

PREFERRED PRACTICES FOR HISTORICAL REPOSITORIES

A RESOURCE MANUAL



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GEORGIA HISTORICAL RECORDS ADVISORY BOARD
Georgia Archives
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Contents

GEORGIA HISTORICAL RECORDS ADVISORY BOARD	i
ACKNOWLEDGEMENTS	ii
INTRODUCTION.....	iii
Administration	
1. LEGAL AUTHORITY	1
2. MISSION AND STRATEGIC PLANNING.....	2
3. FUNDING SOURCES	4
4. FINANCIAL RECORDKEEPING	7
Staffing	
5. TRAINED STAFF	8
6. VOLUNTEERS.....	10
7. CONSULTANTS	12
Collection Management	
8. ACQUISITION/COLLECTION DEVELOPMENT POLICY	13
9. COLLECTION ASSESSMENT/ ARCHIVAL APPRAISAL	15
10. DOCUMENTING ACQUISITIONS	17
11. ACCESSIONING/ DEACCESSIONING	20
12. ARRANGEMENT	22
13. DESCRIPTION.....	26
Preservation	
14. ENVIRONMENTAL CONTROL.....	29
15. EMERGENCY PLANNING.....	31
16. FIRE PROTECTION AND SECURITY	33
17. STORAGE FACILITIES	35
18. COLLECTIONS CARE	37
19. DUPLICATION AND REFORMATTING	40
20. PRESERVATION PLANNING.....	42
Digital Materials	
21. DIGITIZATION	44
22. DIGITAL DOCUMENTS AND ELECTRONIC RECORDS.....	46
Public Services	
23. ACCESS POLICY	50
24. REFERENCE SERVICE	51
25. EXHIBITS.....	53
26. COOPERATIVE PROGRAMS	54
27. OUTREACH	55
28. ADVOCACY	56
APPENDIX 1: LIST OF SAMPLE POLICIES/FORMS.....	57

APPENDIX 2: PROFESSIONAL ORGANIZATIONS.....	61
APPENDIX 3: SELECTED PUBLICATIONS AND WEBSITES	63
APPENDIX 4: RESOURCES FOR GRANT FUNDING	66
APPENDIX 5: RESOURCES FOR EDUCATION AND TRAINING	68

GEORGIA HISTORICAL RECORDS ADVISORY BOARD

The Georgia Historical Records Advisory Board (GHRAB) was created by statute in 1993. Appointed by the Governor, GHRAB is the official advisory body for historical records planning in the state. The board is also authorized in federal regulations governing the National Historical Publications and Records Commission (NHPRC) through which the board's activities and other state projects are funded.

GHRAB's mission is to promote the educational use of Georgia's documentary heritage by all of its citizens; evaluate and improve the conditions of records; encourage statewide planning for preservation and access to Georgia's historical records; and advise the Secretary of State and the Georgia Archives on issues concerning records. GHRAB administers grant programs to assist governments and organizations in meeting their historical records needs as identified in its strategic plan.

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ACKNOWLEDGEMENTS

In December 1997, the National Historical Publications and Records Commission (NHPRC) awarded the Georgia Historical Records Advisory Board (GHRAB) a one-year planning grant to identify the minimum qualifications for an active, effective historical records program; to generate self-assessment tools for repositories; to prepare to provide group training and individualized coaching focused on bringing historical organizations up to a minimum level; and to lay the foundation for a regrant project which the Commission also funded.

The Board assembled a planning committee of professional archivists to help identify preferred practices for Georgia's historical repositories, develop a self-assessment form and resource manual, and advise the Board on a proposed grant program for historical organizations. Planning committee members included:

Brenda Banks, Georgia Department of Archives and History
Virginia Cain, Emory University
Steve Engerrand, Georgia Department of Archives and History
Susan Potts McDonald, Emory University
Kaye Minchew, Troup County Archives
Alice Taylor-Colbert, Shorter College Museum and Archives
Frank Wheeler, Georgia Historical Society
Julia Marks Young, Georgia State University

The resulting self-assessment (*Saving Georgia's Documentary Heritage*) and the manual (*Preferred Practices for Historical Repositories: a Resource Manual*) were based on existing archival guidelines, such as those reflected in the Society of American Archivists' *Evaluation of Archival Institutions: Services, Principles, and Guide to Self Study* (1982). The format and some content were derived from *Strengthening New York's Historical Records Programs: A Self-Study Guide* (1988), developed by the New York State Archives and Records Administration. Additional resources included *Care of Historical Records* by the Society of Georgia Archivists and Georgia Historical Society (1996) and the *Archival Fundamentals Series* by the Society of American Archivists.

This 2010 revision of the *Manual*, funded by a grant from NHPRC, expanded the number of elements of preferred practice, adding several new sections on digital materials and preservation. Existing elements were updated to reflect new information and professional practices. The self-assessment was also expanded and updated to reflect the new organization of the *Manual*. Some revisions were based in part on the Montana Historical Records Advisory Board's updated version of the *Manual*, revised in 2004. Given the widespread prevalence of web access and the fact that the revised *Manual* will be primarily digital, web links to sample forms and policies are provided rather than the hard copies that were provided in the original loose leaf version.

Georgia Historical Records Advisory Board, August 2010

INTRODUCTION

PURPOSE OF THE RESOURCE MANUAL

This manual is designed to assist all governing boards, directors, and staff members (paid and volunteer) in strengthening their organization and its work in preserving Georgia's documentary heritage.

The Georgia Historical Records Advisory Board (GHRAB) is aware of the importance of historical records to individuals and society and the need for able stewards to care for these records. GHRAB also recognizes that all organizations can benefit from additional planning and training. To encourage these beneficial activities, the Board developed a self-assessment tool and this companion resource manual.

DEFINITIONS

For the purposes of this resource manual, the term “repository” is used to mean a library, historical society, archives, or similar organization. It is any organization that houses and cares for historical records. “Archival program” is used to refer to the work of the organization – preserving and providing access to historical materials.

HOW TO USE THIS MANUAL

Each element of preferred practice is defined, and reasons for its importance are stated. Web links to examples of forms and policy documents from various repositories are listed in Appendix 1. The Board welcomes all suggestions for additions or modifications to the *Resource Manual*.

This manual is intended to serve as a resource and provide general guidance regarding elements of preferred practice. It is not intended to replace archival training. All persons caring for historical records are encouraged to seek continuing education activities and become familiar with current archival literature.

1. LEGAL AUTHORITY

What is legal authority?

Legal authority is written authorization for the repository to collect, preserve, and make available historical records. This authorization may take many forms, including articles of incorporation, enabling legislation, city or county ordinances, or a statement of authorization from a parent organization such as a college or university. By-laws, constitutions, or institutional policies may supplement a repository's legal authority.

The organization may be governed or directed by a government official, board of trustees, or university president or provost. The governing entity should provide long-term direction to repository activities, overseeing program activities, strategic planning, financial management, fundraising, personnel issues, and public relations.

If there is a parent organization, the statement of authority should clearly outline the repository's relationship to the parent organization and the repository's placement in the organizational structure. The organization must also be in compliance with local, state, and federal regulations regarding its operation and fund-raising.

Many repositories may qualify for non-profit status, for which application must be made to the Internal Revenue Service Internal Revenue Service (see the online [Application for Recognition of Exemption](#)). Organizations with religious, charitable, and/or education purposes are generally eligible. Non-profit status means that a repository is exempt from certain taxes, and it allows donors to claim tax deductions for cash, services, and/or collections donated. It also makes repositories eligible for some federal grant programs.

Why is legal authority important?

- It provides the legal basis for the repository's operation.
- It makes it possible for the organization to participate in fund-raising and related activities.
- It inspires donor confidence.
- It implies a long-term commitment on the part of the organization.

2. MISSION AND STRATEGIC PLANNING

What is a mission statement?

A mission statement is a definition of the repository – what the repository is and what it does. It should be a brief statement, usually no more than a short paragraph in length, which explains:

- Why the repository exists – what are its overall aims and objectives? (e.g., collecting, preserving, and making its collections available to users.)
- What the repository collects – what groups, events, locations, activities, and/or experiences the repository documents.
- What groups or interests the repository serves, and how it plans to serve that audience.

A mission statement:

- Should be reviewed once a year and revised at least every five years by the repository's governing body.
- Should be revised as soon as possible whenever the institution goes through any major changes.
- Must clearly reflect the repository's current functions and collecting focus.
- Must realistically reflect the physical and financial capacity of the repository.

Why is a mission statement important?

- A mission statement explains the repository's reason for collecting, holding, or even deaccessioning certain types of records.
- It is a clear and unambiguous statement that serves as a guide for planning, and for setting goals and objectives.
- It clarifies the repository's role to present and future members of the governing board, staff, volunteers, funding agencies, and the general public.

What is strategic planning and why is it important?

A strategic plan helps a repository fulfill its mission by setting goals for the future in the context of the current environment and the resources available to the repository. It

should set out specific goals, and it should list concrete action steps and resources that will be needed to accomplish them. It will provide a “road map” for the next several years of institutional activities.

A strategic plan:

- Can help the repository focus on the most important issues and challenges it is currently facing.
- Can help determine future staffing and funding needs.
- Can demonstrate to prospective funding organizations and donors that the repository is using its resources responsibly.
- Must include input from all important stakeholders (e.g., board members, executive director, key staff, representatives of those groups that are served by the organization).
- Should be reviewed and revised every three to five years.

3. FUNDING SOURCES

What types of funds are available?

A historical repository may rely upon a number of sources for operating funds. Public taxes, grants, membership fees, donations, sales, rentals and fund-raising events may contribute to the operating budget. The historical repository's leadership is responsible for determining funding priorities (in accordance with the repository's mission and strategic plan) and deciding where and how to obtain the money to support these priorities. In fundraising, the governing board and key staff members play important roles. Staff members provide information about the organization and its needs. The governing board identifies sources and methods of obtaining support.

There are two main categories of funding sources for grants or donations:

- Private sector funds (donations and/or grants) from individuals, corporations, and foundations. Look for a person or organization that matches your repository's needs and interests. A good place to start locating private funders is The Foundation Center.
- Public sector funds or grants from government agencies such as local legislative bodies, and state and federal granting agencies. See Appendix A1: Resources for Grant Funding for detailed funder information.
 - Federal funders include the National Endowment for the Humanities Division of Preservation and Access, the Institute of Museum and Library Services, and the National Historical Publications and Records Commission.
 - State funding sources and other programs that may assist historical repositories in Georgia include the Georgia Historical Records Advisory Board grant programs, the Georgia Museums and Galleries (GAMG) Museum Services Exchange (MUSE), the Georgia Historical Society Affiliate Chapter program, the Georgia Humanities Council, and the Georgia Historic Preservation Division's Georgia Heritage Grant Program and Historic Preservation Fund Grant.

Local fund/membership drives may provide resources for general operating expenses. For large capital campaigns or specific projects, repositories may wish to investigate professional fund raising firms and grant funds. Note that grants are not usually a source for general operating funds; granting agencies prefer to support repositories that can already demonstrate ongoing stable sources of income.

Historical repositories are encouraged to investigate funding sources in their local areas. The successful fundraising effort combines a variety of activities targeted at specific sources for identified needs. For example:

- A public program might be supported by city or county government through its funding for the arts, a corporate sponsor, or an organization such as the Georgia Humanities Council.
- Building renovations might qualify for support from a historic preservation group.
- Processing or care of historical materials may qualify for grants from state or federal agencies, or in some cases the materials' donor may provide funds to help defray processing expenses.

Why is grant funding important?

- Grant funding can provide support for special projects, allowing a repository to accomplish goals that would otherwise be out of reach.
- In some cases, grant funding may be available to start a repository or establish a program in a particular subject area.
- Grant proposals in which multiple repositories collaborate on a project can save on costs, build local relationships, and may have more long-term impact than individual projects. For this reason, funders often look favorably on them.
- Successful grant projects provide evidence that the repository is capable of administering special projects and sustaining them over time. This can help in planning and carrying out additional larger grant projects in future.

How do we get a grant?

Activities that may be eligible for grant funding include: consulting services for planning or collection evaluation; processing (arrangement and description) of collections; purchase of appropriate storage materials; outreach and public programs; and/or staff education and training.

Investigate all possibilities for grants (see the discussion above and in Appendix 4 for information). A grant proposal/application is generally comprised of a description of the project's objectives, a plan of work, a proposed budget, mechanisms for evaluating the success of the project, and plans for sustaining the work of the project once the grant period is over.

Tips for writing a successful grant include:

- Have one person write the grant for a unified voice (although input on the content should be sought from all appropriate staff/board members).
- Be sure to carefully read and follow the funder's guidelines.

