10.35 Chief Officers</u>	
<u>11 Authority records</u>	
<u>11.5 Authorized form of name</u>	
<u>11.6 Parallel forms of name</u>	
<b><i>Part III</i></b>	
<u>12 Forms of Names for Persons and Families</u>	
<u>13 Form of Geographic Names</u>	

[14 Form of Names for Corporate Bodies](#)

[DACS to RDA](#)

<b>DACS</b>	<b>RDA</b>
<b><i>Part I</i></b>	
<a href="#">2.1 Reference Code</a>	<a href="#">2.15 Manifestations</a> ; <a href="#">2.19 Item-level (they have an archival example here)</a>
<a href="#">2.3 Title</a>	<a href="#">2.3.2.11.4</a>
<a href="#">2.4 Date</a>	<a href="#">2.7.6.7</a>
<a href="#">2.5 Extent</a>	<a href="#">3.4.1.11</a>
<a href="#">2.6 Creator</a>	<a href="#">19</a> , <a href="#">21</a> , <a href="#">22</a>
<a href="#">2.7 Admi/Bio history (see DACS 10)</a>	
<a href="#">3.1 Scope and Content</a>	<a href="#">7.10</a>
<a href="#">3.2 System of Arrangement</a>	<a href="#">7.8</a>
<a href="#">4.1 Conditions Governing Access</a>	<a href="#">4.4</a>
<a href="#">4.2 Physical Access</a>	<a href="#">No RDA equivalent (maybe 3.21)</a>
<a href="#">4.3 Technical Access</a>	<a href="#">3.20</a>
<a href="#">4.4 Conditions Governing Reproduction and Use</a>	<a href="#">4.5</a>
<a href="#">4.5 Languages and Scripts of Material</a>	<a href="#">7.12</a> ; <a href="#">7.13</a>
<a href="#">4.6 Finding Aids</a>	<a href="#">25.1 (related work)</a>
<a href="#">5.1 Custodial history</a>	<a href="#">2.17</a>
<a href="#">5.2 Immediate Source of Acquisition</a>	<a href="#">2.18</a>
<a href="#">5.3 Appraisal, Destruction, and Scheduling Information</a>	<a href="#">No RDA equivalent</a>

<a href="#">5.4 Accruals</a>	<a href="#">No RDA equivalent</a>
<a href="#">6.1 Existence and Location of Originals</a>	<a href="#">28.1 (related manifestations)</a>
<a href="#">6.2 Existence and Location of Copies</a>	<a href="#">28.1</a>
<a href="#">6.3 Related Archival Materials</a>	<a href="#">24.4.3 b (related works unstructured description)</a>
<a href="#">6.4 Publication Note</a>	<a href="#">25 (related work)</a>
<a href="#">7.1 Notes</a>	<a href="#">2.20 (manifestations/items)</a>
<a href="#">8.1 Description Control</a>	<a href="#">5.7 (work)</a>
<b><a href="#">Part II</a></b>	
<a href="#">9 Identifying creators</a>	<a href="#">19.2; 19.3</a>
<a href="#">10 Administrative/Biographical History</a>	
<a href="#">10.14 Biographical History</a>	<a href="#">9.17</a>
<a href="#">10.16 Names</a>	<a href="#">9.2</a>
<a href="#">10.18 Dates</a>	<a href="#">9.3</a>
<a href="#">10.19</a>	<a href="#">9.11; 9.8-9.9</a>
<a href="#">10.20 Education</a>	<a href="#">9.13 or 9.17 ( not really sure on this one)</a>
<a href="#">10.21 Occupation, Life, and Activities</a>	<a href="#">9.15-9.16</a>
<a href="#">10.22 Relationships</a>	<a href="#">30 (Persons); 31 (Families); 32 (Corporations)</a>
<a href="#">10.23 family relationships</a>	<a href="#">31 (Families)</a>
<a href="#">10.24 Other information</a>	<a href="#">9.17</a>
<a href="#">10.27 Dates of founding</a>	<a href="#">11.4.3; 11.4.4</a>
<a href="#">10.28 Geographical areas</a>	<a href="#">11.3</a>
<a href="#">10.29 Mandate</a>	<a href="#">11.11</a>
<a href="#">10.30 Functions</a>	<a href="#">11.10</a>
<a href="#">10.31 Administrative Structure</a>	<a href="#">No RDA equivalent</a>

<a href="#"><u>10.32 Predecessor and Successor Bodies</u></a>	<a href="#"><u>32 (related bodies)</u></a>
<a href="#"><u>10.34 Names of Corporate Bodies</u></a>	<a href="#"><u>RDA wants you to create a separate record for each name</u></a>
<a href="#"><u>10.35 Chief Officers</u></a>	<a href="#"><u>30 (related persons)</u></a>
<a href="#"><u>11 Authority records</u></a>	
<a href="#"><u>11.5 Authorized form of name</u></a>	<a href="#"><u>9.19 (Person); 10.10 (Families); 11.13 (Corporate bodies)</u></a>
<a href="#"><u>11.6 Parallel forms of name</u></a>	<a href="#"><u>8.7 (variant forms)</u></a>
<b><i><a href="#"><u>Part III</u></a></i></b>	
<a href="#"><u>12 Forms of Names for Persons and Families</u></a>	<a href="#"><u>9, 10</u></a>
<a href="#"><u>13 Form of Geographic Names</u></a>	<a href="#"><u>16</u></a>
<a href="#"><u>14 Form of Names for Corporate Bodies</u></a>	<a href="#"><u>11</u></a>

The following tables present the relationships between the rules in *DACS* and the corresponding rules in its immediate antecedent (*APPM*), related structure standards (EAD and MARC), and international standards (*ISAD(G)* and *ISAAR(CPF)*).

- Table C1: *APPM* to *DACS*
- Table C2: *ISAD(G)* to *DACS*
- Table C3: *ISAAR(CPF)* to *DACS*
- Table C4: *DACS* to *APPM*
- Table C5: *DACS* to EAD and MARC
- Table C6: *DACS* to *ISAD(G)*
- Table C7: *DACS* to *ISAAR(CPF)*

Abbreviations used:

- DACS*: *Describing Archives: A Content Standard* (Society of American Archivists, 2004)
- APPM*: *Archives, Personal Papers, and Manuscripts*, 2<sup>nd</sup> edition (Society of American Archivists, 1989)
- ISAD(G)*: General International Standard Archival Description, 2<sup>nd</sup> edition, 1999 (<http://www.ica.org>)
- ISAAR(CPF)*: International Standard Archival Authority Record, Final English Language Version of the second edition of as circulated by the secretary of the Committee on Descriptive Standards, 2004 (<http://www.ica.org>)
- MARC 21: MARC 21 (machine-readable cataloguing), 2002 concise edition (<http://www.loc.gov/marc>)
- EAD: Encoded Archival Description, version 2002 (<http://www.loc.gov/ead>)

**Table C1: APPM to DACS**

<i>APPM</i>	<i>DACS</i>
<i>1.1 Title and Statement of Responsibility Area</i>	
1.1B Title proper	2.3 Title
1.1B5 Date	2.4 Date
1.1C General material designation	
1.1D Parallel titles	
1.1E Other title information	
1.1F Statements of responsibility	
1.1G Items without a collective title	
<i>1.2 Edition Area</i>	
<i>1.5 Physical Description Area</i>	2.5 Extent
1.5B Extent	2.5.1-2.5.9 Extent
1.5C Other physical details	
1.5D Dimensions	
<i>1.7 Note Area</i>	
1.7B1 Biographical/Historical	2.7, Chapter 10 Admin/Biographical history
1.7B2 Scope and content/Abstract	3.1 Scope and content
1.7B3 Linking entry complexity	
1.7B4 Additional physical form available	6.2.3 Existence/location of copies
1.7B5 Reproduction	6.1 Existence/location of originals
1.7B6 Location of originals/duplicates	6.1 Existence/location of originals / 6.2.5 Existence/location of copies
1.7B7 Organization and arrangement	3.2 System of arrangement
1.7B8 Language	4.5 Languages/scripts of the material
1.7B9 Provenance	5.1 Custodial history
1.7B10 Immediate source of acquisition	5.2 Immediate source of acquisition
1.7B11 Restrictions on access	4.1 Conditions governing access/ 4.2 Physical access/4.3 Technical access
1.7B12 Terms governing use and reproduction	4.4 Conditions governing reproduction and use
1.7B13 Cumulative index/Finding aids	4.6 Finding aids
1.7B14 Citation	
1.7B15 Preferred citation	
1.7B16 Publications	6.4 Publication note
1.7B17 General note	7 Notes

<i>2 Choice of access points</i>	Overview of Archival Description, Chapter 9 Identifying Creators
<i>3 Headings for Persons</i>	12 Form of Names for People and Families
<i>4 Geographic Names</i>	13 Form of Geographic Names
<i>5 Headings for Corporate Bodies</i>	14 Form of Names for Corporate Bodies
<i>6 Uniform Titles</i>	

**Table C2: ISAD(G) to DACS**

<i>ISAD(G)</i>	<i>DACS</i>
<b><i>3.1 Identity Statement Area</i></b>	
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
<b><i>3.2 Context Area</i></b>	
3.2.1 Name of creator	2.6, Chapter 9 Identifying Creators
3.2.2 Administrative/ Biographical history	2.7, 10 Admin/Biographical history
3.2.3 Archival history	5.1 Custodial history
3.2.4 Immediate source of acquisition	5.2 Immediate source of acquisition
<b><i>3.3 Context and Structure Area</i></b>	
3.3.1 Scope and content	3.1 Scope and content
3.3.2 Appraisal, destruction and scheduling	5.3 Appraisal/destruction/scheduling information
3.3.3 Accruals	5.4 Accruals
3.3.4 System of arrangement	3.2 System of arrangement
<b><i>3.4 Conditions of Access and Use Area</i></b>	
3.4.1 Conditions governing access	4.1 Conditions governing access
3.4.2 Conditions governing reproduction	4.4 Conditions governing reproduction and use
3.4.3 Language/scripts of material	4.5 Language/script
3.4.4 Physical characteristics and technical requirements	4.2 Physical access/4.3 Technical access
3.4.5 Finding aids	4.6 Finding aids
<b><i>3.5 Allied Materials Area</i></b>	
3.5.1 Existence and location of originals	6.1 Existence/location of originals
3.5.2 Existence and location of copies	6.2 Existence/location of copies
3.5.3 Related units of description	6.3 Related archival materials
3.5.4 Publication note	6.4 Publication note
<b><i>3.6 Notes Area</i></b>	
3.6.1 Note	7 Notes
<b><i>3.7 Description Control Area</i></b>	
3.7.1 Archivist's note	8.1.5 Archivist and date
3.7.2 Rules or conventions	8.1.4 Rules or conventions
3.7.3 Date(s) of descriptions	8.1.5 Archivist and date



**Table C3: ISAAR(CPF) to DACS**

<i>ISAAR(CPF)</i>	<i>DACS</i>
<i>5.1 Identity Area</i>	
5.1.1 Type of entity	11.6 Type of entity
5.1.2 Authorized form of name	11.5 Standardized form of name
5.1.3 Parallel forms of name	11.7 Parallel forms of name
5.1.4 Standardized forms of name according to other rules	11.9 Standardized form of name according to other rules
5.1.5 Other forms of name	11.10 Other forms of names
5.1.6 Identifiers for corporate bodies	11.11 Identifiers for corporate names
<i>5.2 Description Area</i>	
5.2.1 Dates of existence	10.18, 10.27 Dates
5.2.2 History	10.14, 10.25 Biographical/Administrative history
5.2.3 Places	10.19, 10.28 Places
5.2.4 Legal status	10.29 Mandate
5.2.5 Functions, occupations and activities	10.21, 10.29 Occupation, life, activities, Functions
5.2.6 Mandates/Sources of authority	10.29 Mandate
5.2.7 Internal structures/Genealogy	10.23, 10.31 Family relationships, Administrative Structure
5.2.8 General context	10.14, 10.25 Biographical/Administrative history
<i>5.3 Relationships Area</i>	
5.3.1 Name/Identifiers of the related corporate bodies, persons or families	11.13 Names of related entities
5.3.2 Category of relationship	11.15 Nature of relationship
5.3.3 Description of relationship	11.14 Description of relationship
5.3.4 Dates of the relationship	11.16 Dates of relationship
<i>5.4 Control Area</i>	
5.4.1 Authority record identifier	11.19 Authority record identifier
5.4.2 Institution identifiers	11.18 Repository code
5.4.3 Rules and/or convention	11.20 Rules or conventions
5.4.4 Status	11.22 Status
5.4.5 Level of detail	11.23 Level of detail
5.4.6 Dates of creation and revision	11.24 Dates
5.4.7 Languages and scripts	11.25 Language or scripts
5.4.8 Sources	11.26 Sources
5.4.9 Maintenance notes	11.27 Maintenance information

<i>6 Relating corporate bodies, persons and families to archival materials and other resources</i>	
6.1 Identifiers and titles of related resources	11.28 Identifiers and titles of related resources
6.2 Types of related resource	11.29 Types of related resources
6.3 Nature of relationships	11.30 Nature of relationships
6.4 Dates of related resources and/or relationships	11.31 Dates of related resources and/or relationships

**Table C4: DACS to APPM**

<i>DACS</i>	<i>APPM</i>
<i>1 Levels of Description</i>	
<i>2 Identity Elements</i>	
2.1 Reference code	
2.3 Title	1.1B Title proper
2.4 Date	1.1B5 Date
2.5 Extent	1.5 Physical description area
2.6 Name of creator(s)	2 Choice of access points
2.7 Admin/Biographical history	1.7B1 Biographical/Historical
<i>3 Content and Structure Elements</i>	
3.1 Scope and content	1.7B2 Scope and content/Abstract
3.2 System of arrangement	1.7B7 Organization and arrangement
<i>4 Access Elements</i>	
4.1 Conditions governing access	1.7B11 Restrictions on access
4.2 Physical access	1.7B11 Restrictions on access
4.3 Technical access	
4.4 Conditions governing reproduction and use	1.7B12 Terms governing use and reproduction
4.5 Languages/scripts of the material	1.7B8 Language
4.6 Finding aids	1.7B13 Cumulative index/Finding aids
<i>5 Acquisition and Appraisal Elements</i>	
5.1 Custodial history	1.7B9 Provenance
5.2 Immediate source of acquisition	1.7B10 Immediate source of acquisition
5.3 Appraisal/destruction/scheduling information	
5.4 Accruals	
<i>6 Related Materials Elements</i>	
6.1 Existence/location of originals	1.7B5 Reproduction
6.2 Existence/location of copies	1.7B4 Additional physical form available
6.3 Related archival materials	
6.4 Publication note	1.7B16 Publications
<i>7 Notes</i>	1.7B17 General note
<i>8 Description control</i>	
<i>9 Identifying creators</i>	2 Choice of access points
<i>10 Admin/Biographical history</i>	1.7B1 Biographical/Historical
<i>11 Authority records</i>	
<i>12 Form of Names for People and Families</i>	3 Headings for Persons
<i>13 Form of Geographic Names</i>	4 Geographic Names
<i>14 Form of Names for Corporate Bodies</i>	5 Headings for Corporate Bodies

**Table C5: DACS to EAD and MARC**

<i>DACS</i>	EAD	MARC
<i>1. Level of description</i>	<archdesc> and <c> LEVEL attribute	351\$c
<i>2. Identity Elements</i>		
2.1.3 Local identifier	<unitid>	099
2.1.4 Repository identifier	<unitid> REPOSITORYCODE attribute	040\$a
2.1.5 Country identifier	<unitid> COUNTRYCODE attribute	The MARC21 format does not contain a straightforward mapping for this <i>DACS</i> subelement value.
2.2 Name and Location of Repository	<repository>	852, 524 (if the preferred citation indicates both the name and location of the repository)
2.3 Title	<unittitle>	245\$a
2.4 Date	<unitdate>	245\$f (\$g for bulk dates), 260\$c if recording data about formal publication
2.5 Extent	<physdesc> and subelements <extent>, <dimensions>, <genreform>, <physfacet>	300\$a and potentially other subfields
2.6 Name of creator(s)	<origination>	100, 110, or 111; 700, 710, or 711 for names in addition to that of the predominant creator
2.7 Admin/Biog history	<bioghist>	545
<i>3. Content and Structure Elements</i>		
3.1 Scope and content	<scopecontent>	520
3.2 System of arrangement	<arrangement>	351
<i>4. Access Elements</i>		
4.1 Conditions governing access	<accessrestrict>	506
4.2 Physical access	<accessrestrict>, <phystech>, <physloc>	340, 506
4.3 Technical access	<phystech>	340, 538

4.4 Conditions governing reproduction and use	<userrestrict>	540
4.5 Languages/scripts of the material	<langmaterial>	546
4.6 Finding aids	<otherfindaid>	555
<b>5. Acquisition and Appraisal Elements</b>		
5.1 Custodial history	<custodhist>	561
5.2 Immediate source of acquisition	<acqinfo>	541
5.3 Appraisal/destruction/scheduling information	<appraisal>	583
5.4 Accruals	<accruals>	584
<b>6. Related Materials Elements</b>		
6.1 Existence/location of originals	<originalsloc>	535
6.2 Existence/location of copies	<altformavail>	530
6.3 Related archival materials	<relatedmaterial> <separatedmaterial>	544
6.4 Publication note	<bibliography><p> or <bibliography><bibref>	581
7. Notes <sup>83</sup>	<odd>, <note>	500
<b>8. Description control</b>		
8.1.4 Rules or conventions	<descrules>	040\$e
8.1.5 Archivist and date	<processinfo><p><date>	583
<b>9. Identifying creators</b>		
See 2.6		
<b>10. Admin/Biographical history</b>		
See 2.7		

<sup>83</sup> Notes should only be encoded using the more generic <odd> and <note> elements (EAD) or 500 field (MARC21) when they do not correspond to a more specific EAD element or MARC21 field.