- Be sure that all ideas/activities in the grant flow logically from one particular need. A focused grant is much more likely to be funded than a grant that proposes a variety of loosely-related activities.
- Have others edit and read the proposal once it is written. Some funders are willing to read draft grant proposals and provide feedback.
- Be sure that your language is clear and concise.

4. FINANCIAL RECORDKEEPING

What is an adequate financial record keeping system?

An “adequate financial record-keeping system” is one that allows the repository to accurately track income and expenditures, as well as prepare budgets and reports on the repository's finances. “Adequate finances” implies resources sufficient to ensure at least the basic arrangement, description, and physical preservation of, and access to the repository’s historical records.

Keeping track of the repository’s financial status ensures that resources are available and used appropriately. Provisions should be made for an annual audit or review of the financial records. Designation of an individual(s) authorized to sign checks, accept gifts, and enter into contracts is essential.

There should be a clear distinction between basic, ongoing responsibilities that need to be supported by the repository’s regular operating budget and special projects that might be appropriate for outside funding. The repository should also have a budget for capital expenditures in addition to regular operating expenses.

Why is a financial record-keeping system important?

- A careful accounting of finances enables a repository to set priorities and plan its activities, including acquisitions, preservation activities, processing, and public programming.
- Grant funding, often administered by state and federal agencies, is awarded to financially stable organizations with reliable record keeping systems.
- It is essential that a proper record keeping system exist to cope efficiently with the various sources of income a repository may have, and to ensure compliance with applicable state and federal laws.

5. TRAINED STAFF

What is a trained staff?

A repository needs to have trained staff members in order to provide appropriate care of and access to historical records. A “trained staff” includes at least one person who possesses, through training and experience, professional competence in basic archival principles and procedures. Although this is normally a paid employee, it may also be a volunteer. This person should guide the repository’s functions of appraisal, arrangement and description, preservation, and reference service.

The Society of American Archivists provides a good basic introduction to the archival profession: [So You Want to Be an Archivist: An Overview of the Archival Profession](#). All staff members should also be familiar with the [Code of Ethics for Archivists](#) endorsed by the Society of American Archivists.

The repository should have sufficient staff to supply services appropriate for its holdings and the needs of its researchers. There should also be sufficient staff so that at least one member of the staff can attend conferences, workshops, or other training opportunities without having to shut down the repository.

Why is a trained staff important?

- Awareness and implementation of appropriate practices and procedures enhance the care of historical records.
- A qualified archivist can provide basic training and supervision for volunteers and others.
- Professional staffing improves the repository’s credibility and image in the community.
- Trained staff increases the chance of receiving grant funding, since many grant awards require that a repository have at least one professional staff member.

Sources for training

Training is available through college and university programs, archives institutes, workshops, and internships. Training is offered by a number of professional organizations (see Appendix 5). The Society of American Archivists also offers an extensive series of publications and their web site, www.archivists.org, provides a directory of archival education programs.

Within Georgia, training may be available from:

- the Georgia Archives (<http://www.sos.ga.gov/archives/>);

- the Georgia Historical Society (<http://www.georgiahistory.com/>); and/or
- the Society of Georgia Archivists (<http://soga.org/>).

Specific training opportunities are listed in Appendix 5: Resources for Education and Training.

6. VOLUNTEERS

What is a volunteer program?

Like other non-profit organizations, many historical repositories rely heavily on volunteer staff to carry out a variety of tasks. An experienced, well-trained, motivated volunteer is hard to replace. Volunteers can be a major asset to a repository, but it is also true that frequent turnover of volunteers and/or failure to match volunteers with appropriate work can lead to difficulties. A well-managed volunteer program requires a significant investment of time and effort, but is crucial to using volunteers successfully.

Actions needed to implement a successful volunteer program include:

- Commit resources to a formal volunteer program (e.g., strategies for recruiting, screening, training, and keeping volunteers). Consider establishing a volunteer coordinator position (this could be a paid position, a part-time responsibility, or a volunteer position) to develop and nurture the program.
- Create formal volunteer (job) descriptions, standard or individualized, which include:
 - Specific description of work to be accomplished
 - Knowledge and/or skills required
 - Training required and/or to be provided
 - Required time commitment (range)
 - Supervision or guidance to be provided
 - Evaluation schedule
- Ask for a commitment from volunteers. Some flexibility will be necessary over time, but attendance at orientations and training sessions should be mandatory. Set up a schedule that works for the volunteer and the organization, and expect them to adhere to it on a regular basis.
- Make sure that the goals of the volunteer match the goals of the institution.
 - Match the skills (or willingness to learn) of the volunteer to the needs of the repository. Remember that not every volunteer will want to be assigned tasks similar to their profession. Many see volunteerism as a way to develop new skills.
 - Not all volunteers will be a good match for a repository. Do not feel obligated to take a volunteer if there isn't a good match. Most volunteers would prefer to be told that the repository does not have anything for them to do at this time, rather than come in and feel they are wasting their time. Similarly, if it becomes clear that a volunteer is not suited to a project they have begun, don't hesitate to switch them to another activity.

- Provide ongoing orientation and training for all volunteers (this might include tours, reading materials, videos, “shadowing,” mentoring, checklists, and/or educational workshops as appropriate).
- Divide volunteer projects into specific tasks with clear goals, so that volunteers can see their accomplishments and gauge their progress.
- Be consistent in communicating with volunteers. Make sure that phone calls are returned, forms distributed, etc. Make press releases, newsletters, and publicity available for volunteers to share with others. Treat your volunteers in the same manner as employees.
- Keep careful records of the time contributed by volunteers, the tasks that have been assigned, and the tasks completed. You may be able to use volunteer time as an “in-kind” match for grant projects.
- Check your repository’s insurance policy to ensure that insurance (liability and workmen’s compensation) is provided for all volunteers.
- Recognize volunteers’ hard work. Recognition events and activities show appreciation and renew the volunteers’ dedication to the repository. Be sensitive to what the volunteers want—some might enjoy a recognition luncheon, while others might prefer a less visible type of recognition.

Why are volunteers important?

- In times of limited budgets and cutbacks in paid staff, volunteer help can allow a repository to undertake activities that might not otherwise be possible. Activities volunteers might assist with include clerical work, collections processing, editing/writing, event planning, and tours.
- Volunteers that have been associated with a repository for a long time may have important knowledge and information that helps maintain an “institutional memory.” For example, volunteers may be able to help identify people or events represented in collections.
- Volunteers are often very involved in the life of the local community. If they feel that the time they spend at your repository is productive and rewarding, they can generate valuable support for the repository in the wider community. Current volunteers are also great sources for new volunteers.

7. CONSULTANTS

What is a consultant?

An archival consultant is an individual with specialized training and experience in the theoretical and practical aspects of archival work. Archival consultants can be very helpful in providing guidance and specific services for the repository.

The consultant's references should be checked before hiring. A contract that clearly states the repository's expectations of the consultant should be drawn up. A final report from the consultant should be included in the contract. It is also a good idea to set up a follow up visit with the consultant and if possible set up an ongoing relationship with the consultant.

For smaller organizations with limited staff, a consultant can be hired to provide services such as arranging and describing records, training volunteers, helping establish professional standards, developing policies and procedures, or evaluating the facility. The consultant may provide advice and assistance in developing a plan of action to address identified needs. Consultants may also be hired to discuss the feasibility of starting an archive within an established organization.

Why are archival consultants important?

- They can provide professional expertise to a repository with limited, untrained, or volunteer staff.
- They can help steer a repository on the right path by helping develop a coherent plan of action.
- They can serve as a long-term source of current information (particularly with regard to technology) when an on-going relationship is established.
- They can save personnel costs by providing skills that are only required for a brief period.

8. ACQUISITION/COLLECTION DEVELOPMENT POLICY

What is an acquisition or collection development policy?

A written acquisition policy is a formal statement that guides the repository's selection of materials to be added to its collections. The resources of any repository are limited, and the repository cannot collect all materials. Only material that is relevant and valuable to the mission of the repository should be acquired, and a written policy is essential in achieving this goal. The policy also provides a basis for cooperation with other repositories thus avoiding duplication of efforts.

The acquisition policy should be reviewed at least every five years to stay consistent with the mission of the repository. The acquisition policy must be known and understood by the staff (paid and volunteer), as well as the repository's membership, governing body, and the general public.

Why do we need a written acquisition policy?

- It keeps the repository from acquiring materials it has no need for, no room for, and no staff time or funds to process and maintain.
- It provides a clear definition of desired materials thus encouraging donations.
- It helps the repository manage its resources more productively by adhering to its mission.
- It provides a firm reason not to accept inappropriate materials offered by donors and reserves space for additional appropriate collections.

The acquisition policy should contain statements regarding:

- The policy's purpose.
- Types of activities supported by the collection (research, exhibits, publications, etc.)
- The clientele served by the collection (scholars, students, genealogists, etc.)
- Collection priorities (i.e. strengths and weaknesses, geographic and subject areas collected)
- The limitations of the collection (what the repository does not collect)
- Cooperative agreements with other archival repositories regarding collecting.

- Resource sharing.
- The deaccessioning policy.
 - Procedures for monitoring progress and reviewing the policy.

9. COLLECTION ASSESSMENT/ ARCHIVAL APPRAISAL

What is collection assessment?

A general assessment of any collection proposed for donation to a historical repository is a vital first step in collection management. Commonly, a potential donor may call, write or visit to ascertain whether or not a repository is interested in receiving a collection. There are numerous questions that must be asked and issues that must be considered before the decision is made to acquire a collection, both in terms of the collection itself and the repository's ability to care for it.

What is archival appraisal?

Appraisal is the specific technique used by archivists to analyze the historical, legal, administrative, fiscal and intrinsic value of archival records and decide whether to retain and preserve them. Some specific appraisal techniques are geared toward large and complex collections of records documenting organizational activities; in these cases, only a small percentage of the records may be appropriate for long-term preservation. However, the general principles of appraisal can be helpful in assessing many different types of collections.

Note: Archival appraisal is NOT a monetary appraisal for tax purposes; a monetary appraisal must be carried out by a qualified individual other than the archivist or the donor.

Why are collection assessment and archival appraisal important?

- Processing collections and providing archival storage space is costly. Assessment and appraisal help a repository to allocate resources effectively.
- Using good assessment/appraisal techniques allows the repository to save the most important archival records and other collections.
- Records of limited value should not be permanently retained in a historical repository.

The appraisal process

The process of assessment/appraisal is undertaken before a collection is accepted and again during the stages of processing. Information is gathered about the organization or individual(s) who created the collection, and about the collection itself. The initial assessment provides an overview and focuses on whether the collection as a whole is appropriate for the repository, while appraisal during processing focuses on whether or not specific parts of collection (or even particular items) are of long-term value and should be retained.

General information to gather and issues to consider during initial assessment/appraisal include:

- Who created the collection? What is its context? Does the collection fit into your repository's acquisitions/collection development policy? Does it provide important insight into a region, group, or activity that your repository documents? Does it uniquely illustrate a history not commonly told in existing collections?
- How large is the collection? How old is it? What types of materials are included (e.g., documents, photographs, CDs, scrapbooks)? Is the collection in stable condition?
- Are there any complications involved in accepting this collection? Does the donor have the right to donate the collection, and can valid title to the collection be passed to the repository? Will there be restrictions on use of the collection?
- Overall, is there another institution or repository that could better use or care for this collection?

Archivists weigh the value of records by determining the possible present and future uses of the information found in the records. The archivist considers various appraisal criteria to determine the value of the records or collection:

- Evidential value: the records provide evidence of how an organization or an individual functioned (e.g., conducted business or life). This is sometimes called primary, or documentary, value.
- Informational value – the value of the records based on the information they contain on persons, places, subjects, and things other than the operation of the organization that created them, or the activities of the individual or family that created them (diaries, letters, etc.). This is sometimes called secondary value.
- Intrinsic value – those qualities and characteristics of permanently valuable records that make the records in their original physical form the only archivally acceptable form of the record (U.S. Declaration of Independence).
- Fiscal value – records that chronicle required financial functions.
- Legal value – records that document legal rights, duties, and obligations.

A repository's appraisal guidelines should be based on generally accepted collection appraisal practices. If possible the repository should have a staff member with experience in appraising archival collections. When evaluating questionable materials the repository may want to use outside appraisal consultants. Materials that are appraised as not appropriate for the repository should be referred to other repositories that may collect in that area.

10. DOCUMENTING ACQUISITIONS

Deed of Gift

What is a deed of gift?

A deed of gift is a legal instrument that documents the formal act of donation of material to a repository. Specifically, it transfers the legal title of ownership of an item(s) from the donor to the repository. If possible this title should include both the physical and intellectual property rights. This form needs to be reviewed by legal counsel. The repository should also review the form at least every five years.

Why is a deed of gift important?

- It secures the legal title of physical and intellectual property rights.
- It informs the repository of any legality regarding the administration or use of donated materials.
- It protects the repository and its staff from legal problems that may arise regarding ownership and rights to historical records, including access, publication, and possible deaccession.

The deed of gift form should contain:

- Donor's name, address, and signature.
- Repository's name, address, and representative's signature.
- Date of the transfer of title.
- Description of the material transferred by the deed.
- Designation of copyright ownership.
- Any restrictions regarding use.
- Names of those who can impose/lift such restrictions.
- Names of those authorized to dispose of unwanted materials.

Note: Materials that are transferred within an organization, i.e. from one division of the organization to the organization's archives, do not need a deed of gift because these materials are owned by the organization. This transfer should be documented by a transmittal form or record of transfer (see examples).

Deposit Agreement

What is a deposit agreement?

A deposit agreement is a legal document that places material in the custody of a repository without transferring the legal title to the materials. There are several reasons to accept or not to accept deposits and a policy should be established after careful consideration of all factors. Some organizations choose to accept materials on deposit in order to ensure their preservation and to provide public access to the information. The benefits of this action must be weighed against the cost of processing and housing materials which may be withdrawn by the donor.

If the repository does accept material on deposit for safekeeping, a written agreement needs to document the status of the materials. This deposit form needs to be reviewed by legal counsel. The repository should review this deposit agreement at least every five years.

Bear in mind that government agencies retain title to government records. Agencies cannot “deed” over the title to a private entity, but the records may be deposited. The deposit agreement should address the retention schedule, procedures for handling open records requests, and removal from the repository.

Note: Deposit agreements are used for materials that are placed with a repository for safekeeping and access. Loans of materials for exhibit purposes are discussed under Cooperative Programs.

Why is a deposit agreement important?

- It informs the repository of any legality regarding the administration or use of donated materials.
- It protects the repository and its staff from legal problems which may arise regarding ownership and rights to historical records, including care, access, publication, and use.
- It provides a basis for recovering costs associated with caring for the collection.

The deposit agreement form should contain:

- The depositor’s name, address, and signature.
- Repository’s name, address, and representative’s signature.
- The date of the deposit and the time span for deposit.

- A description of the material deposited.
- A description of any restrictions regarding use.
- Description of repository's responsibility for processing.
- A statement regarding the repository's responsibility in case of loss or damage.
- The name(s) of depositor's representative(s) with authority to make decisions regarding its disposition.
- A procedure for withdrawal of materials by the depositor.
- A procedure for return of materials by the repository.
- A description of any costs to the depositor.

11. ACCESSIONING/ DEACCESSIONING

Accessioning

What is accessioning?

Accessioning is the process of formally accepting materials (acquisitions) into custody. Accession records document information about each new acquisition. These records are the basic documents for all subsequent control and track the materials from the moment they enter the repository by establishing basic intellectual and physical control.

The records usually consist of an accession register, which records the accession in chronological order and assigns the accession number, and accession forms, which record basic information about the materials. The accession number is a unique number that permanently identifies the materials and serves as a control number until further processing. A combination of year and accession sequence is often used, i.e. 09-01, 09-02 for the first two accessions of the year 2009. It may be useful to use a six-digit number, i.e. 2009-01. A permanent record of accessions should be maintained.

The accession forms should record the following:

- accession number
- date received
- statement of provenance (origin)
- description of material – it is critical that this be detailed enough for the materials to be identified at any time
- date range of material
- quantity/size of collection
- location within repository
- notation of any restrictions
- status of accession (e.g., gift, deposit, purchase)
- donor/depositor information
- copyright owner
- relationship to previously accessioned materials

Deaccessioning

What is deaccessioning?

Although a good acquisition/collection development policy helps ensure that appropriate materials are added to the collection, there may be cases in which materials were accepted prior to this collection policy and are inappropriate for the repository or the mission of the repository has changed making these materials out of the scope of the collections. In such cases it may be appropriate to deaccession these materials.

Deaccessioning is the process of formally removing materials from the repository to (a) give to another, more appropriate repository, (b) return to the donor, (c) sell or (d) discard. Deaccessioning decisions are very important and should not be taken lightly. The best practice is to have the decisions made by several individuals at the repository. In some cases, outside consultation should be sought. **Policies and procedures for deaccessioning should be established and followed closely. All deaccessioning decisions and actions should be carefully documented in the collection files and the accession records.**

Deaccessioning may be undertaken as a component of reappraising collections or, in some cases, as a result of the arrangement and description process. See the discussions on “Collection Assessment/Appraisal” and “Arrangement” in this manual.

Types of Deaccessioning

Remember to consult the original deed of gift for any restrictions/instructions on deaccessioning materials and follow established policies and procedures. Options include:

1. Transfer to a more appropriate repository. In reappraising holdings, archivists sometimes come upon random bits and pieces of out-of-scope material, which they deaccession and send to a more appropriate repository. This collegial and common sense type of deaccessioning is a well-established archival practice.
2. Materials may be returned to the original donor if deemed unsuitable for preservation by the repository.
3. Some out-of-scope items of monetary value may be disposed of by sale; however, this must be approached with great caution. To buffer any criticism that may arise from the sale of deaccessioned items, most repositories use the sale proceeds to fund maintenance of the remaining collections or to purchase new materials. Be aware that although this is a reasonable action, the effect on present and potential donors may not make this a feasible policy.
4. Destruction may be a suitable method of disposition for reappraised records that do not merit continued preservation. This is usually a last resort.

12. ARRANGEMENT

What is arrangement?

Arrangement is the physical and intellectual process of putting records into order following accepted archival principles, particularly those of provenance and original order. The goal of arrangement is to assemble the collection/series in such a way as to reflect how and why the records were created.

Why is arrangement important?

- Maintaining original order provides valuable information on how and why the records were originally created.
- It provides staff and users with a way to locate materials within the collection or record group.
- It ensures that information needed for the preparation of collection descriptions is available.

Arrangement Principles

The principle of **provenance** deems that records of different creators or donors should not be intermingled. The “creator” is an organization or individual who created, accumulated, and/or maintained and used the records in the conduct of business or personal life.

Original order is the order by which records and archives were kept when they served their primary purpose. This principle requires that the original order be maintained or reconstructed unless that order cannot be determined or is considered haphazard and makes the materials irretrievable. If the original order is unusable, the archivist must impose order.

The repository should have a written procedure for arranging materials. The processing archivist should record the reasons for the new arrangement if the original order has been lost. The processing archivist should also make a note if non-textual or oversize records must be removed from the collection.

The process of arrangement usually includes organizing, boxing, foldering, labeling, and shelving. It is primarily intended to achieve physical control over your holdings.

Types of collections

- Personal or family papers (usually referred to as a **manuscript collection**).
- **Records** of institutions, organizations, or businesses.
- Combination of personal papers and records of organizations, institutions, or businesses.
- **Artificial collections** – these are pulled together from several sources or creators. An example would be a collection of items gathered by staff, students, and volunteers that relate to the Olympics. “Artificial collection” is also used to refer to a collection that is assembled by a donor (i.e. autograph collections). Only create artificial collections when clearly needed and appropriate. *Never* simply mingle items from different donors to create collections on various subjects.
- **Government records** (court records, deeds, etc.)

Non-paper materials as part of a collection

- Books, photographs and negatives, artifacts, audio materials, and moving images should be separated from manuscript materials due to preservation and storage concerns. However, the separated materials must be linked intellectually to the original collection through the collection description and notes. Note that although separating photographs is important, it must be done on a case by case basis as not all photographs can or should be removed (i.e. if they are in scrapbooks, etc.).

Hierarchical Arrangement

In order to preserve the context in which they were created, archival collections are arranged hierarchically. There are five basic levels of arrangement:

1. Repository
2. Record group (used for government archives) or collection (used for manuscript collections, records, and artificial collections)
3. Series and subseries
4. File unit (folder, volume, reel, etc.)
5. Item

For example, a specific letter might be described:

Emerald City Historical Society

Gale Family Papers

Series I: Correspondence

File: Dorothy Gale to Emily Gale, 1902

Letter regarding storm, August 6, 1902.

A **record group** is a designation assigned to signify a large body of material that is connected through a creator or some other factor. The records of various departments within a government agency usually constitute a record group. For example in records held by county archives, a record group might be the records of the county commissioner's

office or the records of the engineering department.

When dealing with manuscript materials, organizational records, or artificial collections—the large body of material (record group) is usually referred to as a **collection**. This grouping would include all the records of one specific creator/donor (e.g., the papers of John Doe).

A **series** is a group of materials within a record group, and it consists of records brought together in the course of their active life to form a discrete sequence. This sequence may be a discernible filing system (alphabetical, numerical, chronological, or subject) or it may simply be a grouping of records on the basis of similar function, content, or format. The important factor is that the grouping was made by those responsible for the records during the records' active life. For example, within a record group for the engineering department, there could be series such as correspondence, surveys, plans and specifications, etc.

Manuscript collections, organizational records, or artificial collections may also be divided into **series**. For example, the John Doe Collection might include three series related to his various interests (e.g., research notes on historic buildings, a collection of photographs of vintage airplanes, and letters to various family members).

In some cases, a series may be divided into **subseries**. For example, the series correspondence may be further divided into subseries by time periods (e.g., 1930s) or correspondents.

Within the series or subseries, it may be appropriate to list various **file units**. This may be folders or similar groupings. For example, within a series or sub-series of correspondence, file units might be titled Correspondence, 1935.

Materials are described to the appropriate level based on their content. Most archival record groups and collections are described to the series level. In some cases it may be helpful to continue to the file unit and, in rare cases, to item level. The benefits of detailed descriptions must be weighed against the time and cost involved in preparing that level of description.

Processing

This is the actual work involved in arranging a collection (record group). There are many issues to address. Processing notes should be maintained and a general work plan developed. The basic steps are:

Preliminary survey

1. Review donor/purchase materials and accession file. Be sure that the donor has not put any restrictions on the material.
2. Do background research on the individual/organization (if possible). Before starting

work on processing a collection, one should assemble source material that will reveal as much as possible about the organization, individual, or family who created, received, or used the material. This will help the archivist understand the background of the records, help identify series, and provide useful information for later use in the compilation of an administrative history or biographical note. Sources checked should be noted in the processing notes.

3. Bring the entire collection together and survey the material with minimal rearranging and moving of material. Make notes while appraising material. Note the arrangement if it exists, condition of materials and preservation concerns (i.e. fragile materials, water damage), type and amount of material, and any possible series within the collection.

As a result of the preliminary survey, it should be possible to determine the original order (if it exists) or to decide what order you would impose. At this point, it is helpful to develop a work plan for the collection which indicates the order and series which will be established, and any conservation steps which will be taken. Establish how you will arrange the collection (in a written work plan) before you actually rearrange any collection materials.

Physical arrangement

1. Remove staples, clips, rubber bands, and similar fasteners; carefully open folded materials. Use oversize containers if needed.
2. Place the materials in series order, in appropriate boxes, folders, and sleeves. Remove duplicates and materials clearly not appropriate for the collection. Do not discard at this time. Set aside for a second review and disposition as appropriate (e.g., discard, return to donor)
3. Label folders and boxes in accordance with repository guidelines (generally repository, collection, series, and box/folder number). Folders are best labeled with pencil. Labels which adhere to folders are not recommended. Boxes may be labeled with pencil or ink as preferred.

Processing Policy

It is a good idea to prepare a written policy on how collections are to be processed (this should also include description, covered in Section 13 of this manual). The policy should include guidelines for:

- Prioritizing collections for processing
- Assigned record group or collection numbers, and series titles
- How to handle non-paper materials
- The level of description generally used (e.g., series, file, item)
- Systems for labeling boxes and folders, and for shelving collections

13. DESCRIPTION

What is description?

Description is the process of analyzing and recording information about a collection. It most commonly results in the preparation of a summary description that provides basic “pointer” information, and also a more detailed finding aid to assist researchers (and staff) in locating the specific materials they need within the collection.

Why is description important?

- It shows the researcher what types of documents and subjects are contained in a collection, saving time and unnecessary handling of materials.
- It gives a sense of how the collection can best be used.
- It provides a history of and a context for the collection.

Archival description protocols and standards

Historically, repositories created a wide variety of summary guides and finding aids customized to their own needs. Over the last 25 years, however, the advent of computer automation in the library and archival fields has led to the development of protocols designed to standardize the elements of archival description so that information about collections can be more widely shared. In particular, the advent of the World Wide Web has revolutionized the way researchers look for information about collections and made it possible to make available complex finding aids that include detailed content listings.