**Table C6: DACS to ISAD(G)**

<i>DACS</i>	<i>ISAD(G)</i>
<i>1 Levels of Description</i>	3.1.4 Level of description
<i>2 Identity Elements</i>	
2.1 Reference code	3.1.1 Reference code(s)
2.3 Title	3.1.2 Title
2.4 Date	3.1.3 Dates
2.5 Extent	3.1.5 Extent and medium of the unit
2.6 Name of creator(s)	3.2.1 Name of creator
2.7 Administrative/Biographical history	3.2.2 Administrative/Biographical history
<i>3 Content and Structure Elements</i>	
3.1 Scope and content	3.3.1 Scope and content
3.2 System of arrangement	3.3.4 System of arrangement
<i>4 Access Elements</i>	
4.1 Conditions governing access	3.4.1 Conditions governing access
4.2 Physical access	3.4.4 Physical characteristics and technical requirements
4.3 Technical access	3.4.4 Physical char. and technical req.
4.4 Conditions governing reproduction and use	3.4.2 Conditions governing reproduction
4.5 Languages/scripts of the material	3.4.3 Language/scripts of material
4.6 Finding aids	3.4.5 Finding aids
<i>5 Acquisition and Appraisal Elements</i>	
5.1 Custodial history	3.2.3 Archival history
5.2 Immediate source of acquisition	3.2.4 Immediate source of acquisition
5.3 Appraisal/destruction/scheduling	3.3.2 Appraisal, destruction, scheduling
5.4 Accruals	3.3.3 Accruals
<i>6 Related Materials Elements</i>	
6.1 Existence/location of originals	3.5.1 Existence and location of originals
6.2 Existence/location of copies	3.5.2 Existence and location of copies
6.3 Related archival materials	3.5.3 Related units of description
6.4 Publication note	3.5.4 Publication note
<i>7 Notes</i>	3.6.1 Note
<i>8 Description control</i>	3.7.1 Archivist's note
8.1.4 Rules or conventions	3.7.2 Rules or conventions
8.1.5 Archivist and date	3.7.3 Date(s) of descriptions
<i>9 Identifying creators</i>	3.2.1 Name of creator
<i>10 Admin/Biographical history</i>	3.2.2 Administrative/Biographical history
<i>11 Authority control</i>	
<i>12-14 Form of Names</i>	

**Table C7: DACS to ISAAR(CPF)**

<i>DACS</i>	<i>ISAAR(CPF)</i>
<i>Chapter 10 Administrative/Biographical History</i>	
10.14 Biographical History	5.2.2 History
10.16 Names	5.1.2 Authorized form(s) of name
10.17 Family information	5.2.7 Internal structure/Genealogy
10.18 Dates	5.2.1 Dates of existence
10.19 Place of residence	5.2.3 Places
10.20 Education	5.2.2 History
10.21 Occupation, life, activities	5.2.5 Functions, occupations, and activities
10.22 Other relationships	5.2.8 General context
10.23 Family relationships	5.2.7 Internal structure/Genealogy
10.24 Other significant information	5.2.9 Other significant information
10.25 Administrative history	5.2.2 History
10.27 Dates of founding and/or dissolution	5.2.1 Dates of existence
10.28 Geographical areas	5.2.3 Places
10.29 Mandate	5.2.6 Mandates/Sources of authority
10.30 Functions	5.2.5 Functions, occupations, and activities
10.31 Administrative structure	5.2.7 Internal structure/Genealogy
10.32 Predecessor and successor bodies	5.2.2 History
10.33 Amalgamations and mergers	5.2.2 History
10.34 Name changes	5.2.2 History
10.35 Names of officers	5.2.2 History
10.36 Other significant information	5.2.8 General context
<i>Chapter 11 Authority records</i>	
11.5 Authorized form	5.1.2 Authorized form(s) of name
11.6 Type of entity	5.1.1 Type of entity
11.7 Parallel forms of the name	5.1.3 Parallel forms of name
11.9 Standardized form of the name according to other rules	5.1.4 Standardized forms of name according to other rules
11.10 Other forms of name	5.1.5 Other forms of name
11.11 Identifiers for corporate bodies	5.1.6 Identifiers for corporate bodies
11.12 Description of the person, family or corporate body	5.2.2 History
11.13 Related entities	5.3.1 Names/identifiers of related corporate bodies, persons or families
11.14 Description of the relationship	5.3.3 Description of the relationship
11.15 Nature of the relationship	5.3.2 Category of the relationship
11.16 Dates	5.3.4 Dates of the relationship

11.17 Explanation of the relationship	5.3.3 Description of the relationship
11.18 Repository codes	5.4.2 Institution identifiers
11.19 Authority record identifier	5.4.1 Authority record identifier
11.20, 11.21 Rules or conventions	5.4.3 Rules and/or conventions
11.22 Status	5.4.4 Status
11.23 Level of detail	5.4.5 Level of detail
11.24 Date(s) of authority record creation	5.4.6 Dates of creation, revision, or deletion
11.25 Languages or scripts	5.4.7 Languages and scripts
11.26 Sources	5.4.8 Sources
11.27 Maintenance information	5.4.9 Maintenance notes
11.28 Identifiers and titles of related resources	6.1 Identifiers and titles of related resources
11.29 Types of resource resources	6.2 Types of related resources
11.30 Nature of relationships	6.3 Nature of relationships
11.31 Dates of related resources and/or relationships	6.4 Dates of related resources and/or relationships





## APPENDIX D

# Full EAD and MARC 21 Examples

The following examples represent short finding aids, all multilevel descriptions and fully encoded using *Encoded Archival Description, Version 2002* (EAD). Following the finding aids are MARC 21 records for the same materials. Examples are provided for:

- Personal papers—Mildred Davenport Dance Programs and Dance School Materials.
- Family papers—Bacot Family Papers.
- Organizational records—Swine Influenza Immunization Program Records.
- Collection—Herndon Weik Collection of Lincolniana.

The presentation of these examples is intended only to assist in understanding how descriptive data, created according to *DACS* rules, can be encoded in EAD for online output. The examples are not meant to be prescriptive and should not be used as a reference for encoding. Archivists seeking more information on encoding should consult the *Encoded Archival Description Tag Library, Version 2002* (see Appendix B).

In these examples, *DACS* element numbers are provided to the left of specific data elements whose content was formulated according to *DACS* rules. *DACS* elements noted in Chapter 1 as minimum requirements for a multilevel description are indicated in bold in these examples.

At the highest level of description, the EAD examples use all of the “multilevel added value” elements from Chapter 1. Subsequent levels of description in the finding aids (series, subseries, file, and item) use only “multilevel added value” elements from which information is not inherited from higher levels. At the lowest level of description in each of these examples, the *DACS* element numbers are only indicated until the pattern is established.