Even small repositories for which automation is not yet an option should be aware of current protocols and standards for archival description, so that their summary collection descriptions and paper finding aids can be designed for easy (and less costly) automation in future. Summary records should conform to the machine-readable cataloging (MARC) format so they can be shared through online catalogs. Finding aids should conform to the Encoded Archival Description (EAD) standard for encoding finding aids for the World Wide Web. Tools such as the [Archivists Toolkit](#), an open source archival data management system, are commonly used to assist in archival description.

While archival descriptive standards and protocols can be complex, their basic principles are fairly straightforward. Both MARC and EAD provide guidance on the data elements that are needed to make up a summary record or a finding aid, respectively (e.g., creator, title, date span, scope and content note). They also indicate in what order those elements should appear; they provide a standard structure for the data elements. For guidance on what information to put into the data elements and how to format it (e.g., how to list dates or names), the current standard is [Describing Archives: A Content Standard \(DACS\)](#).

Detailed information about the MARC format can be found online at the Library of

Congress [MARC 21 Format for Bibliographic Data site](#), and detailed information about EAD can be found at the Library of Congress [EAD Official Site](#). An excellent resource for EAD is also available in Elizabeth Dow's publication [Creating EAD-Compatible Finding Guides on Paper](#).

Small repositories should also be aware of the [National Union Catalog of Manuscript Collections](#) (NUCMC). This is a free-of-charge cooperative cataloging program operated by the Library of Congress. Eligible repositories can submit information describing manuscript collections, for which NUCMC catalogers create bibliographic records in MARC format. The records are input into OCLC WorldCat.

Basic elements of description

The collection description should include a biographical sketch or a history of the organization that created the records, as well as information about their contents, physical characteristics, and the reason they were created. This information provides the basic level of access for potential users.

A good collection description contains the following information:

- **Creator** - person or group responsible for creating, collecting, or maintaining the materials described. The proper name should be checked against established authority control to ensure consistency of access points. (MARC fields "1XX")
- **Title statement** – Provided by creator or archivist. Indicates type of material in collection, i.e. records, papers. (MARC field "245").
- **Date span** – Beginning and ending dates of collection. Bulk dating is a technique that can be used to indicate majority of collection in a certain period. (MARC subfield "f" in "245").
- **Physical description/volume** – Indicates extent of collection. This is usually given in linear feet, cubic feet, or items. This section also contains type of packaging unit such as 20 boxes and 3 volumes. (MARC field "300").
- **Historical or biographical note** – Provides the researcher with a brief history of the person or organization that created the records. A biography should include birth and death dates, and dates of important events in the person's life. If possible, the information should also provide historical context for the records. (MARC field "545").
- **Scope and content note** – Provides overview of the contents of the collection or series. It should also describe the types of materials in the collection and state the dates covered by each of the various types. It is important to bring out the strengths and weaknesses of the collection in documenting the activities of the creator. This is a critical part of the description as researchers use this as a basis for examining

or bypassing the materials. (MARC field “520”).

- **Restrictions** – A description of any restrictions on the access and use of the collection. (MARC field “506”).
- **Standardized subject and name access** – Critical for guiding the researcher. Subject headings established by the Library of Congress are the most popular and accepted source of standardized access points. (MARC fields “6XX” and “7XX”).
- **Container list** - Provides an overview of boxes and folders within the series or collection. This is the most detailed guide to the contents of the collection. (Not included on MARC record; included in EAD).

14. ENVIRONMENTAL CONTROL

What is environmental control?

Records exposed to high levels of heat, relative humidity, light, and pollutants degrade more quickly than records stored in conditions that are cool, dry, dark, and clean. Monitoring and controlling temperature and relative humidity (RH) levels, protecting collections from light exposure, and minimizing exposure to pollutants are among the most important activities a repository can undertake to preserve and protect its collections.

Long-term damage from environmental factors is not easily observable, making it easy to minimize the issue in the face of pressing day-to-day activities. In addition, controlling the environment using building systems and/or portable equipment can be costly and sometimes challenging. But research has shown that controlling temperature and relative humidity can dramatically increase the longevity of records. Appropriate environmental conditions are important for all areas but are especially critical for storage areas.

Why is environmental control important?

- High humidity (moisture in the air) provides water to fuel the chemical reactions that cause deterioration, and at very high levels can contribute to mold growth on collections. High temperatures increase the speed of the chemical reactions that drive paper deterioration. Fluctuating conditions can also cause significant damage.
- Light exposure causes paper-based collections to fade, yellow, or discolor. While all light is damaging, ultraviolet light (UV) is the most damaging. Light damage is cumulative and irreversible.
- Particulate and gaseous pollutants react chemically with collections to increase the rate of deterioration.

Essential elements of an environmental control program:

- **Monitoring temperature and relative humidity.** Smaller repositories can begin by using a small inexpensive digital min/max thermo hygrometer. This will provide a record of the highest and lowest conditions since the instrument was last reset (e.g., in the last 24 hours). Maintain a written record of readings so that problems can be identified and corrected. Repositories with more resources should consider using a datalogger that can download readings to a computer for analysis.
- **Maintaining temperature and humidity at recommended levels.** Current guidelines recommend that combined storage and user space should be maintained at no higher than 70°F and at some stable point between 30% and 50% RH. In dedicated storage spaces, the temperature should be no higher than 65°F. If the building has an HVAC system, it should run 24 hours a day to avoid fluctuations.

- **Using lower-cost measures to minimize environmental extremes.** It can sometimes be difficult for repositories to maintain recommended environmental levels consistently, but a number of activities can help minimize extremes. These include sealing the building (e.g., weather-stripping, attic or pipe insulation, storm windows), allowing for limited seasonal drift of temperature and RH, reorganizing storage spaces (e.g., moving collections out of basements or attics), using portable air conditioning or dehumidification equipment, and/or enclosing collections in boxes/folders to minimize the effect of climate fluctuations.
- **Preventing mold growth.** Mold causes irreversible damage to collections and poses a serious health risk to those who must work with affected collections. Prolonged high humidity (60% or higher) must be avoided to minimize the chance of mold growth. If collections become wet, they must be dried or frozen within 24-48 hours to avoid mold growth.

Note: DO NOT attempt to deal with moldy collections without guidance from a professional (use of a properly fit-tested respirator is required by law in the workplace, and specific cleaning procedures must be used to prevent mold from spreading). Persons with asthma or allergies, or who are sensitive to mold, **must** avoid infested collections completely.

- **Protecting collections from visible and UV light.** Light sources should give off less than 75 microwatts/lumen of UV light. All fluorescent lights should be equipped with UV filters, and windows that cannot be completely shielded should have UV-filtering film installed. Visible light control strategies include the use of light timers and shades/blinds, and enclosing collections in boxes.
- **Controlling particulate pollutants.** Control of gaseous pollutants can be expensive and difficult, but every effort should be made to limit particulate pollutants in collection areas by using particulate filters that are changed regularly.

15. EMERGENCY PLANNING

What is an emergency preparedness plan?

An emergency preparedness plan is a written document, updated on a regular basis, which helps a repository protect its holdings in case of natural or man-made disasters. Emergencies may range from a fire or flood to a leaking water pipe. The plan describes procedures, responsibilities, and appropriate responses for specific problems.

What should be included in an emergency preparedness plan?

- Evacuation procedures (staff members should have specific responsibilities)
- Emergency call list (phone tree with names/numbers of staff who can respond quickly)
- Salvage priorities (those collection items that should be saved first, with locations)
- Services and supplies (names/numbers, including after hours contact information)
- List of in-house emergency supplies (check and replenish periodically)
- Insurance information (for building and collections)
- Emergency funds information
- Basic salvage procedures for the types of collections held in the repository

All staff members should be required to read and be familiar with the emergency plan. Volunteers and governing board members should also be familiar with the emergency plan. All staff members should be trained in emergency procedures, such as building evacuation, the use of fire extinguishers, first aid, emergency response to collection damage, etc. If a repository is part of a larger organization, it is very important that the repository's emergency preparedness plan is compatible with and supported by the organization's plan.

Maintain copies of the plan off-site where they will be readily available in an emergency, and distribute copies to the local police, fire department, or other emergency workers as appropriate.

Also consider making contact with your local emergency management agency. In a wider emergency that involves more than just your repository, they will have authority over all response activities in the community. If local emergency managers are familiar with your repository, its needs, and the services it provides, you may be allowed back into your building more quickly, and you may have quicker access to salvage resources.

Why is an emergency preparedness plan important?

- A plan helps the repository identify potential hazards that can be corrected, and prevent or minimize damage from natural disasters that cannot be avoided.

- It enables the repository to respond quickly and appropriately to emergency situations.
- Planning increases awareness by staff, volunteers, and governing board members of good maintenance practices that may prevent emergencies.
- Coordinating planning with fire, police, and local emergency management personnel helps ensure appropriate responses to the special concerns of a historical repository.

Basic steps in emergency response

- Receive clearance to enter the site.
- Assess the situation and document the damage (written and photographic).
- Establish a command post.
- Notify and assemble the appropriate staff and other personnel.
- Determine a plan of action.
- Stabilize the environment.
- Eliminate any hazards.
- Assemble the necessary supplies/services.
- Set up a work flow and brief the participants on their responsibilities.
- Salvage collections.
- Monitor the recovery.

16. FIRE PROTECTION AND SECURITY

Fire Protection

What is fire protection?

Protecting collections from fire damage has three elements: general prevention, fire detection systems, and fire suppression systems.

General fire prevention concentrates on eliminating fire hazards of various types (blocked exits, overloaded electrical systems, etc.). Most local fire departments will walk through a repository and make suggestions for improving fire safety. Class ABC fire extinguishers should be made available, and staff should be taught how to use them.

Automated fire detection systems are composed of some combination of heat and smoke detectors that set off an alarm when a fire is detected. Detection systems must be monitored 24 hours a day by an outside agency to be effective—a fire alarm will do no good if there is no one to hear it and call the fire department. At a minimum, all repositories should be protected by a fire detection system.

An automated fire suppression system is designed to extinguish a fire in a repository before it can spread significantly. These systems must also be monitored 24 hours a day by an outside agency. There are various types of suppression systems, but a wet-pipe sprinkler system is the most common, the most reliable, and the easiest to maintain. In a wet-pipe sprinkler system, water is kept in the pipes at all times; when one or more sprinkler heads open upon detection of heat, water is discharged.

Some repositories are reluctant to have water pipes running over collections, but experience has shown that the incidence of malfunctioning sprinkler heads and/or leaking pipes is extremely low. In addition, in modern systems all sprinkler heads do not open at once; only those that are needed open.

Why is fire protection important?

- Protection by detection and suppression systems can greatly lessen the effects of fire caused by arson or accident.
- Damage to collections from fire is often catastrophic. Recovery from water damage, while difficult, is generally possible; wet collections are always preferable to burned collections.
- A typical sprinkler head discharges 25-72 gallons of water per minute, while fire department hoses typically deliver 100-500 gallons of water per minute. The difference in the extent of damage to collections is obvious.

Security

What is security?

Collection security is an essential component of the long-term preservation of historical materials. Good security consists of rules, policies, and procedures that balance the needs of the collections with the needs of researchers and staff. Enforcement of security procedures can sometimes be difficult, and it is easy to make exceptions “just once.” But unfortunately experience has shown that many thefts in historical repositories have been carried out by trusted researchers, or even by staff. It is crucial for the safety of your collections to enforce all security policies and procedures consistently and without exception.

Why is security important?

- Security procedures and automated security systems protect collections from damage and/or theft.
- Consistently-maintained security policies and procedures demonstrate that your repository is responsible and professional in the care of its collections.

Generally recommended security guidelines include:

- Secure all storage areas to prevent access by unauthorized personnel. Storage areas should be keyed separately from other areas of the building, and distribution of storage area keys should be limited to those who need them.
- Provide reference service in an area separate from the storage area, and provide lockers or secured storage to house researchers' personal belongings.
- Require researchers to fill out a registration form when using collections, and keep a written record (ideally via call slips filled out by the researcher) of collection use.
- Supervise patrons at all times when they are using collections. Collections should be quickly inspected after they are used and before they are returned to storage.
- Be aware that unfortunately many thefts are carried out by staff, volunteers, or others inside the repository. Some means of monitoring staff and volunteer activities is recommended.
- Provide insurance for the building, and consider insuring the collections as well.
- If possible, install an automated security system that is monitored 24 hours a day by an outside agency.

17. STORAGE FACILITIES

What are preservation-quality storage facilities?

Preservation-quality facilities are those which provide a clean, stable, and secure physical storage environment. Specifically, they provide environmental control (see section 14 of this manual), fire and security protection (see section 16 of this manual), and sufficient storage space and appropriate storage furniture. A preservation-quality storage facility should have a regular cleaning schedule and a regular schedule for pest inspection and control as needed. Collections should be permanently stored in containers (boxes, folders, etc.) made of chemically stable materials.