## EAD Examples

### Mildred Davenport Dance Programs and Dance School Materials

```
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<!DOCTYPE ead PUBLIC "-//ISBN 1-931666-00-8//DTD ead.dtd (Encoded
Archival Description (EAD) Version 2002)//EN" "ead.dtd" [
<!NOTATION GIF PUBLIC "-//ISBN 0-7923-9432-1::Graphic Notation//NOTATION
CompuServe Graphic Interchange Format//EN" ""
<!ENTITY usecal PUBLIC "-//University of California, Berkeley::Library//NONSGML
(University of California seal)//EN" "usecal.gif" NDATA GIF
]>
<?filetitle Davenport (Mildred) Dance Programs and Dance School Materials?>
<ead>
<eadheader langencoding="iso639-2b" audience="internal"
countryencoding="iso3166-1" dateencoding="iso8601"
repositoryencoding="iso15511" scriptencoding="iso15924">
<eadid type="SCMCL_catalog">PUBLIC "-//University of California,
Irvine::Library::Special Collections and Archives//TEXT (US::CU-I::MS-
P29::Mildred Davenport Dance Programs and Dance School Materials)//EN"
"p29.xml"
</eadid>
<filedesc>
<titlestmt><titleproper>Guide to the Mildred Davenport Dance Programs and Dance
School Materials</titleproper><author>Processed by Adrian Turner; machine-
readable finding aid created by Adrian Turner</author></titlestmt>
<publicationstmt>
<publisher>Special Collections and Archives, The UC Irvine
Libraries</publisher>
<address><addressline>P.O. Box 19557</addressline>
<addressline>Irvine, California, 92623-9557</addressline>
<addressline>Phone: (949) 824-7227</addressline>
<addressline>Fax: (949) 824-2472</addressline>
<addressline>E-mail: specoll@uci.edu</addressline>
<addressline>Web site: http://special.lib.uci.edu/</addressline></address>
<date><#x00A9; 2001</date>
<p>The Regents of the University of California. All rights reserved.</p>
</publicationstmt>
</filedesc>
<profiledesc><creation>Machine-readable finding aid derived from MS Word.
Date of source: <date>2001.</date></creation><language>Description is in
<language langcode="eng">English.</language></language>
</profiledesc>
</eadheader>
<archdesc level="collection" relatedencoding="MARC21">
<did>
<head>Descriptive Summary</head>
2.3 ... <unittitle>Mildred Davenport dance programs and dance school
materials</unittitle>
2.4 ... <unitdate type="inclusive" datechar="creation"
normal="1934/1942">1934-1942</unitdate>
2.1 ... <unitid countrycode="US" repositorycode="CUI">MS-P29</unitid>
2.6 ... <origination><personname role="creator" source="aacr2">Davenport,
Mildred, 1900-1990</personname></origination>
2.5 ... <physdesc><extent>0.3 linear feet (1 box and 1 oversize
folder)</extent></physdesc>
2.2 ... <repository>
<address>
```

```

----- <addressline>Irvine, California 92623-9557</addressline>
----- </address>
----- </repository>
4.5 ... <langmaterial>Collection materials entirely in <language
      lancode="eng">English</language>.</langmaterial>
<abstract>This collection comprises dance programs, dance school materials,
photographs, and ephemera documenting the early career of the Boston-based
African American dancer, dance instructor, and civic official Mildred
Davenport.</abstract>
</did>
<desegrp>
<head>Information for Researchers</head>
4.1 ... <accessrestrict>
      <head>Access</head>
      <p>Collection is open for research.</p>
      </accessrestrict>
4.4 ... <userrestrict>
      <head>Publication Rights</head>
      <p>Property rights reside with the University of California. Literary
rights are retained by the creators of the records and their heirs.
For permissions to reproduce or to publish, please contact the Head
of Special Collections and Archives.</p>
      </userrestrict>
7.1 ... <prefercite>
      <head>Preferred Citation</head>
      <p>Mildred Davenport Dance Programs and Dance School Materials. MS-
P29. Special Collections and Archives, The UC Irvine Libraries,
Irvine, California.</p>
      </prefercite>
5.2 ... <aeqinfo>
      <head>Acquisition Information</head>
      <p>Purchased from rare materials dealer, 1998.</p>
      </aeqinfo>
8.1 ... <processinfo>
      <head>Processing History</head>
      <p>Processed and finding aid prepared using DACS by Adrian Turner,
2001.</p>
      </processinfo>
</desegrp>
2.7 ... <bioghist>
      <head>Biography</head>
      <p>Mildred Ellen Davenport was a noted civic official and military
officer with an extensive career as a dancer and dance instructor in
Boston in the 1930s and 1940s. She was born in Boston on November 12,
1900. She began her dance studies at C.C. Perkins Grade School and
Prince School as a teenager, and graduated from Boston Girls' High
School in 1919. In the 1920s she studied at the Sargent School for
Physical Culture and at Harvard, and opened her first dance school,
the Davenport School of Dance. Over the next ten years she studied
under Ted Shawn and taught dance in Boston. She was also
progressively more involved in road show performances such as Hot
Chocolates. From 1930 to 1935 she performed in a number of African-
American musical productions on Broadway, including Fast and Furious,
Flying Colors, and Black Birds. In 1932 she established her second
dance school, the Silver Box Studio, in the South End of Boston. She
became the first African American woman to perform with the Arthur
Fiedler Pops unit of the Boston Symphony Orchestra at this time.</p>
      <p>During World War II, Davenport enlisted in the Army as a captain.
She produced musical shows for military bases and later served as a
special service officer, library officer, and advisor in the Office
of Racial Affairs. In 1950, she served as an executive board member
for the N.A.A.C.P. office in Boston. From 1947 to 1968 she worked for
the Massachusetts Commission Against Discrimination, founded in 1944

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to enforce fair employment practices. Davenport died in Boston in
1990.</p>
</bioghist>
3.1 ... <scopecontent>
<head>Collection Scope and Content Summary</head>
<p>This collection comprises dance programs, dance school materials,
photographs, and ephemera documenting the early career of the Boston-
based African American dancer, dance instructor, and civic official
Mildred Davenport. The bulk of this collection consists of dance
programs and dance school materials. The collection also contains 29
photographs of Davenport, her students in various performances, and
friends or individual students. Dance programs from 1925 to 1942
feature her solo performances and group performances with her
students. The collection includes a complete run of programs for
Bronze Rhapsody, an annual performance series choreographed, staged,
and directed by Davenport. Her personal copy of a typescript of stage
directions for a 1934 performance is included with these programs.
Her dance schools, Davenport School of the Dance and Silver Box
Studio, are documented in course brochures and applications.
Biographical and academic materials include a 1939 newspaper article
on Davenport.</p>
</scopecontent>
3.2 ... <arrangement>
<head>Collection Arrangement</head>
<p>Files in this collection are arranged topically, and then
chronologically within each topical grouping whenever possible.</p>
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Points <head>Indexing Terms</head>
<p>The following terms have been used to index the description of
this collection in the library's online public access catalog.</p>
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(personal)" on first leaf, </unittitle>
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## Bacot Family Papers

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Carolina at Chapel Hill::Manuscripts Department//TEXT (US::NCU::OFC$::Bacot
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Holdzkom, Manuscripts Department, University of North Carolina at Chapel Hill,
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Materials in <language languagecode="eng">English</language>
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Bluff Plantation near Florence, Darlington District, S.C., and, beginning in
1865, partners in the Jarrot camp, Bacot Drug Store in Florence. The Bacots
were related to the Brockinton family and descended from South Carolina
Huguenots. The collection includes correspondence, financial and legal
materials, and other items of Bacot family members and their Brockinton family
relatives. Correspondence chiefly relates to business dealings of Peter Samuel
Bacot, who managed the plantation, and to family and social activities. Some
letters are from cotton factors in Charleston, S.C. Also included are slave
lists, and, after the Civil War, contracts relating to the employment of
freedmen on the plantation, a few items relating to the Jarrot camp, Bacot Drug
Store, currency issued by South Carolina, 1775-1862, and typed transcriptions
of articles published in 1826 about Huguenots in South Carolina.</abstract>
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<p>Encoded by: Roslyn Holdzkom, May 2004</p>
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Southern Historical Collection, Wilson Library, University of North
Carolina at Chapel Hill.</p>
</prefercite>
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<p>Copyright is retained by the authors of items in these papers, or
their descendants, as stipulated by United States copyright law.</p>
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<famname source="lenaf" encodinganalog="600">Brookinton
family.</famname>
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Social life and customs.</subject>
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Economic conditions.</geogname>
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Carolina.</subject>
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Store (Florence, S.C.).</corpname>
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(Darlington District, S.C.).</geogname>
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Carolina--History--19th century.</subject>
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Carolina.</subject>
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Carolina.</subject>
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</list>
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<p>The Bacot family, descendants of South Carolina Huguenots and
related to the Brookington family, owned the Mars Bluff Plantation
near Florence in the Darlington District of South Carolina. They
owned a considerable number of slaves and grew cotton and other
crops on the plantation. Chief among the Bacots in the 1840s and
1850s was Peter Samuel Bacot, who appears to have been responsible
for managing Mars Bluff. After the Civil War, the Bacots employed
freedmen to work the plantation and entered into a partnership to
open the Jarrot camp, Bacot Drug Store in Florence.</p>

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-----</bioghist>
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-----<p>The collection includes correspondence, financial and legal
materials, and other items relating to the Bacot family of Mars Bluff
Plantation, Darlington District, S.C., and to their Broekinton
relatives. Many 1840s letters relating to family and social affairs
are to Mary Broekington, who lived at Mars Bluff. Most of the
letters, 1850s-1860s, relate to Peter Samuel Bacot's management of
the plantation and include several from cotton factors in Charleston,
S.C. Financial and legal materials from the 1850s include slave lists
and, in 1866 and 1867, contracts and other materials relating to the
employment of freedmen on the plantation. Other papers include
examples of South Carolina currency, 1775-1862, and a typed
transcription of <title render="doublequote">The French
Refugees,</title> a series of articles about Huguenots in South
Carolina, that appeared in the <title render="italic">City Casette
and Commercial Daily Advertiser</title> of Charleston in May
1826.</p>
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-----<item>2. Financial and Legal Materials, 1786, 1851-1887</item>
-----<item>3. Other Items, 1775-1862</item>
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1887</unitdate>
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-----<p>Correspondence relating to Bacot family members and their
relatives, friends, and business associates. Letters in the 1840s are
chiefly to Mary H. Broekinton at Mars Bluff Plantation. They discuss
social engagements and family affairs. Except for an invitation in
1850 and an exchange of letters in July 1855 between Peter Samuel
Bacot and his son Richard at school, all letters in the 1850s relate
to Peter Samuel Bacot's business accounts with cotton factors in
Charleston, S.C. Several of the letters after 1865 relate to the
Jarrot Camp; Bacot Drug Store in Florence, S.C. The 1887 item
announces an event at the Ashley Phosphate Company in Charleston.</p>
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2.4 ... <unitdate normal="1786/1887" type="inclusive">1786, 1851-
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their relatives. Early material is about property of Brockinton
family members and includes a list of slaves and other property owned
by Mary H. Brockinton on 21 July 1853. Most other items through 1863
relate to managing the Mars Bluff Plantation. There are several
items, 1866-1867, that document the work of freedmen at Mars Bluff.
These include contracts, 18 August 1866, that set out terms of
employment and a 7 March 1867 medical services contract between the
freedmen and a local physician. Most items in the 1870s and 1880s are
routine bills and receipts for food and other purchases.</del></p>
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series of four articles about Huguenots in South Carolina that appeared in the
<title render="italic">City Gazette and Commercial Daily Advertiser</title> of
Charleston, S.C., 11-15 May 1826. While the Bacots are not mentioned in these
articles, they were descendants of French <del>emigrés</del> and may have
been related to the author of the articles, who is identified only as <emph
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## Swine Influenza Immunization Program Records

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  <subtitle>An Inventory of its Swine Influenza Immunization Program Records at
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  <author>Inventory prepared by Cheri Thies</author>
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  2.2 ... <repository label="Repository:" encodinganalog="852$a">
  <corpname>Minnesota Historical Society</corpname>
  <address>
  <addressline>St. Paul, MN 55102</addressline>
  </address>
  </repository>
  2.6 ... <origin label="Creator:" encodinganalog="110">
  <corpname>Minnesota Dept. of Health.</corpname>
  </origin>
  2.3 ... <unittitle label="Title:" encodinganalog="245$a">Swine influenza
  immunization program records</unittitle>
  2.4 ... <unitdate type="inclusive" label="Dates:"
  encodinganalog="245$f">1975-1979</unitdate>
  2.5 ... <physdesc label="Quantity:" encodinganalog="300$a">1.25 cubic feet (1
  box and 1 partial box)</physdesc>
  <abstract label="Abstract:" encodinganalog="520$a">Records of a statewide
  program to immunize vulnerable segments of Minnesota's population against swine
  influenza.</abstract>
  2.1 ... <unitid label="Identification:" encodinganalog="099"
  repositorycode="mnh" countrycode="us" hea001</unitid>
  4.5 ... <langmaterial encodinganalog="546$a" label="Language: ">Records are
  in English.</langmaterial>
  4.2 ... <physloc label="Location: ">126.B.16.16F - 126.B.17.1B</physloc>
  </did>
  3.1 ... <scopecontent encodinganalog="520">
  <head>Scope and Contents of the Records</head>
  <p>Records of a statewide program to immunize vulnerable segments of
  Minnesota's population against swine influenza, which in the middle
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1970s was epidemic in many parts of the world. The records include
files on the administration of the program and on public outreach and
informational activities; data on a grant received by the state from
the federal Department of Health, Education, and Welfare as part of
the National Influenza Immunization Program; statistics on vaccine
usage and immunizations; and program evaluations from the majority of
Minnesota's counties.</p>
</scopecontent>
3.2 ... <arrangement encodinganalog="351">
<head>Arrangement of the Records</head>
<p>Arranged in 7 subseries</p>
</arrangement>
Access... <controlaccess>
Points <head> Index Terms</head>
<p><emph render="italic">These records are indexed under the
following headings in the catalog of the Minnesota Historical
Society. Researchers desiring materials about related topics, persons
or places should search the catalog using these headings.</emph></p>
<controlaccess>
<head>Organizations:</head>
<corpname source="lenaf" encodinganalog="710">United States. Dept. of
Health, Education, and Welfare. </corpname>
</controlaccess>
<controlaccess>
<head>Subjects:</head>
<subject source="lesh" encodinganalog="650">Health promotion--
Minnesota.</subject>
<subject source="lesh" encodinganalog="650">Influenza--Minnesota--
Vaccination--Statistics.</subject>
<subject source="lesh" encodinganalog="650">Interstate relations--
Minnesota. </subject>
<subject source="lesh" encodinganalog="650">Public relations--Health
planning--Minnesota. </subject>
<subject source="lesh" encodinganalog="650">Swine influenza--
Minnesota. </subject>
<subject source="lesh" encodinganalog="650">Vaccination--Minnesota--
Statistics.</subject>
</controlaccess>
</controlaccess>
4.1 ... <accessrestrict>
<p>Collection is open for research.</p>
</accessrestrict>
7.1 ... <prefercite>
<head>Preferred Citation:</head>
<p><emph render="italic">[Indicate the cited item and folder title
here].</emph>Minnesota. Dept. of Health. Swine influenza immunization
program records. [Subunit title]. Minnesota Historical Society.
State Archives.</p>
<p><emph render="italic">See the Chicago Manual of Style for
additional examples.</emph></p>
</prefercite>
5.2 ... <acqinfo>
<head>Accession Information:</head>
<p>Accession number(s): 1980-110</p>
</acqinfo>
8.1 ... <processinfo>
<head>Processing Information:</head>
<p>PALS ID No. 001716763. RLIN ID No.: MNHV92-A429</p>
</processinfo>

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<desc type="combined">
<head>Detailed Description of the Records</head>
<p>Note to Researchers: To request materials, please note both the location and
box numbers shown below. Box and file numbers are segments of an overall set of
1858-1932 gubernatorial files.</p>
<e01 level="subseries">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Correspondence,</unittitle>
2.4 ... <unitdate type="inclusive">1976-1977</unitdate>
2.5 ... <physdesc>2 folders</physdesc>
</did>
3.1 ... <scopecontent>
<p>Includes correspondence with state and federal agencies, mailings
to members of the Swine Influenza Program, Advisory Committee, and
news releases.</p>
</scopecontent>
</e01>
<e01 level="subseries">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Swine influenza originals,</unittitle>
2.4 ... <unitdate type="inclusive">1976</unitdate>
2.5 ... <physdesc>1 folder</physdesc>
</did>
3.1 ... <scopecontent>
<p>Original copies of various mailings to county program
coordinators, staff, and physicians, and program information leaflets
and forms.</p>
</scopecontent>
</e01>
<e01 level="subseries">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Minnesota Influenza Immunization Project grant
files</unittitle>
2.4 ... <unitdate type="inclusive">1976-1979</unitdate>
2.5 ... <physdesc>2 folders</physdesc>
</did>
3.1 ... <scopecontent>
<p>Grant application and supporting materials sent to the federal
Health, Education, and Welfare Dept. (HEW). HEW coordinated the
National Influenza Immunization Program.</p>
</scopecontent>
</e01>
<e01 level="subseries">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Subject files</unittitle>
2.4 ... <unitdate type="inclusive">1975-1977</unitdate>
2.5 ... <physdesc>7 folders</physdesc>
</did>
3.2 ... <arrangement><p>Files arranged alphabetically.</p></arrangement>
<e02 level="file">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Background,</unittitle>
2.4 ... <unitdate type="inclusive">1976</unitdate>
2.5 ... <physdesc>1 folder</physdesc>
</did>
</e02>
<e02 level="file">

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<did>
<container type="Box">1</container>
2.3 ... <unittitle>County plans, </unittitle>
2.4 ... <unitdate type="inclusive">1976</unitdate>
2.5 ... <physdesc>1 folder</physdesc>
</did>
</e02>
<e02 level="file">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Local involvement, </unittitle>
2.4 ... <unitdate type="inclusive">1975-1976</unitdate>
2.5 ... <physdesc>1 folder</physdesc>
</did>
</e02>
<e02 level="file">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Phase II, </unittitle>
2.4 ... <unitdate type="inclusive">1977</unitdate>
2.5 ... <physdesc>1 folder</physdesc>
</did>
</e02>
<e02 level="file">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Program evaluations, </unittitle>
2.4 ... <unitdate type="inclusive">1977</unitdate>
2.5 ... <physdesc>1 folder</physdesc>
</did>
</e02>
<e02 level="file">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Promotion materials, </unittitle>
2.4 ... <unitdate type="inclusive">1976-1977</unitdate>
2.5 ... <physdesc>1 folder</physdesc>
</did>
</e02>
<e02 level="file">
<did>
<container type="Box">1</container>
2.3 ... <unittitle>Vaccine usage statistics</unittitle>
2.4 ... <unitdate type="inclusive">1976-1977</unitdate>
2.5 ... <physdesc>1 folder</physdesc>
</did>
</e02>
</e01>
<e01 level="subseries">
<did>
<container type="Box">1</container>
<unittitle>Radio transcripts, </unittitle>
<unitdate type="inclusive">1976</unitdate>
<physdesc>2 folders</physdesc>
</did>
<scopecontent>
<p>Transcripts of radio announcements about the swine influenza program in Hennepin County. </p>
</scopecontent>
</e01>
<e01 level="subseries">
<did>
<container type="Box">1</container>

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<unittitle>Country and district swine influenza program files,</unittitle>
<unitdate type="inclusive">1976-1977.</unitdate>
<physdesc>4 folders</physdesc>
</did>
<e02 level="file">
<did>
<container type="Box">1</container>
<unittitle>Carver County,</unittitle>
<unitdate type="inclusive">1976</unitdate>
<physdesc>1 folder</physdesc>
</did>
</e02>
<e02 level="file">
<did>
<container type="Box">1</container>
<unittitle>Hennepin County,</unittitle>
<unitdate type="inclusive">1976-1977</unitdate>
<physdesc>2 folders</physdesc>
</did>
<scopecontent>
<p>Include program reports, swine influenza committee minutes, and mailings and
guidelines for clinics.</p>
</scopecontent>
</e02>
<e02 level="file">
<did>
<container type="Box">1</container>
<unittitle>Ramsey County,</unittitle>
<unitdate type="inclusive">1976</unitdate>
<physdesc>1 folder</physdesc>
</did>
<scopecontent>
<p>Includes county plan and committee minutes.</p>
</scopecontent>
</e02>
<e02 level="file">
<did>
<container type="Box">1</container>
<unittitle>Central District</unittitle>
<unitdate type="inclusive">1976</unitdate>
<physdesc>1 folder</physdesc>
</did>
<scopecontent>
<p>Includes minutes of the Central District's swine influenza committee. The
Health Dept.'s Central District office was located in St. Cloud.</p>
</scopecontent>
</e02>
</e01>
<e01 level="subseries">
<did>
<container type="Box">1</container>
<unittitle>County swine influenza program evaluations,</unittitle>
<unitdate type="inclusive">1976</unitdate>
<physdesc>11 folders</physdesc>
</did>
<scopecontent>
<p>Evaluations includes various reports on program planning, activities,
services, clinic organizations, finances, and statistics. Evaluations were
completed by county program staff and are arranged alphabetically by county.
Some county evaluations are missing.</p>
</scopecontent>
<e02 level="file">

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<did>
<container type="Box">1</container>
<unittitle>Nitkin-Marshall</unittitle>
<physdesc>6 folders</physdesc>
</did>
</e02>
<c02 level="file">
<did>
<container type="Box">2</container>
<unittitle>Martin-Wright</unittitle>
<physdesc>5 folders</physdesc>
</did>
</e02>
</e01>
</desc>
</archdesc>
</ead>
```

## Herndon-Weik Collection of Lincolniana

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<!-- Transformed with vlv2002_4.xsl -->
<!DOCTYPE ead PUBLIC "-//Society of American Archivists//DTD ead.dtd (Encoded
Archival Description (EAD) Version 2002)//EN"
"http://lcweb2.loc.gov/xmlcommon/dtds/ead2002/ead.dtd" --[
<!ENTITY lseal SYSTEM "http://lcweb2.loc.gov/xmlcommon/lseal.jpg" NDATA jpeg
]>
<ead>
<eadheader repositoryencoding="iso15511" relatedencoding="MARC21"
countryencoding="iso3166-1" scriptencoding="iso15924" dateencoding="iso8601"
langencoding="iso639-2b">
<eadid mainagencycode="d1c" countrycode="us"
identifier="hdl:loc.gov/loc.mss/eadmss.ms001002"
encodinganalog="856su">http://hdl.loc.gov/loc.mss/eadmss.ms001002</eadid>
<filedesc>
<titlestmt encodinganalog="245$a">
<titleproper encodinganalog="245$a">The Herndon Weik Collection of
Lincolniana</titleproper>
<subtitle>A Register of the Collection in the Library of Congress</subtitle>
<author encodinganalog="245$c">Prepared by Mary M. Wolfskill and David Mathisen
</author>
</titlestmt>
<publicationstmt>
<publisher>
<extptr href="lseal" show="embed" actuate="onload"/>Manuscript Division,
Library of Congress</publisher>
<address>
<addressline>Washington, D.C.</addressline>
</address>
<date encodinganalog="260$c" normal="1997">1997</date>
</publicationstmt>
<notestmt><note><p>Contact information: <extref
href="http://lcweb2.loc.gov/rr/mss/address.html" show="new"
actuate="onrequest">http://lcweb2.loc.gov/rr/mss/address.html</extref>
</p></note></notestmt>
</filedesc>
<profiledesc>
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<date normal="2001">2001</date></creation><language encodinganalog="546">
Finding aid written in<language encodinganalog="041" langcode="eng">
English.</language></language>
</profiledesc>
<revisiondesc>
<change encodinganalog="583">
<date normal="2004-06-01">2004 June 01</date>
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</change>
</revisiondesc>
</eadheader>
<archdesc type="register" level="collection" relatedencoding="MARC21">
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2.3 ... <unittitle label="Title" encodinganalog="245$a">Herndon-Weik
collection of Lincolniana
2.4 ... <unitdate label="Span Dates" type="inclusive" normal="1824/1933"
encodinganalog="245$f">circa 1824-1933</unitdate>
</unittitle>
2.1 ... <unitid label="ID No." encodinganalog="590" countrycode="us"
repositorycode="d1c">MSS25791</unitid>
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2.6 ... <origination label="Collector">
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</origination>
<origination label="Creator">
<persname source="lenaf" encodinganalog="700" role="creator">Lincoln,
Abraham, 1809-1865</persname>
</origination>
<origination label="Collector">
<persname source="lenaf" encodinganalog="700" role="collector">Weik,
Jesse William, 1857-1930</persname>
</origination>
2.5 ... <physdesc label="Extent">
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</physdesc>
<physdesc label="Size">
<extent encodinganalog="300">36 containers</extent>
</physdesc>
<physdesc label="Size">
<extent encodinganalog="300">10 linear feet</extent>
</physdesc>
<physdesc label="Size">
<extent encodinganalog="300">15 microfilm reels</extent></physdesc>
4.5 ... <langmaterial label="Language">Collection material in <language
encodinganalog="041" languagecode="eng">English</language>
</langmaterial>
2.2 ... <repository label="Repository" encodinganalog="852">
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<address>
<addressline>Washington, D.C.</addressline>
</address>
</repository>
<abstract label="Abstract" encodinganalog="520$a">Collection composed of the
papers of Abraham Lincoln, U.S. president, U.S. representative from Illinois,
and lawyer, William Henry Herndon, Lincoln's law partner, collector, and
biographer from Springfield, Illinois; and Jesse William Weik, lawyer of
Greencastle, Indiana, and coauthor of Herndon <title>Lincoln.</title> Includes
records (1933) of the Weik Manuscript Corporation and miscellaneous material
collected chiefly by Herndon and Weik for use in writing Herndon's
<title>Lincoln: The True Story of a Great Life</title> (1889).</abstract>
</did>
Access... <controlaccess>
Points <head>Selected Search Terms</head>
<note>
<p>The following terms have been used to index the description of
this collection in the Library's online catalog. They are grouped by
name of person or organization, by subject or location, and by
occupation and listed alphabetically therein.</p>
</note>
<controlaccess>
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John, 1797-1869--Correspondence</persname>
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Correspondence</persname>
<persname source="lenaf" encodinganalog="600"
role="subject">Conkling, James Cook, 1816-1899--
Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Dana,
Richard Henry, 1815-1882--Correspondence</persname>

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<persname source="lenaf" encodinganalog="600" role="subject">Delahay,
Mark W. (Mark William), 1818?-1879--Correspondence</persname>
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Stephen Arnold, 1813-1861</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Edwards,
Ninian Wirt</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Friend,
Charles</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Centry,
Kate Roby</persname>
<persname source="lenaf" encodinganalog="600"
role="subject">Ciddings, Joshua R. (Joshua Reed), 1795-1864--
Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Graham,
Mentor, 1800-1886</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Hanks,
Dennis</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Hay,
John, 1838-1905</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Hay,
John, 1838-1905--Correspondence</persname>
<persname source="lenaf" encodinganalog="600"
role="subject">Hayercraft, Samuel, 1795-1878--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Holm,
John B.</persname>
<persname source="lenaf" encodinganalog="600"
role="subject">Johnston, John D., b. 1815--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Judd,
Norman B. (Norman Puel), 1815-1878--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Lincoln,
Mary Todd, 1818-1882</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Lincoln,
Sarah Bush Johnston, 1788-1869</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Logan,
Stephen T. (Stephen Trigg), 1800-1880</persname>
<persname source="lenaf" encodinganalog="600"
role="subject">McCallen, Andrew--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Nicolay,
John G. (John George), 1832-1901--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Piercer,
Edward Lillie, 1829-1897--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Speed,
Joshua F. (Joshua Fry), 1814-1882--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Stevens,
Thaddeus, 1792-1868--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Swett,
Leonard, 1825-1899</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Swett,
Leonard, 1825-1899--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Thomas,
Richard S. (Richard Symmes)--Correspondence</persname>
<persname source="lenaf" encodinganalog="600"
role="subject">Trumbull, Lyman, 1813-1896--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Wallace,
Frances, b. 1817</persname>
<persname source="lenaf" encodinganalog="600"
role="subject">Wentworth, John, 1815-1888--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">White,
Horace, 1834-1916--Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Whitney,
Henry Clay, 1831-1905--Correspondence</persname>

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<persname source="lenaf" encodinganalog="600"
role="subject">Williams, Archibald, 1801-1863--
Correspondence</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Wilson,
R. L. (Robert L.)</persname>
<persname source="lenaf" encodinganalog="600" role="subject">Yates,
Richard, 1815-1873--Correspondence</persname>
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family</famname>
<corpname source="lenaf" encodinganalog="610"
role="subject">Illinois, General Assembly</corpname>
<corpname source="lenaf" encodinganalog="610"
role="subject">Republican Party (U.S. : 1854--)</corpname>
<corpname source="lenaf" encodinganalog="610">Weik Manuscript
Corporation</corpname>
<corpname source="lenaf" encodinganalog="610" role="subject">Whig
Party (U.S.)</corpname>
<corpname source="lenaf" encodinganalog="610" role="subject">White
House (Washington, D.C.)</corpname>
<persname source="lenaf" encodinganalog="700">Herndon, William Henry,
1818-1891. Papers (1849-1891)</persname>
<persname source="lenaf" encodinganalog="700">Lincoln, Abraham, 1809-
1865. Papers (1824-1865)</persname>
<persname source="lenaf" encodinganalog="700">Weik, Jesse William,
1857-1930. Papers (1830-1927)</persname>
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Illinois--Springfield</subject>
<subject source="lesh" encodinganalog="650">Presidents--United
States--Biography</subject>
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States--Election--1856</subject>
<subject source="lesh" encodinganalog="650">Presidents--United
States--Election--1860</subject>
<subject source="lesh" encodinganalog="650">Illinois--Politics and
government--To 1865</subject>
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History</subject>
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and government--19th century</geogname>
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and government--1861-1865</geogname>
</controlaccess>
<controlaccess>
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encodinganalog="656">Biographers</occupation>
<occupation source="itoame"
encodinganalog="656">Collectors</occupation>
<occupation source="itoame" encodinganalog="656">Lawyers</occupation>
</controlaccess>
</controlaccess>
<decegrp type="admininfo">
<head>Administrative Information</head>
5.2 ... <acqinfo encodinganalog="541">
<head>Provenance</head>
<p>The Herndon-Weik Collection of Lincolniana was purchased by the
Library of Congress from G. A. Baker and Co. in 1941. Material

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relating to Abraham Lincoln acquired by the Library from other
sources between 1929 and 1982 is also included in the collection.</p>
</aeginfo>
3.1 ... <processinfo>
<head>Processing History:</head>
<p>The Herndon-Weik Collection of Lincolniana was first processed in
1974; additional material received was incorporated into the
collection in 1984. This register was revised in 1997.</p>
</processinfo>
6.3 ... <separatedmaterial encodinganalog="544 0">
<head>Transfers:</head>
<p>Items have been transferred from the Manuscript Division to other
custodial divisions of the Library. Photographs and etchings have
been transferred to the Prints and Photographs Division. A broadside
has been transferred to the Rare Book and Special Collections
Division. All transfers are identified in these divisions as part of
the Herndon-Weik Collection of Lincolniana.</p>
</separatedmaterial>
4.4 ... <userestrict encodinganalog="540">
<head>Copyright Status:</head>
<p>The status of copyright in the unpublished writings of Abraham
Lincoln, William Henry Herndon, and Jesse William Weik in these
papers and in other collections of papers in the custody of the
Library of Congress is governed by the Copyright Law of the United
States (Title 17, U.S.C.).</p>
</userestrict>
4.1 ... <accessrestrict encodinganalog="506"><head>Restrictions:</head><p>The
Herndon-Weik Collection of Lincolniana is
unrestricted.</p></accessrestrict>
<accessrestrict encodinganalog="506"><head>Access:</head><p>Consult a
reference librarian in the Manuscript Division before visiting the
Library to determine whether or not containers should be requested in
advance.</p></accessrestrict>
6.2 ... <altformavail encodinganalog="530">
<head>Microfilm:</head>
<p>A microfilm edition of these papers is available on fifteen reels.
Use of the microfilm copy may be required. Consult a reference
librarian in the Manuscript Division concerning purchase or
interlibrary loan.</p>
</altformavail>
7.1 ... <prefercite encodinganalog="524">
<head>Preferred Citation:</head>
<p>Researchers wishing to cite this collection should include the
following information: Container or reel number, Herndon-Weik
Collection of Lincolniana, Manuscript Division, Library of Congress,
Washington, D.C.</p>
</prefercite>
</descgrp>
2.7 ... <bioghist encodinganalog="545">
<head>Biographical Notes</head>
<bioghist encodinganalog="545">
<head>William Henry Herndon</head>
<chronlist>
<listhead>
<head01>Date</head01>
<head02>Event</head02>
</listhead>
<chronitem>
<date>1818 December 25</date>
<event>Born, Greensburg, Ky.
</event>
</chronitem>

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</chronitem>
<date>1820</date>
<event>Moved to Illinois
</event>
</chronitem>
<chronitem>
<date>1821</date>
<event>Moved to Sangamon County, Ill.
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</chronitem>
<chronitem>
<date>1825</date>
<event>Moved to Springfield, Ill.
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<chronitem>
<date>1836-1837</date>
<event>Student, preparatory department, Illinois College,
Jacksonville, Ill.
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</chronitem>
<chronitem>
<date>1840</date>
<event>Married Mary Maxey (died 1861)</event>
</chronitem>
<chronitem>
<date>1844</date>
<event>Admitted to bar and formed law partnership with Abraham
Lincoln
</event>
</chronitem>
<chronitem>
<date>1854</date>
<event>Elected mayor of Springfield, Ill.
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</chronitem>
<chronitem>
<date>1862</date>
<event>Married Anna Miles
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</chronitem>
<chronitem>
<date>1889</date>
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<title>Herndon's Lincoln: The True Story of a Great Life</title>
(Chicago: Belford, Clarke. 3 vols.)</bibref>
</event>
</chronitem>
<chronitem>
<date>1891 March 18</date>
<event>Died, Springfield, Ill.
</event>
</chronitem>
</chronolist>
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<bioghist-encodinganalog="545">
<head>Jesse William Weik</head>
<chronlist>
<listhead>
<head01>Date</head01>
<head02>Event</head02>
</listhead>

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</chronitem>
<date>1857 August 23</date>
<event>Born, Greencastle, Ind.
</event>
</chronitem>
<chronitem>
<date>1875</date>
<event>A.B., Indiana Asbury (now DePauw) University, Greencastle, Ind.
</event>
</chronitem>
<chronitem>
<date>1883</date>
<event>A.M., Indiana Asbury University, Greencastle, Ind.
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</chronitem>
<chronitem>
<date>1880</date>
<event>Admitted to bar but never practiced</event>
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<chronitem>
<date>1889</date>
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(Chicago: Belford, Clarke. 3 vols.)</bibref>
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<date>1892</date>
<event>Published <bibref>
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Life</title> (Chicago: Belford, Clarke. 3 vols.)</bibref>
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<chronitem>
<date>1809 February 12</date>
<event>Born, Hardin County, Ky.
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</chronitem>
<chronitem>
<date>1816</date>
<event>Moved to Indiana
</event>
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<chronitem>
<date>1830</date>

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~~<event>Moved to Macon County, Ill.~~  
~~</event>~~  
~~</chronitem>~~  
~~<chronitem>~~  
~~<date>1831</date>~~  
~~<event>Moved to New Salem, Ill.; employed as storekeeper</event>~~  
~~</chronitem>~~  
~~<chronitem>~~  
~~<date>1832</date>~~  
~~<event>Served in Black Hawk War; became partner in Lincoln &amp; Berry, a general store</event>~~  
~~</chronitem>~~  
~~<chronitem>~~  
~~<date>1833-1836</date>~~  
~~<event>Postmaster, New Salem, Ill.~~  
~~</event>~~  
~~</chronitem>~~  
~~<chronitem>~~  
~~<date>1834-1836</date>~~  
~~<event>Deputy county surveyor, Sangamon County, Ill.~~  
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~~</chronitem>~~  
~~<chronitem>~~  
~~<date>1834-1841</date>~~  
~~<event>Member, Illinois state legislature (Whig)~~  
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~~<chronitem>~~  
~~<date>1836</date>~~  
~~<event>Licensed as attorney</event>~~  
~~</chronitem>~~  
~~<chronitem>~~  
~~<date>1837</date>~~  
~~<event>Moved to Springfield and practiced law in partnership with John T. Stuart and later Stephen T. Logan~~  
~~</event>~~  
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~~<chronitem>~~  
~~<date>1842</date>~~  
~~<event>Married Mary Todd~~  
~~</event>~~  
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~~<chronitem>~~  
~~<date>1844</date>~~  
~~<event>Formed law partnership with William H. Herndon~~  
~~</event>~~  
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~~<chronitem>~~  
~~<date>1847-1849</date>~~  
~~<event>Member, U.S. House of Representatives (Whig) from Illinois, Thirtieth Congress</event>~~  
~~</chronitem>~~  
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~~<date>1849</date>~~  
~~<event>Resumed law practice</event>~~  
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~~<date>1856</date>~~  
~~<event>Joined Republican party~~  
~~</event>~~  
~~</chronitem>~~  
~~<chronitem>~~  
~~<date>1858</date>~~

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<event>Unsuccessful Republican candidate for U.S. Senate in
opposition to Stephen A. Douglas
</event>
</chronitem>
<chronitem>
<date>1860</date>
<event>Elected president</event>
</chronitem>
<chronitem>
<date>1864</date>
<event>Reelected president</event>
</chronitem>
<chronitem>
<date>1865 April 14</date>
<event>Shot by John Wilkes Booth
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</chronitem>
<chronitem>
<date>1865 April 15</date>
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3.1 ... <scopecontent encodinganalog="520">

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<head>Scope and Content Note</head>

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<p>Shortly after the death of Abraham Lincoln, William Henry Herndon
began gathering material for a biography of his former law partner.
In 1885, Jesse William Weik brought new inspiration and assistance to
the endeavor, and in 1888 Herndon's biography was completed through
their joint effort. This collection of Lincolniana is the product of
their research. The material covers the time period circa 1824-1933
and is divided into six groups: I: Arithmetic Book and Scrapbooks;
II: Correspondence of Lincoln; III: Legal Documents; IV: Papers of
William Henry Herndon; V: Papers of Jesse William Weik; and VI:
Miscellany.</p>

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<p>Group I consists of one leaf (two pages) of an arithmetic book,
into which Lincoln, as a young man, entered tables and exercises in
linear measure, and two scrapbooks of newspaper clippings. One
scrapbook contains editorials, news items, letters, and a number of
statistical tables dealing with such subjects as demographics,
slavery, geography, religion, railroads, agriculture, immigration,
and monetary matters. Lincoln is alleged to have gathered the
material for his debates with Stephen Arnold Douglas during their
race for the United States Senate in 1858. The other scrapbook
contains similar clippings and also includes material on the
presidential election of 1860.</p>

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<p>Group II, comprised largely of correspondence, is divided into
three sections. Section A consists of twelve letters and a
certificate of survey in Lincoln's hand. These items are listed as
Nos. 3-14 and 770 in the inventory and include six letters from
Lincoln to Mark William Delahay. Section B consists chiefly of
reproductions of letters and papers written by Lincoln. Several
letters from Lincoln to Joshua Speed document the friendship between
the two men and their close communication on personal and public
affairs. Other recipients include Joshua R. Giddings, Samuel
Hayeraft, John D. Johnston, Andrew McCallen, Leonard Swett, Richard
S. Thomas, Henry Clay Whitney, and Archibald Williams. Letters to
Lincoln from 1848 through 1861 and listed as Nos. 774-906 in the
inventory constitute Section C of Group II. The campaign of 1856 is
the subject of much of the correspondence. The candidates, Millard

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~~Fillmore, John C. Fremont, and James Buchanan; campaign strategy, and the strength of the Democratic, Republican, and Know Nothing parties are among the topics discussed. The correspondents include John Bell, Joshua R. Ciddings, Norman B. Judd, Thaddeus Stevens, John Wentworth, Richard Yates, and others. This section also contains newspaper clippings and miscellaneous printed material.~~

~~Group III comprises documents related to Lincoln's legal cases. It contains certificates, petitions, affidavits, notices, abstracts, writs, briefs, depositions, and other papers dealing with such subjects as divorce, slander, assault and battery, and usury. Most of this material is described as Nos. 15-773 and 2000-78 in the inventory.~~

~~The largest series in the collection, Group IV, consists of correspondence, interviews, recollections, notes, newspaper clippings, and other material of William Henry Herndon. Included are an interview with Mary Todd Lincoln in 1871, two long interviews with Dennis Hanks, letters from Hanks to Herndon written in 1865 and 1866 mainly on family history, letters to Herndon from Charles Friend on the Enlow story, and letters and notes from Herndon to Weik between 1891 October 1 and 1891 February 27 containing reminiscences of Lincoln's life.~~

~~Prominent in this series are Lincoln's family members, schoolmates, neighbors in New Salem and Springfield, Illinois, law partners, colleagues at the bar and in the Illinois legislature, political party allies, and White House associates. Representative names include Ninian Wirt Edwards (brother-in-law), Kate Roby Contry (schoolmate), Mentor Graham (teacher), John Hay, whose letter of 1866 September 5 discusses Lincoln's daily life in the White House and ends with the statement that he was "the greatest character since Christ," John B. Helm (store clerk), Sarah Bush Johnston Lincoln (stepmother), Stephen T. Logan (law partner), Leonard Swett (lawyer), Frances Wallace (sister-in-law), and Robert L. Wilson (one of the "Long Nine," a group of tall Whigs, including Lincoln, who served together in the Illinois legislature). Also in Group IV are manuscripts by Herndon bearing such titles as "Lincoln's Development," "Lincoln's Courtship with Miss Owens," "The Lincoln-Douglas Debates," "Miss Rutledge and Lincoln," and "Lincoln's Ways."~~

~~Group V, the papers of Jesse William Weik, consists of correspondence, notes, extracts, interviews, typed and handwritten copies of documents, and other items. Correspondents include Albert Jeremiah Beveridge, James Cook Conkling, Richard Henry Dana, John Hay, John C. Nicolay, Edward Lillie Pierce, Lyman Trumbull, and Horace White.~~

~~Group VI is an assortment of unbound material which includes photostatic copies and facsimiles of documents mostly by Lincoln, a printed sermon and speech by Theodore Parker, newspaper clippings, magazine articles, pamphlets, one chapter of Albert Jeremiah Beveridge's <title>Abraham Lincoln (1928)</title> Charles M. Thompson's report on the "Lincoln Way" investigation, records of the Weik Manuscript Corporation, and negative photographs of documents collected by Herndon and Weik.~~