Appropriate storage furniture and archival quality products are expensive. Consider cooperating with other area repositories when ordering furniture or containers, since this may allow you to save money. Also be aware that there are grants available to help repositories assess storage need and purchase storage furniture and supplies.

Why are storage facilities important?

- Proper facilities instill donors with confidence that their gifts will receive appropriate care.
- Adequate facilities allow the repository to satisfy its mission to preserve historical collections in the best condition possible.
- Storage facilities protect collections when they are not on exhibit or being used for research.

Specific guidelines for preservation-quality storage facilities are:

- Clean storage areas routinely to maintain an environment that is as dust-free as possible. If the archival staff is not doing the cleaning themselves, there should be a staff member present during the cleaning. Use vacuum cleaners equipped with high-efficiency particulate air (HEPA) filters to avoid redistributing dust.
- Discourage pest infestation by sealing the building envelope, removing vegetation immediately next to the building, limiting food and drink in the building, and removing trash from the building daily.
- If pest infestation is noticed, begin a pest monitoring program using sticky traps. Avoid regularly scheduled chemical treatments, unless there is a specific problem that cannot be resolved any other way.
- Use appropriate storage furniture to store collections. Furniture should be of adequate size for the collections being stored. Wood furniture should be avoided

because it may off-gas damaging chemicals. Metal furniture with a powder coating or anodized aluminum furniture is preferred. Secure tall furniture to the walls to prevent accidental tipping.

- If your existing storage areas are inadequate for the amount of collections that must be retained, consider acquiring off-site storage. Remember, however, that off-site storage facilities must meet all of the same requirements as on-site storage. Warehouses or other similar off-site locations with uncontrolled environments should never be used to store collections.

18. COLLECTIONS CARE

What is collections care?

Collections care refers to the storage and handling of records and other collections found in historical repositories. It encompasses the basic hands-on preventive measures that are taken to protect collections, such as rehousing materials, protecting unstable items, and ensuring that collections are handled carefully at all times. In the context of paper-based records, the term “holdings maintenance” is often used to refer to basic collections care activities. Collections care is crucial to the long-term preservation of collections.

Both users and staff must handle collections carefully to avoid unintended damage. For researchers, signs, posters, handouts, bookmarks, and/or pamphlets can be used to teach good handling techniques. It is a good idea to require researchers to read such a handout when they register to use the collections. Staff members also need initial training and periodic gentle reminders about proper collection handling.

Why is collections care important?

- Proper storage enclosures prevent damage by providing physical support and chemical stability.
- Proper storage and handling prolongs the useful life of collections, and may defer the need for future conservation treatment.

Tips for selecting storage enclosures

For all types of collections, the use of appropriate protective storage enclosures is one of the most important aspects of collections care—but storage enclosure terminology can be confusing.

The term “pH” expresses the acidity or alkalinity of paper. **It does not apply to plastics.** On the pH scale (0-14), 7 is neutral, below 7 is acidic, and above 7 is alkaline. The term “lignin-free or low-lignin” is also important; lignin is a natural component of wood pulp paper that darkens when exposed to light. Enclosures should contain no more than 1% lignin.

- Acid-free or acid-neutral paper enclosures have a pH of 7 to 7.5 and will absorb only some acid before they become acidic and begin to decay. They are recommended for certain types of collections, however, including natural science specimens and alkaline sensitive materials (e.g., color photographic processes, blueprints, cyanotypes).
- Buffered or alkaline-buffered enclosures are the most widely recommended for

paper-based collections. They contain an alkaline substance (the buffer) that raises the pH of the paper (pH 8.5 or above is recommended) so it can absorb and/or neutralize acid. Enclosures that are buffered and lignin-free can significantly reduce damage to collections.

- Paper enclosures to be used for photographs must pass the Photographic Activity Test (PAT), a worldwide standard (ISO 18916:2007 (E)) that tests whether enclosures will react adversely with photographs.
- Plastic enclosures must be chemically and dimensionally stable. In general, polyester, polyethylene, and polypropylene are acceptable for storage enclosures. Plastics should not be used for loosely bonded media such as pastel or charcoal.

Collections care for paper and book collections

- Replace poor quality enclosures and boxes with archival storage enclosures and boxes according to the guidelines above. Ensure that all documents and folders have adequate support within boxes. Spacer boards can be purchased to ensure that folders do not slump inside boxes. Remember to spot-check enclosures periodically with a pH pen to ensure that they are actually alkaline.

See the Georgia Archives' online vendor list at http://www.sos.ga.gov/archives/how_may_we_help_you/care_for_records/Vendors.pdf for sources of storage enclosures and other supplies.

- During processing, remove damaging fasteners, newsprint, and any other damaging items. If these items must be retained, they should be separated from other items using plastic or paper enclosures.
- Photocopy any unstable records (such as faxed items) within collections.
- Use polyester sleeves to protect weak or damaged documents from further damage.
- Books that are fragile should be boxed for protection. Books with significant value may merit custom-made boxes, while ready-made boxes from a conservation supplier may provide sufficient protection for others.
- When handling books and larger paper items/folders, be sure that they are supported properly. Store oversized books flat, and never retrieve books by their headcap.

Collections care for photograph collections

- Always handle film and photographic materials with white cotton gloves. Handle images by their edges, and never touch the surface of film or photographic images.

- When moving fragile images (e.g., those with brittle mounts), always provide sufficient support.
- Do not write directly on the image if it can be avoided. Never use inks, markers, rubber bands, stickers, adhesive labels, or self-stick notes on photographic images. If information must be placed on the image, use a soft #2 pencil in the margins on the back of the photograph. It is best to write identifying information on a paper enclosure.
- House similar sizes/formats of photographic images together to provide support. Never house prints and negatives in the same container since negative deterioration could damage the prints.
- Do not attempt to unroll or flatten tightly rolled oversize images; consult a conservator.
- Provide duplicate copies of frequently used or vulnerable images.
- If photographs must be placed in an album, use photo corners that do not adhere to the image. Do not use “magnetic” albums, lamination, or any other adhesives to attach photographs.

19. DUPLICATION AND REFORMATTING

What are duplication and reformatting?

Duplication and reformatting refer to the reproduction of information in another format or medium. Duplication and reformatting are appropriate when preserving the information is more important than preserving the material itself, or when a use copy is needed to protect the original from excess handling that might cause damage. Duplicates that are stored off-site can also be an excellent way to protect against loss of information.

Collections that might be duplicated or reformatted include paper records, photographic prints and negatives, and audio or video collections. Microfilming paper collections or photocopying records on alkaline paper have traditionally been the primary reformatting techniques for paper records, as have microfilming and duplication for photographic image collections. As audiovisual collections have become more widespread in repositories, it has become clear that duplication or reformatting onto appropriate media is particularly important for these collections. It can provide service copies, preservation-quality copies of deteriorating formats on a more easily-accessed medium, and/or preservation masters that completely replace deteriorated or obsolete formats.

In recent years the emergence of digitization as a user-friendly option for providing access to collections has changed the landscape. While digitization plays an important preservation role as a surrogate for the original, the use of digitized copies as long-term preservation copies poses significant challenges. Microfilm remains an extremely stable medium for long-term preservation, and it is possible to microfilm collections and then digitize the microfilm. See section 21 of this manual for further discussion of the issues surrounding digitization.

Why is duplication and reformatting of some historical records important?

- It protects material by reducing wear and tear on original.
- It increases the availability of archival records and other collections.
- Storage of a copy in an off-site location protects against damage or loss of the original.
- Reformatting can save space in some instances, such as microfilming versus maintaining original newspapers.

Preservation photocopying

Materials that have informational value, but are not intrinsically valuable, can be photocopied onto acid-free paper as a preservation medium. Materials suitable for this treatment include newspaper and magazine clippings. Photocopying can also provide an

inexpensive use copy of very fragile or valuable material with intrinsic value, so that the original does not have to be handled.

Use an analog or digital photocopier (not a scanner and ink-jet printer) and permanent paper from an established supplier. The paper should meet the ANSI/NISO standard (ANSI/NISO Z39.48 1992(R2009)) for permanent paper, having a pH of 7.5 to 10 and less than 1% of lignin, with an alkaline reserve.

Preservation microfilming

Materials selected for microfilming should have informational rather than intrinsic value. They may be low-use materials that need to be retained for legal reasons, materials that are challenging to preserve in their original form, materials that are frequently accessed, materials for which a microfilm copy at another location would be useful, and/or materials for which a backup copy is needed in case of loss. Materials commonly selected for microfilming include newspapers, bulky public records that do not need to be retained in their original format, or manuscript collections with high research use.

When choosing a microfilm vendor, the repository should verify that the vendor adheres to national standards for preservation microfilming. The repository should also find out whether the vendor has worked with historical documents and is sensitive to their unique needs. The vendor's contract should include the delivery of the original (security copy – to be stored off-site), a second copy (print master) to use in making additional copies, and a use copy or copies as needed.

As noted above, repositories should be aware that it is possible to scan microfilm to produce a digitized copy, but this is not always successful if the original microfilm was not good quality. Additional work to make the digitized material searchable can also be complicated and costly. Again, see section 21 of this manual.

If a repository has microfilmed collections, it should have at least a microfilm reader, and preferably a reader/printer so the film can be used in place of originals. However, even if the repository does not have a reader, the benefits of having a backup copy of the information or being able to share the information with other repositories may still make filming a good option.

20. PRESERVATION PLANNING

What is preservation planning?

Preservation planning is the process of determining a repository's preservation needs, setting priorities among those needs (according to the repository's mission), deciding what preservation activities are needed and how they will be organized, identifying and allocating resources for those activities, and finally, pulling it all together into a written preservation plan.

Why is preservation planning important?

- Preservation planning supports all of the other activities in a repository (collecting, describing, planning outreach, and assisting research). To maintain these activities, the repository must ensure the long-term existence and usefulness of its collections.
- Preservation planning helps a repository to use its available resources wisely.
- Preservation planning allows the repository to measure its progress, as action steps are implemented and goals are accomplished.
- Preservation planning helps a repository take advantage of changing circumstances that may allow for preservation activities that were not previously feasible.

Steps in Preservation Planning

Assessing preservation needs. This most often takes the form of a general preservation planning survey, which provides an overview of all preservation needs within a repository. This is generally done by an outside consultant, who will provide a written report. Grant funding is available for general planning surveys (see Appendix A1), and many grant agencies require a survey before they will fund implementation activities (e.g., rehousing, microfilming). Once a general survey has been done, it may also be necessary to have one or more collection conditions surveys that focus on a specific collection or type of materials (e.g., photographs, books).

Setting priorities. This is one of the most important and most difficult activities. All collections cannot have equal preservation attention (and in fact all do not need the same attention). Potential criteria for selecting collections for preservation action include:

- Condition
- Frequency of use
- Format (e.g., particular vulnerability to loss or deterioration)
- Storage conditions
- Value (absolute/relative, short/long term; specific types of archival value such as evidential, informational, associational, and intrinsic)

Deciding on staffing and funding. How will preservation be organized in your repository? Who will be in charge? Who will carry out the specific activities that are needed? How will you fund preservation? In a small repository, each person (or maybe only one person) will be wearing several “hats.” Even if preservation is a part-time responsibility, one person should be responsible for making preservation decisions. Break down tasks into manageable pieces, and write all tasks into existing job descriptions (and be sure that staff members have time to carry them out). Budgeting for preservation may involve a combination of fund-raising, applying for grant funding, reallocating existing funds (e.g., using the existing supply budget to buy better quality storage enclosures), and if you are lucky, allocating some new funds to preservation.

Preparing a preservation plan. A written plan is needed, although it does not have to be extensive. It should be noted that a general preservation survey report is NOT a preservation plan, although it will help you devise a plan. The key components of a plan are a list of high priority actions that are achievable in the relatively near future, and a timetable for implementing those actions that lists the resources needed and who is responsible. These key components will obviously need to be updated frequently as goals are accomplished or circumstances change.

Specific elements to include in a preservation plan are:

- Executive summary
- Description of collections
- Description of preservation needs
- Recommended preservation actions (in priority order)
- Institutional action plan and timetable
- Listing of preservation actions to date

21. DIGITIZATION

What is digitization?

Digitization has been a widely-discussed topic in the library and archives fields for some years. The widespread availability of scanners and digital cameras and the explosion of digital information have made digitization of collections seem accessible even to small repositories. Many historical repositories have undertaken scanning projects, and many more have considered them. At face value, digitization can seem quite simple; just a matter of owning a collection of interesting old photographs and a scanner—but in fact it is a complex process that must be thought out carefully. If it is undertaken without careful planning, it can use up a great deal of staff time and other resources for very little gain.

Why is digitization important?

- Digitization is an excellent tool for providing access to collections and reducing handling of originals.
- Digitization can “add value” to collections by providing additional indexing and other features that would not be possible otherwise.
- Digitization can increase the audience for a repository’s collections.