~~</scopecontent>~~

~~4.6 ... <otherfindaid-encodinganalog="555">~~

~~<head>Other Guides to the Herndon-Weik Collection</head>~~

~~An annotated inventory describing each item in the collection, but in an order different from the current arrangement, and a negative photostatic copy of the inventory with fewer annotations may be found in the Manuscript Division Reading Room reference collection. Special eard file indexes for the collection exist but are housed separately from the items themselves. A microfilm version of these indexes may be found on reel 15 of the Miscellany series. To use the original~~

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indexes consult the reference staff in the Manuscript Division
Reading Room.</p></otherfindaid>
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<item>Group II: Correspondence of Abraham Lincoln, 1833-1865, undated
</item>
<item>Group III: Legal Documents, 1834-1860, undated</item>
<item>Group IV: Papers of William Henry Horndon, 1849-1891, undated
</item>
<item>Group V: Papers of Jesse William Weik, 1830-1927, undated
</item>
<item>Group VI: Miscellany, circa 1824-1933, undated</item>
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<container type="reel">1</container>
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2.3 ... <unittitle>Arithmetic book and scrapbooks,
2.4 ... <unitdate normal="1824/1860">circa 1824-1860, </unitdate>
<unitdate>undated</unitdate>
</unittitle>
</did>
3.1 ... <scopecontent encodinganalog="520">
<p>One leaf from Lincoln's arithmetic book and two scrapbooks with
clippings of statistical tables, articles, editorials, and extracts
from speeches.</p>
</scopecontent>
3.2 ... <arrangement encodinganalog="351fb">
<p>Arranged by type of material.</p>
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2.4 ... <unitdate>circa 1824-1826</unitdate>
</unittitle>
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</e02>
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<did>
2.3 ... <unittitle>Scrapbooks</unittitle>
</did>
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2.3 ... <unittitle>Newspaper clippings allegedly used by Lincoln in his
debates with Stephen A. Douglas in 1858,

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2.4 ... <unitdate>circa 1850-1858, </unitdate>
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2.4 ... <unitdate>circa 1854-1860, </unitdate>
<unitdate>undated</unitdate>
</unittitle>
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</e02>
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<unitdate>undated</unitdate>
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items.</p>
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<p>Arranged chronologically in three sections.</p>
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6</unitdate>
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Lincoln's law cases.</p>
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case file by the date entered with the clerk of court.</p>
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<e02>
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reference staff in Manuscript Division Reading Room.</p>
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articles, report, sermon, speech, Weik Manuscript Corp. records, and other
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Fellowship, <unitdate normal="1908-02-12">1908 February 12</unitdate>
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<unitdate>undated</unitdate>
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<unitdate normal="1914">1914</unitdate>
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<unitdate>undated</unitdate>
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## MARC 21 Record Examples

The following examples represent single-level descriptions that are fully encoded using MACHine Readable Cataloging (MARC 21). Examples are provided for the following archival materials:

- Personal papers—Mildred Davenport Dance Programs and Dance School Materials
- Family papers—Bacot Family Papers
- Organizational records—Swine Influenza Immunization Program Records
- Collection—Herndon Weik Collection of Lincolniana
- Item—Field book of James C. Duane

The presentation of these examples is intended only to assist in understanding how descriptive data, created according to *DACS* rules, can be encoded in MARC 21 for output in MARC-based public access catalogs. The examples are not meant to be prescriptive. Archivists seeking more information on MARC 21 coding should consult the *MARC 21 Format for Bibliographic Data: Including Guidelines for Content Designation* (see Appendix B).

*DACS* element numbers are provided in bold for specific data elements whose content was formulated according to *DACS* rules. These single-level descriptions use a variation of the “single-level added value” elements from Chapter 1.

### Mildred Davenport Dance Programs and Dance School Materials

```
_____ 001 _____ 47267296
2.1 ... 008 _____ 010710i19341942eau | eng-d
_____ 035 bb ta .b29303544
2.1/0.1... 040 bb ta CUI tc daes te CUI
2.1 ... 099 bb ta MS-P-29
2.6/12.1A 100 1b ta Davenport, Mildred, td 1900-1990.
2.3/2.4... 245 10 ta Mildred Davenport dance programs and dance
school materials, tf 1914-1942.
2.5 ... 300 bb ta 0.3 linear feet (1 box and 1 oversize folder).
3.1 ... 520 bb ta This collection comprises dance programs,
dance school materials, photographs, and ephemera
documenting the early career of the Boston-based
African-American dancer, dance instructor, and
civic official Mildred Davenport. tb The bulk of
this collection consists of dance programs and
dance school materials. The collection also
contains 29 photographs of Davenport, her
students in various performances, and friends or
individual students. Dance programs from 1925 to
1942 feature her solo performances and group
performances with her students. The collection
includes a complete run of programs for Bronze
```

~~Rhapsody, an annual performance series choreographed, staged, and directed by Davenport. Her personal copy of a typescript of stage directions for a 1934 performance is included with these programs. Her dance schools, Davenport School of the Dance and Silver Box Studio, are documented in course brochures and applications.~~

~~4.5 ... 546 bb ta Materials in English.~~

~~4.1 ... 506 bb ta Collection open for research.~~

~~7.1 ... 524 bb ta Cite as: Mildred Davenport Dance Programs and Dance School Materials. MS-P29, Special Collections and Archives, The UC Irvine Libraries, Irvine, California~~

~~5.2 ... 541 bb ta Acquired, #d 1998~~

~~2.7/10.9 545 bb ta Mildred Ellen Davenport was a noted civic official and military officer with an extensive career as a dancer and dance instructor in Boston in the 1930s and 1940s. #b She was born in Boston in 1900. In the 1920s, she studied at the Sargent School for Physical Culture and at Harvard, and opened her first dance school, the Davenport School of Dance. Over the next ten years she studied under Ted Shawn and taught dance in Boston. From 1930 to 1935, she performed in a number of African American musical productions on Broadway, including Fast and Furious, Flying Colors, and Black Birds. In 1932, she established her second dance school, the Silver Box Studio. During World War II, Davenport enlisted in the Army as a captain. From 1947 to 1968, she worked for the NAACP office in Boston and the Massachusetts Commission Against Discrimination. Davenport died in Boston in 1990.~~

~~4.6 ... 555 bb ta Electronic finding aid available via the Internet in the Online Archive of California, #e folder level control~~

~~600 10 ta Davenport, Mildred, #d 1900-1990 #v Archives.~~

~~650 b0 ta Dance schools #z Massachusetts #z Boston #v Archives.~~

~~650 b0 ta Dance #v Archives.~~

~~650 b0 ta Modern dance #z United States #v Archives.~~

~~650 b0 ta Dance, Black #v Archives.~~

~~650 b0 ta African American dancers #v Archives.~~

~~655 b7 ta Dance programs. #2 local~~

~~655 b7 ta Photographic prints. #2 gmjpe~~

~~655 b7 ta Posters. #2 gmjpe~~

~~656 b7 ta Dancers. #2 aat~~

~~656 b7 ta Dance teachers. #2 lesh~~

~~710 2b ta Online Archive of California~~

~~2.2 ... 852 bb ta Special Collections and Archives, #e The UC Irvine Libraries, Irvine, California~~

~~4.6 ... 856 42 #3 OAC finding aid: #u <http://www.oac.edlib.org/findaid/ark:/13030/tf4s200680>~~



## Bacot Family Papers

~~001 AFJ-0133~~  
~~2.1 ... 008 901130i17671887scu | eng-d~~  
~~2.1/9.1 ... 040 bb +a NOC +e daes +e NOC~~  
~~2.1 ... 099 b9 +a 916-z~~  
~~2.6/12.29 100 3b +a Bacot family.~~  
~~2.3/2.4 ... 245 10 +a Bacot family papers, +f 1767-1887 +g (bulk 1845-1866).~~  
~~2.5 ... 300 bb +a 90 +f items +a (0.5 linear feet).~~  
~~3.2 ... 351 bb +a Arranged in three series: Series 1. Correspondence, 1767, 1845-1866, 1887; Series 2. Financial and legal materials, 1786, 1861-1887; Series 3. Other items. 1775-1862.~~  
~~4.1 ... 506 bb +a No restrictions.~~  
~~3.1 ... 520 bb +a Correspondence, financial and legal materials, and other items of Bacot family members and their Brockinton family relatives. Correspondence chiefly relates to business dealings of Peter Samuel Bacot, who managed the plantation, and to family and social activities. Some letters are from cotton factors in Charleston, S.C. Also included are slave lists, and, after the Civil War, contracts relating to the employment of freedmen on the plantation; a few items relating to the Jarrot & Bacot Drug Store; currency issued by South Carolina, 1775-1862; and typed transcriptions of articles published in 1826 about Huguenots in South Carolina.~~  
~~4.5 ... 546 bb +a Materials in English.~~  
~~6.2 ... 530 bb +a Microfilm copy available.~~  
~~5.2 ... 541 1b +a Acquired +d 1944~~  
~~6.3 ... 544 bb +d See also Peter Brockington Bacot papers (#2742) in the +a Southern Historical Collection, University of North Carolina at Chapel Hill.~~  
~~2.7/10.9 ... 545 bb +a Bacot family members were cotton planters at Mars Bluff Plantation near Florence, Darlington District, S.C., and, beginning in 1865, partners in the Jarrot & Bacot Drug Store in Florence. The Bacots were related to the Brockinton family and descended from South Carolina Huguenots.~~  
~~600 10 +a Bacot, Peter Samuel, +d 1810-1864.~~  
~~600 30 +a Bacot family.~~  
~~600 30 +a Brockinton family.~~  
~~610 20 +a Jarrot & Bacot Drug Store (Florence, S.C.)~~  
~~650 b0 +a African American agricultural laborers +z South Carolina.~~  
~~650 b0 +a Agriculture +z South Carolina.~~  
~~650 b0 +a Commission merchants +z South Carolina +z Charleston.~~  
~~650 b0 +a Cotton growing +z South Carolina.~~  
~~650 b0 +a Drugstores +z South Carolina +x History +y 19th century.~~

~~650 b0 +a Family +z South Carolina + Social life and  
 customs +y 18th century.~~  
~~650 b0 +a Family +z South Carolina + Social life and  
 customs +y 19th century.~~  
~~650 b0 +a Freedmen +z South Carolina.~~  
~~650 b0 +a Huguenots +z South Carolina.~~  
~~650 b0 +a Merchants +z South Carolina.~~  
~~650 b0 +a Money +z South Carolina.~~  
~~650 b0 +a Plantation life +z South Carolina.~~  
~~650 b0 +a Plantation owners +z South Carolina.~~  
~~650 b0 +a Slavery +z South Carolina.~~  
~~651 b0 +a Charleston (S.C.) +x Economic conditions.~~  
~~651 b0 +a Darlington District (S.C.) +x History.~~  
~~651 b0 +a Mars Bluff Plantation (Darlington District,  
 S.C.)~~  
**12.29 ... 700 3b +a Brockinton family.**  
**2.2 ... 852 bb +a University of North Carolina at Chapel Hill +b  
 Southern Historical Collection +e CB#3926, Wilson  
 Library, Chapel Hill, N.C. 27514-8890 +n neu**  
**4.6 ... 856 42 +3 Finding aid +u  
[http://www.lib.unc.edu/mss/inv/b/Bacot%5FFamily.  
 html](http://www.lib.unc.edu/mss/inv/b/Bacot%5FFamily.html)**

## Swine Influenza Immunization Program Records

~~001 bb 001716763~~  
~~2.1 ... 008 bb 921027+19751979mnu | eng d~~  
~~035 bb +a (MnHi-Ar)State~~  
~~2.1/8.1 ... 040 bb +a MnHi-Ar +e MnHi-Ar +e daes +d hf~~  
~~043 bb +a n-us-mn~~  
~~2.6/14.18... 110 1b +a Minnesota. +b Dept. of Health.~~  
~~2.3/2.4 ... 245 10 +a Swine influenza immunization program records, +f 1975-1979.~~  
~~2.5 ... 300 bb +a 1.25 cubic feet (1 box and 1 partial box).~~  
~~3.1 ... 520 bb +a Records of a statewide program to immunize vulnerable segments of Minnesota's population against swine influenza, which in the middle 1970s was epidemic in many parts of the world. The records include files on the administration of the program and on public outreach and informational activities; data on a grant received by the state from the federal Department of Health, Education, and Welfare as part of the National Influenza Immunization Program; statistics on vaccine usage and immunizations; and program evaluations from the majority of Minnesota's counties.~~  
~~4.1 ... 506 bb +a Records available for research.~~  
~~5.2 ... 541 bb +e 1988-110~~  
~~4.6 ... 555 0b +a Folder list available in repository; filed under Health Department. An electronic version is also available online. +u <http://www.mnhs.org/library/findaids/hea001.html>~~  
~~5.2 ... 583 bb +a Accessioned +e 02/05/89~~  
~~610 10 +a United States. +b Dept. of Health, Education, and Welfare.~~  
~~650 b0 +a Swine influenza +z Minnesota.~~  
~~650 b0 +a Influenza +z Minnesota +x Vaccination +v Statistics.~~  
~~650 b0 +a Vaccination +z Minnesota +v Statistics.~~  
~~650 b0 +a Interstate relations +z Minnesota.~~  
~~650 b0 +a Health promotion +z Minnesota.~~  
~~650 b0 +a Health planning +x Public relations +z Minnesota.~~  
~~2.2 ... 852 bb +a Minnesota Historical Society, +e St. Paul, MN.~~  
~~852 bb +a MnHi~~

## Herndon-Weik Collection of Lincolniana

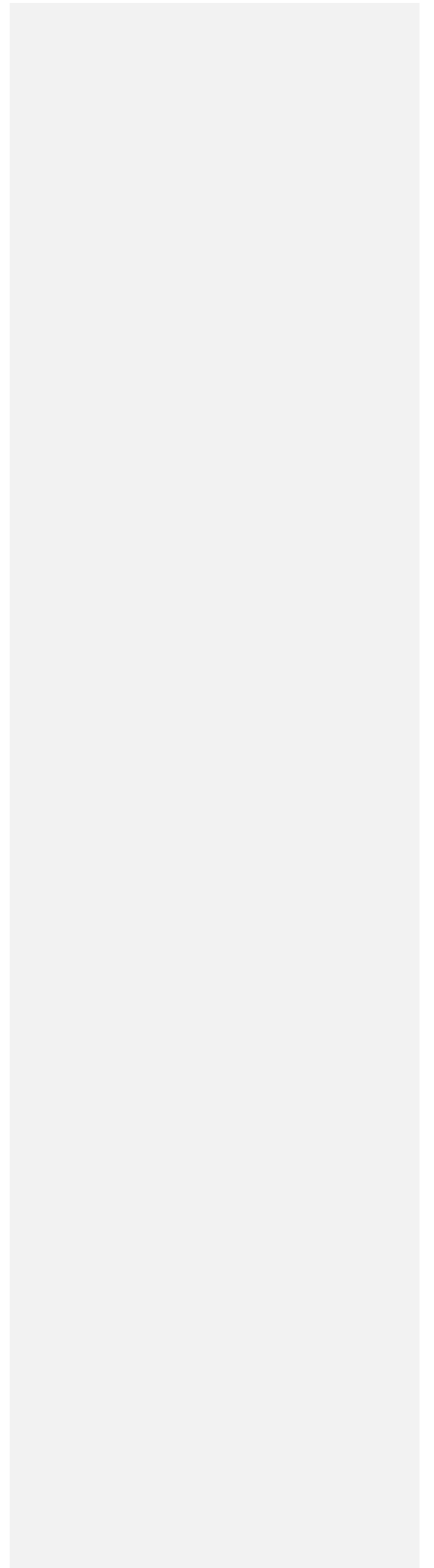
~~2.1 ... 008 741029i18241933deu | eng~~  
~~2.1/8.1 ... 040 bb +a DLC +e daes +e DLC~~  
~~2.3/2.4 ... 245 04 +a The Herndon-Weik collection of Lincolniana, +f circa 1824-1933.~~  
~~2.5 ... 300 bb +a 4,600 +f items.~~  
~~300 bb +a 36 +f containers.~~  
~~300 bb +a 15 +f microfilm reels.~~