Digitization and preservation

Unlike microfilm, which was often considered a subpar means of access, digital collections allow for easy access and can often provide “added value” in terms of searching and indexing. It can be an important part of an overall preservation program by limiting handling of original collections, but it does not replace traditional preservation of the original material. In fact, it creates a new collection that will need to be preserved over the long term. If it is not, the investment made by the repository in digitizing the material will be lost.

If a repository is thinking about digitization, there are a number of issues that must be carefully considered before proceeding. Clearly not all collections can be digitized, so those that are the most appropriate should be selected. Basic issues to consider include:

- How does the digitization project fit into the mission and strategic plan for your repository?
- What audience are you trying to reach? Is there sufficient demand for the materials to justify the cost and effort?
- What kinds of materials are you thinking of digitizing? Are they in good condition? Is the text readable? If they are photographs, are they reliably identified? How are they arranged and described? Can this be easily translated to the digital version?

- Who owns the copyright on the materials? You cannot create and disseminate a digital version of a collection unless you own the copyright or can prove they are in the public domain.
- Is the project practical? How much staff time will it take? How will you pay for it? Who will supervise the project?
- Will you send the project to an off-site vendor or do it on-site? What standards will be used?
- How will you provide access to the digitized materials? Will there be a search mechanism? Will there be Web access? How are the materials currently described – will additional description be needed?
- How will the collection be maintained in future, and how will you pay for it?

If your repository does not have satisfactory answers to all of the above questions, you should consider postponing a digitization project until these decisions can be made.

22. DIGITAL DOCUMENTS AND ELECTRONIC RECORDS

What are digital documents and electronic records?

The care and preservation of digital documents and electronic records is one of the most important issues faced by historical repositories today. Many large institutions have been grappling with methods for caring for large-scale digital document collections for a number of years, and small institutions also hold many materials in digital format, although they may not yet feel equipped to handle the challenges these digital materials pose. Institutions with limited resources may feel overwhelmed and unsure.

The term digital document can refer to a wide range of materials, ranging from an email message, to a word-processed document, to a digital photograph, to a blog entry. This section of the manual primarily addresses “born-digital” materials (e.g., materials that were created in a digital format), but the preservation issues discussed here apply equally well to collections created by digitizing paper collections.

Electronic records are a subset of digital documents; in the broadest sense they refer to a record that provides evidence of a transaction between two or more parties. These types of records are often needed as legal evidence, so they must be processed and tracked in more specific ways than other digital documents.

What is metadata?

When managing digital documents and electronic records, it is crucial to understand the concept of metadata. Digital documents do not just consist of content; to understand the context of a digital document, information about the document (called metadata) must also be maintained over the long term. Metadata may describe the document’s content, the context of its creation (e.g., date, recipient, creator, address from which it was sent), and/or its structure (e.g., its relationship to other documents). In a paper collection, this metadata is provided through the physical arrangement of the documents, or through descriptive tools like catalogs and finding aids. Metadata in the digital world is much more complicated. In addition to traditional types of metadata, there is technical metadata relating to the original format of digital documents (file formats, security data, hardware and software documentation, and much more) that must be maintained in order to ensure their long term survival. Additional metadata is created over time as actions are taken to preserve digital documents, and this must be retained as well.

Why are digital documents and electronic records important?

- Digital documents and electronic records already document a great deal of important historical information, and in coming years even more information that should be preserved over the long term will be created only in digital form.
- Digital documents and electronic records do not have the luxury of time. A paper record will not usually deteriorate to the point of loss within five or ten years, but

digital documents could easily be lost forever.

- To be retained so they can be accessed over the long term the most effective way, digital documents need to be managed almost from the point of their creation.

Why is maintaining digital documents and electronic records so challenging?

There are a number of issues that make long-term retention of digital documents a challenge. These involve both the storage media used to store the documents and the hardware and software needed to read the documents. Issues include:

- **Storage media deterioration.** The various storage media used for digital documents have limited lifespans, whether due to poor handling, environmental fluctuations, or simply data error.
- **Storage media obsolescence.** New storage media formats are constantly appearing, driven by the desire to store more data in a smaller space. It will be possible to read older media for a few years (for example, 3.5 inch disks), but within about 15 years (or less) any given storage medium will become obsolete, unable to be read.
- **Software/hardware obsolescence.** The development of new software and hardware is driven by the desire for greater efficiency and other features. New software may not be able to read older files (or files created by another software program) accurately, or software companies may go out of business or stop producing certain programs. Maintaining older software and hardware is problematic; keeping them functioning and finding people who know how to run and maintain them is extremely difficult and not practical in the long term.

How can digital documents and electronic records be systematically preserved?

Preservation of digital materials over the long term must involve some type of copying—the original simply cannot survive in the way that a paper document survives if put in a box in archival storage. Since all copying involves some type of change, it is crucial to manage that change carefully so that the content, metadata, and legal validity (where needed) are retained over the long term. Preservation options are:

1. **Copy to an analog format.** For example, some repositories print out emails and save the paper copy. It is also possible to convert some digital materials (most commonly text or photographs) to microfilm. These solutions are not ideal, since they do not preserve all of the associated metadata, but for a repository with limited resources it is certainly a way to begin that ensures at least some of the data is being saved. The major disadvantage is that you will lose much of the context, and any searching or indexing capabilities of the original.
2. **Place electronic records and digital documents in a trustworthy digital repository (TDR).**
 - a. Use a digital repository that already exists. This is a rapidly changing field, so

it is best to see the additional resources in this manual for suggestions on where to go for updated information on existing digital repositories. See below for a very general description of the capabilities that are desirable for a TDR.

- b. Create a digital repository within your own organization. **But you must be aware that this is be a very complex and challenging task.** You must have sufficient resources and cooperation from upper level management in your institution. You must also be able to work closely with the information technology (IT) personnel or department associated with your organization.
- c. Take an interim path, using basic strategies to preserve your digital documents and electronic records to the extent possible (perhaps without allowing access) until you decide on a TDR to be used for the long term.

Interim strategies for preserving digital documents and electronic records

There are a number of methods for retaining materials digitally, ranging from the relatively simple to the very complex. Basic methods appropriate for an interim digital preservation scenario include backups, refreshing, migration, and the provision of use copies where appropriate.

- **Backing up data** (e.g., making an exact duplicate, preferably one that is stored in another location). Not technically a preservation strategy, because it does not address obsolescence issues, but a necessary day-to-day strategy for avoiding loss of data due to hardware failure or other disastrous events. At a minimum, all repositories with digital documents should have a regular backup schedule.
- **Refreshing** (copying digital documents from an older storage medium to a newer one of the same type, or to a newer one of a very similar type). This addresses storage media deterioration and obsolescence, although not software or hardware obsolescence. Refreshing should be done periodically (at least every 5-10 years) for all digital documents with long-term value, or whenever signs of deterioration are evident.
- **Migration** (a broader concept that refers to all activities undertaken to copy or convert data from older to newer computer technologies while preserving the integrity of the data and the ability of users to access it). A systematic migration program will include refreshing, but also involves conversion of older data formats to newer ones as needed. Be aware of formats that may become obsolete in the near future, and make them a priority. You should also be aware, however, that migration of complicated data formats can be challenging, and may or may not ensure the integrity of the data, so it must be undertaken with care. Seek qualified outside assistance if you are unsure how to proceed.
- **Provision of use copies.** If digital documents are to be used by researchers, use copies must be provided. The original digital document should never be used by a researcher. Consider providing a copy that is used to make a new additional copy for each research request (with the new copy to be destroyed afterward) since there

is no way to guarantee that the digital file was not changed by the researcher.

It is crucial to devise a systematic method for ensuring that all digital documents with long-term value are backed up, refreshed, and/or migrated on a regular schedule. It is also very important to maintain meticulous records (metadata) about all preservation activities that have been undertaken for all digital documents in the repository's collection.

Recommended activities for a trustworthy digital repository (TDR)

The requirements for a digital repository are very complex, but the basic functions it should fulfill have been set out in the Open Archival Information System (OAIS) Reference Model, an International Standards Organization (ISO) standard. They are:

- **Ingest** – a standard process for moving digital documents from their original source into the repository.
- **Archival storage** – adequate facilities (e.g., hardware, software) to store digital documents over time.
- **Data management** – resources in place (people, facilities, policies) to manage the digital documents over time, including methods for migrating data where necessary or using other strategies.
- **Administration** – a system for managing all of the resources needed to maintain the digital data over time.
- **Planning for long-term retention** (similar to preservation planning) – resources and plans for staying current with new technology developments and revising current policies and methods (e.g., facilities, equipment, managing data) as needed.
- **Access** – provision of facilities that will allow users to retrieve digital documents as needed. This should involve use copies that are generated in such a way as to remove the possibility of damage to or corruption of the digital data.

While managing the long-term retention of digital documents and electronic records may seem overwhelming, archival professionals already involved in such projects emphasize the importance of research (acquiring the best information you can about current developments), planning, and careful consideration—but also the importance of taking steps, even small ones, to move ahead before crucial information is lost through lack of action.

23. ACCESS POLICY

What is an access policy?

An access policy is a written statement that describes the repository's rules and procedures for providing public access to its collections. The policy should take into consideration the type of records that are contained in the repository, the mission of the repository, and the desires/needs of its users.

Records should be made available to all users on an equal basis, including members of the archives staff. Both staff and researchers should carefully observe any restrictions on access or publication. A notice of copyright law needs to be posted where researchers can see it, and they should be required to sign a statement that they are aware of copyright restrictions. The repository should also take steps to ensure compliance with the Americans with Disabilities Act.

Making information available about your collections is an essential part of an access policy. The policy should contain statements about how collections are described and how that information is made available. If your repository has unprocessed collections that researchers may wish to use, a policy should be devised that ensures no damage will be done to the collections through use. For collections that are in poor condition and/or very unorganized, it may be prudent to restrict access until processing has been completed.

Records of restrictions placed on collections must be well maintained. Restrictions might be placed by donors (e.g., a portion of a collection may be closed for a number of years), or by the repository (e.g., users must wear gloves to handle photographs, or they must listen to use copies of audiotapes instead of the originals). Restrictions on access to collections should be reviewed on a regular basis to determine if they are still required.

Why is an access policy important?

- It protects the rights and privacy of record creators and the sensitivity/confidentiality of records.
- It helps repository staff communicate and enforce restrictions on access to researchers.
- It can help provide security for records that may be fragile, highly sensitive, or extremely valuable.
- It reassures donors/creators that their materials will be properly protected and used in the repository.

24. REFERENCE SERVICE

What is reference service?

Reference service is providing information to users about the repository's records, making materials available for research, and providing copies of records when appropriate. When performed by trained staff who have knowledge of the organization's collections and effective research techniques, this service makes research materials more accessible to the public.

Researchers should be able to:

- Easily find out what hours you are open
- Identify the services you offer (on-site, by telephone, via email, fees associated with research and duplication)
- Find descriptions of your collections

You should:

- Require researchers to register and/or complete a research application before using the collections. Keep these forms confidential to protect privacy.
- Devise clear procedures for requesting and returning collections.
- Keep statistics on reference use.
- Track which materials have been used by researchers in case of damage or theft (the use of call slips is recommended since this provides a written record of who used which collections).
- Provide written instructions for researchers on how to handle collections properly.
- Have a staff member present at all times when materials are being used.
- Provide appropriate information for researchers on copyright.
- Have a tracking system for telephone and email reference requests.

Why is reference service important?

- It makes research materials more accessible to the public.
- It helps the staff monitor the condition of materials.
- Good service enhances the organization's public image and reinforces the repository's goals of preserving and providing access to historical information.
- Skilled reference service combined with detailed descriptions protects materials from unnecessary or inappropriate use.

Making copies for researchers

The repository should have a form for reproduction requests for paper documents, photographs, audio, and moving images (if reproduction is available). This form may

include information on how to cite the materials for publication and it is supplemented by a printed fee schedule for reproduction costs. This form may also include information on the time required for reproduction. Include a statement that the repository reserves the right to refuse to copy materials when there are risks to the items. Researchers should not make their own copies; these should be made by staff to avoid possible damage to the materials.

Any copies made from repository collections—whether photocopies, photographic prints, audio or moving images, or any digital copies—should be clearly and permanently marked as a copy made from your repository and with a copyright notice. You should require researchers to credit the repository in some way when they reproduce any materials for publication or other distribution.

25. EXHIBITS

What is an exhibit policy?

An exhibit policy helps guide a repository's staff in making decisions about what exhibits to offer the public, how they are to be developed, and how collection preservation concerns will be addressed. Institutional goals, appropriate content, methods of presentation, preservation precautions, responsibility for exhibitions, and methods of evaluation should be among the items discussed in an exhibition policy.

Why are exhibits important?

- Exhibits create greater awareness of a repository's collections.
- Exhibits can bring in new visitors to a repository.
- Exhibits can show collections in new context and support the repository's educational mission.

Preservation issues in exhibition

Exhibition can complicate preservation—exposure to light, fluctuating climate conditions within exhibit cases, and acidic or otherwise damaging supports can all cause problems for collections. Issues that must be considered in designing an exhibit include:

- **Environmental damage.** Both natural and UV light are damaging. Blinds, shades, curtains, and UV filters can be used to reduce light exposure, and the length of exhibition should be kept as short as possible. Cases should be monitored to determine whether there are significant fluctuations in climate; while it may be difficult to moderate these, exhibits can be shortened if needed.
- **Case design.** Wooden cases are common, but should be avoided if possible. If they must be used, various barrier materials are available so that collections are not placed in direct contact with wood. Fabric linings in cases should be made from undyed cotton, linen, polyester, or cotton-polyester blends.
- **Display methods.** Paper documents, photographs, books, and other artifacts should have appropriate support within the cases. Flat paper materials should be mounted on a larger piece of archival material or encapsulated, while books require custom-sized cradles to support their bindings.
- **Use of copies.** Consider using facsimiles or reproductions of originals for long term or permanent exhibits. Permanent exhibition of original collections can cause irreparable damage.

26. COOPERATIVE PROGRAMS

What are cooperative programs?

Cooperative programs involve two or more repositories working together to increase or improve their services. Cooperative programs could include loans of materials for exhibits, exchanging or temporarily sharing staff for special projects, developing multi-repository emergency-preparedness plans, jointly purchasing supplies or equipment, joint applications for grant projects or consultants, sharing a facility, or working together in advocacy and public outreach efforts. Mission statements and acquisition policies that minimize competition enhance cooperative programs.

Why are cooperative programs important?

- Combining resources with another repository frequently helps both organizations meet their goals.
- Joint efforts may provide access to additional staffing, physical, or financial resources.
- Working with another repository may provide access to experience or expertise not available within the repository.

Loans

If a repository loans materials to or receives loans from other organizations, it needs to have a written policy on loans. This loan policy should be reviewed at least every five years. The loan form should clearly describe the materials, loan period, and responsibilities of both organizations. The repository needs to keep detailed records of loaned materials.

Before agreeing to lend materials, the repository should verify that the materials will be appropriately housed and protected. The borrowing organization should also insure the materials for the loan period.

27. OUTREACH

What is outreach?

Outreach is the provision of services or programs that promote awareness of the repository and its mission. The most basic form of outreach is having regularly scheduled hours that the repository is open to the public, plus public programs as appropriate.

Outreach can take many forms including reference service; exhibits focusing on archival collections; written reports, brochures and newsletters; repository guides; on-line public access catalogs or bibliographic networks; workshops, lectures, field trips, or repository orientations for key groups such as students, genealogists, scholars, etc.; donor contacts and web sites.

Why is outreach important?

- It raises public awareness and helps create a strong local base of support for the repository.
- It encourages increased use of the repository and its collections.
- It aids in identifying new sources for collections.
- It enhances the repository's image.

Public Relations

It is important to make the public aware of the activities and accomplishments of the organization. Think about announcing the opening of archival collections, new publications, additions to the staff, grants received, or other information which demonstrates the achievements of the repository.

Press releases should be brief but detailed enough to provide the basics: who, what, when, where, why, and how. They should always provide complete contact information. Try to develop a good relationship with the local media; know the reporters at your local TV or radio station, and at the local newspaper.

If your repository produces publications (e.g., brochure, newsletter), be sure that they are complete, correct, and up-to-date. Consider establishing a website to provide information about your repository and its collections. If possible, hire a professional web designer so that your site will be polished and professional. If you do establish a website, be sure to establish a mechanism for keeping the information up to date.

28. ADVOCACY

What is advocacy?

Advocacy, another form of outreach, refers to the efforts made by a repository's governing board or administrative staff to secure financial and other support for their programs. Advocacy promotes public awareness of the nature and importance of preserving our documentary heritage.

Advocacy efforts might include letter writing campaigns, personal contacts, public meetings, or special publications. These efforts may be directed towards the general public; local, state, and federal governing bodies; or funding agencies.

Advocacy may also include participation in a professional organization (see Appendix 2) that supports the work of historical repositories.

Why are advocacy efforts important?

- They increase public support for historical records programs.
- They educate the public on archival issues.
- They help the public and resource allocators understand why historical collections are important.
- They increase financial support.
- They promote cooperation between repositories and allied groups.

APPENDIX 1: LIST OF SAMPLE POLICIES/FORMS

General

- The Society of Georgia Archivists maintains a Forms Forum, where they have compiled a variety of forms used by archives and special collections libraries. This page is updated and new forms are added periodically. <http://soga.org/forms>

Administration

- Legal authority to preserve government records. Georgia Archives. http://www.sos.ga.gov/archives/who_are_we/rims/digital_History/policies/policy%20-%20Legal%20Authority.pdf
- Mission statement, Georgia Archives. http://www.sos.georgia.gov/archives/who_are_we/default.htm
- Mission statement, Georgia Historical Society. <http://www.georgiahistory.com/containers/32>
- Mission statement, Troup County Archives. <http://www.trouparchives.org/>
- Mission statement, Richard B. Russell Library, University of Georgia Libraries. <http://www.libs.uga.edu/russell/aboutus/mission.shtml>
- University Library Strategic Plan. Georgia State University. <http://www.library.gsu.edu/about/strategicplan/>
-

Staffing

- Volunteer page (includes online forms). Georgia Archives. <http://sos.georgia.gov/archives/Volunteer/VolunteerMainPage.htm>
- Selecting and Working With an Archival Consultant. California State Archives. <http://www.sos.ca.gov/archives/ed-resources/consultants-tips.htm>

Acquisition/Collection Development Policy

- Collection Development Policy. Georgia Historical Society Library and Archives Division. http://www.georgiahistory.com/files/0000/0326/Collection_Development_Policy_11-03-08.pdf
- Collection Development Policy. Clay County Archives, Clay County Library. <http://www.fortgaines.com/include/library-collection-policy.pdf>
- Archives and Records Management Collection Development Policy. Georgia Tech Library and Information Center. http://www.library.gatech.edu/archives/forms/Collection_Policy.pdf

Collection Assessment/Archival Appraisal

- Transfer Guidelines for Candler School of Theology Records. Pitts Theology Library, Emory University.

- http://www.pitts.emory.edu/collections/archives_stafftransfer.cfm
- Guidelines for Transfer of Faculty Personal Papers. Pitts Theology Library, Emory University. http://www.pitts.emory.edu/collections/archives_facultydonate.cfm

Documenting Acquisitions

- Deed of Gift Form. Georgia Historical Society. http://www.georgiahistory.com/files/0000/0039/Deed_of_Gift_2006.pdf
- Deed of Gift Form. Library and Information Center, Georgia Tech. http://www.library.gatech.edu/archives/forms/Deed_of_Gift.pdf
- Memorandum of Deposit. Georgia Historical Society. http://www.georgiahistory.com/files/0000/0040/deposit_agreement_04.pdf
- Deed of Gift Form. Valdosta State University Archives. <http://soga.org/resources/Documents/FF%20-%20Deed%20of%20Gift%20-%20Valdosta%20State%20University%20Archives.pdf>

Accessioning/Deaccessioning

- Accession Forms: Representative Samples. Library of Congress. <http://www.loc.gov/rr/print/tp/Accession%20Form%20Samples.pdf>
- Accessions Form, Valdosta State University Archives. <http://soga.org/resources/Documents/FF%20-%20Accessions%20-%20Valdosta%20State%20University%20Archives.pdf>

Arrangement and Description

- Raymond Andrews Papers online finding aid. Manuscript, Archives, and Rare Book Library, Emory University. http://marbl.library.emory.edu/findingaids/browse_results?q=findingaids/content&id=andrewsraymond673_102619
- MaryAnne Gaunt Papers online finding aid. Women's Collection. Georgia State University Library Special Collections. <http://www.library.gsu.edu/spcoll/xml/W080.xml>
- Collection Summary Form (basic processing template). Georgia Historical Society. [http://soga.org/resources/Documents/FF%20-%20Finding%20Aid%20Template%20\(Basic%20Processing\)%20-%20Georgia%20Historical%20Society.pdf](http://soga.org/resources/Documents/FF%20-%20Finding%20Aid%20Template%20(Basic%20Processing)%20-%20Georgia%20Historical%20Society.pdf)
- Processing Form. Valdosta State University Archives. <http://soga.org/resources/Documents/FF%20-%20Processing%20Form%20-%20Valdosta%20State%20University%20Archives.pdf>

Environmental Control

- Environmental Data Chart. Reese Library, Augusta State University. <http://soga.org/resources/Documents/FF%20-%20Environmental%20Data%20Chart%20-%20Reese%20Library%20-%20Augusta%20State%20University.pdf>

Emergency Planning

- Emergency Advice page (includes response plan template, prevention/safety

checklist, and emergency supplies checklist). Georgia Archives.

http://www.sos.georgia.gov/archives/how_may_we_help_you/emergency_advice/default.htm

- Disaster Preparation and Recovery Information page (includes vital records damage assessment worksheet (Word document) and instructions (PDF)). Louisiana Archives. <http://www.sos.louisiana.gov/tabid/498/Default.aspx>

Security

- Library & Archives Patron Registration Form. Georgia Historical Society. http://www.georgiahistory.com/files/0000/0368/Patron_Registration_Form_2009.pdf
- Archives and Manuscripts Research Application. Pitts Theology Library, Emory University. http://www.pitts.emory.edu/collections/archives_appform.pdf
- Researcher Application and Rules and Use Policy Agreement. Richard B. Russell Library, University of Georgia Libraries. <http://www.libs.uga.edu/russell/research/application.pdf>

Collections Care

- Care for Records page (includes a selected list of vendors for preservation supplies and services). Georgia Archives. http://sos.georgia.gov/archives/how_may_we_help_you/care_for_records/default.htm
- Holdings Maintenance page. National Archives. <http://www.archives.gov/preservation/holdings-maintenance/>

Preservation Planning

- Preservation Concerns Form. Georgia Archives. <http://soga.org/resources/Documents/FF%20-%20Preservation%20-%20Georgia%20Archives.pdf>
- Condition Assessment Form. Georgia Archives. <http://soga.org/resources/Documents/FF%20-%20Accessions%20-%20Georgia%20Archives.pdf>

Digitization

- Digital Collections page. Archives and Records Management, Georgia Tech. http://www.library.gatech.edu/archives/digital_collections.html

Digital Documents and Electronic Records

- Digital Preservation Policy. Georgia Archives. http://sos.ga.gov/archives/who_are_we/rims/digital_History/policies/policy%20-%20Digital%20Preservation%20Policy.pdf
- Digital Archives of Georgia. Georgia Archives. http://sos.ga.gov/archives/who_are_we/rims/digital_History/default.htm

Access Policy

- ALA-SAA Joint Statement on Access: Guidelines for Access to Original Research Materials. American Library Association and Society of American Archivists.

<http://www.archivists.org/statements/alasaa.asp>

- Library Access Policy. University Library, Georgia State University.
<http://www.library.gsu.edu/about/pages.asp?ldID=68&guideID=282&ID=6009>

Reference Service

- Guidelines for Using the Library. Kenan Research Center, Atlanta History Center.
<http://www.atlantahistorycenter.com/ImagesLive/Users/1/KenanMembershipGuideline.pdf>
- Rules and Regulations for the Library and Archives. Georgia Historical Society.
http://www.georgiahistory.com/files/0000/0026/L_A_Rules_full_page_layout.pdf
- Research Services web page (includes basic search request and advanced search request forms). Georgia Historical Society.
<http://www.georgiahistory.com/containers/11#basicsearch>
- Rules for Use of Archives and Manuscripts. Pitts Theology Library, Emory University. http://www.pitts.emory.edu/collections/archives_use.cfm
- Reprographic Policies and Procedures. Kenan Research Center, Atlanta History Center.
<http://www.atlantahistorycenter.com/Images/Users/AHC/About/kenan/Policiesprelim.pdf>
- Image and Document Reproductions page (see Image Reproduction Order Form; Condition Agreement for Personal Use, and Digital Camera Policy). Georgia Historical Society. <http://www.georgiahistory.com/containers/10>
- Special Collections Reproduction Policy. Pitts Theology Library, Emory University.
http://www.pitts.emory.edu/collections/archives_reproductions.cfm

Note: All websites accessed July 15, 2010.