~~300 bb +a 10 +f linear feet.~~  
~~3.2 ... 351 bb +a Arranged in 6 series: 1. Arithmetic book and scrapbooks, circa 1824-1860. 2. Correspondence of Abraham Lincoln, 1833-1865. 3. Legal documents, 1834-1860. 4. Papers of William Henry Herndon, 1849-1891. 5. Papers of Jesse William Weik, 1830-1927. 6. Miscellany, circa 1824-1933.~~  
~~4.1/4.2 ... 506 bb +a Collection open for research. Use of microfilm may be required when available.~~  
~~4.2 ... 506 bb +a Collection stored offsite. Requests for containers in advance recommended.~~  
~~3.1 ... 520 8b +a Collection composed of the papers of Lincoln, Herndon, and Weik, records (1933) of The Weik Manuscript Corporation, and miscellaneous material collected chiefly by Herndon and Weik for use in writing Herndon's *Lincoln: The True Story of a Great Life* (1889). Papers of Abraham Lincoln consist of correspondence (1833-1865); legal documents (1834-1860); scrapbooks (2 v., 1850-1860), one of which Lincoln allegedly prepared for use in his debates (1858) with Stephen Arnold Douglas; and other material. Subjects include national politics, chiefly the presidential campaigns of 1856 and 1860, and Lincoln's law practice in Springfield, Illinois. Lincoln's correspondents include John Bell, Mark W. Delahay, Joshua R. Giddings, and others. Papers (1849-1891) of William Henry Herndon include correspondence, manuscripts of writings on Lincoln, interviews, recollections, notes, and other material. Persons represented include Ninian Wirt Edwards (Lincoln's brother-in-law), Kate Roby Gentry (schoolmate), Mentor Graham (teacher), and others. Papers (1830-1927) of Jesse William Weik consist of correspondence, documents, interviews, and other papers.~~  
~~6.2 ... 530 bb +a Microfilm edition of Groups I-V and of the card index available, +d no. 13,732.~~  
~~4.4 ... 540 bb +a Copyright restrictions may apply.~~  
~~5.2 ... 541 bb +a Gift and purchase, +d 1929-1982.~~  
~~6.3 ... 544 bb +3 Broadside +e transferred to +a Library of Congress Rare Book and Special Collections Division.~~  
~~6.3 ... 544 bb +3 Photographs and etchings +e transferred to +a Library of Congress Prints and Photographs Division.~~  
~~4.6 ... 555 8b +a Finding aid available in the Library of Congress Manuscript Reading Room and on Internet.~~  
~~4.6 ... 555 8b +a Calendar and index available in the Library of Congress Manuscript Reading Room and on Internet.~~  
~~2.1 ... 590 bb +a MS825791~~  
~~600 10 +a Bell, John, +d 1797-1869 +v Correspondence.~~  
~~600 10 +a Delahay, Mark W. +q (Mark William), +d 1818?-1864 +v Correspondence.~~  
~~600 10 +a Edwards, Ninian Wirt.~~  
~~600 10 +a Gentry, Kate Roby.~~

~~600 10 +a Ciddings, Joshua R. +q (Joshua Reed), +d 1795-1864 +vCorrespondence.~~  
~~600 10 +a Graham, Mentor, +d 1800-1886.~~  
~~610 20 +a Weik Manuscript Corporation.~~  
~~650 b0 +a Practice of law +z Illinois +z Springfield.~~  
~~650 b0 +a Presidents +z United States +x Election +y 1856.~~  
~~650 b0 +a Presidents +z United States +x Election +y 1860.~~  
~~651 b0 +a United States +x Politics and government +y 19th century.~~  
~~700 1b +a Herndon, William Henry, +d 1818-1891. +t Papers of William Henry Herndon, +f (1849-1891)~~  
~~700 1b +a Lincoln, Abraham, +d 1809-1865. +t Papers of Abraham Lincoln +f (1824-1865)~~  
~~700 1b +a Weik, Jesse William, +d 1857-1930. +t Papers of Jesse William Weik, +f (1830-1927)~~  
~~2.2 ... 852 bb +a Library of Congress +b Manuscripts Division +e Washington, D.C.~~  
~~4.6 ... 856 4b +3 Finding aid +u <http://hdl.loc.gov/loc/mss/cadmss.ms001002>~~

## Field book of James C. Duane

~~2.1/4.5~~ 008 ~~810423s1858||||deu | eng~~  
~~2.1/8.1~~ 040 ~~bb +a DLC +e daes +e DLC~~  
~~2.6/12.1A~~ 100 ~~1b +a Duane, James C.~~  
~~2.3/2.4~~ 245 ~~00 +a Field book of James C. Duane, +f 1858.~~  
~~2.5~~ 300 ~~bb +a 1 +f v. : 147 p.~~  
~~4.1~~ 506 ~~bb +a Collection open for research.~~  
~~3.1~~ 520 ~~8 +a Field book (1858 May 17-Oct. 3) containing various observations during an expedition in Utah. Includes maps and other drawings, travel information, and observations on topography.~~  
~~5.2~~ 541 ~~bb +e Purchase, +d 1940.~~  
~~2.7/10.9~~ 545 ~~0b +a Army officer. Full name: James Chatham Duane. Born 1824, died 1897.~~  
~~2.1~~ 590 ~~bb +a MSS21337~~  
~~651~~ ~~b0 +a Utah +x Discovery and exploration.~~  
~~655~~ ~~b7 +a Drawings +2 gmgpe~~  
~~655~~ ~~b7 +a Maps +2 gmgpe~~  
~~656~~ ~~b7 +a Army officers. +2 itoame~~  
~~2.2~~ 852 ~~bb +a Library of Congress +b Manuscript Division +e Washington, D.C.~~



# Index

**Comment [JGD2]:** Index will need to be redone. 7-5-2012 JGD

In this index, *DACS* stands for *Describing Archives: A Content Standard*.  
Names of the data elements described in the text are capitalized in the index.  
Numbers in parentheses are rule numbers for the elements.

- AACR2. *see Anglo-American Cataloguing Rules*, 2nd ed.
- abbreviations
- in birth and death dates, 97n41
  - in estimated dates, 27n30
  - in materials (4.5.3), 54
  - in name segment (2.3.5), 18
  - indicating incorporation (14.5C1), 171
  - physical extent, 30n32
  - before ships' names (14.5C4), 171
- abstract of contents
- vs.* Scope and Content Element (3.1), 35
  - vs.* supplied title, 17n21
- academic degrees, honors, etc., added to personal names (12.19B), 150–51
- access, conditions governing (4.1), 43–45
- access points
- and authority files, 86
  - creators (9.5), 89, 90
  - custodians (5.1), 59
  - definition, 201
  - overview, xviii–xxi
  - and Scope and Content Element (3.1), 35
- access restrictions, 43–49
- access tools
- application of *DACS* to, xvii
  - definition, 201
- accession numbers (5.2.5), 62
- accrual, definition, 201
- Accruals Element (5.4), 66–67
- and date ranges (2.4.8), 26
- accumulation, definition, 202
- Acquisition and Appraisal Elements, 59–67
- Accruals (5.4), 26, 66–67, 201
  - Appraisal, Destruction, and Scheduling Information (5.3), 63–65
  - Custodial History (5.1), 59–60
  - Immediate Source of Acquisition (5.2), 61–62, 205
- acronyms and initialisms in corporate names (14.1A, 14.2B2), 159–60, 162
- activities and functions
- access points, xxi
  - in archival authority records, 87
  - in biographical history (10.21), 99
  - corporate bodies (10.30), 102
  - in Scope and Content Element (3.1), 35
- "added value" data elements, 7, 9, 11
- addresses of contact information for originals (6.1.5), 69
- administrative structure of corporate bodies (10.31), 102
- Administrative/Biographical History Elements (2.7), 34, 93–104
- administrative history of corporate bodies (10.25–10.36), 100–104
  - and other creators (9.9), 91
  - biographical history of individuals or families (10.14–10.24), 95–100
  - in authority record (11.12), 108
  - separate authority file (10.5–10.7), 94
  - within description (10.8–10.12), 94–95
- Afrikaans surnames with prefixes (12.5D1), 132–33
- aggregations
- definition, 202
  - system of arrangement (3.2), 40
- aliases in biographical history (10.16), 96
- alpha-numeric designations in notes (7.1.6), 78
- alternative rules in *DACS*, use of, 4
- amalgamations of corporate bodies (10.33), 103
- ambiguous names. *see* Names not conveying the idea of ...
- "and other material" in Title Element (2.3.20), 21
- Anglo-American Cataloguing Rules*, 2nd ed. (AACR2) (2.3.2), vi, vii, 17, 117–18, 209
- antipopes (12.16B1), 147
- APPM*. *see Archives, Personal Papers, and Manuscripts*
- appraisal decisions (5.3), 63–65
- Appraisal, Destruction, and Scheduling Information Element (5.3), 63–65
- approximations. *see* Estimations and approximations
- Arabic script, names in (12.3C2), 128
- see also* Romanization
- archbishops. *see* Religious leaders and officials
- architectural drawings, definition, 202
- Archival Moving Image Materials*, 209
- archival series, definition, 202
- archival unit, nature of (2.3.18–2.3.20), 20–21
- archives, nature of, xi–xiii
- Archives, Personal Papers, and Manuscripts (APPM)*, v–vii, 219
- crosswalk to *DACS*, 214–215
- Archivist Element (8.1.5), 82
- armed forces
- below national level (14.24B), 192
  - entered subordinately (14.18), 184
  - national level (14.24A), 191–92
- arrangement
- and description, xii–xiii, xiv
  - definition, 202
  - levels of, *DACS vs. ISAD(G)*, vii
  - see also* System of Arrangement Element (3.2)
- Art & Architecture Thesaurus*, xx–xxi, 210
- articles (part of speech)
- initial articles in corporate names (14.5A), 170



in surnames with prefixes (12.5D1), 132–37  
 Asian languages, corporate names in (14.5C3), 171  
 associative relationships, 109  
 audiovisual materials, equipment required for, 48  
*see also* Physical Access Element (4.2)  
 Australian place names (13.4C), 155  
 authority files  
   and Administrative/Biographical History Element (2.7,  
   10.5-10.7), 34, 94  
   archival *vs.* bibliographic, 86–87  
   definition, 202  
   *see also* Authority records  
 authority record identifier (11.19), 110  
 authority records, 105–14  
   definition, 202  
   description of the person, family, or corporate body  
   (11.12), 108  
   form of name (11.5-11.11), 106–8  
   management of (11.18-11.27), 110–11  
   related materials (11.28-11.31), 111–12  
   related persons or bodies (11.13-11.17), 108–9  
   *see also* Authority files  
 authorized name, definition, 202  
  
 biographical history. *see* Administrative/Biographical  
   History Element (2.7, 10.5-10.7)  
 birth, date of. *see* Dates of birth, death, etc.  
 bishops. *see* Religious leaders and officials  
 Bistum (Holy Roman Empire) (14.27C3), 196  
 box lists. *see* Finding Aids Element (4.6)  
 branches  
   armed forces (14.24), 191–92  
   corporate bodies (10.28, 14.9, 14.13), 101, 175, 177  
   government agencies (14.18), 182–84  
 brief title (2.3.3), 17–18  
 British Isles, place names (13.4D), 155–56  
 bulk dates, definition, 202  
   *see also* Predominant dates  
  
 calendar, definition, 202  
   *see also* Finding Aids Element (4.6)  
 Canada, place names (13.4C), 154–55  
 cardinals (ecclesiastical official). *see* Religious leaders and  
   officials  
*Cartographic Materials*, 209  
 cartographic materials, definition, 202  
*Cataloging Cultural Objects*, 210  
 cataloging rules in authority record (11.20-11.21), 110  
 catalog, definition, 202  
*Categories for the Description of Works of Art*, 210  
 Catholic Church  
   councils (14.27A2), 194  
   diplomatic missions (14.27D), 196–97  
   Roman Curia (14.27C4), 196  
   subordinate bodies (14.27C3), 196  
   *see also* Popes  
 Channel Islands, place names (13.4D), 155–56  
 chapters of corporate bodies (14.9). *see* Branches  
 children of royal persons (12.16A4), 146

Chorepiscopus (12.16C), 147  
 church councils  
   conventional names (14.3C2), 165n76  
   headings for (14.27A), 194  
 churches, local (14.3G), 167–68  
   *see also* Religious bodies; Worship, places of  
 citation information (7.1.5), 78  
 cities and towns added to place names (13.4F2), 156–57  
 civil courts (14.23A), 190  
 classification schemes. *see* Finding Aids Element (4.6)  
 "collection" in Title Element (2.3.18), 20–21  
 collection, definition, 203  
 collectors  
   as creators, 89  
   definition, 203  
   information about, 93  
   in name segment, 18–20  
 committees and commissions  
   government agencies (14.18), 182  
   joint committees (14.15), 180–81  
   of legislative bodies (14.21B), 188–89  
   subcommittees of U.S. Congress (14.21C), 189  
   as subordinate corporate bodies (14.13), 177  
 completeness of records (3.1), 35  
 computer equipment requirements (4.3.6), 48–49  
 Conditions Governing Access Element (4.1), 43–45  
 Conditions Governing Reproduction and Use Element  
   (4.4), 50–53  
 Conditions of Access and Use Elements, 43–58  
   Conditions Governing Access (4.1), 43–45  
   Conditions Governing Reproduction and Use (4.4), 50–  
   53  
   Finding Aids (4.6), 56–58  
   Languages and Scripts of the Material (4.5), 54–55  
   Physical Access (4.2), 46–47  
   Technical Access (4.3), 48–49  
 conferences and congresses (14.7), 173–74  
   ancient and international bodies (14.3C2), 165n76  
   changes in place name of (13.3), 154  
   delegations to (14.26), 193–94  
   variant forms of names (14.3F), 166–67  
 conservation treatment notes (7.1.3), 77–78  
 consistency of creator names, 86  
   *see also* Authority records  
 consorts of royal persons (12.16A3), 146  
 constitutional conventions, headings for (14.22), 189  
 consulates. *see* Embassies  
 containers, definition, 203  
 Content and Structure Elements, 35–42  
   Scope and Content Element (3.1), 35–39  
   System of Arrangement Element (3.2), 40–41  
 content dates  
   definition, 203  
   in Scope and Content Element (3.1), 35  
   *see also* Dates of creation of materials  
 content element. *see* Scope and Content Element  
 contents, abstract of. *see* Abstract of contents  
 context of creation. *see* Administrative/Biographical  
   History Element (2.7)

- conventional names
  - corporate bodies (14.3C), 164–65
  - governments (14.3E), 166
- copies
  - existence and location of (6.2), 71–72
  - see also* Reproductions
- copyright restrictions (4.4.6–4.4.10), 50–51
- corporate bodies
  - administrative history (10.25–10.36), 100–104
  - chapters or branches of (10.28, 14.9, 14.13), 101, 175, 177
  - definition, 203
  - in name segment (2.3.4, 2.3.16, 2.3.17), 18, 20
  - predecessor and successor bodies (10.32), 102–3
  - principles of description, xiv
  - related corporate bodies (11.13–11.17), 108–9
- corporate names, 159–97
  - additions to names (14.4), 168–70
  - changes in (10.34, 14.1C), 103, 161
  - conventional names (14.3C), 164–65
  - language (14.3A–14.3B), 163–64
  - names not conveying the idea of a corporate body (14.4B), 168
  - place names as distinguishing terms (14.4C2–14.4C4), 169–70
  - place names in, changes in (13.3), 154
  - variant names (14.2–14.3), 162–68
- countries
  - corporate names, distinguishing (14.4C2), 169
  - place names, added to (13.4E), 156
- country identifier code (2.1.5), 13, 15
- courtesy titles. *see* Titles of nobility
- courts (14.18A, 14.23), 184, 190
- creators
  - definition, 203
  - description of, xv, 85–88
  - finding aids prepared by (4.6.2), 56–57
  - identification of, 85, 89–92
  - in name segment of a title, 18–20
  - more than one, 90–91
  - Name of Creator(s) Element (2.6), 33
  - see also* Corporate names; Personal names; Provenance
- creators, corporate
  - administrative history (10.25–10.36), 100–104
  - principles of description, xiv
- creators, family
  - biographical history (10.14–10.24), 95–100
  - principles of description, xiv
- creators, individual
  - biographical history (10.14–10.24), 95–100
  - principles of description, xiv
- criminal courts (14.23A), 190
- cross-references (11.10), 107
- CUSTARD project, v–vi
- Custodial History Element (5.1), 59–60
  - see also* Immediate Source of Acquisition Element (5.2)
- custodians
  - access points for, 59
  - and creators, 89
  - definition, 203
- custody, changes in (3.1), 35
- Czech surnames
  - compound (12.5C5), 131
  - with prefixes (12.5D1), 133
- DACS. see Describing Archives: A Content Standard*
- Danish surnames, compound surname uncertain (12.5C6), 131–32
  - see also* Scandinavian surnames with prefixes
- data elements in *DACS*, 3, 7
- data structure standards, 212
  - see also* Encoded Archival Description Tag Library (EAD); *MARC 21 Format for Bibliographic Data*
- Date Element (2.4), 24–28
- date of archival description (8.1.5), 82
- date ranges (2.4.7–2.4.12), 25–27
- dates, estimated
  - ranges (2.4.12), 27
  - single dates (2.4.15), 27
- dates, gaps in (2.4.11), 26
- dates, multiple types of, 24
- dates of appraisal/destruction actions (5.3.6), 64
- dates of authority record creation (11.24), 111
- dates of birth, death, etc.
  - added to personal names (12.17), 148–49
  - in biographical history (10.18), 97
  - distinguishing personal names (12.19B), 150–51
- dates of broadcast, 24
  - definition, 203
- dates of conferences (14.7A, 14.7B3), 173
- dates of constitutional conventions (14.22A), 189
- dates of creation of description (8.1.5), 82
- dates of creation of materials, 24
  - definition, 203
  - see also* Content dates
- dates of dissolution (corporate bodies) (10.27), 101
- dates of exhibitions (14.8B), 175
- dates of founding (corporate bodies)
  - in administrative history (10.27), 101
  - distinguishing bodies (14.4C6), 170
- dates of incumbency
  - heads of government (14.20C1), 187
  - heads of international intergovernmental organizations (14.20C2), 187
  - heads of state (14.20B1), 186
  - religious officials (14.27B1), 194–95
- dates of jurisdiction (governments) (14.6D), 172
- dates of military courts (14.23B), 190
- dates of publication, distribution, etc., 24
  - definition, 203
- dates of record-keeping activity, 24
  - definition, 203
- dates of reign
  - popes (14.27B2), 195
  - sovereigns (14.20B1), 186
- dates of related resources in authority records (11.31), 112