APPENDIX 2: PROFESSIONAL ORGANIZATIONS

American Association for State and Local History (AASLH)
1717 Church Street
Nashville, TN 37203-2991
615-320-3203
615-327-9013 (fax)
membership@AASLH.org
www.aaslh.org

American Association of Museums (AAM)
1575 Eye Street, NW
Suite 400
Washington, DC 20005
202-289-1818
202-289-6578 (fax)
www.aam-us.org

American Institute for Conservation of Historic and Artistic Works (AIC)
1156 15th Street NW, Ste. 320
Washington, DC 20005
202-452-9545
202-452-9328 (fax)
info@conservation-us.org
www.conservation-us.org

American Library Association (ALA)
50 East Huron
Chicago, IL 60611
800-545-2433
312-440-9374 (fax)
ala@ala.org
www.ala.org

ARMA International
11880 College Blvd., Suite 450
Overland Park, KS 66210
913-341-3808
800-422-2762
913-341-3742 (fax)
www.arma.org

A not-for-profit professional association and the authority on managing records and information – paper and electronic.

Georgia Association of Museums and Galleries (GAMG)
PO Box 2133
Marietta, GA 30061
GAMG Office: 770-853-7539
gamg@gamg.org
www.gamg.org

Georgia Library Association
PO Box 793
Rex, GA 30273
678-466-4334
<http://gla.georgialibraries.org>
GLA News Blog:
<http://glanews.blogspot.com/>

National Association of Government Archives and Records Administrators (NAGARA)
90 State Street, Suite 1009
Albany, NY 12207
518-463-8644
518-463-8656 (fax)
nagara@caphill.com
www.nagara.org

Society of American Archivists (SAA)
17 North State Street
Suite 1425
Chicago, IL 60602-3315
312-606-0722
toll-free 866-722-7858
312-606-0728 (fax)
www.archivists.org

Society of Georgia Archivists (SGA)
P.O. Box 133085
Atlanta, Georgia 30333
president@soga.org
www.soga.org

Southeast Regional Conservation Association (SERCA)
Contact the Georgia Archives (www.sos.ga.gov/archives) for up-to-date information.

APPENDIX 3: SELECTED PUBLICATIONS AND WEBSITES

Understanding and Managing Archives

Dearstyne, Bruce. Leading and Managing Archives and Records Programs. New York: Neal-Schuman Publishers, 2008.

Kurtz, Michael. Managing Archival and Manuscript Repositories (Archival Fundamentals Series II). Chicago: Society of American Archivists, 2004.

O'Toole, James M., and Richard Cox. Understanding Archives and Manuscripts (Archival Fundamentals Series II). Chicago, Society of American Archivists, 2006.

Pearce-Moses, Richard. Glossary of Archival and Records Terminology (online), at <http://www2.archivists.org/glossary>.

Mission and Strategic Planning

Allison, Michael, and Jude Kaye. Strategic Planning for Nonprofit Organizations. Hoboken, NJ: John Wiley and Sons, 2005.

Bryson, John. Strategic Planning for Public and Nonprofit Organizations: A Guide to Strengthening and Sustaining Organizational Achievement. San Francisco, CA: Jossey-Bass, 2004.

Lyddon, Jan W. Strategic Planning in Smaller Nonprofit Organizations: A Practical Guide for the Process. Management Guide #7, Nonprofit Leadership and Administration Faculty, Western Michigan University, April 1999.

Mittenthal, Richard A. Ten Keys to Successful Strategic Planning for Nonprofit and Foundation Leaders. TCC Group Briefing Paper, 2002.

Grant Writing

Barbato, Joseph, and Danielle Furlich. Writing for a Good Cause: The Complete Guide to Crafting Proposals and Other Persuasive Pieces for Nonprofits. New York, NY: Fireside, 2000.

Bauer, David G. The "How To" Grants Manual: Successful Grantseeking Techniques for Obtaining Public and Private Grants (Ace/Praeger Series on Higher Education). Rowman and Littlefield, Inc., 2009.

Gerding, Stephanie, and Pamela H. Mackellar. Grants for Libraries: A How-To-Do-It Manual. New York, NY: Neal-Schuman Publishers, 2006.

General Management

Campbell, Katherine Noyes, and Susan J. Ellis. The (Help!) I-Don't-Have-Enough-Time Guide to Volunteer Management. Philadelphia, PA: Energize, Inc., 1995.

Fixler, Jill Friedman, and Sandie Eichberg. Boomer Volunteer Engagement: Collaborate Today, Thrive Tomorrow. Bloomington, IN: AuthorHouse, 2008.

Ruppel, Warren. Not-for-Profit Accounting Made Easy. Hoboken, NJ: John Wiley and Sons, 2007.

Collection Assessment/Appraisal

Boles, Frank. Selecting and Appraising Archives and Manuscripts (Archival Fundamentals Series II). Chicago: Society of American Archivists, 2005.

Craig, Barbara. Archival Appraisal: Theory and Practice. KG Saur, 2004.

Archival Arrangement and Description

Carmicheal, David W. Organizing Archival Records: A Practical Method of Arrangement and Description for Small Archives. Walnut Creek, CA: AltaMira Press, 2004.

Describing Archives: A Content Standard. Chicago: Society of American Archivists, 2004.

Dow, Elizabeth. Creating EAD-Compatible Finding Guides on Paper. Lanham, MD: Scarecrow Press, 2005.

Roe, Kathleen. Arranging and Describing Archives and Manuscripts (Archival Fundamentals Series II). Chicago: Society of American Archivists, 2005.

Preservation

Council of State Archivists, Emergency Preparedness Initiative and IPER Project, at <http://www.statearchivists.org/prepare/index.htm>. Provides information on emergency response and records-related emergency training for state and local governments.

Heritage Emergency National Task Force, at <http://www.heritagepreservation.org/programs/taskfer.htm>. Offers tools and information to cultural institutions and the general public for preparing for and responding to emergencies that affect collections and family treasures.

Image Permanence Institute, at www.imagepermanenceinstitute.org. A nonprofit, university-based laboratory devoted to preservation research. Provides information on

preservation of images, including environmental control and collections management.

National Film Preservation Foundation. Film Preservation Guide: The Basics for Archives, Libraries, and Museums. San Francisco: NFPF, 2004.

Pacifico, Michele F., and Thomas P. Wilsted. Archival and Special Collections Facilities: Guidelines for Archivists, Librarians, Architects, and Engineers. Chicago: Society of American Archivists, 2009.

Reilly, James M. Care and Identification of 19th-Century Photographic Prints. Rochester, NY: Eastman-Kodak Company, 1986.

Ritzenthaler, Mary Lynn, and Diane L. Vogt-O'Connor, with Helena Zinkham, Brett Carnell, and Kit A. Peterson. Photographs: Archival Care and Management. Chicago: Society of American Archivists, 2006.

Ritzenthaler, Mary Lynn. Preserving Archives and Manuscripts (2nd edition). Chicago: Society of American Archivists, 2010.

Wilhelm Imaging Research, at www.wilhelm-research.com. Free download of Henry Wilhelm's The Permanence and Care of Color Photographs (1993) is available here.

Wellheiser, Johanna, and Jude Scott. An Ounce of Prevention: Integrated Disaster Planning for Archives, Libraries, and Record Centers (2nd edition). Canadian Archives Foundation and Scarecrow Press, 2002.

Digital Materials

BCR's CDP Digital Imaging Best Practices Working Group. BCR's CDP Digital Imaging Best Practices, Version 2.0, at <http://www.bcr.org/dps/cdp/best/digital-imaging-bp.pdf>. June 2008.

Cornell University Library. Moving Theory into Practice: Digital Imaging Tutorial, at <http://www.library.cornell.edu/preservation/tutorial/contents.html>. 2003.

Dow, Elizabeth H. Electronic Records in the Manuscript Repository. Lanham, MD: Scarecrow Press, 2009.

Landis, William E., and Robin L. Chandler. Archives and the Digital Library. London and New York: Routledge, 2007.

Public Services

Pugh, Mary Jo. Providing Reference Services for Archives and Manuscripts (Archival Fundamentals Series II). Chicago, Society of American Archivists, 2005.

APPENDIX 4: RESOURCES FOR GRANT FUNDING

Federal

Institute of Museum and Library Services. www.ims.gov.

A grant-making federal agency that supports museums and libraries of all types. See www.ims.gov/applicants/institution.shtm for a list of grant programs by institution type.

National Endowment for the Humanities Division of Preservation and Access, www.neh.gov/whoweare/divisions/PreservationAccess/index.html.

See particularly the Preservation Assistance Grants for Smaller Institutions, which fund preservation surveys, consultation on a specific preservation/conservation issue or need, purchase of storage furniture and preservation supplies, purchase of environmental monitoring equipment, and education and training.

National Historical Publications and Records Commission. www.archives.gov/nhprc/.

See particularly the Archives-Basic Projects grants, which fund fundamental archival activities that promote the preservation and use of America's documentary heritage (includes basic processing, preservation planning, collections development, and establishing archives).

State

Georgia Association of Museums and Galleries (GAMG) Museum Services Exchange (MUSE). www.gamg.org.

A program of consulting services, where experienced museum professionals provide information and feedback to large and small museums. See the GAMG Newsletter Summer 2010 for a program summary, at www.gamg.org/NewFiles/GAMGSummer2010.pdf

Georgia Historic Preservation Division grants.

<http://gashpo.org/content/displaynavigation.asp?TopCategory=200>

Grant programs include the Georgia Heritage Grant Program, which offers matching funds on a statewide competitive basis to local governments and nonprofit organizations for the preservation of National Register-eligible properties, and Historic Preservation Fund Grants, which distribute federal funds in the form of grants to Georgia's Certified Local Governments (these are 60/40 matching grants that enable cities, towns, and rural areas to undertake projects to preserve historic properties).

Georgia Historical Records Advisory Board grant programs.

www.sos.georgia.gov/archives/who_are_we/ghrab/grant_programs/default.htm.

Programs include digitization services grants, circuit rider archivist program, and historical records project grants.

Georgia Historical Society Affiliate Chapter program.

www.georgiahistory.com/containers/22

A statewide network for local historical organizations. Members include historical and genealogical societies, commissions, museums, foundations, archives, preservation organizations, churches, and patriotic organizations. Membership benefits include consultations, programs and workshops, and subscriptions.

Georgia Humanities Council. <http://www.georgiahumanities.org/grantmaking/index.html>

The Georgia Humanities Council Grant Program provides financial support for cultural and humanities-based educational programs that strengthen local communities by providing opportunities for learning and discussion among all participants. Grants are awarded to such nonprofit organizations as museums, libraries, historical societies, community groups, educational institutions and government agencies.

Private

The Foundation Center. <http://foundationcenter.org/>.

An online directory of private philanthropic and grant making foundations. Also provides information on proposal-writing and training.

APPENDIX 5: RESOURCES FOR EDUCATION AND TRAINING

ARMA International. www.arma.org/learningcenter/index.cfm

ARMA provides online courses, certification, and other professional development resources.

The Georgia Archives Institute. <http://www.georgiaarchivesinstitute.org/>

An educational program designed for beginning archivists, manuscript curators, and librarians, held yearly at the Georgia Archives in Morrow, GA.

LYRASIS. <http://www.lyrasis.org/Classes-and-Events.aspx>

Created in April, 2009 by the merger of PALINET and SOLINET and joined shortly thereafter by NELINET, LYRASIS is the nation's largest regional membership organization serving libraries and information professionals. The primary service area is the Mid-Atlantic, Southeastern, and New England regions.

National Archives. Modern Archives Institute.

<http://www.archives.gov/preservation/modern-archives-institute/>

A 2-week program that provides an introduction to archival principles and techniques for individuals who work with personal papers, as well as those who work with the records of public and private institutions and organizations. It is intended to help archivists acquire basic knowledge about caring for archival materials and making them available.

Society of American Archivists. Colonial Dames of America Scholarships to the Modern Archives Institute. <http://www.archivists.org/governance/handbook/section12-damescutt.asp>

Since 1974, SAA has awarded the Colonial Dames Scholarships, which enable two archivists each year to attend the Modern Archives Institute of the National Archives and Records Administration. One scholarship supports attendance at the Winter Institute, held in January/February, and the other supports attendance at the Summer Institute, held in June.

Society of American Archivists. Conference/Workshop Calendar.

<http://saa.archivists.org/Scripts/4Disapi.dll/4DCGI/events/ConferenceList.html?Action=GetEvents>

A listing of on demand web seminars and upcoming workshops and conferences on archival topics.

Society of American Archivists. Directory of Archival Education.

<http://www2.archivists.org/dae>

A listing of archival education providers throughout the country. Provides information about degrees/certificates offered, faculty, and courses offered.

Society of Georgia Archivists Scholarships. <http://soga.org/scholarships>

Scholarships to support attendance at the Georgia Archives Institute, SGA meetings and workshops, and/or the SAA annual meeting.