dates of relationship of related persons or bodies (11.16), 109  
 dates of reproduction (3.1.7), 38  
     definition, 203  
 dates of revision of description (8.1.5), 82  
 dates, predominant or bulk (2.4.10-2.4.11), 26  
 dates, single (2.4.13-2.4.15), 27  
 dates, unknown (2.4.16), 28  
 death, date of. *see* Dates of birth, death, etc.  
 deeds of gift. *see* Transfer documents  
 defendants, courts-martial (14.23B), 190  
 delegations  
     apostolic (Catholic Church) (14.27D), 196–97  
     to international bodies (14.18, 14.26), 184, 193–94  
 departments (subordinate body)  
     corporate bodies (14.13), 177  
     government agencies (14.18), 182  
 dependent territories, governors of (14.20D), 187–88  
*Describing Archives: A Content Standard (DACS)*  
     background, v–viii  
     data elements of, 7  
     and other standards, vi–vii  
     overview, viii  
     purpose and scope, 3  
 describing archival materials, 3–84  
 describing creators, 85–104  
 description  
     definition, 204  
     overview, xvii–xxi  
     principles of, xii–xv  
 Description Control Elements (8.1), 81–82  
 descriptions, multilevel, required data elements, 9–11  
 descriptions, single-level, required data elements, 8–9  
 descriptive outputs, 4–5, 88  
 descriptive record, definition, 204  
 descriptive unit, definition, 204  
 designations with names  
     corporate names, distinguishing (14.4C7), 170  
     corporate names not conveying the idea of a corporate body (14.4B), 168  
     government names, distinguishing (14.6C), 172  
     local church names (14.10B), 175  
     personal names, distinguishing (12.19), 150–51  
     personal names not conveying the idea of a person (12.11A), 142–43  
     radio and television stations (14.11), 176  
 details, levels of, xiv  
 diacritical marks in personal names (12.1D), 121  
*Dictionary of Occupational Titles*, xxi, 210  
 digitization (7.1.4), 78  
     *see also* Existence and Location of Copies Element (6.2)  
 discrete items, definition, 204  
 distinguishing terms. *see* Designations with names  
 documentary forms  
     access points, xx  
     in Title Element (2.3.18-2.3.20), 20–21  
     Scope and Content Element (3.1.6), 38  
     *see also* Form and genre terms

document, definition, 204  
 donors (5.2.4), 61  
     and access restrictions, 43  
 Dutch surnames with prefixes (12.5D1), 133–34, 135  
  
*EAD. see Encoded Archival Description Tag Library (EAD)*  
 Eastern Church, autocephalous patriarchates of (14.3C3), 165  
 ecclesiastical principalities of the Holy Roman Empire (14.27C3), 196  
 education of creator in biographical history (10.20), 98–99  
 electronic records  
     definition, 204  
     equipment required for (4.3.6), 48. *see also* Physical Access Element (4.2)  
     notes (7.1.4), 78  
 embassies (14.18, 14.25), 184, 192–93  
 emissaries, papal (14.27D), 197  
*Encoded Archival Description Tag Library (EAD)*, 212  
     application of *DACS* to, xvii–xviii  
     as output records, 7–9  
     crosswalk from *DACS*, 220–21  
     in examples, 5, 88  
 England, place names (13.4D), 155–56  
 English surnames  
     compound surname uncertain (12.5C6), 131–32  
     with prefixes (12.5D1), 134  
 entity, definition, 204  
 epithets in names of royalty (12.16A2), 145–46  
     *see also* Words or phrases with names  
 estimations and approximations  
     in Date Element (2.4.12, 2.4.15), 27  
     in Extent Element (2.5.9), 31  
 events as corporate bodies. *see* Conferences and congresses; Exhibitions  
 examples in *DACS*, 5, 88  
 executive agencies of government, headings for (14.18), 183  
 exhibitions (14.8), 174–75  
 Existence and Location of Copies Element (6.2), 71–72  
 Existence and Location of Originals Element (6.1), 69–70  
 explanatory references in authority file for heads of state (14.20B2), 187  
 Extent Element (2.5)  
     approximations (2.5.9), 31  
     and equipment required for access, 48  
     multiple statements (2.5.7-2.5.8), 31  
  
 facsimiles, published, 75  
 familial relationships (11.15), 109  
 families  
     biographical history (10.14-10.24), 95–100  
     information required (10.17), 96–97  
     principles of description, xiv  
     related families (11.13-11.17), 108–9  
 family names  
     headings for (12.29), 152

- name segment in Title Element (2.3.10-2.3.15), 18, 19–20
- Faroese names, nature of surname uncertain (12.5C6), 132
- FIAF Cataloguing Rules for Film Archives*, 209
- file, definition, 204
- finding aid, definition, 204
- Finding Aids Element (4.6), 56–58
- Flemish surnames. *See* Dutch surnames with prefixes
- fonds, definition, 204
- see also* *Respect des fonds*
- forenames. *See* Given names (forenames)
- form and genre terms
- authorities for, 87
  - definition, 21n26
  - in Scope and Content Element (3.1), 35
  - in Title Element (2.3.18-2.3.20), 21
  - see also* Documentary forms; Type of related resources in authority record
- form, definition, 204
- formal titles
- definition, 204
  - transcription of (2.3.2), 17
- fraternal orders (14.3C2), 165n76
- French surnames
- compound (12.5C5), 131
  - with prefixes (12.5D1), 134
- fullness of names
- choice of (12.18), 149–50
  - personal names (12.3A), 124–25
- functions and activities. *See* Activities and functions
- gaps in dates (2.4.11), 26
- gaps in unit being described
- not resulting from appraisal decisions (3.1.5), 37–38
  - resulting from appraisal decisions (3.1.2), 36
  - see also* Appraisal, Destruction, and Scheduling Information Element (5.3)
- Gazetteer of the United States of America*, xx
- General International Standard Archival Description (ISAD(G))*, v, vi–vii, 7, 9
- crosswalk to *DACS*, 216
- generation of copy (6.2.4), 72
- generically named subordinate bodies
- corporate bodies (14.13), 177–78
  - government agencies (14.18), 182–83
- genre terms. *See* Documentary forms; Form and genre terms
- geographic areas of records (3.1), 35
- geographic names. *See* Place names
- geographic region of activity (corporate bodies) (10.28), 101
- Geomatic Data Sets*, 209
- GEOnet Names Server (GNS), xx
- German surnames with prefixes (12.5D1), 134–35
- Getty Thesaurus of Geographic Names*, xx, 211
- given names (forenames)
- as names in religion (12.16D), 147–48
  - as part of phrases (12.11), 142–43
  - bishops and other ecclesiastical officials (12.16C), 147
  - distinguishing identical names (12.19A), 150
  - entry under (12.8, 12.16), 139–40, 145–48
  - hyphenated (12.1D2), 121
  - in nonroman scripts (12.3C1), 126–27
  - language of name (12.3B3), 126
  - popes (12.16B), 146–47
  - royalty (12.16A), 145–46
- glosses to names. *See* Designations with names
- government agencies (14.19), 181–86
- constitutional conventions (14.22), 189
  - direct or indirect entry (14.19), 184–86
- embassies (14.25), 192–93
- entered subordinately (14.18-14.19), 182–86
  - officials of (14.20E), 188
  - references (14.19), 185–86
- government officials (14.20), 186–88
- governments
- changes in place names in (13.3), 154
  - conventional names (14.3E), 166
  - definition, 166n77
  - identical names, distinguishing (14.6), 172
  - see also* Jurisdictions
- governors
- of dependent or occupied territories (14.20D), 187–88
  - as head of state (14.20B), 186–87
- grandchildren of royal persons (12.16A4), 146
- Graphic Materials*, 209
- graphic materials, definition, 204
- Greek *vs.* vernacular form of personal names (12.3B2), 125
- Guide to the Description of Architectural Drawings*, 209
- guide, definition, 205
- see also* Finding Aids Element (4.6)
- heading, definition, 205
- heads of government (14.18, 14.20C1), 184, 187
- heads of state (14.18, 14.20B), 184, 186–87
- Hebrew names, 127n49
- hierarchical relationships (11.15), 109
- Holy Roman Empire ecclesiastical principalities (12.16C, 14.27C3), 147, 196
- honor, terms of. *See* Terms of honor
- honors
- in biographical history (10.21), 99
  - in corporate names (14.5B), 171
  - in personal names (12.9B), 150–51
- Hungarian surnames
- compound (12.5C5), 131
  - women with *né* in name (12.15B2), 144
- hyphenated personal names
- given names (12.1D), 121
  - with place names (12.5C7), 132
  - with prefixes (12.5E), 137
  - surnames (12.5C3), 130–31
- IASA Cataloguing Rules...Sound Recordings*, 210
- Icelandic names (12.9B), 141
- identical names, distinguishing
- corporate bodies (14.4C), 168–70
  - governments (14.6), 172
  - personal names (12.16-12.20), 145–51

place names (13.4F1, 13.5B), 156, 157  
 saints (12.13B), 144  
 terms for (12.19), 150–51

identifiers and identifying numbers  
 and location of originals (6.1.6), 70  
 authorized names (11.13), 109  
 corporate bodies (11.11), 108  
 Immediate Source of Acquisition Element (5.2), 62  
 related materials (11.28), 111  
*see also* Alpha-numeric designations; Designations with names

Identity Elements, 13–34  
 Administrative/biographical History (2.7), 34  
 Date (2.4), 24–28  
 Extent (2.5), 29–32  
 Name And Location Of Repository (2.2), 16  
 Name Of Creator(s) (2.6), 33  
 Reference Code (2.1), 13–15  
 Title (2.3), 17–23

Immediate Source of Acquisition Element (5.2), 61–62  
 definition, 205  
*see also* Custodial History Element (5.1)

inclusive dates (2.4.7), 25–26  
 definition, 205

incomplete units. *see* Gaps in unit being described

incorporation, terms indicating (corporate names) (14.5C), 171

indexes. *see* Finding Aids Element (4.6)

initial articles. *see* Articles (part of speech)

initials  
 and fuller form of name (12.18), 149–50  
 and identifying compound surnames, 130n53  
 as surnames (12.5A1, 12.10), 129, 141–42  
 corporate bodies (14.1A), 159–60  
 of academic degrees added to identical names (12.19B), 150–51  
 of Christian religious orders (12.16D1), 148

institution names  
 added to chapters of corporate bodies (14.9), 175  
 distinguishing corporate names instead of local place name (14.4C5), 170

intellectual characteristics of records. *see* Form and genre characteristics

intentionally assembled collections (2.3.18), viii, 20–21. *see also* Collection

international and intergovernmental bodies  
 conventional names (14.3C2), 165  
 delegations to (14.18, 14.26), 184, 193–94  
 language of names (14.3B), 164  
 officials of (14.20C2), 187

*International Standard Archival Authority Record for Corporate Bodies, Persons, and Families (ISAAR(CPF))*, v, vi, 86, 105  
 crosswalk to *DACS*, 217–18

inventory, definition, 205  
*see also* Finding Aids Element (4.6)

Ireland, place names (13.4D), 155–56

*ISAAR(CPF)*. *see* *International Standard Archival Authority Record for Corporate Bodies, Persons, and Families*

*ISAD(G)*. *see* *General International Standard Archival Description*

Isle of Man, place names (13.4D), 155–56

ISO 3166-1 (*Codes for the representation of names of countries and their subdivisions*), 15n20

ISO 15511 (*International standard identifier for libraries and related organizations*), 14n19

Italian surnames  
 compound (12.5C5), 131  
 with prefixes (12.5D1), 135–36

item level description, 3

item, definition, 205

joint commissions and committees (14.15), 180–81

judges of Scottish Court of Session (12.6B2), 139

"junior" following surnames (12.5C8), 132

jurisdictions  
 civil and criminal courts (14.23A), 190  
 in disputed areas (14.6D), 172  
 government names, distinguishing (14.6B), 172  
 in place names (13.5), 157  
*see also* Governments

jurisdictions, religious and ecclesiastical  
 added to names of local churches (14.10B), 175–76  
 autocephalous religious bodies (14.3C3), 165  
 in headings for religious officials (14.27B1), 194–95

knightly orders (14.3C2), 165n76

language  
 corporate names (14.3A), 163–64  
 international bodies (14.3B), 164  
 of authority record (11.25), 111  
 of name in name segment (2.3.5), 18  
 parallel or variant names, 106–7  
 personal names (12.3B), 125–26  
 place names (13.2), 153–54

Languages and Scripts of the Material Element (4.5), 54–55

Latin *vs.* vernacular form of personal names (12.3B2), 125–26

legislation, enabling (corporate bodies) (10.29), 101–2

legislative bodies (14.18, 14.21), 184, 188–89

letters (alphabetic) as names (12.10), 141–42

level of detail in authority record (11.23), 110

levels of description, xiii, 7–11  
 and creator names (9.10), 89, 91  
 and levels of arrangement, xiv

*Library of Congress Authorities*, xviii, xx, 210

*Library of Congress Name Authority File*. *see* *Library of Congress Authorities*

*Library of Congress Subject Headings (LCSH)*. *see* *Library of Congress Authorities*

local identifier code (2.1.3), 13, 14

locations  
 changes in (3.1), 35  
 chapters of corporate bodies (14.9), 175

conferences (14.7B4), 174  
 consulates (14.25), 192-93  
 copies (6.2), 71-72  
 exhibitions (14.8B), 175  
 local church names (14.10B), 175-76  
 offices of corporate bodies (10.28), 101  
 originals (6.1), 69-70  
 physical access limitations (4.2.6), 46-47  
 radio and television stations (14.11), 176  
 repository (2.2), 16  
 residences in biographical history (10.19), 97-98  
*see also* Place names

maintenance information in authority record (11.27), 111  
 Malaysia, place names (13.4C), 155  
 mandate of corporate bodies (10.29), 101-2  
*MARC 21 Format for Bibliographic Data*, 212  
   as output records, 7-9  
   crosswalk from *DACS*, 220-21  
   in examples, 5, 88  
   relationship of *DACS* to, vi-viii, xvii-xviii  
 married women  
   compound surnames (12.5C5), 131  
   given name in parentheses (12.2A1), 122  
   Hungarian women with enclitic *né* (12.15B2), 144  
   in biographical history (10.16), 96  
   terms of address in name (12.1C, 12.15B), 120, 144  
 material types in Extent Element (2.5.5-2.5.6), 30  
*Medical Subject Headings*, 210  
 medium of records  
   and description, xiii-xiv  
   definition, 205  
   meetings. *see* Conferences and congresses  
 memory requirements (4.3.6), 48-49  
 mergers of corporate bodies (10.33), 103  
 migration of electronic records (7.1.4), 78  
 military courts, ad hoc (14.23B), 190  
 "minimum" data elements, 7, 8, 10  
 ministries, government (14.18), 183  
 missions, papal diplomatic (14.27D), 196-97  
 more than one corporate body in the same unit (14.1C2), 161  
 more than one corporate body with the same or similar names. *see* Identical names, distinguishing  
 more than one creator, name segments for (2.3.7-2.3.9), 19  
 more than one person with the same name. *see* Identical names, distinguishing  
*Moving Image Genre-Form Guide*, 210  
 moving images, definition, 205  
 multilevel description  
   date ranges in (2.4.9), 26  
   definition, 205  
   extent of materials, 29  
   inheritance of name segment, 18  
   principle of, xiv, xv  
   required elements for, 9-11  
 multimedia materials, description of, xiii-xiv  
  
 Name and Location of Repository Element (2.2), 16

Name of Creator(s) Element (2.6), 33  
   *see also* Corporate names; Personal names  
 name of repository (2.2), 16  
 name segment in title (2.3.4-2.3.17, 9.8), 17-20, 90  
 names, access points for, xix  
   *see also* Corporate names; Personal names; Place names  
 names, authorized form of  
   under other rules (11.9), 107  
 names, authorized form of (11.5-11.6), xix, 106  
 names, changes in  
   corporate bodies (10.34, 14.1C), 103, 161  
   personal names (12.2C), 124  
   place names (13.3, 14.4C4), 154, 170  
 names in religion (12.16D), 147-48  
   *see also* Religious leaders and officials  
 names not conveying the idea of ...  
   church (14.10), 175-76  
   corporate body (14.4B), 168  
   government agency (14.18), 183  
   person (12.11A), 142-43  
   radio or television station (14.11), 176  
   subordinate corporate body (14.13), 178  
*Names of Persons*, 151n61  
 nature of the archival unit in Title Element (2.3.18-2.3.20), 20-21  
 nicknames (12.2A), 122  
 nominal access point, definition, 205  
 nonroman scripts. *see* Arabic script, names in; Romanization  
 Northern Ireland, place names (13.4D), 155-56  
 Norwegian surnames  
   compound surname uncertain (12.5C6), 132  
   with prefixes (12.5D1), 136  
 Notes Elements (7.1), 77-79  
   dates in non-Gregorian or Julian calendars (2.4.5), 25  
 numbers  
   in headings for armed forces (14.24A), 191-92  
   in headings for conferences (14.7A, 14.7B2), 173  
   in headings for exhibitions (14.8A, 14.8B), 174, 175  
   of legislatures (14.21D), 189  
 numerals as names (12.10), 141-42  
  
 occupations  
   access points, xx-xxi  
   in biographical history (10.21), 99  
   in entry under given name (12.8A1), 139-40  
 occupied territories, governors (14.20D), 187-88  
 officers of corporate bodies (10.35), 103  
 operating systems (4.3.6), 48-49  
 "optimum" data elements, 7, 9, 11  
 optional rules in *DACS*, use of, 4  
*Oral History Cataloging Manual*, 210  
 order of component files (3.2.3), 41  
 order of data elements, 3, 7  
 original order  
   definition, 205  
   maintenance/reconstitution of (3.2.4), 41  
   in *respect des fonds*, xii

- originals
  - definition, 205
  - destruction of (5.3.6, 6.1.2), 63–64, 69
  - existence and location of (6.1), 69–70
  - in same institution as copies (6.2.3-6.2.4), 71–72
- output formats of descriptive information, 4–5
- ownership, changes in, 35
  
- "papers" in Title Element (2.3.18), 20–21
- parallel name (11.7-11.8), 106–7
  - definition, 205
- patriarchates, autocephalous (14.3C3), 165
- patronymics
  - Icelandic names (12.9B), 141
  - names including (12.8B), 140
  - Romanian names (12.7), 139
- peerage, Great Britain, 138n56, 143n57
- periods in names of corporate bodies (14.1A), 159–60
- peripherals, requirements for (4.3.6), 48–49
- personal author, definition, 122n46
- personal names, 119–52
  - additions to (12.12-12.20), 143–51
  - choice of different forms of the same name (12.3), 124–28
  - choice of different names (12.2), 121–24
  - identical names, distinguishing (12.17-12.20), 148–51
  - in name segment of Title Element (2.3.4), 18
  - initials, expansion of (12.18), 149–50
  - initials, letters, or numerals as (12.10), 141–42
  - language of (12.3B, 12.5D1), 125–26, 132
  - nonroman scripts (12.3C), 126–28
  - order of elements (12.4B), 128–29
  - place names in (12.5C7), 132
  - related persons (11.13-11.17), 108–9
  - spelling variations (12.3D), 128
  - titles of nobility (12.6, 12.12A), 138–39, 143
  - words or phrases as names (12.11), 142–43
  - see also* Given names (forenames); Hyphenated personal names; Surnames
- Physical Access Element (4.2), 46–47
- physical carrier, definition, 205
- physical characteristics
  - affecting the use of the unit (4.2.5), 46–47
  - definition, 206
- physical condition of materials and physical access limitations (4.2), 46–47
- place names, 153–57
  - access points, xix–xx
  - addition of larger places to (13.4A-13.4F), 154–57
  - as government names (14.3E), 166
  - changes of name (13.3, 14.4C4), 154, 170
  - in corporate names, distinguishing (14.4C1 -14.4C4), 168–70
  - in entry under given name (12.8A1), 139–40
  - in Icelandic names (12.9B), 141
  - in personal names (12.5C7), 132
  - jurisdiction, type of (13.5), 157
  - language (13.2), 153–54
  - see also* Territorial designations
- place names, local
  - corporate names, distinguishing (14.4C3), 169
- place names in Scope and Content Element (3.1), 35
- places. *see* Locations
- places of worship (14.3G), 167-68
- policies, institutional
  - acquisitions information in public descriptive records, 61
  - anomalous dates, 26n29
  - choice of optional or alternative rules, 4
  - Scope and Content Element (3.1), 35
- political parties, American state and local units (14.16), 181
- popes
  - diplomatic missions (14.27D), 196–97
  - entries for (12.16B), 146–47
  - official communications (14.27B2), 195
- Portuguese surnames
  - compound (12.5C4), 131
  - followed by words indicating relationship (12.5C8), 132
  - with prefixes (12.5D1), 136
- predecessor bodies (10.32), 102–3
  - see also* Temporal relationships
- predominant dates (2.4.10-2.4.11), 26
  - definition, 206
  - see also* Bulk dates, definition
- predominant name (12.2A), 121–22
- prefixes, surnames with (12.5D-12.5E), 132–37
- prepositions in surnames with prefixes (12.5D1), 132
- preservation and physical access limitations (4.2.7), 46, 47
- Prince-Bishops and Prince-Archbishops (12.16C), 147
- princes and princesses (children and grandchildren of royal persons) (12.16A4), 146
- princes, ecclesiastical (Holy Roman Empire) (12.16C), 147
- principalities, ecclesiastical (Holy Roman Empire) (14.27C3), 196
- principles, statement of, xi–xv
- professional judgment, use of, 4
- provenance
  - and related archival materials, 73-74
  - definition, 206
  - in description, xii
- pseudonym
  - definition, 206
  - entry of (12.2B), 122–23
  - names in biographical history (10.16), 96
- pseudosurnames, entry under (12.11A), 142–43
- public domain, materials in (4.4.10), 51
- Publication Note Element (6.4), 75–76
- publication
  - conditions governing (4.4.13), 52
  - definition, 206
  - descriptions of materials (4.6.5), 57
  - restrictions on (4.4.6), 50
  - see also* Finding Aids Element (4.6)
- published descriptions of archival materials (4.6.5), 57
- punctuation of heading, additions to place name (13.4A), 154
  
- qualifiers to names. *see* Designations with names

- RAD*. *see Rules for Archival Description*
- radio stations (14.11), 176
- rank of royalty and nobility, 145n59
- record, definition, 206
- records destruction (5.3), 63-64
- "records" in Title Element (2.3.18), 20-21
- records management program, 63
- records schedules, 63
- Reference Code Element (2.1), 13-15
- definition, 206
- in Immediate Source of Acquisition Element (5.2.5), 62
- reformatting of electronic records (7.1.4), 78
- registers. *see* Finding Aids Element (4.6)
- Related Archival Materials Element (6.3), 73-74
- related corporate bodies (11.13-11.17), 108-9
- related families (11.13-11.17), 108-9
- related materials, in authority record, 111-12
- Related Materials Elements, 69-76
- Existence and Location of Copies (6.2), 71-72
- Existence and Location of Originals (6.1), 69-70
- Publication Note (6.4), 75-76
- Related Archival Materials (6.3), 73-74
- see also* Copies; Finding Aids Element (4.6)
- related name, definition, 206
- related persons in authority record (11.13-11.17), 108-09
- related terms and authority files, 86
- relationships between levels of description, xiv-xv
- relationships between parts of corporate bodies (10.31), 102
- relationships between successive creators, xv
- relationships, nature of, in authority records (11.30), 112
- relationships with other persons or organizations
- in biographical history (10.22), 99-100
- and entry of given names (12.11B), 143
- words indicating after surnames (12.5C8), 132
- religious bodies
- conventional names (14.3C2), 165n76
- headings (14.27A), 194
- religious leaders and officials
- headings for (12.16C), 147
- official communications of (14.27B), 194-95
- see also* Names in religion; Popes
- religious orders
- conventional names (14.3D), 165-66
- initials of in names (12.16D), 148
- religious vocations, persons of (12.16D), 147-48
- remote access and availability of copies (6.2.3), 71
- repository as collector
- name segment in Title Element (2.3.6), 19
- description of, xv
- topical segment in title (2.3.22), 22
- repository identifier code (2.1.4), 13, 14
- in authority record (11.18), 110
- see also* Name and Location of Repository Element (2.2)
- reproduction
- conditions governing (4.4.11-4.4.12), 51-52
- definition, 206
- and restrictions on use of originals (4.2.7), 47
- in Scope and Content Element (3.1.7), 38
- see also* Copies
- Republic of Ireland, place names (13.4D), 155-56
- respect des fonds*
- definition, 206
- as principle, xii
- restrictions on use
- nature of the information. *see* Conditions Governing Access Element (4.1)
- physical condition. *see* Physical Access Element (4.2)
- reproduction or publication. *see* Conditions Governing Reproduction and Use Element (4.4)
- technical requirements. *see* Technical Access Element (4.3)
- retention schedules, 63
- Revised Nomenclature for Museum Cataloging*, 211
- Roman Curia (14.27C4), 196
- see also* Catholic Church
- Roman names
- entry (12.9A), 141
- language of name (12.3B3), 126
- roman numerals in names, 119
- Romanian names
- patronymics (12.7), 139
- surnames with prefixes (12.5D1), 136
- romanization
- corporate names (14.1B), 161, 161n70
- hyphenated personal names (12.1D), 121
- personal names (12.3C), 126-28
- romanization tables, 126n48, 161n71
- royalty
- additions to names (12.16A), 145-46
- entry of (12.8C), 140-41
- no longer reigning (12.5F), 137-38
- see also* Titles of nobility
- Rules for Archival Description (RAD)*, v-vi
- rules for description (8.1.4), 81
- rules or conventions in authority record (11.20-11.21), 110
- saints (12.13), 143-44
- Scandinavian surnames with prefixes (12.5D1), 136
- schedules. *see* Records schedules
- Scope and Content Element (3.1), 35-39
- multiple types of dates in, 25
- and Title Element (2.3.20), 21
- Scotland, place names (13.4D), 155-56
- Scottish Court of Session, law titles of judges of (12.6B2), 139
- script of the material. *see* Languages and Scripts of the Material Element (4.5)
- scripts, nonroman. *see* Romanization
- "senior" following surnames (12.5C8), 132
- separate identities, entry of (12.2B2), 122-23
- series, definition, 206-07
- sessions of legislatures (14.21D), 189
- ships, abbreviations before names (14.5C4), 171
- single-level description, requirements for, 8-9
- Slovak surnames with prefixes (12.5D1), 133



software requirements (4.3.6), 48–49  
 sound recordings, definition, 207  
 sources used in description (8.1.3), 81  
 sources of information  
   in authority record (11.26), 111  
   choice of, 3–4  
   corporate names (14.1A), 159  
   variant corporate names (14.2B), 162  
   *see also specific elements, e.g., Reference Code Element*  
 sovereigns. *see* Royalty  
 Spanish surnames  
   compound (12.5C5), 131  
   with prefixes (12.5D1), 136  
 spellings, variant. *see* Variant spellings  
 spirits (12.14), 144  
 states, names of  
   added to place names (13.4C), 155  
   distinguishing corporate names (14.4C2), 169  
 status of record in authority file (11.22), 110  
 subcommittees of U.S. Congress (14.21C), 189  
 subject headings  
   access points, xx  
   authorities for, 87  
   in Scope and Content Element (3.1), 35  
   standardized, xviii  
   *see also* Authority files  
 subordinate bodies  
   church councils (14.27A3), 194  
   direct or indirect entry (14.14), 179–80  
   entered directly (14.12), 176–77  
   entered subordinately (14.13), 177–79  
   government agencies (14.17–14.19), 181–86  
   legislative bodies as (14.21), 188–89  
   political parties (14.16), 181  
   references (14.14), 180  
   religious bodies (14.27C), 195–96  
 successor bodies (10.32), 102–3  
   *see also* Temporal relationships  
 supplied title  
   *vs.* abstract of contents, 17n21  
 supplied title  
   definition, 207  
   and identification of creator (9.8), 90  
   rules for (2.3.3), 17–18  
 surnames  
   distinguishing identical names (12.19B), 150–51  
   elements functioning as (12.5B), 130  
   entry under (12.5), 129–38  
   in entry under title of nobility (12.6A), 138  
   in nonroman scripts (12.3C2), 127–28  
   of royalty (12.5F, 12.8C), 137–38, 140–41  
   words and phrases added to (12.15), 144–45  
   words indicating relationship following surnames (12.5C8), 132  
   *see also* Personal names  
 surnames, compound (12.5C), 130–32  
   hyphenated (12.5C3), 130–31  
   married women (12.5C5), 131

nature uncertain (12.5C6), 131–32  
 place names hyphenated with (12.5C7), 132  
 surnames, names without, designations added (12.1C), 120  
   *see also* Given names (forenames)  
 Swedish names, compound surname uncertain (12.5C6), 132  
   *see also* Scandinavian surnames with prefixes  
 System of Arrangement Element (3.2), 40–41  
 system requirements (electronic records) (4.3.6), 48–49  
 Technical Access Element (4.3), 48–49  
 technical drawing, definition, 207  
 television stations (14.11), 176  
 temporal relationships, 109  
   *see also* Predecessor bodies; Successor bodies  
 terms of address  
   distinguishing identical names (12.19B), 150–51  
   married women (12.1C, 12.15B), 120, 144  
   as part of name (12.11B), 143  
 terms of honor  
   distinguishing identical names (12.19B), 150–51  
   in names without surnames (12.1C), 120  
   *see also* Titles of nobility  
 territorial designations  
   children and grandchildren of royal persons (12.16A), 146  
   in royal names (12.8C), 140–41  
   in titles of nobility (12.6B1), 138–39  
 textual materials  
   definition, 207  
   use of term, 30n33  
 thesauri  
   bibliography, 210–11  
   use of, xviii  
*Thesaurus for Graphic Materials I: Subject Terms (TGM I)*, 211  
*Thesaurus for Graphic Materials II: Genre and Physical Characteristics Terms (TGM II)*, xx, 211  
 Title Element (2.3), 17–23  
 title proper, definition, 207  
 title, definition, 207  
 titles of nobility  
   added to names (12.12A), 143  
   change of personal name (12.2C), 124  
   entry under (12.6), 138–39  
   in biographical history (10.16), 96  
   in Italian names (12.5D1), 136  
   in names without surnames (12.1C), 120  
   in United Kingdom, 138n56, 143n57  
   not used by person (12.6B3), 139  
   order of elements (12.4B4), 129  
   *see also* Terms of honor  
 titles of position or office  
   as personal name (12.11B), 143  
   distinguishing identical names (12.19B), 150–51  
 topic of the archival unit in Title Element (2.3.21–2.3.22), 18, 22  
   *see also* Subject headings  
 transcriptions, published, 75

transfer documents, 59, 61  
transfer lists, 56  
type of related resources in authority record (11.29), 112  
    *see also* Form and genre characteristics  
typographic devices in names (12.10), 141–42

undated materials (2.4.16), 28  
undifferentiated names, headings for (12.20), 151  
*Unesco Thesaurus*, 211  
uniform titles, authorities for, 87  
*Union List of Artists' Names*, 211  
uniqueness of archival records, xi–xii  
uniqueness of creator names, 86  
United States  
    Congress, legislative subcommittees (14.21C), 189  
    place names (13.4C), 155  
    political parties, state and local elements (14.16), 181  
unit being described, records of more than one corporate  
    body in (14.1C2), 161  
universities, subordinate bodies of (14.13), 178  
unknown creator, assembler, or collector in name segments  
    (2.3.6), 19  
unknown location for originals (6.1.7), 70  
*USMARC Code List for Countries*, 211  
*USMARC Code List for Languages*, 211  
*USMARC Code List for Organizations*, 211

variant forms of name  
    corporate names (14.2-14.3), 162–68  
    in authority record, 86, 106-07  
    personal names (12.3), 124–28

variant name, definition, 207  
variant names of corporate bodies (14.2-14.3), 162-68  
    autocephalous patriarchates (14.3C3), 165  
    conferences (14.3F), 166–67  
    governments (14.3E), 166  
    in reference sources (14.2C), 162  
    in the records (14.2D), 163  
    places of worship (14.3G), 167–68  
    religious orders (14.3D), 165–66  
variant spellings  
    corporate names (14.2E), 163  
    personal names (12.3D), 128  
vernacular forms of personal names  
    *vs.* English (12.3B3), 126  
    *vs.* Greek or Latin (12.3B2), 125–26  
vernacular forms of place names (13.2B), 154

Wales, place names (13.4D), 155–56  
words or phrases as names (12.11), 142–43  
words or phrases with names  
    added to names without surnames (12.1C), 120  
    government names, distinguishing (14.6C), 172  
    in entry under given name (12.8A1), 139–40  
    *see also* Designations with names; Epithets in names of  
        royalty  
worship, places of  
    additions to names (14.10), 175–76  
    variant forms of name (14.3G), 167–68

Yiddish names, 127n49